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**Assessing Monitoring and Evaluation Process of the
African Union Election Projects - The year 2013 to 2020**

by

Sanatek Haile Woldemariam

April, 2021

Addis Ababa, Ethiopia



ADDIS ABABA UNIVERSITY
SCHOOL OF COMMERCE

**Assessing Monitoring and Evaluation Process of the
African Union Election Projects - The year 2013 to 2020**

**A Research Project Submitted in Partial Fulfilment of the
Requirements for the Award of Degree of Master of Arts
in Project Management**

By

Sanatek Haile

Advisor: Dr. Mengistu Bogale

April, 2021

ADDIS ABABA UNIVERSITY

SCHOOL OF COMMERCE DECLARATIONS

I, Sanatek Haile Woldemariam, with registration number GSD/9421/10, do hereby declare that this research project work entitled “**Assessing Monitoring and Evaluation Process of the African Union Election Projects - The year 2013 to 2020**” is carried out by myself with the handy assistance and provision of my advisor Dr. Mengistu Bogale. The research is my original work, and that it has not been submitted partially or in full, by any other person for an award of Master of Arts degree in any other university or educational institution.

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List of Abbreviations

AfrEA: African Evaluation Association

AU: African Union

AUC: African Union Commission

BRIDGE: Building Resources in Democracy Governance and Elections

DEAU: Democracy and Electoral Assistance Unit

DPA: Department of Political Affairs

EMB: Electoral Management Bodies

IDEA: Institute for Democracy and Electoral Assistance

IFRC: International Federation of Red Cross and Red Crescent Societies

IMFN: International Model Forest Network

M and E: Monitoring and Evaluation

NGO: Non-Governmental Organization

OAU: Organization for African Unity

OECD: Organisation for Economic Cooperation and Development

RBM: Result Based Management

UNDP: United Nations Development Program

Abstract

The objective of this study is to examine the Monitoring and Evaluation (M and E) Processes of the African Union Election Projects for the during implementation period from 2013 to 2020. The study focuses on how the organisational context of the AU affect the monitoring and evaluation of its electoral projects and inspects the tools and techniques used in M and E. It also examines management and stakeholders' influence and communication strengths and weaknesses of M and E process of the election projects. This study draws on various literatures conducted on Monitoring and Evaluation Processes of projects. It mainly focused at activities performed in the African Union Commission HQ, located in Addis Ababa, Ethiopia. A population of 100 staff, consultants and Election Observers within the African Union Commission and its Member States were targeted and out of that, 55 personnel were selected through purposive sampling method and descriptive survey design was also employed. Quantitative and Qualitative Data collection methods were applied. Primary data for this research was obtained through interviews and self-administered, semi-structured questionnaires. Quantitative data was analysed using descriptive statistics whereas the qualitative data was analysed using content analysis. The findings were presented using percentages and frequencies, tables, pie charts and bar graphs. The study assessed the M and E processes of the African Union Election and confirmed that the African Union Election Projects have some components of M and E system in place. Hence, the research project concluded that the complex and highly political organizational context of the African Union Commission highly affects the M and E Processes of the Electoral Projects. Therefore, the researcher recommends the use of well-trained human resource, updated and regular M and E tools, capable managers, and room for stakeholders for a successful Election Projects.

CHAPTER ONE

1. INTRODUCTION

1.1. Background of the Study

Monitoring and Evaluation (M and E) is an important tool in project management. It has been in existence since the ancient times (Kusek et al, 2004). According to Commonwealth Secretariat (2007), monitoring and evaluation (M and E) is crucial tool in managing Implementation which entails controlling and directing the processes by which managers make sure that the activities in the action plan actually happen, and that they happen effectively and on time. M and E helps organizations to be more transparent and strengthens awareness by focusing on outcomes.

The significance of M and E as a management tool for efficient governance has become an important source of learning to improve planning, service delivery, and ideal appointment of resources (Abrahams 2015:1). A study by Prabhakar (2008) pointed out that Monitoring and Feedback was one of the factors leading to project success. Papke-Shields et' al. (2010) also indicated that the probability of achieving project success seemed to be enhanced among other factors, by constantly monitoring the progress of the project. However, using the right tools and techniques of M and E should be considered for the success of projects.

The institutional and organisational environment of the M and E matters even when there is a robust M and E system. Organisations with heavy and complex bureaucracies like the African Union, United Nations etc. which are also political in nature due to their inter-governmental character may affect the extent of the effectiveness of their M and E systems and processes. This is because M and E does not take place in closed but rather open systems where the external and internal environment interact and sometimes may generate unintended effects on projects.

According to a study by Hunter (2009), M and E is a process of systematically collecting and analysing information of ongoing project and comparison of the project outcome and impact against the project objective. and Lim (2013) stated that Monitoring and evaluating, budget performance, schedule performance and quality performance could lead to project success. Monitoring and evaluation of projects is not only important to projects, but it is also part of project design.

Scott (2008), argued that M and E system provides the information needed to assess and guide the project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming and should be an integral part of project design as well as project implementation and completion. Monitoring and Evaluation (M and E) is a combination of two processes i.e. monitoring and Evaluation which are different yet interdependent (Gorgens and Kusek 2009).

According to Casley and Kumar (1988), monitoring and evaluation functions are related but distinct. Monitoring is an internal process that enables management to assess progress of implementation and take timely decisions to ensure that progress is maintained according to schedule. It also assesses whether project inputs are being delivered, used as intended, and are having the planned effects.

As the name suggests, monitoring is a means of observing and assessing the progress of a project while it is in action (Commonwealth Secretariat, 2007). According to Crawford and Bryce (2003), Monitoring is an ongoing process of data collection and analysis for primarily project control with an internally driven emphasis on efficiency and effectiveness of project. It is a routine tracking of data to learn to what extent project implementation is occurring and progress is being made. It tracks inputs, activities and outputs of the Project. Monitoring data indicates that how projects are conducted and whether the intervention is on track or on budget in terms of inputs and activities it also indicates the extent to which the project's level of performance is reaching the desired output.

There are various processes, tools, and techniques to assist with the different types of monitoring, which generally involve obtaining, analysing and reporting on monitoring data. Although there are some overall best practices, specific processes and tools may vary according to monitoring need.

On the other hand, Evaluation is generally defined as a structured way of strategically examining and assessing the results of different intervention programmes in order to learn from successes and challenges on how to proceed and move forward (Vedung, 2010). There are different types of evaluations that exist, summative and formative evaluation. According to OECD (2002), summative evaluation or impact evaluation is conducted at the end of an

intervention to provide information about the extent to which anticipated outcomes were produced, while formative evaluation or implementation evaluation is conducted during the implementation phase of an intervention in order to improve the performance.

Enhancing the concept, Hunter (2009) defined Evaluation as a scientific based appraisal of the strengths and weakness of the project. It is a comparison between the actual results and the expected result. Evaluation is a way for checking efficiency, effectiveness and impact of an intervention. It involves identifying and reflecting upon the effects of what has been done, and judging their worth. Their findings allow project leaders and managers, partners, donors and other project stakeholders to learn from the experience and improve future projects.

Evaluation is systematic and independent. It is an assessment of an ongoing or completed project as well as its implementation and results (Uitto 2004). It is a tool to help planners and managers assess to what extent the interventions have achieved the objectives set forth in the project documents. Evaluation can be used to assess the effectiveness, relevance and impact of achieving the project's goals. It involves measuring changes in knowledge, attitudes, behaviours, skills, community norms, utilization of services as well as it provides feedback that helps projects analyse the consequences, outcomes and results of its actions.

Monitoring and Evaluation is about feed-back from implementation. The vital role of Monitoring and Evaluation is change for the better. According to UNDP (2009), monitoring and evaluation can help an organization extract relevant information from past and ongoing activities that can be used as the basis for programmatic fine-tuning, reorientation and future planning.

A research carried out by Ika et al. (2010) indicated that project success was insensitive to the level of project planning efforts but on the other hand ascertained that a significant correlation exists between the use of monitoring and evaluation tools and project profile, a success criterion which was an early indicator of project long-term impact. According to UNDP (2009), programmes and projects with strong monitoring and evaluation components tend to stay on track, and problems are often detected earlier, which reduces the likelihood of having major cost overruns overtime delays later.

Having a clear understanding of the log frame's order of objectives is mandatory for M and E planning. It helps to improve Project Management activities by enhancing project design and Performance and clearly shows the flow of inputs, activities, output, effect, impact, along with verifiable indicators as well as means of verification. According to Scott (2008), a logical framework or log frame shows the conceptual foundation upon which a project's M and E system is built, principally, the log frame is a matrix that specifies what the project objectives are and how this achievement of objectives will be measured using indicators.

There are key Monitoring and Evaluation Terminologies which will be used in a day to day activities of Project Management. Inputs, in simple words, are those things that we use in the project to implement it. Inputs ensure that it is possible to deliver the intended results of a project.

Activities on the other hand are actions associated with delivering project goals they are what the personnel/employees do in order to achieve the aims of the project. Outputs are the direct immediate term results associated with a project they are usually what the project has achieved in the short term.

Outcome refers to the medium-term consequences of the project which usually relate to the project goal or aim. Impact is the long-term consequence of a project it is very difficult to ascertain the exclusive impact of a project since several other projects, not similar in nature can lead to the same impact. Impact evaluation—a type of evaluation that assesses the rise and fall of impacts.

Baseline, the status of services and outcome-related measures such as knowledge, attitudes, norms, behaviour, and conditions before an intervention, against which progress can be assessed or comparisons made. Target, the objective a project is working towards, expressed as a measurable value; the desired value for an indicator at a particular point in time.

1.1.1. Background of the Organization

The African Union (AU), a continental body consisting of 55 member states that make up the countries of the African Continent, was officially launched in 2002 as a successor to the Organisation of African Unity (OAU 1963-1999).

The African Union Commission (AUC) is the AU's secretariat and is responsible for executing the decisions of the Summit of Heads of States and Government and the Executive Council of the AU through various programmes implemented in the Member States. The AUC is based in Addis Ababa, Ethiopia.

Since its inception, the African Union has worked to implement one of its key mandates which entails promoting sustainable democracy. Through various normative instruments, the AU Member States have committed to hold credible, transparent and legitimate elections that enhance democratic governance.

The Constitutive Act of the AU is the foremost document to enshrine the promotion of democracy as part of the core mandate of the organization. Furthermore, the African Union Assembly adopted the Declaration on the Principles Governing Democratic Elections in Africa (the "Durban Declaration" (AU Durban Declaration 2002).

Elections are a crucial part of democratic processes including, political transitions; implementation of peace agreements and consolidation of democracy. An election or direct democracy poll such as a referendum is often one of the largest single activities that are ever organized in a country (International IDEA 2006).

The Department of Political Affairs (DPA) is responsible for promoting, facilitating, coordinating and encouraging democratic principles and the rule of law, respect for human rights, participation of civil society in the development process of the continent and the achievement of durable solutions to address humanitarian crises.

The African Union Election Projects include deployment of Election Observation Missions and Technical Assistance to the Election Management Bodies (EMBs) of the AU Member States. These activities are undertaken by the Democracy and Electoral Assistance Unit (DEAU) of the Department of Political Affairs.

The African Union deploys on average 15 election Missions per year on the continent and conduct electoral support to Member states including the Building Resources in Democracy Governance and Elections (BRIDGE) trainings, capacity building programs through training

of staff members of Electoral Management Bodies of Member States as well as training of Long Term and Short-Term Election Observers.

Election Observation Missions include Short term and Long-term Election observer team deployed to a Member State conducting Elections. The role of the AU in strengthening the capacity of electoral authorities to manage elections is recognised by the African Charter on Democracy, Elections and Governance.

According to Nyonje et al. (2012), project M and E is important to different people for various reasons. For donors it means their funds have been well invested. To the Member States, it may mean monitoring how the staff at the AU headquarters are serving their needs of the Member States. To the project managers, it may mean that there is a clear tracking of targets which the organisation has set for itself.

In the African Union Election Projects context, M and E is important to project managers and stakeholders including, African Union Commission management, Member States of the African Union, Donors, Partners and Other Departments of the AUC. This is because of the need to measure effectiveness and efficiency of the election projects as well as to identify the extent to which the projects are meeting the set objectives and attaining the desired impact.

The variables under study were tools and techniques, management and stakeholders' influence and strengths and weakness. The study aimed at determining the extent to which these factors influence the effectiveness and efficiency of M and E process.

1.2. Statement of the Problem

The African Union conducts continental wide, multi-risk electoral projects which operate in challenging and highly political environment – both internally and externally. Most studies associate project success to M and E. In spite of knowledge that effective M and E is a major contributor to project success, there are still gaps with respect to continent wide high risk and political projects. There have been observable challenges in the African Union Monitoring and Evaluation framework that warrants a closer study with specific regard to election projects where millions of dollars have been allocated over the years in a bid to strengthen democracy on the continent of Africa. Yet, there has been constant dissatisfaction from Member States on the effectiveness of AU in supporting electoral processes in the Member States despite huge financial investments. It is therefore crucial to examine whether the AU M&E

system is actually effective in monitoring the performance of election observation projects. Yet, because election projects are not implemented in a vacuum, the performance of election observation is plausibly susceptible to effects of the environmental context within the Member States as well as the African Union Commission itself.

There is a need to assess the process of Monitoring and evaluation systems because M and E has emerged as a key policy development and performance management tool. Failing and Gregory (2003), argued that M and E is imperative to enable organizations track their performance and to measure the effects of the managerial actions thus acting as an avenue of a prompt feedback on evolution towards goals and effectiveness of the intervention of the programme. Hailey (2000), stated that M and E systems augment managerial processes and provides evidence for decision making.

Monitoring and Evaluation has evolved over time due to the need for Result-Based Management (RBM) as well as limited resources and involvement of non-state actors in development (Kusek and Rist 2001). Result-Based Management (RBM) is an approach to project management based on clearly defined results, and the methodologies and tools to measure and achieve them. RBM supports better performance and greater accountability by applying a clear, logical framework to plan, manage and measure a project with a focus on the results intended to be achieved. Rist, Boily and Martin (2011: 11) indicated that Monitoring and evaluation (M and E) are essential components of results based management.

RBM relates to the outcomes of programme implementation. Which means, organizations may successfully implement programmes and projects, but have they produced the actual intended results? Have they delivered the promises made to stakeholders? How tangible and demonstrable is the impact of the project? This research will look at the existing M and E processes, used by the African Union Election Projects and will come up with conclusion and recommendation to address existing gaps in M and E processes.

Monitoring and Evaluation has in the recent become a mandatory requirement for projects. According to Karani et al., (2014) and Njoka, (2015) the components of Monitoring and Evaluation as defined in various projects or plans are not in many instances operationalized because most of the entities undertaking projects do not regard Monitoring and Evaluation as an essential tool in Projects progress. Having M and E system alone does not contribute to

project success, establishing appropriate M and E tools and techniques are important for a successful project.

Furthermore, Monitoring and Evaluation (M and E) is often considered as a separate function and responsibility from planning, however, if a project is poorly planned it is very difficult to monitor and evaluate. The danger with formal M and E processes is that they can easily become separated from the day-to-day flow of a project's work and also monitoring may become dangerously separated from evaluation (Commonwealth Secretariat 2007). It is necessary to develop a complete M and E strategy or plan in order to effectively monitor and evaluate any programme or project.

A common failing for many projects is that the only reference to M and E is the list of indicators and monitoring mechanisms in the logical framework matrix table which just does not provide enough information to guide the actual implementation of a M and E system (IUCN, 2000). According to UNDP (2009), without effective planning, monitoring and evaluation, it would be impossible to judge if work is going in the intended direction, whether progress and success can be achieved, and how future efforts might be improved.

OECD (2003), AfrEA (2006) and Phillips and Porter (2012) indicated that the prevailing Monitoring and Evaluation Practices in the continent of Africa are because of donors and funders of various projects. Most Organizations conduct monitoring and evaluation because it is a requirement from the donor to account for the funds released and for future funding rather than assess the effectiveness, efficiency and impact of the project.

Lack of participation of substantive stakeholders in the development of Monitoring and Evaluation systems also has adverse impact on the implementation of M and E processes. Stakeholders and managers play an important role in developing M and E systems and its proper implementation. Some writers revealed that while effective monitoring and evaluation (M and E) systems are successfully developed, not all are implemented and, even when they are implemented, they are sometimes partially implemented (Groene and Branda 2006, 298).

Rubin (1995: 20), indicated that stakeholders directly involved in, or affected by, the very development activities meant to benefit them have little or no input in the evaluation, either in determining questions asked or types of information obtained, as well as in defining measures of success. Consultation with a variety of different stakeholders is important throughout the M and E processes.

A further challenge is ensuring that the Organization has the necessary competence to analyse and make use of the information that emerges from its monitoring and evaluation systems (Britton 2009). According to Engela and Ajam(2010), monitoring and evaluation is very complex, multidisciplinary and involves skill intensive processes, although very essential in improving performance.

Furthermore, attainment of an understanding of effective monitoring and evaluation systems has been a challenge. Mahmood et al (2010) cited that the complexity of M and E systems is one other difficulty experienced during the implementation its processes. Available research suggests that there are gaps and challenges in the effective realisation of M and E practices in NGOs, yet this is a critical practice upon which project success is highly dependent (Chibonore, 2015:4).Whilst the importance of monitoring and evaluation is given, many organisations face many constraints in carrying out this critical function. According to Karuiki (2014), the first constraint is getting the knowledge, skills and competence required for those aspiring to carry out this function.

Within a complex organisation like the African Union, M and E systems may be highly affected by a number of internal and external stakeholders and the process require specific M and E tools. Current literatures on M and E has granted little attention to continent wide multi risk projects which are undertaken in challenging and highly political and complex environment. This research assesses the Monitoring and Evaluation processes of the African Union Election Projects in terms of effectively and efficiently achievement of objectives as well as the project impacts. It will also augment on existing knowledge on M and E in highly political and complex internal and external organisational settings like the African Union.

1.3. Research Questions

The main research question for the study is: How does the organisational context of the AU affect the monitoring and evaluation of AU electoral projects? The research sub-questions are:

- i. What are the tools and techniques used in the Monitoring and evaluation processes of the AU Electoral Projects?
- ii. How does management and stakeholders influence the Monitoring and evaluation processes of the African Union Election Projects?

- iii. What are the strengths and weaknesses of M and E processes of the AU Electoral Projects in terms of information and communication?

1.4. Objectives of the study

According to Mishra and Alok, (2017), the major aim of any type of research is to find out the reality and facts which is unknown, and which has not been exposed. The general objective of the study was to assess Monitoring and Evaluation process of African Union Election Projects (2013 to 2020) within the organisational context of the African Union. The specific objectives of the study are to:

- i. Explore available tools and techniques used in the Monitoring and evaluation processes of the African Union Election Projects;
- ii. Investigate the influence of management and Stakeholders on Monitoring and evaluation processes of the African Union Election Projects.
- iii. Assess strengths and weaknesses of M and E processes of the AU Electoral Projects in terms of information and communication.

1.5. Significance of the Study

This research will be useful to several stakeholders including the staff of the Democracy and Electoral Assistance Unit of the Department of Political Affairs, the leadership of the African Union Commission to assess the effective and efficient implementation of projects as well as its impact. The research might also be useful to Permanent Representative Committee of the African Union Member States, Donors, Partners, future researchers and academicians.

It also informs procedures towards setting up and improving of the monitoring and evaluation processes, and shows how M and E can be used as a powerful management tool and technique to improve the way organizations and stakeholders can achieve greater accountability and transparency. It will further be useful in advancing our knowledge on how organisational context affects M and E with specific regard to inter-governmental organisation such as the African Union which is made up of different sovereign states.

1.6. Organization of the Study

Chapter one outlines the background of the study and the statement of the problem. The chapter further outlines the research questions, the objectives as well as the research hypothesis that guided the study then significance of the study. Lastly, the chapter states the, delimitations, limitations and organization of the study.

Chapter two includes conceptual definitions, literature review. The chapter also contains the conceptual framework which outlines the association between the study variables. The research gap is also discussed in this chapter.

Chapter three outlines the study methodology that was followed in the course of answering the research questions. The chapter specifically outlines the research design and sampling techniques that was adopted, the target population, the data collection instruments and procedures as well as the data analysis methods adopted. Ethical considerations also discussed in this chapter in addition to reliability and validity of research instruments.

Chapter four is on the analysis of the primary and secondary data collected. This chapter contains interpretation of the findings. Finally, it describes the summaries of findings with regard to the objectives of the study. Main findings are discussed at length with linkages to existing knowledge. Conclusion of the study and suggested recommendation are also included in this chapter.

1.7. Research Limitations

The research encountered few difficulties during primary data collection through interview and questionnaire. Due to the current situation of COVID-19 pandemic it was not possible to schedule face-to face interview sessions with all informants. Questionnaires were also sent to respondents through email and it had taken long time for response than anticipated. However, these limitations were mitigated through virtual interviews using Google meeting, Blue Jeans and Zoom applications.

CHAPTER TWO

2. LITERATURE REVIEW

This chapter reviewed literatures related to the study variables it specifically reviewed literature under four thematic areas including organisational context, tools and techniques used in Monitoring and Evaluation Processes, management and Stakeholders influence on Monitoring and Evaluation processes and strengths and weaknesses of M and E processes.

2.1. Theoretical Framework

2.1.1. Monitoring and Evaluation (M and E)

Monitoring and evaluation (M and E) is an apparatus for effective development, Kabonga (2019) he further argued that Despite growing importance of M and E, there seems to be a lack of clarity on the principles of M and E.

According to a study conducted by Myrick (2013) The practice of M and E usually moves from detailed log frames being employed for measuring impact, to the implementation of orderly realistic approaches and resorting to utilizing simple fundamental principles of M and E that involve identifying measurable objectives, performance measurement indicators, targets and periodic reporting. His argument revealed how the application and process of monitoring and evaluation progresses from a logical [framework] approach, to being altered to a more flexible, orderly pragmatic process and finally to a point where in the real world it becomes necessary to streamline processes due to a limitation of resources. However, the article didn't show M and E process from complex and highly political environment point of view.

With stakeholders putting considerable pressure on organisations to demonstrate good performance in an environment with limited operational resources, the need for results delivery in private and public sector organisations has increased. Moreover, organisations are being expected to deliver better results with fewer resources, however, by employing the appropriate tools and techniques of monitoring and evaluation, organisations can be better equipped to ensure that what has been planned becomes equivalent to what has been achieved (Ile, et al. 2012). Stakeholder involvement in project monitoring and evaluation process is key in M and E success.

Campo (2005), argued that implementation challenges may include poor management, deficiency of capacity, lack of focus and lack of funding support. However, challenges for implementing an effective monitoring and evaluation framework can also be external. Woodhill (2000) argued that Monitoring and Evaluation (M and E) is often considered as a separate function and responsibility from planning, however, if a project is poorly planned it is very difficult to monitor and evaluate. Monitoring and evaluation facilitates from past successes and challenges as well as inform decision making so that current and future initiatives are capable of improving peoples' lives and expand their choices whereas good planning encourages focus on the results that matter most (UNDP 2009).

According to Woodhill (2000) it is important to be clear about the overall purpose and scope of the M and E system particularly it should be made clear that who needs what sort of information for what purpose, how broad or minimal M and E needs to be, and what resources are available. He further argued that designing evaluation questions and indicators that are relevant and practical, training staff in monitoring techniques, developing monitoring forms and reporting processes, establishing an information management system and establishing how information will be analysed, reported and used should be considered. For M and E system to be as effective as needed, utilization of relevant M and E tools and techniques are mandatory.

It is vital, when preparing an M and E plan to identify methods, procedures, and tools to be used to meet the projects M and E needs (Chaplowe 2008). Projects require different M and E needs depending on the operating context, implementing agency's capacity and stakeholder and donor requirements. According to Jha et al. (2010) the M and E system tools include performance indicators, logical framework approach (log frame), theory-based evaluation, and formal surveys, impact assessment, rapid appraisal and participatory methods, public expenditure tracking surveys, on, cost benefit and effectiveness analysis as well as performance indicators. A successful M and E system should have room for modification to specific setting with allowance for flexibility and imagination.

Monitoring and evaluation serves as an early warning system for potential problems and helps with the process of developing ideas on how problems can be solved (Hatry 1999); (Rigby et al. 2000). According to Crawford and Bryce (2003) 'monitoring' and 'evaluation' provide managers with continuous feedback, both during and after the processes of

implementation. M and E are closely linked project management functions and as a result there is a lot of confusion in trying to make them work on projects.

Monitoring and evaluation is a function that assesses the effectiveness of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships. Georgens and Kusek (2010) stated that after more than a decade of development investments in monitoring and evaluation few countries are able to regularly report on how effective their policies and programs are in achieving the results they desire. This is due to lack of sustained management and delivery of effective M and E programs within established organizations not due to lack of good Monitoring and Evaluation (M and E) design, nor political mandates to support the effort.

2.1.2. Theory-Based Monitoring and Evaluation

It is difficult to attribute the observed outcome of a project to the role of the project without external factors. The external factors are well emphasized by the theory-based monitoring and evaluation. The theory explains the external factors that affect the success or outcome of a project. It applies a systems approach where the outcome of a project is believed to be affected by other factors in the environment in which the project is situated. It proposes that these factors should be identified and examined based on how they interact with the environment and the project. Therefore, the success of a project is dependent on the factors (Uitto, 2004). The theory based monitoring and evaluation of a project is important since it helps to attribute the outcome of a project to specific activities. It also answers the question that asks why and how do projects work (Weiss, 2003).

2.1.3. Logical Framework of Monitoring and Evaluation

The log framework, popularly referred as the logical model, is an analytical method used to break down a programme into logical components to facilitate its evaluation. The logical framework approach is used as a tool to support project planning and management. The approach follows a hierarchy of results-oriented planning structure and methodology which focuses all project planning elements, in order to achieve the purpose of a project.

As per Crawford and Bryce, (2003), the result of the logical framework approach shows the correlation between inputs, processes, outputs; outcomes and impact of the project considering some assumptions.

Inputs are the human resources, financial resources and logistics resources all are elements which helps to make the implementation, monitoring and evaluation of a project successful. Project inputs are the financial and other resources dedicated to making a project happen, while outputs are the immediate products or results (UNDP, 2002; IMFN, 2004). Project outcomes are the immediate changes in condition as a result of a project. Impacts, according to IMFN, (2004) are longer term changes that result from earlier outputs and outcomes.

2.2. Empirical Framework

2.2.1. Monitoring

Project management has the obligation of establishing sufficient controls over a project to ensure that it stays on track towards the achievement of its objectives. According to European Union (2017) this is done by monitoring (internal), which is the systematic and continuous collection, analysis and use of information for management control and decision-making, whereas evaluation is an assessment, as systematic and objective as possible, of an ongoing or completed project, programme or policy, its design, implementation and results whose aim is to determine the relevance and achievement of objectives, developmental efficiency, effectiveness, impact and sustainability.

Monitoring is the routine management task of collecting and reviewing information that discloses how an operation is proceeding and what aspects of it need correcting, if any. Monitoring is an ongoing function that uses the systematic collection of data on specified indicators to inform management and the main stakeholders of an ongoing International Federation or national society operation of the extent of progress and achievement of results in the use of allocated funds (IFRC 2002). Monitoring occurs throughout the project life cycle with a baseline study conducted before the project begins.

According to Kariuki (2014) monitoring is a continuous assessment of the function of project activities in the context of implementation schedules and the use of project inputs. Valadez and Bamberger (2004) argued that monitoring is more of a programme activity, whose role is to determine whether project activities are implemented as planned. It is the routine collection and analysis of information to track progress against set plans and check

compliance to established standards that helps identify trends and patterns as well as inform decisions for project management.

Projects usually monitor variety of things according to their specific informational needs. There are different types of monitoring commonly found in a project monitoring system. According to IFRC (2011) there are seven types of monitoring listed as follows;

- Result monitoring
- Process monitoring
- Compliance monitoring
- Context monitoring
- Beneficiary monitoring
- Financial monitoring
- Organizational monitoring

2.2.2. Evaluation

Evaluation is a systematic and objective assessment of an ongoing or completed project, programme or policy in terms of its design, implementation and results and impact. Its aim is to determine the relevance and achievement of projects objectives, as well as its efficiency, effectiveness, Impact and sustainability. The IFRC (2002) stated that an evaluation should provide information that is credible and useful which enables the incorporation of lessons into management decision making. Evaluations are conducted for different purposes and at different points on an evaluation.

There are various types of evaluations which can be categorised according to the time of evaluation, according to who conducts the evaluation, and according to the methodology of the evaluation (IFRC 2011).

Evaluations based on timing are divided in to formative, summative, midterm, final ex-post. Scriven (1967) introduced the concept of formative evaluation, for Scriven, the objective of formative evaluation is to provide data that permit successive adaptations of a new programme during the development and implementation phases of it. Formative evaluations generally are evaluations that lead to the conception of some programmes, as they are usually conducted prior to the commencement of the programme. Formative evaluation is used to

determine the need and desirability of the project during its formulation stage (Weiss 1998, 31).

The summative evaluation is conducted during or after the implementation of a project, with the aim of improving it. According to Palumbo and Hallet (1993, 22), this leads to project improvement, by determining whether the project has succeeded or failed to achieve its intended objectives, and by making modifications to this project, if needed, to make them more effective.

Midterm evaluations are formative in purpose and occur in the middle of implementation phase of a project. Final evaluations are summative in purpose and are conducted at the completion of project implementation to assess how well the project achieved its intended objectives while ex-post evaluations are conducted sometime after implementation to measure long-term impact and sustainability.

Evaluations based on who conducts the evaluation are divided into Internal or self-evaluations, external or independent evaluations, participatory evaluations and joint evaluations. Evaluation Based on Technicality or Methodology are divided into real-time evaluations, meta-evaluations, thematic evaluations, cluster or sector and impact evaluations.

Monitoring and Evaluation of a project is the process of tracking, reviewing, and regulating the progress to meet the performance objectives defined in the project management plan. It further explained that monitoring includes project status reporting, measurement of progress, and forecasting whereas, performance reports provide information on the project's performance with regard to scope, schedule, cost, resources, quality, and risk, which are often used as inputs to other processes.

2.2.3. Stakeholders Theory

The stakeholder theory is intended to explain and guide the structure and operation of an established entity (Donaldson and Preston, 1995). In its prescriptive nature, The stakeholder theory prescribes that managers should make decisions in order to take account of the interests of all stakeholders in a firm including donors, shareholders, employees, beneficiaries, communities and government officials or all those affected by the decision according to the nature of the organisation (Phillips, Freeman and Wicks, 2003).

Participation is a process through which residents of a defined geographical area are engaged in key decision making in determining their priority concerns and their response to them, what and how resources will be raised to deal with those concerns and in managing those resources. Participation has been regarded as generally, devoting the involvement of a significant number of persons in situations or actions which enhance their wellbeing (Apoya, 2003).

Management and stakeholders play an important role in supporting monitoring and evaluation of projects. Yang, et al (2009) analysed the various factors which are critical to the success of a project most of which were centred around managing stakeholders, assessing characteristics of stakeholders, managing conflicts among stakeholders effectively, formulating a clear statement of project missions, predicting stakeholders' reactions for implementing the strategies, analysis of the change of stakeholders' influence and relationships during the project process and assessing stakeholders' behaviour. Placing participatory monitoring and evaluation system is crucial for successful project implementation. Growing emphasis on participatory approaches towards development, there has been recognition that monitoring and evaluation (M and E) should also be participatory for the purposes of enriching the quality of information (World Bank,2016).

Kakabadse (2005) in the broad review on the stakeholder approach expressed that Corporate Social Responsibility (CSR) and stakeholder interest complement each other. Complementing this, Hillman (2001) argued that a firm has relationships with constituent stakeholders' group and the processes and outcomes associated with

Every project or intervention should have detailed monitoring and evaluation (M and E) plan. This is the essential document that details a project's objectives, the activities developed to achieve these objectives and describes the procedures that will be implemented to determine whether or not the objectives are met (Frankel and Gage 2007).

Communication in projects or programs is critical as it improves clarity on expectations, roles and responsibilities, as well as information on progress and performance (UNDP, 2009). This can be achieved by having an information system that provides timely, up to date, and accurate information to M and E for decision making.

An information system (IS) is an organized combination of people, hardware, software, networks and data resources that collects, stores, transforms and disseminates information in an organization (Kyalo, Mulwa, and Nyonje, 2012). However, as observed by Buckingham

et al (2008) cited by(Nielsen, 2012) information system is not only confined to computer hardware and software but a human activity i.e. social system which may or may not involve the use of computer systems. Projects performance relies heavily on effective MIS in M and E. Studies done in both government and Private organizations have shown a strong relationship between MIS and performance of projects.

As the literature disclosed, there were many studies conducted by different researchers and writers. The review also shows that a lot of efforts have been placed to have a result-oriented effective M and E system. However, little has been done on area of assessment of Monitoring and evaluation systems and performance on projects in the continental wide, multi-risk, challenging, highly political and complex environment – both internal and externally.

In the context of African Union Electoral Projects, monitoring and evaluation is a fairly new phenomenon and as such research on it is evolving. Furthermore, Current literatures on M and E has accorded little attention a continental wide, multi-risk electoral projects which operate in challenging and complex political environment – both internal and externally. This is the first gap that this study seeks to address. This study will augment on existing knowledge on M and E in complex internal and external organisational settings like the African Union.

CHAPTER THREE

3. RESEARCH METHODOLOGY

This chapter aimed to introduce the methodological procedures that were used to assess Monitoring and Evaluation Process of the African Union Election Projects for the year (2013 to 2010). The chapter includes: introduction, research design, population, sample size, sampling technique, method of data collection, data collection instruments instrument, validity of research instruments, reliability of research instruments, method of data analysis, ethical considerations and the research limitations.

3.1. Research Design

Research design is the back bone of research as it provides the components and plan for the success in carrying out the study and creates framework upon which answers to research questions can be sought (Trochim 2005). Denzin and Lincoln(1998), defined research design as the core method that is utilised in conducting research. Furthermore, Kothari (2004) defined research design as a plan and structure of investigating to obtain answers to research enquiries.

Burns and Grove (2003:195) also stated that a research design is a plan based on which information is gathered by having control over conditions that may interfere with the credibility of findings. According to Denzin and Lincoln (1998), a research design is defined as the core method that is utilised in conducting research.

Kumar (2011:94) described a research design as a procedural plan adopted by a researcher to answer questions validly, objectively, accurately and economically. As per Bridge Center's (2015) definition, research design is a framework or plan for a study that is used as a guide in collecting and analysing the data which is a blueprint for collection measurement and analysis of data that is followed in completing a study.

This research adopted a descriptive research design in an attempt to assess the Monitoring and Evaluation Process of the African Union Election Projects of the year from 2013 to 2020. According to Orodho (2003) descriptive survey is defined as a method of collecting information by interviewing or administering questionnaires to a sample of individuals.

Goddard and Melville (2001) argued that descriptive or case-study research is a research in which a specific situation is studied either to see if it gives addition to any general theories, or to see if existing general theories are borne out by the specific situation.

Furthermore, according to Glass and Hopkins (1984), descriptive research involves gathering data that describe events and then organizes, tabulates, depicts, and describes the data collection. Descriptive research design primarily describes what is going on or what exists (Luz 2006 and World Bank 2009). In descriptive survey research design, objectives are predetermined allowing data collection relevant and sufficient to the study problem (Kothari 2004). It is used to describe an event or phenomena as it exists at present and is appropriate when the study is concerned in specific predictions, narrative of facts and characteristics concerning individuals or situations (Kothari 2003).

3.2. Data Collection Methods

In this research both Quantitative and Qualitative data collection methods were used. The distinction between the two is that quantitative methods produce numerical data and qualitative methods result in information which can best be described in words (Casley and Kumar 1989).

Burns and Grove (2005, p: 23) defined Quantitative study as a formal, objective, and systematic process in which numerical data are used to obtain information about any subject. This research design also enables the researcher to compile the data onto a chart or graph, conducts a research on a large scale and gives a lot more information on value and statistics (Aliaga and Gunderson 2000). McMillan and Schumacher (2001) stated that quantitative research designs emphasise objectivity in measuring and describing phenomena.

According to Creswell (2002) quantitative research is the process of collecting, analysing, interpreting, and writing the results of a study, whereas qualitative research is the approach to data collection analysis, and report writing differing from the traditional, quantitative approaches. The quantitative method was used to produce numerical data which is statistically manipulated to meet required objectives through descriptive statistics (frequencies and percentages).

According to Leedy (1993) qualitative research is based on the belief that first-hand experience provides the most meaningful data. Qualitative data, that is believed to give large

volumes of quality data from a limited number of people is aimed at understanding the world of participants from their frame of reference, (Walker1985). Qualitative research as research that begins with assumptions, a worldview, the possible use of a theoretical lens and the study of research problems inquiring into the meaning individuals or groups ascribe to a social or human problem(Creswell 2007).

3.3. Population

A research population is a large collection of individuals or objects known to have similar characteristics that the researcher desires and intends to investigate. Population is defined as any group of individuals who have one or more characteristics in common that are of interest to the researcher (Best 2007). Salkind (2008), defined population as the entire of some groups. Population is further defined as entire group of people the researchers want to investigate (Sekaran and Bougie 2010).

The target population for this study was 100 staff, consultants and Election Observers within the Democracy and Electoral Assistance Unit of the Department of Political Affairs at the African Union Commission and personnel in the Strategic planning, finance and procurement departments within the Commission, Twenty African Union Member States; four countries per region i.e. Eastern Region, Central Region, Northern Region, Southern Region and Western Region where African Union has observed elections by deploying election observers and experts between the year 2013 and 2020.

The researcher considered the official languages of the targeted countries for balancing and inclusiveness purposes. The official Languages are (Arabic speaking, English speaking, French speaking and Portuguese speaking countries).

3.4. Sample Size

A sample size is basically a subset of the population and therefore it is a portion that represents a whole population (Kadam et al.2010). According to Kothari (2008), a sample of about 10% of a population can often give a reliable data. In this study the researcher picked two countries per region i.e. Eastern Region, Central Region, Northern Region, Southern Region and Western Region which makes it a total of ten countries for assessment, Fifteen staff members from the Department of Political Affairs those are the Director of Political

Affairs Department of the AUC, Head of the Democracy and Electoral Assistance Unit and Principal Advisor to the Electoral Management Bodies (EMBs), fifteen senior officers, five staff from Finance Department, five staff from Strategic Planning, five staff from Procurement Department of the Commission and 15 Election Observers.

3.5. Sampling Techniques

Sampling Technique is the process of selecting a sufficient number of elements from a population (Raval 2009). Sampling refers to the process through which the sample is obtained from a population. According to Alvi (2016), Sampling techniques are classified into probability and non-probability.

In this research non-probability purposive sampling was adopted. Deliberate sampling, also called non-probability or purposive sampling method consists of purposive selection of particular items of the universe to represent a sample (Mishra and Alok 2017). Purposive sampling involves selecting certain number of informants based on the nature of their qualification and designation.

According to Neuman (2006), purposive sampling is when the researcher specifically targets certain people due to their knowledge about the research subject. Purposive sampling is especially exemplified through the key informant technique and the researcher decides what needs to be known and sets out to find people who can and are willing to provide the information by virtue of knowledge or experience (Bernard 2002).

This method was appropriate because the selected sample comprised of informed persons who possessed fundamental data that was sufficiently enough to give a better insight into the research questions.

3.6. Data Collection Instruments

Data collection methods are ways through which the researcher gets data needed from the respondents (Patten and Newhart expressions, tone of voice, gestures, feelings and attitudes.

Self-administered semi-structured questionnaires that had both open and close-ended questions were also used to collect primary data. According to Russell and Joseph (2012) questionnaire surveys are less time-consuming and give the respondents the freedom to answer the way they feel most comfortable. Secondary data collection involved

documentation review through internet, publications, articles, Project and donor reports, and books. A research study that raises questions that require interviewing and questionnaires for data collection should use a survey design (Kombo and Tromp 2009).

Furthermore, participatory observation method of data collection was also practiced by the researcher in which she joined the Democracy and Electoral Assistance Unit of the African Union Commission as a staff member working on Electoral Projects. Observations enable the researcher to describe existing situations using the five senses, providing a "written photograph" of the situation under study (Erlandson, Harris, Skipper, and Allen 1993).

Kawulich (2005) argued that participant observation, has been used in a variety of disciplines as a tool for collecting data about people, processes, and cultures in qualitative research. According to DeWalt and DeWalt (2002), the goal of designing a research using participant observation as a method is to develop a holistic understanding of the phenomena under study that is objective and accurate given the limitation of the method.

3.7. Method of Data Analysis

Analysis of data is a process of inspecting, cleaning, transforming, and modelling data with the goal of discovering useful information, suggesting conclusions, and supporting decision-making (Gorard 2003). In addition, Shamo and Resnik(2003), stated that data analysis is the systematic approach of using logical and statistical techniques as a means to describe and assess the gathered data. According to Grbich (2007) analysis refers to breaking a whole into its separate components for individual examination

The researcher adopted both quantitative and qualitative data analysis techniques in the assessment. Yin (2008) defined Quantitative data analysis as a systematic approach to investigations during which numerical data was collected and/or the process through which the researcher transforms what was collected or observed into numerical data. All gathered data were entered into an appropriate software package for analysis.

The quantitative analysis was done using SPSS (Statistical Package for the Social Sciences) computer programme. After collection of data, a systematic sequence of data preparation which includes checking, editing and coding, data entry involving entering data to SPSS and data was processed and analysed.

3.8. Ethical Considerations

Ethics indicates the standards of morality or criteria that should be clearly considered and followed when taking and including any information from any resources (Saunders et al. 2012:226). All parties in research should observe ethical behaviour. According to Shah (2011) and Akaranga et al. (2013), ethics refers to the moral beliefs or philosophy and sometimes ways of life, social norms for conduct that differentiates between acceptable and unacceptable behaviour.

The study was conducted in an ethical manner with an obligation to respect and protect the rights, needs, values, privacy and dignity of participants/respondents. The researcher complied with and abides by the ethical principles required by Addis Ababa University School of Commerce. The respondents were informed about the purpose of the study and were assured that the information given would be treated as confidential, and their names would not be disclosed to any party.

Furthermore, organisational permission was acquired for data collection from the concerned party.

CHAPTER FOUR

4. RESEARCH FINDINGS AND ANALYSIS

The general objective of the study was to assess Monitoring and Evaluation processes of the African Union Election Projects within the organisational context of the AU. Specific research objectives were to explore existing M and E tools and techniques; investigate the influence of Management and Stakeholders and to assess the strength and weaknesses M and E information and communication of the AU Election Projects.

This chapter highlights the presentations, analysis and interpretation of findings of the study. The presentation of the findings was derived from the analysis of the data that was sourced from key staff members from the African Union Commission by means of a questionnaire and semi-structured in-depth interviews and content analysis of various publications. The respondents were purposively selected based on their knowledge of M and E and the case study environment. The documents used in the analysis were chosen according to relevant content.

The presentations of the findings are as well done according to the objectives of the study. At first, the research response rate was computed and presented, proceeded by the demographic information of the respondents, finally the findings on four key objectives areas of the study were presented and interpreted using frequency tables, pie charts and bar graphs.

The study used interviews and questionnaires as tools for primary data collection. The researcher targeted twenty-five staff members from the Department of Political Affairs, five staff from Finance Department, five staff from Strategic Planning, five staff from Procurement Department of the Commission and fifteen Election Observers. The respondents were given one month to respond, and the researcher didn't have any influence in the responses.

4.1. Response rates of Respondents

For the study, a total of 55 questionnaires were distributed through google sheet and hardcopy. Out of the 55 questionnaires administered, 42 responses were collected (22 through hardcopy and 14 through the online google form) contributing to 76.36% response rate.

According to Mugenda and Mugenda (1999), a response rate of 50% is adequate for analysis and reporting; a rate of 82.1% is excellent while a response rate between 70% and 82% is good; therefore, this response rate was good for analysis and reporting.

Moreover, interviews were conducted with five respondents from the Department of Political Affairs, one from the Strategic Planning department, one from finance department and one from procurement department. All the interviewees have experience in M and E.

4.2. Background Information of the Respondents

The background information of respondents has included gender, age, work experience in M and E projects and level of education. Profiles of the respondents who participated in this study are shown in the tables below:

4.3. Respondents Gender

The Study involved 42 respondents and results showed that out of them, 24 respondents (57.14%) were males and 18 respondents (42.86%) were females. This indicated that male respondents were more during the study than the female.

Gender	Frequency	Percentage
Male	24	57.14%
Female	18	42.86%
Grand Total	42	100%

Table 4.1. Respondents' Gender

4.4. Age Distribution of respondents

33 respondents (78.57%) were between the age of 36-45 years, while 6 respondents (14.3%) were between 46-55 years and 3 respondents (7.14%) were above 55 years. This implies that those respondents in the age group of 36-45 years made the majority during the study carried out. These findings reveal that majority of staff working in the African Union Election

projects were of productive age group and are matured people who are advantaged with knowledge in M&E and thus can help in assessing the M & E systems.

Age Range of Respondents	Frequency	Percentage
25-35	0	0%
36-45	33	78.57%
46-55	6	14.29%
Above 55	3	7.14%
Total	42	100%

Table 4.2. Age of respondents

4.5. Respondents' Level of Education

Respondents varied in levels of education. 4 respondents (9.5%) were at Doctoral level, 34 respondents (81%) were at Masters/postgraduate level whereas 3 respondents (7.1%) were at undergraduate level and 1 respondent was at Diploma level. This indicates that the majority of the respondents had Second degree and above. The findings implied that most of the employees work on the African Union Electoral Projects had attained higher education which indicates they had the knowledge, capacity, skills and management expertise to conduct and assess M & E activities well.

Highest level of education	Frequency	Percentage
Doctoral	4	9.5%
Masters/Postgraduate	34	81%
Undergraduate	3	7.1%
Diploma	1	2.4%

Grand Total	42	100%
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Table 4.3. Respondents' Level of Education

4.6. Respondents' Level of work experience in M and E

The respondents were requested to indicate how many years of experience they have in Monitoring and Evaluation Activities. The findings are demonstrated in the Table below.

Length of Work M and E Experience in years	Frequency	Percentage
None	0	0%
1 – 4	3	7%
5 - 8	21	50%
9 – 12	9	21.5%
Above 12	9	21.5%
Grand Total	42	100%

Table 4.4. Respondents Level of work experience in M and E

Based on the findings, majority of the respondents 50% (21) have 5 – 8 years of work experience in Monitoring and Evaluation (M and E) followed by 21.5% (9) respondents who have 9-12 years and 21.5% (9) respondents have above 12years of experience in M and E. Other respondents, 7% (3) have 1-4years of experience in M and E activities.

The results indicated that most employees, 93% (39), have M and E experience for a longer duration of over 4 years and thus had sufficient information on the organization's M and E processes, system and on stakeholders' participation, availability of funds and organization's leadership which influences effectiveness of monitoring and evaluation systems.

The respondents have different positions and work experience in the AUC, including executives/management staff (18%), subordinates (82%). All of them are both working and involved in the M and E or working in other departments within the African Union Commission, which are relevant to M and E. This demonstrates that the participants are

familiar with the content of this research and are well qualified to be involved with this research. After data collection, a systematic sequence of preparations was done comprising checking, editing, as well as uploading of data into the SPSS.

4.7. Organisational context of the African Union Commission affects the monitoring and evaluation of AU electoral projects

The researcher desired to find out how the organizational context of the African Union Commission affect the monitoring and evaluation processes of AU electoral projects. The findings that she had acquired in her study are explained in tables below.

Organisational Context	Frequency	Percentage
Policy Framework	25	60%
Lack of Knowledge and Expertise	17	40%
Insufficient Baseline Data	5	12%
Lack of Resources for M and E Activities	19	45%
Difficult M and E Reporting Requirements	20	48%
Performance Indicators	4	9%

Table 4.5. Effects of the Organizational Context

From the findings above, all the respondents confirmed that the organizational context of the African Union Commission affects the Monitoring and Evaluation Processes of the AU Electoral Projects in many ways. Each of the respondents were told that they can choose more than one context. 25 responses indicated that the Policy Framework on which the organization is mandated affects the M and E processes whereas 20 responses indicated that difficulty in M and E reporting requirements affect the process. 19 responses disclosed that

lack of resources for M and E activities whereas 17 responses indicated lack of knowledge and expertise affect the M and E process of the Electoral Projects. The other 5 respondents indicated insufficient baseline data affects as well as 4 respondents indicated Performance indicators affect the M and E Processes of the AU Electoral Projects.

The above analysis implies that the Policy Framework, difficulty in M and E reporting requirements, lack of resources for M and E activities; and lack of knowledge and expertise are among the major situations that affect the M and E process of the African Union Electoral Projects.

Respondents were also requested to indicate if they have involved in African Union Election Project Activities. The findings are presented below:

Electoral Mission Activities	Frequency
Budgeting	11
Communication	4
Procurement	7
M and E	5
Technical Coordination of EOM	12
Manage Project Financial Expenditure	13
Observation	10

Table 4.6. Participation in Electoral Projects

According to the above table findings, all the respondents confirmed that they have been involved in an African Union Electoral Projects in one or another way. Among the respondents, 13 have been involved in managing project financial expenditures, 12 and 11 of them have been involved in technical coordination of Election Projects and Budgeting respectively. Seven respondents confirmed that they have been involved in procurement; 5 respondents in Monitoring and Evaluation of the electoral projects as well as four have been responsible for communication activities. Each of the respondents were informed that they

can choose more than one context, if applicable. The finding implies that the majority of the respondents have been involved in one or more activities of the Electoral Projects which made the information gathered from them

The respondents were requested to rate the extent to which the organizational context of the African Union Commission affect the conduct and implementation of M and E. They provided their answers in a scale of 1 to 5 ranging from very highly, highly, moderately, slightly, and not at all. The findings are presented below:

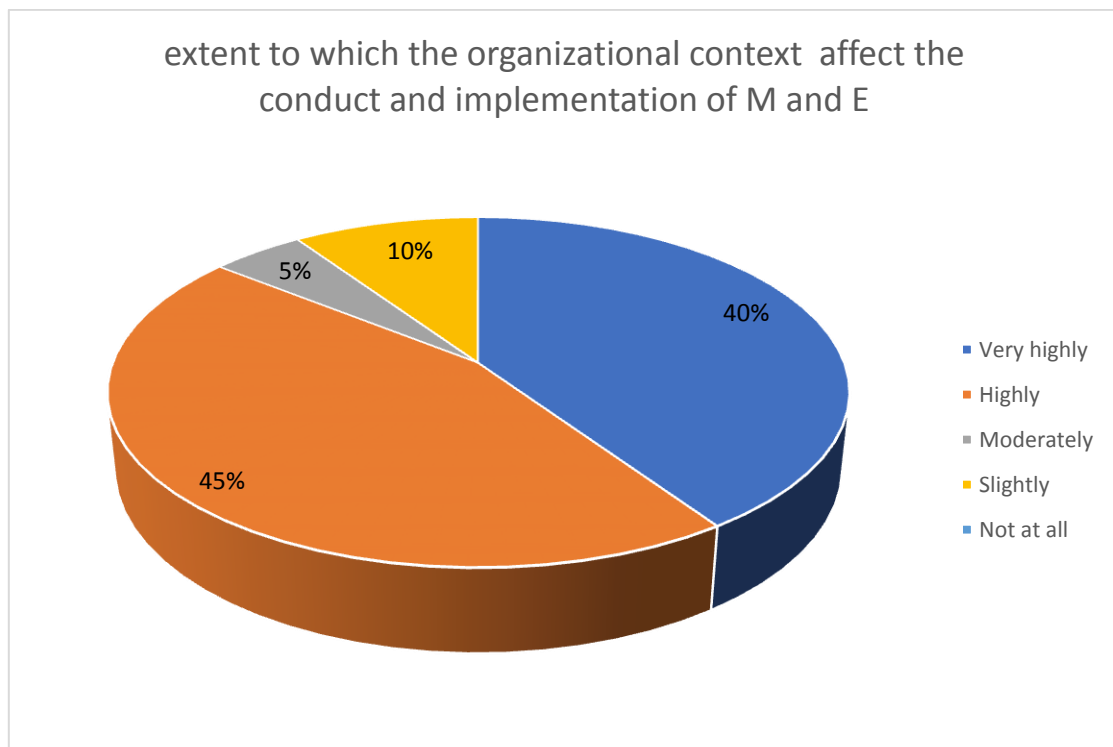


Figure 4.1. Effects of Organizational Context

In view of the findings, 40% of the respondents have confirmed that the organizational context of the African Union Commission very highly Affects the Implementation of M and E while 45% of them indicated it highly affects the implementation of M and E, whereas, 10 % of them said slightly affects and 5 % indicated the organizational context of the AUC slightly affects the Implementation of M and E

Further the respondents were requested to indicate if the African Union Management of Election Projects has improved since 2013 and they provided their answers in Yes or No and included explanation for their answers.

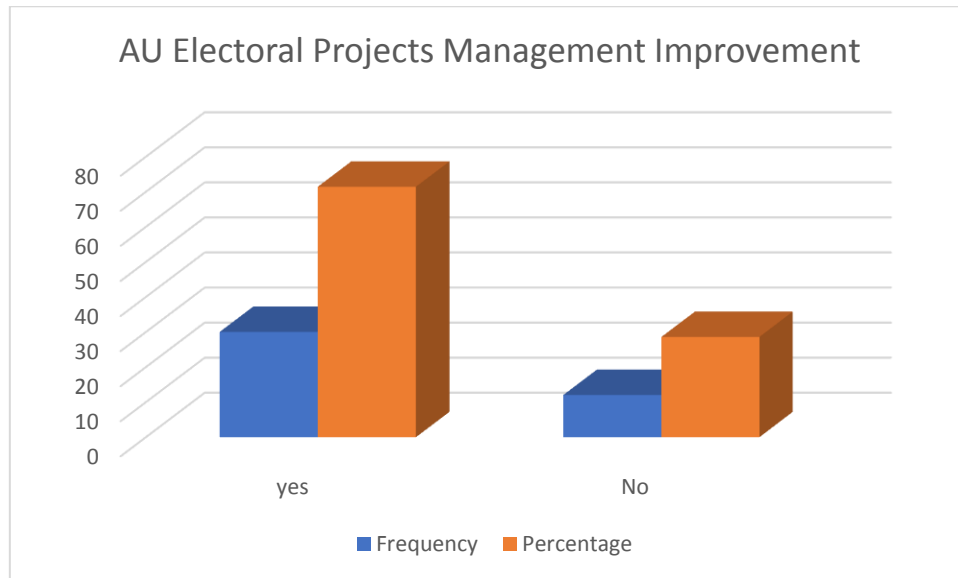


Figure 4.2. Improvement of Electoral Projects Management

From the findings, majority of the respondents, 71% confirmed that the management of the African Union electoral projects has improved since 2013. Whereas, 29% of the respondents indicated that the management of the AU Electoral Projects hasn't improved since 2013.

Respondents were given an open-ended question to further elaborate on their response and they indicated that the introduction of more technically focused Long Term and Expert Election Observation Mission and increased consistency in terms of methodologies are among the indicators of the improvement of the management of electoral projects.

Respondents further said that the development of a clearly defined methodology for election observation, capacity building activities for experts and observers who are dedicated specialists in the field of election observation from several countries. The fact that the AU has also improved its election observation report to be more data and evidence based as well as, the AU has become one of the main institution that understood the balance between technical observation and political nuances of Election Observation and becoming more collaborative with other organizations that are doing the same observations missions including but not

limited to Regional Economic Communities are indicators for the improvement of the Management of its Electoral Projects.

The researcher conducted interview with five interviewees within the organization. The respondents indicated that M and E is not fully integrated into the work of the organisation, but it is only peripherally considered. The organization lacks effective planning system and accountability and some of the time it overlooks mechanisms. Out of the five interviewees three respondents agreed that the organizational context of the African Union adversely affects the Monitoring and Evaluation process of electoral Projects.

4.8. Tools and Techniques used in M and E systems in the Democracy and Electoral Assistance Unit

The study sought to find out the distribution of tools and techniques used in the monitoring and evaluation processes of the AU Electoral Projects. The findings are explained in the table below.

Tools and Techniques	Frequency
Logical Framework	30
Theory of Change	10
Result Framework	5
Outcome Mapping	3
Impact Evaluation	7
Performance Indicators	18

Table 4.7. M and E Tools and Techniques used

From the findings, 30 respondents confirmed that Logical Framework approaches were widely used in African Union Electoral Projects M and E systems. 10 indicated to have used Theory of Change approaches, and the other 7 of the respondents indicated to have used impact evaluation approaches. Furthermore, 18 respondents indicated to have used Performance Indicator whereas 5 and 3 respondents indicated to have used Result Framework

and Outcome Mapping respectively. According to Calder (2013) projects feel comfortable when using the Log frame approaches to evaluate project performance.

Moreover, the study asked the respondents to rate the applicability of the tools that they had preferred. They provided their answers in a scale of 1 to 5 ranging from very highly applicable, highly applicable, moderately applicable, slightly applicable, and not at all applicable. The findings are presented below:

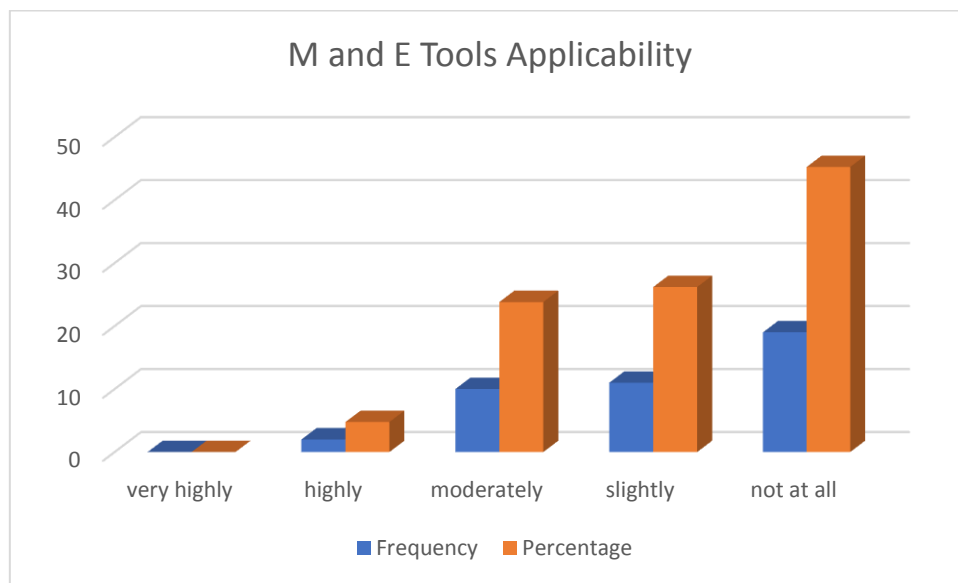


Figure 4.3. Applicability of M and E Tools

From the findings above, only 5% of the respondents confirmed that the tools and methods used for the African Union Electoral Projects were highly applicable and easy to use, while 26% felt that the tools and techniques were slightly applicable. 24% of the respondents confirmed that the tools and techniques were moderately applicable and were somehow comfortable with the tools used, while those who felt that the tools and methods used were difficult and complicated and not acceptable laid at 45%.

Moreover, the research asked the respondents to rate the extent to which the African Union Commission has sufficient number of dedicated staff to undertake M and E as well as the possession of the staff appropriate M and E skill mix. They provided their answers in a scale of 1 to 5 ranging from highly agree, agree, moderately agree, slightly agree and disagree.

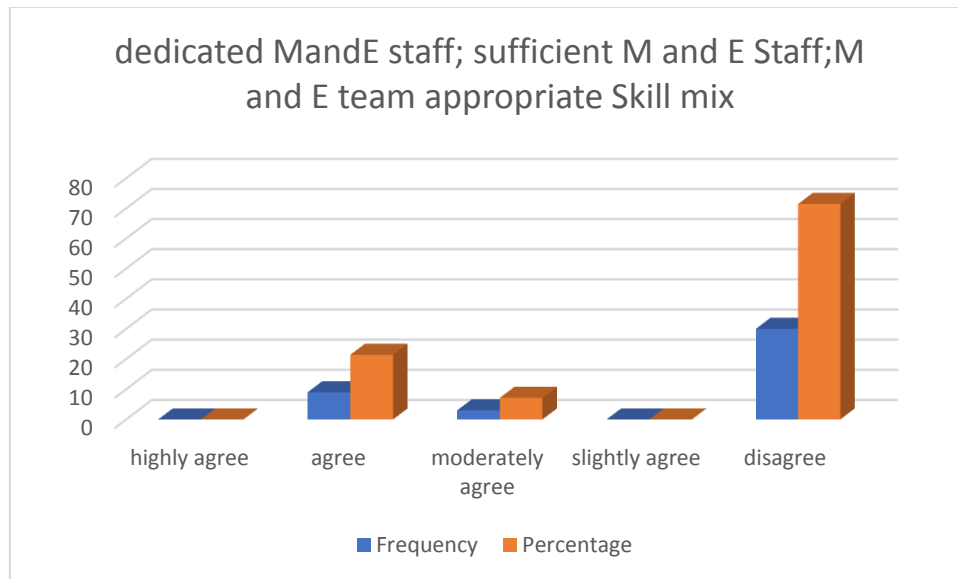


Figure 4.4. Availability of Dedicated, Sufficient and Efficient M and E Staff

According to the findings, 71.4% of respondents confirmed that there are insufficient number of dedicated M and E staff with an appropriate skill mix for the Electoral Projects at the African Union Commission to undertake Monitoring and Evaluation activities, while 21.4% agreed that there are sufficient number of dedicated M and E staff with an appropriate skill mix whereas 7% somehow moderately agreed that the number of dedicated M and E staff with an appropriate skill mix are sufficient.

The respondents were also requested to rate the availability of an up to date M and E plan and standard guide to M and E implementation. The respondents provided their answers in a scale of 1 to 5 ranging from highly agree, agree, moderately agree, slightly agree and disagree. The findings are presented in the pie chart below.

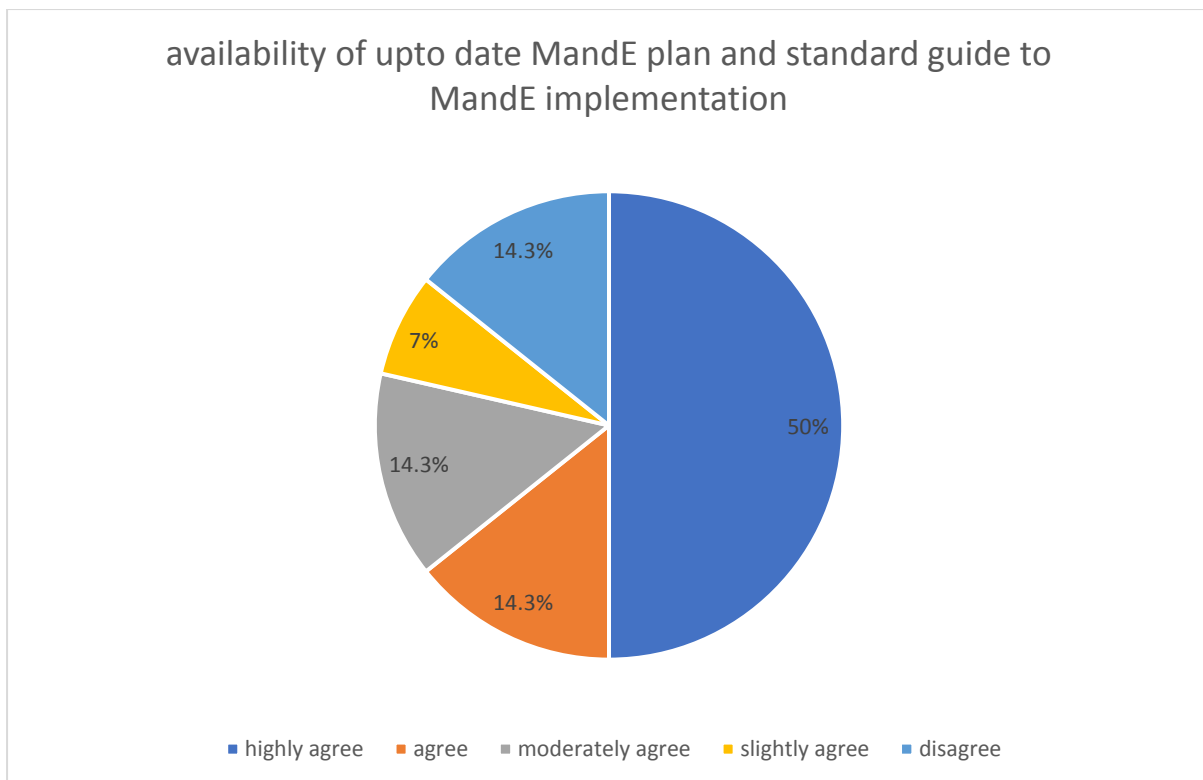


Figure 4.5. Availability of up to date plan and Standard guide for M and E

Based on the above shown findings, 50% of respondents highly agreed and confirmed that an up to date Monitoring and Evaluation plan is available as well as standard guide for M and E implementation for the Projects at the Democracy and Electoral Assistance Unit of (DEAU), while 14.3% respondents disagree and indicated that neither M and E plan nor standard guide for M and E implementation are available at DEAU. Whereas 14.3% agreed, 14.3% moderately agreed and 7% slightly agreed that an up to date Monitoring and Evaluation plan is available as well as standard guide for M and E implementation are put in place for the Projects at the Democracy and Electoral Assistance Unit of (DEAU).

Interviewees were requested to suggest appropriate M and E tools and almost all of the interviewees suggested that Logical framework, result framework and theory of change to be used, the respondents indicated that there is limited attention given to the Monitoring and Evaluation of Election Projects and suggested that dedicated staff with relevant knowledge to be assigned to undertake the process.

4.9. Management and Stakeholders Influence the M and E Processes of the African Union Election Projects

This section presents findings on management and stakeholders influence on the M and E processes of the African Union Election Projects.

Respondents were requested to indicate if they are aware of who the election stakeholders are.

Awareness Regarding Election Stakeholders	Frequency	Percentage
Yes	39	93%
No	3	7%
Total	42	100%

Table 4.8. Awareness of Stakeholders

From the above analysis of findings, majority of the respondents, 93% (39) indicated that they are aware of who the election stakeholders are. However, a relatively small number of the respondents, 7% (3) indicated that they are not aware of who the election stakeholders are. The results therefore indicated that most respondents are fully aware of who the election stakeholders are which leads to high level of interaction with stakeholders and this influences to a large extent the effectiveness of M and E system towards achieving expected results.

4.10. The Extent to Which M and E System Respond to Stakeholders Information Needs

Respondents were requested to indicate to what extent the M and E system responds to stakeholders' information needs. The respondents provided their answers in a scale of 1 to 5 ranging from very adequately, fairly adequately, adequately, limited and poor. The findings are presented in the table and chart below.

The extent to which M and E system responds to Stakeholders information needs	Frequency	Percentage
very adequately	0	0%
Fairly Adequately	5	12%
Adequately	4	9%
Limited	15	36%
poor	18	43%
Total	42	100%

Table 4.9. Awareness of Stakeholders Information Needs

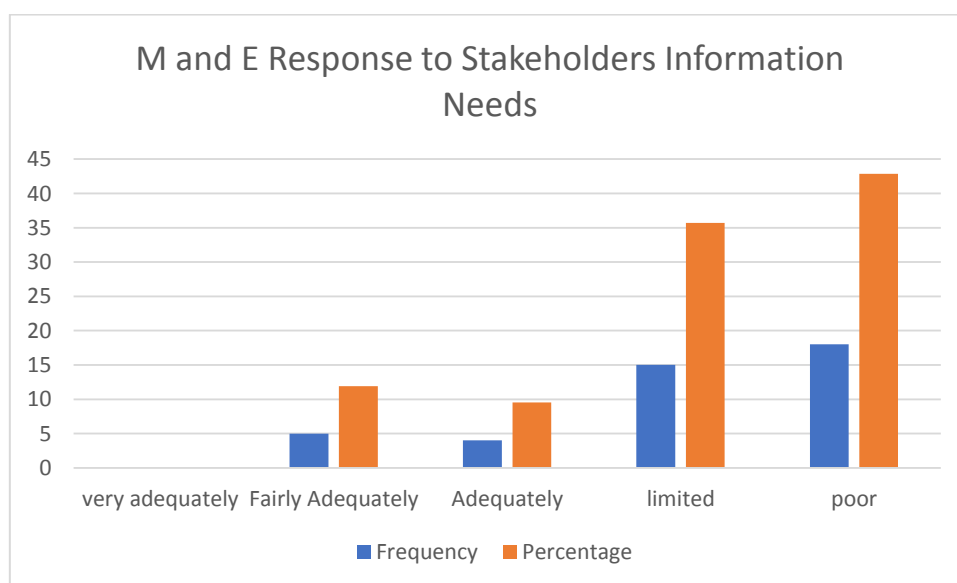


Figure 4.6. Awareness of Stakeholders Information Needs

In view of the findings, only 12% of the respondents confirmed that the Monitoring and Evaluation system of the African Union election Projects fairly adequately responds to the Stakeholders information needs, while only 4% of them indicated that the M and E system responds adequately to the stakeholders' information needs. Whereas, 15% indicated that the

M and E system provides limited information to stakeholders. However, the majority of the respondents 43% of them indicated that the M and E system poorly responds to stakeholders' information needs.

4.11. Participation of Primary Stakeholders in M and E Processes

Respondents were requested to indicate if all primary stakeholders are active participants in the M and E Processes. The respondents provided their answers in a scale of 1 to 5 ranging from very high to none. The findings are presented in the pie chart below.

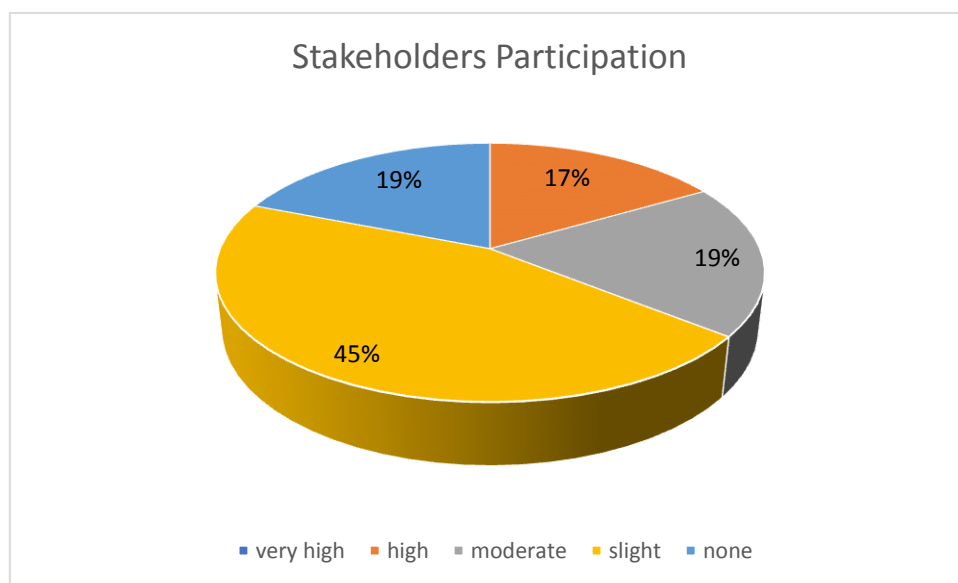


Figure 4.7. Participation Level of Stakeholders

Having regard to the findings, majority of the respondents 45% of them indicated that all primary stakeholders are slightly active participants in the M and E processes, while 19% of them indicated that primary stakeholders are moderately active participants in the processes. However, 17% of the respondents confirmed that all primary stakeholders are highly active participants in the M and E and the other 19 % of the respondents indicated that primary stakeholders are not active participants in the M and E Processes.

The results therefore indicated that most respondents about 64% were in an agreement that all primary stakeholders are slightly or not active participants of the M and E Processes which to

a large extent leads to the ineffectiveness of M and E system towards achieving expected results.

4.12. The Role of Management Towards the Implementation of the M and E System

The study requested respondents to rate the role of management towards the implementation of the M and E system. The respondents provided their answers in a scale of 1 to 5 ranging from 'very high' to 'none'. The findings are presented in the chart below.

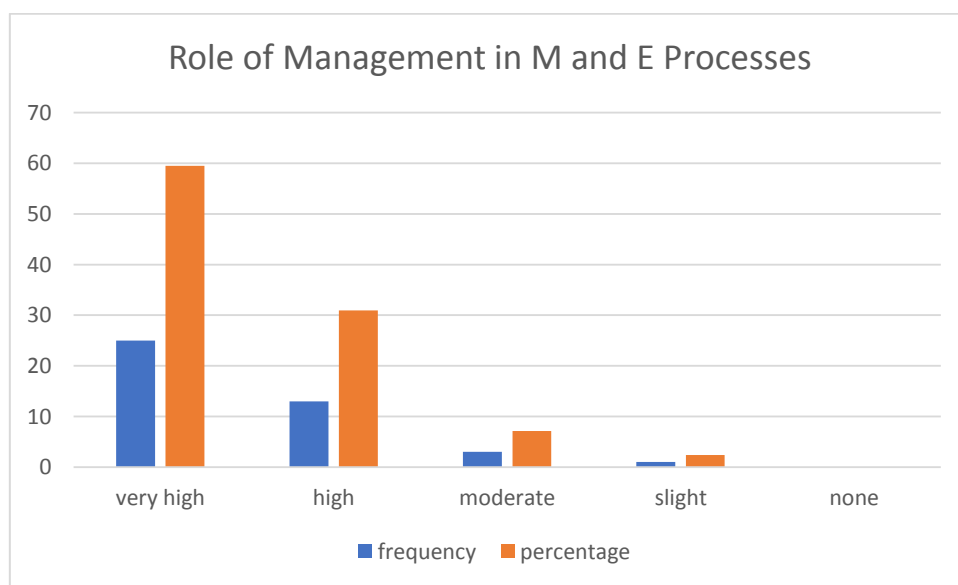


Figure 4.8. Role of Management in M and E Processes

The above findings indicated that, 60% of respondents confirmed the role of management in the M and E processes being very high, while 31% indicated that the role of management in the M and E processes are high. Whereas 7% indicated that the role of management in M and E is moderate while 2 % of the respondents said that management has slight role in the M and E processes.

Interviewees were requested what they think about management and stakeholders influence and involvement towards the Monitoring and Evaluation processes of the African Union Election Projects, almost all of the respondents however indicated that to be to the minimum and to be insufficient for the success of the Projects.

4.13. Strengths and Weaknesses of M and E Processes of the AU Electoral Projects in Terms of Information and Communication

4.13.1. Communication Strategy Within the Organization Regarding M and E

Respondents were requested to rate the communication strategy within the organization regarding M and E. The respondents provided their answers in a scale of 1 to 5 ranging from very adequate to poor. The findings are presented in the pie chart below;

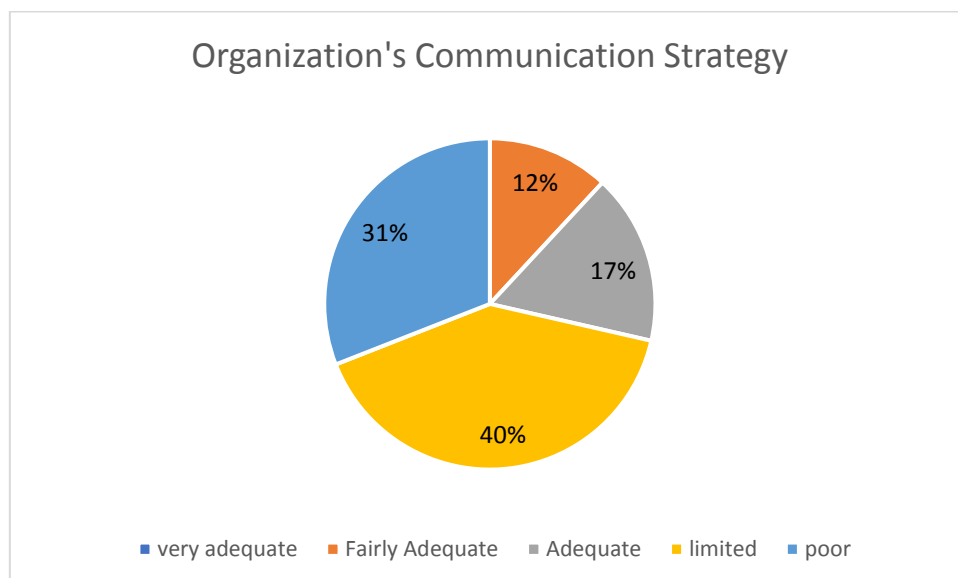


Figure 4.9. Level of Communication Strategy

Following the findings, 12% of respondents confirmed that the communication strategy within the organization regarding M and E is fairly adequate, while 31% respondents indicated that the communication strategy within the organization regarding M and E is poor. Whereas 17% of the respondents indicated that the communication strategy within the organization regarding M and E is adequate, however 40% of the respondents considered the communication strategy within the organization regarding M and E as limited.

4.13.2. Existence of a Management Information System or Database to Frequently Provide Information

Respondents were requested to show their opinion regarding the existence of a Management Information System or database to frequently provide M and E information. The respondents provided their answers in a scale of 1 to 5 ranging from strongly agree to strongly disagree. The findings are presented in the pie chart below.

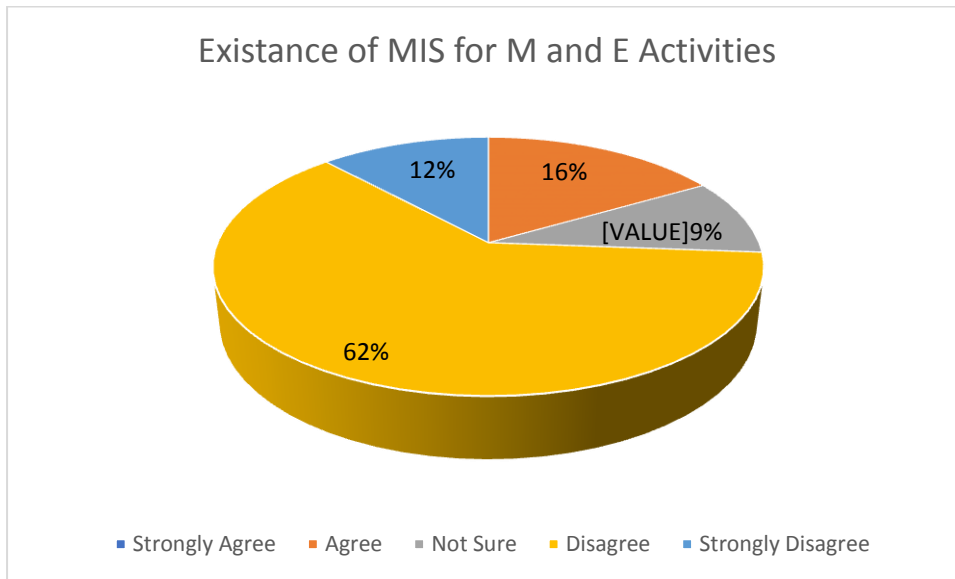


Figure 4.10. Level of MIS System

From the above mentioned findings, 62% of respondents disagreed to the concept of the existence of a management information system or database to frequently provide information, while 16% agreed that there is a management information system or database in order to frequently provide information regarding M and E. Whereas 12% of the respondents strongly disagreed to the fact that there exists an MIS or database to frequently provide information. Moreover, 16% of the respondents are not sure whether exists or not.

4.13.3. Existence of an essential tools or equipment for M and E information and Communication management

Respondents were also requested to show their opinion about the existence of an essential tools or equipment for M and E information and Communication management. The respondents provided their answers in a scale of 1 to 5 ranging from strongly agree to strongly disagree. The findings are presented in the chart below.

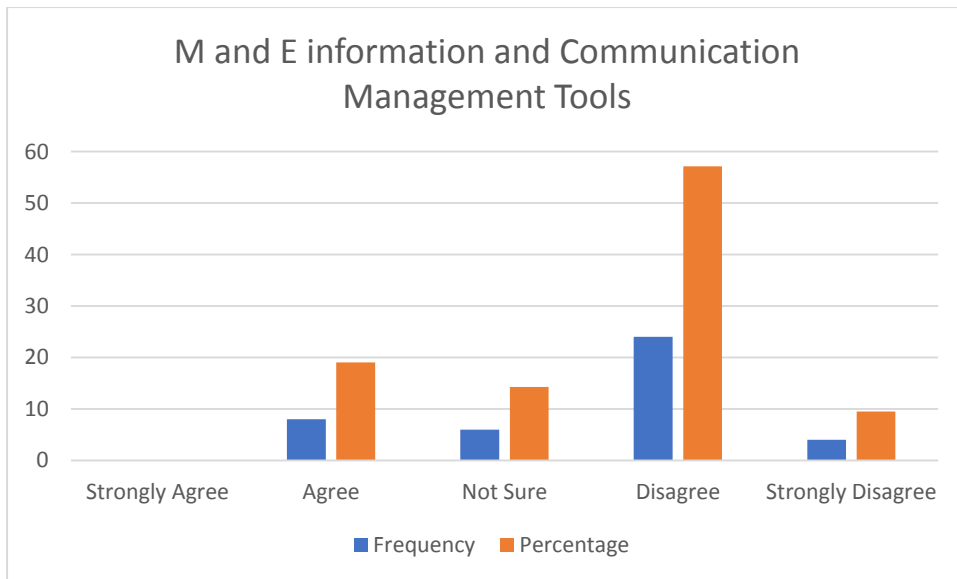


Figure 4.11. Existence of M and E Information and Communication Management Tool

In accordance with the findings, 57% of respondents disagreed to the concept that an essential tools and equipment for M and E information and Communication management is exists, while 19% of them agreed that there is an essential tools and equipment for M and E information and Communication management. Whereas 10% of the respondents strongly disagreed to the fact that there exists an essential tools and equipment for M and E information and Communication management, moreover 14% of the respondents are not sure whether the tools and equipment exist or not.

Furthermore, respondents were requested to indicate how informed they are with work groups as well as organization plans and progresses. The respondents provided their answers in a scale of 1 to 5 ranging from fully informed to no idea about what is going on. The findings are presented in the chart below.

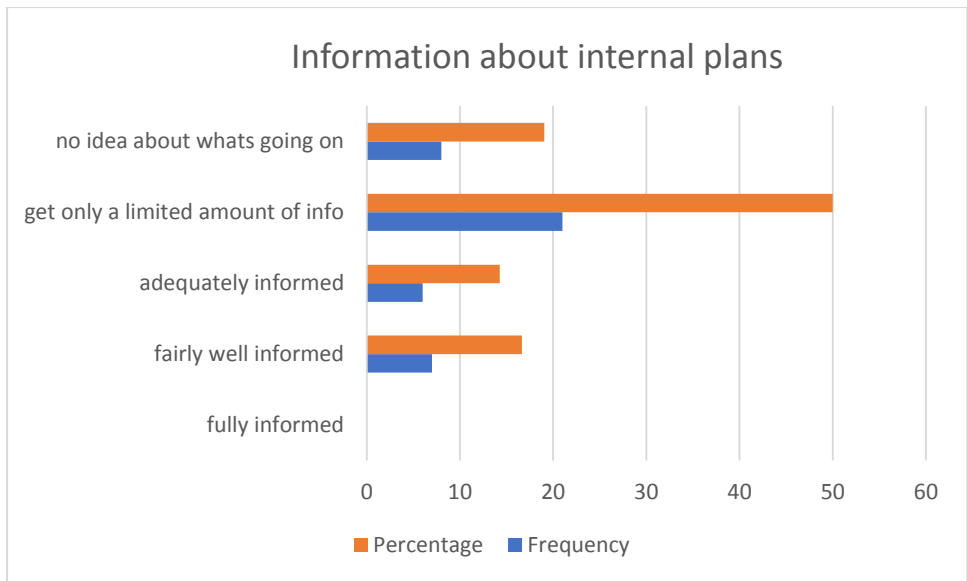


Figure 4.12. Work Groups and Organization plans Information

Based on the findings, 50% of respondents indicated that they get only a limited amount of information about work groups and organization plans and progresses, while 19% indicated that they have no idea about work groups and organization plan sand progresses. Whereas 17% of the respondents indicated that they are fairly well informed regarding groups and organization plans and progresses and 14% said they are adequately informed of work groups and organization plans and progresses.

Respondents were also requested to indicate if there is feedback after the conduct of M and E within the organization. The respondents provided their answers in yes or no answers. The findings are presented in the chart below.

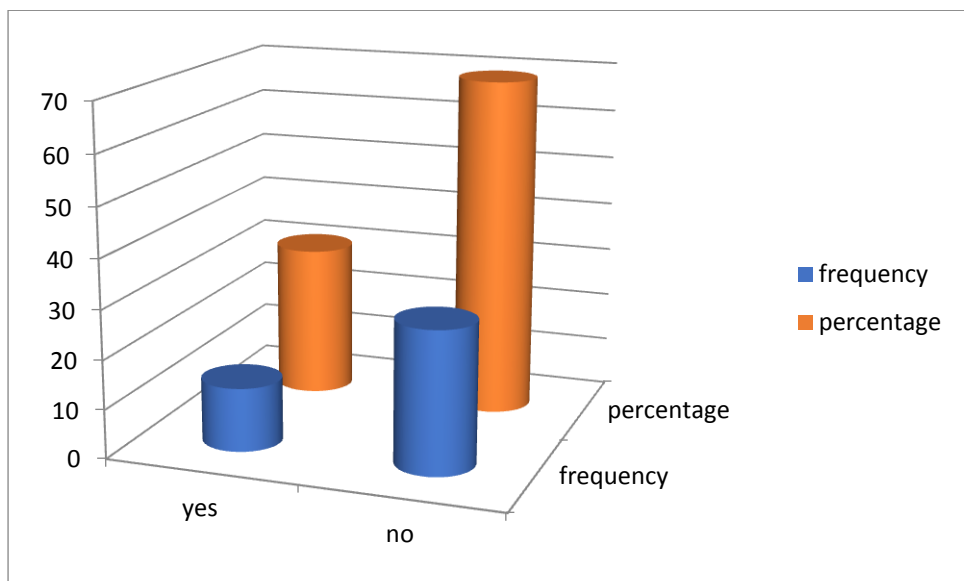


Figure 4.13. Feedback After the Conduct of M and E

In light of the findings, 69% of respondents indicated that there is no feedback after the conduct of M and E within the organization, while 31% respondents said there is feedback after the conduct of M and E on Electoral Projects within the organization.

Respondents were also asked to indicate their feelings about the information they receive regarding M and E. The respondents provided their answers in a scale of 1 to 4 ranging from ‘almost always believe it’ to ‘can’t believe’. The findings are presented in the chart below.

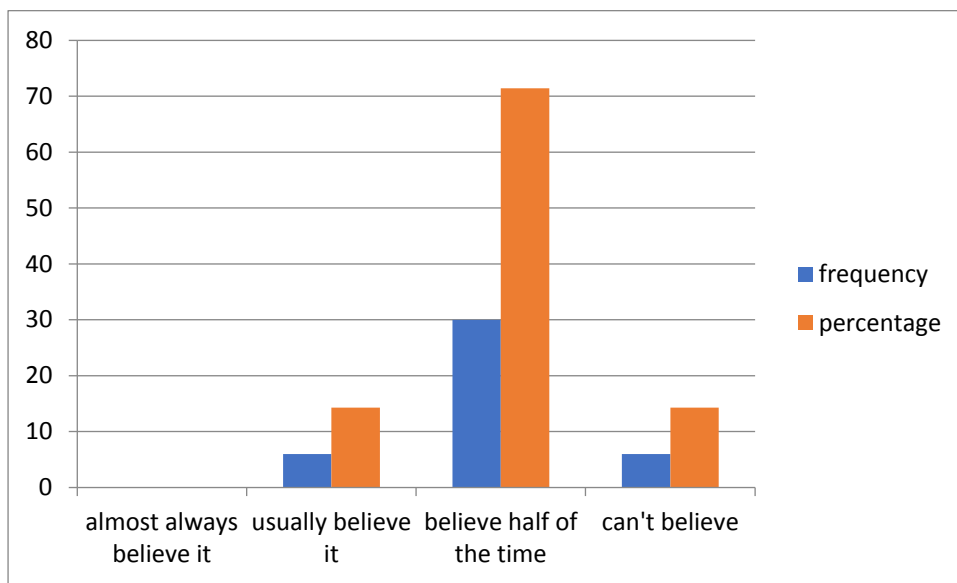


Figure 4.14. Rate of the Nature of Information Received

In view of the above findings, 71.4% of respondents indicated that they half of the time believe the information they get from the organization, while 14.3% of the respondents indicated they usually believe the information they get from the organization whereas 14.3% of the respondents indicated they cannot believe the information they get from the organization at all.

Respondents were requested to indicate how satisfied they are with the communication regarding M and E within the organization. The respondents provided their answers in a scale of 1 to 5 ranging from ‘very satisfied’ to ‘very dissatisfied’. The findings are presented in the chart below.

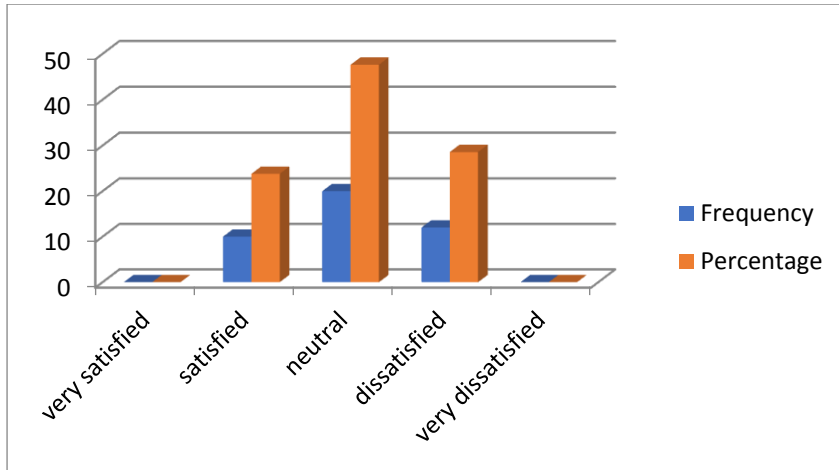


Figure 4.15. Rate of Satisfaction with Organization Communication System

According to the findings above, 48% indicated that they are neutral with the communication regarding M and E within the organization, while 24% of the respondents indicated that they are satisfied with the communication regarding M and E within the organization whereas 28% of the respondents indicated that they are dissatisfied with the communication regarding M and E within the organization.

Respondents were also requested to indicate if they feel confident that management considers their ideas or concerns regarding electoral projects. The respondents provided their answers in a scale of 1 to 5 ranging from 'all the time' to 'never'. The findings are presented in the chart below.

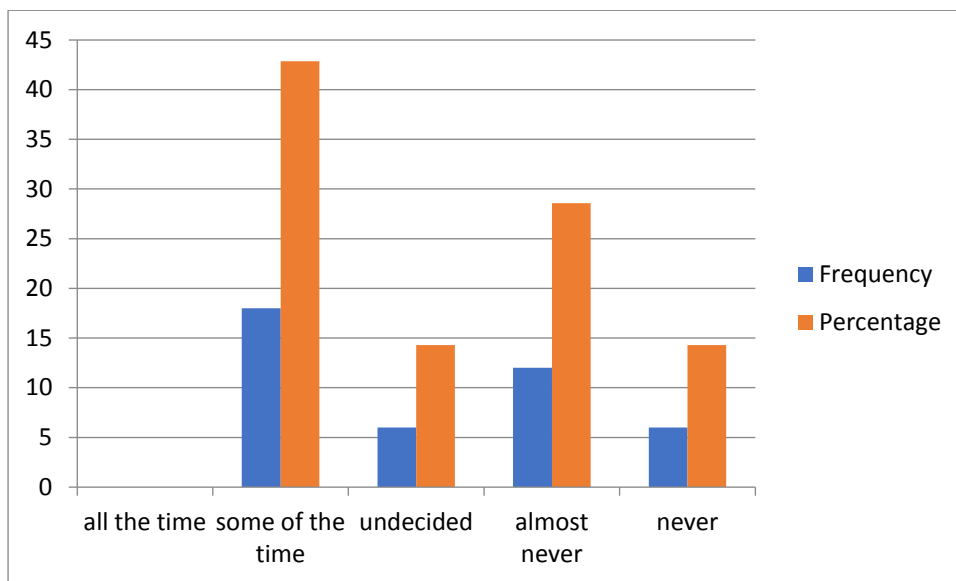


Figure 4.16. Consideration of Ideas by Management

From the findings above, 43% of the respondents indicated that they feel that management considers their ideas or concerns some of the time regarding electoral projects, while 29% of the respondents indicated that they feel management almost never considers their ideas or concerns regarding electoral projects. 14% of the respondents indicated that they feel undecided whether management considers their ideas or concerns regarding electoral projects whereas 14% of the respondents indicated that they feel management never considers their ideas or concerns regarding electoral projects.

Respondents were also requested to show case the quality of communication in terms of M and E within the organization. The respondents provided their answers in a scale of 1 to 4 ranging from ‘extremely’ to ‘poor’. The findings are presented in the chart below.

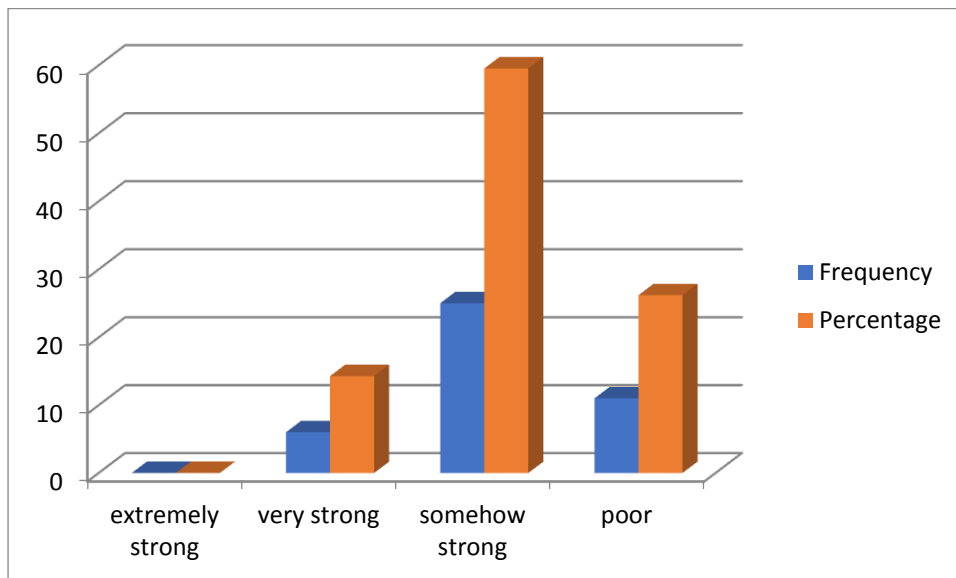


Figure 4.17. Quality of Communication

Given the findings, 60% of the respondents indicated that the quality of communication in terms of M and E within the organization is somehow strong, while 26% indicated that the quality of communication in terms of M and E within the organization is poor. However, 14% of the respondents indicated that the quality of communication in terms of M and E within the organization is very strong.

Moreover, the researcher used participant observation in the study, working directly on the project for more than ten years, the researcher was able to craft relevant survey questions and collect relevant data which could address all the issues related to the research objectives as

well as confirm and verify the respondents' responses to be accurate and unbiased on almost all aspects of the research questions.

Interviewees were requested what they think about the communication strategy of the Monitoring and Evaluation processes of the African Union Election Projects, respondents however indicated that the communication strategy needs significant improvement to include proper Management Information System to collect, analyse, store and disseminate relevant data.

CHAPTER FIVE

5. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

This chapter presents the summary of the findings analysed in chapter four with respect to the study objectives. It also presents the conclusions and the recommendations to the study as well as suggestions for further research.

5.1. Summary of findings

5.1.1. Organisational Context of the AU Affecting the Monitoring and Evaluation of AU Electoral Projects

The study confirmed that the organizational context of the African Union Commission, being challenging and both internally and externally highly political, highly affects the Implementation of M and E Processes of the Electoral Projects. From policy framework to difficult M and E reporting requirements, lack of sufficient resources for M and E activities and limited knowledge and expertise as well as insufficient baseline data are among the factors that affect the implementation of M and E activities of the AU Electoral Projects. Moreover, Member States and Partners reporting requirement and format also contribute to the factors that affect the implementation of M and E.

According to the study respondents it is noted that all of the respondents have been involved in the African Union Election Projects. It is also noted that the Management of the African Union Electoral Projects have improved since 2013 in such way that the introduction and implementation of more technically focused consistent methodologies and Long-term Missions.

5.1.2. Tools and Techniques used in the Monitoring and Evaluation Processes of the AU Electoral Projects

With specific regard to tools and techniques used in M and E, it was found out that the African Union Commission has been using six tools and techniques while conducting M and E. In the order of reputation, they ranged from Logical Framework approach often known as Log frame, theory of Change, performance indicators, Outline Mapping, Impact assessments, Result Framework. The selection of tools and techniques is the highest factor contributing to the difficulties faced in the use of the M and E system. A big number of the project

managers and M and E staff (59.5%) also indicated that the tools and techniques were slightly acceptable or completely unacceptable compared to 19% and 21% that indicated that it was highly and moderately acceptable respectively.

Considering the numbers that stated to be comfortable of use of the above indicated M and E tools, the researcher noted that the respondents only have used these tools as part of conformity with M and E policies and donor as well as stakeholder requirements.

5.1.3. Management and Stakeholders Influence the Monitoring and Evaluation Processes of the African Union Election Projects

Based on the research findings it is noted that almost all respondents were fully aware of who the Election Projects' stakeholders are. Having a clear understanding of the personalities of the stakeholders is positive as awareness leads to successful approach and communication regarding the stakeholders' information needs and expectations.

However, according to the research project findings, most of the respondents indicated that the current M and E system poorly responds to stakeholders' information needs whereas 15% of them indicated the M and E system provides limited information to stakeholders. Furthermore, most respondents about 64% were in an agreement that all primary stakeholders are slightly or not active participants of the M and E processes which to a large extent leads to the ineffectiveness of M and E system towards achieving expected results. However, 19% and 17% of the respondents pointed out that primary stakeholders are moderately and highly participants in the process of M and E respectively.

The research findings indicated that most of the respondents were in an agreement that the role of management in the M and E processes is crucial which to a large extent leads to the effectiveness of M and E system towards achieving expected results.

The research confirmed management involvement in all stages of M and E process, with 64% of respondents relating the role of management towards the implementation of the M and E system to positive results achieved in M and E process. Management's increased and active participation in M and E processes resulted to increased operational systems. These findings corresponded with Patton (2008) confirmation that Management involvement is key for M and E systems to be effective.

The researcher further found out that internal and external quarterly; mid-year and annual Monitoring and Evaluation is undertaken for the Africa Union Electoral Projects.

5.1.4. Strengths and Weaknesses of M and E Processes of the AU Electoral Projects in terms of Information and Communication

To fully understand how organizations use their M and E systems, it is important to understand data flow between stakeholders or different parts of the organization. Information derived from M and E activities is often used by different people, sometimes in different locations, for a range of purposes. This means that information has to move either electronically or physically to enable this.

According to the research findings it was noted that the communication strategy within the organization regarding M and E is very limited with majority of the respondents' disagreement to the concept of the existence of a management information system or database to frequently provide information as well as an appropriate and essential tools and equipment for M and E information and Communication management.

Furthermore, it is noted that majority of respondents get only a limited amount of information about work groups and organization plans and progresses and have no feedback after the conduct of M and E within the organization. Due to the fact that they had limited feedback after the conduct of M and E they half of the time if not never believe the information they get from the organization as well as they feel that management only some of the time considers their ideas or concerns regarding electoral projects.

More or less, with the majority of the respondents' indication the M and E communication strategy is not strong and needs thorough improvement.

5.2. Conclusion

Essentially, the study on the M and E processes of the African Union Election confirmed that the African Union Election Projects have some components of an M and E system in place. The research project concluded that the complex and highly political organizational context of the African Union Commission highly affects the Monitoring and Evaluation Processes of the Electoral Projects. It was noted that some member states themselves do not show tangible commitment to democracy which beats the overall purpose of election observation itself which is key to advancing democracy.

It was noted that the selection of tools and techniques to be used in an M and E system determines its success or failure. The shortcomings of the M and E tools and techniques

should be put in consideration during their selection. Based on the study findings, majority of the employees found the M and E tools and techniques less applicable. There was also low involvement of dedicated and adequate staff with appropriate M and E knowledge and skill mix during all stages of M and E process was linked to minimal knowledge of the use of these tools.

Human resource, with proper training and experience remains critical to the achievement of desired M and E results. There is a need to have an adequate, effective M and E human resource capacity with an appropriate knowledge and skill. According to Gorgens and Kusek, (2009) there is a great demand for skilled professionals, capacity building of M and E systems, and harmonization of training courses as well as technical advice.

Management role on implementation of M and E systems was notably high. However, the current M and E system may be undermined by not being visibly located, capacitated and marketed as an independent function for the entire African Union Electoral Project's performance as well as lack of an up to date M and E plan and standard guide for implementation.

Participation of stakeholders in M and E process is crucial determinacy for success and its absence leads to failure. From the study, stakeholder participation was notably very limited with less involvement in key areas that may determine the projects' success or failure. The less involvement of stakeholders', which contributes to the ineffectiveness of the provision of their information needs, is against the World Bank (2011) principles which state that the role played by stakeholders in development projects dictates the effectiveness of M and E systems. The leadership and employees of the AUC should encourage stakeholders to actively participate in the process as well as work in close collaboration with most of the stakeholders if not all to ensure that they provide the required input to ensure the M and E systems are effective and operate to the maximum expectations.

5.3. Recommendations

Based on the research findings and the conclusion, the following Recommendations are proffered.

Drawing from the research findings, given that the political and institutional context within Member States affects the effectiveness of election observation, the AUC M and E system should include robust risks and mitigation framework. This will allow for adaptive response to changing dynamics on the implementation environment during monitoring process to mitigate against the risks.

Having noted that the AUC communication structures relating to M and E are weak, it is recommended that effective and efficient M and E communication and information strategy should be enhanced through frequent information sharing and feedback system based on periodic reporting of valid and reliable data on election observation projects. In addition, the communication system should allow for sharing of data about election observation to all the concerned stakeholders, staff members and leadership.

In view of limited skills and knowledge capacity of staff in M and E division of the AUC, the Commission should invest in robust training and capacity building of its staff in order to deliver on monitoring and reporting of election observation and other projects of the AUC.

The AUC should develop M and E plan and standard guide for the implementation of M and E recommendations. Evidence suggests that no actions have been undertaken to respond to the challenges relating to election observation projects including recommendations emerging from the project reports.

Stakeholders should be involved adequately in M and E activities in order to have a shared ownership of election observation projects. This is because election observation entails activities implemented in the Member States who are the final beneficiaries. Furthermore, stakeholder participation should be in all levels ranging from initial planning to expert opinion and decision making. This will enhance ownership of M and E results and also ensures that interventions are having impact to the beneficiaries' needs.

5.4. Suggestions for Further Research

The assessment of the monitoring and evaluation of the African Union Election Projects has studied the context of the African Union Commission only which left out other many organizations that conduct electoral projects in a highly political and complex environment. The researcher, therefore, would challenge further academic research on other organizations and also use other determinants of assessment of M and E systems for projects in thematic areas besides organizational contexts, tools and methods, stakeholder and management influence as well as challenges on Information and Communication, so that findings can allow for further comparative studies and generalisations.

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APPENDICES 1

Appendix 1: Questionnaire

Section I: Introduction

This questionnaire is designed to collect information on “Assessing Monitoring and Evaluation Process of the African Union Election Projects - From 2013 to 2020”. The information collected through this questionnaire will be treated with high confidentiality and used for academic purpose only. Kindly take a moment to answer all the questions as truthfully as possible.

Section II: General information

• **Name of organization**

.....

• **Gender:** 1. Male 2. Female

• **Age(in years):** 1. 25-35 2. 36-45 3. 46-55 4. Above 55

• **Highest level of Education so far attained**

1. Doctoral 2. Masters 3. Undergraduate 4. Diploma

2. Others;

specify.....

• **In which department are you working:**

• **Designation/post occupied:**

.....

• **Length of service in the organization (in years).**

1. 1-5 2. 6-10 3. 11-15 4. Above 15

• **Your work experience in monitoring and evaluation activities.**

1. None 2. 1-4 3. 5-8 4. 9-12 5. Above 12

SECTION III organisational context of the AU affect the monitoring and evaluation of AU electoral projects

1. To what extent does the organisational context of the AU affect the conduct of M and E
 - Very highly
 - Highly
 - Moderately
 - Slightly
 - Not at all

2. To what extent does the organisational context of the AU affect the implementation of M and E Recommendations;
 - Very highly
 - Highly
 - Moderately
 - Slightly
 - Not at all

3. Have you been involved in any capacity in AU election observation missions?
 - Budgeting
 - Communications
 - Procurement
 - M and E
 - Technical coordination of the AU observation missions
 - Managing mission financial expenditure
 - Observation

4. In your opinion, has the management of African Union Election observation improved since 2013?

Yes

No...

Give brief reason for your answer:.....

5. What affects the Democracy and Electoral Assistance Unit's ability to effectively implement M and E

- Policy Framework
- Lack of Knowledge and expertise
- Insufficient baseline data
- Lack of resources for M and E activities
- Difficult M and E tools
- others

6. How do member states reporting requirement and format affect the implementation of M and E

- Very highly
- Highly
- Moderately
- Slightly
- Not at all

7. How do partners/donors reporting requirement and format affect the implementation of M and E recommendations?

- Very highly
- Highly
- Moderately
- Slightly
- Not at all

SECTION IV tools and techniques used in the Monitoring and evaluation processes of the AU Electoral Projects

8. Is there committed annual budget for M and E from the overall programme budget
- Yes
- No
9. Is the committed budget sufficient to undertake the necessary M and E Process
- Yes
- No
10. Are there dedicated staff to undertake M and E activities
- Yes
- No
11. Is the number of M and E staff sufficient in relation to the programme size
- Yes
- No
12. The M and E team has an appropriate skill mix (data analysis evaluation research)
- Yes
- No
13. Is there any M and E training given to DEAU staff
- Yes
- No
14. Is there a standard guideline for the implementation of M and E?
- Yes
- No
15. Is there a Monitoring and Evaluation Plan which is up-to-date
- Yes
- No
16. What tools and techniques are used in Monitoring and evaluation systems at the Democracy and Electoral Assistance Unit of the DPA?
- Logical framework

- Theory of change
- Result framework
- Outcome mapping
- Most significant change
- Others, specify, -----

17. Are the M and E tools and techniques used by DEAU applicable

- Yes
- No

18. Is there any difficulty experienced in using the M and E Tools and Techniques used by DEAU?

- Yes
- No

19. What other M and E Tools and Techniques would you recommend

SECTION V How do management and stakeholders influence the Monitoring and evaluation processes of the African Union Election Projects

20. Are you aware of who the election stakeholders are in connection to AU election projects?

- Yes
- No

21. Please describe some of the stakeholders?

22. How does the M and E system respond to their information needs?
- Very Adequately
 - Fairly Adequate
 - Adequately
 - Limited
 - Poor
23. How would you rate the role of management towards the implementation of the M and E System?
- Very high
 - High
 - Moderate
 - Slight
 - None
24. Are all primary stakeholder active participants in M and E Processes?
- Very high
 - High
 - Moderate
 - Slight
 - None
25. Does the organization practice capacity building for Stakeholders to analyse, reflect and take action?
- Very highly
 - Highly
 - Moderately
 - Slightly
 - Non at all
26. In what ways does management influence monitoring and evaluation systems at the DEAU?
- M and E Designing
 - M and E Modification
 - M and E Planning
 - M and E Implementation Systems
 - M and E Resource Allocation

27. Do leadership support the M and E system?
- Very highly
 - Highly
 - Moderately
 - Slightly
 - Not at all
28. Is the information from M and E system used in decision making?
- Very highly
 - Highly
 - Moderately
 - Slightly
 - Not at all
29. How often does DEAU undertake project monitoring and Evaluation?
- Monthly
 - Quarterly
 - Mid-Year
 - Annualy
 - Not at all
30. What type of evaluations does DEAU undertake?
- Internal
 - External
 - Both
 - None

SECTION VI strengths and weaknesses of M and E processes of the AU Electoral Projects in terms of communication

31. How do you describe the communication strategy within the organization regarding M and E?
- Very Adequate
 - Fairly Adequate
 - Adequate
 - Limited

Poor

32. There exists a management information system or database to frequently provide M and E information

Strongly Agree

Agree

Not Sure

Disagree

Strongly Disagree

33. The organization has essential tools or equipment for M and E information and Communication management

Strongly Agree

Agree

Not Sure

Disagree

Strongly Disagree

34. How informed are you with work group's plans and progress?

Fully Informed

Fairly well informed

Adequately informed

Get only a limited amount of information

No idea about what is going on

35. All staff get feedback after measurement of project activities and conduct of M and E

Strongly Agree

Agree

Not Sure

Disagree

Strongly Disagree

36. How do you describe the communication strategy within DEAU regarding M and E

Extremely Strong

Very Strong

Adequately Strong

Poor

37. How do you describe the quality of communication in terms of M and E within the Organization?

Extremely Strong

Very Strong

Adequately Strong

Poor

38. What do you feel about the information you receive regarding M and E?

Almost always believe it

Usually believe it

Believe half of the time

Can't believe

39. Do you feel confident that management considers your ideas/concerns regarding Electoral Projects?

All the time

Some of the time

Undecided

Almost never

Never

Appendix 2:

Interview Guide

- iv. How does the organisational context of the AU affect the monitoring and evaluation of AU electoral projects (year 2013 to 2020)?
 - How do you describe the African Union organisational context?
 - How does it affect the Monitoring and Evaluation process of electoral Projects?
 - What M and E approach would be appropriate in your opinion?

- v. What are the tools and techniques used in the Monitoring and evaluation processes of the AU Electoral Projects (year 2013 to 2020)?
 - What are the tools and techniques currently being used?
 - Are the Tools and Techniques appropriate and applicable?
 - Are there enough and dedicated staff with appropriate skills and knowledge to undertake M and E?
 - Are there any trainings given to the Staff?
 - What other tools and techniques do you suggest?

- vi. How does management and stakeholders influence the Monitoring and evaluation processes of the African Union Election Projects (year 2013 to 2020)?
 - What is the extent in which stakeholders and management involve in M and E?
 - How does the involvement of stakeholders and management influence the M and E process?

- vii. What are the strengths and weaknesses of M and E processes of the AU Electoral Projects (year 2013 to 2020) in terms of communication;
 - How do you rate the communication strategy regarding M and E of the AU Election Projects?
 - Use of Information technology in M and E?