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**Assessment of Monitoring and Evaluation Systems of Promoting  
Basic Services-III and Enhancing Shared Prosperity through Equitable  
Services Programs in Ethiopia**

**By: Fikre Gebrehiwot**

**A Research Project Submitted to Graduate Studies Program of Addis  
Ababa University School of Commerce in Partial Fulfillment for the  
Requirements of Master of Arts in Project Management**

**Advisor: TeklegiorgisAssefa (Asst. Prof.)**

**Addis Ababa University  
Graduate School of Commerce**

**June, 2018**

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### Statements of Declaration

I, the undersigned, declare that this mini research project work entitled as “**Assessment of Monitoring and Evaluation Systems of Promoting Basic Services-III and Enhancing Shared Prosperity through Equitable Services Programs in Ethiopia**” is my own work, except as indicated in the acknowledgement, the text and references. And all the sources and references have been dully acknowledged. It is being submitted in partial fulfillment of the requirements for the degree of Master in Project Management at the Graduate School of College of Commerce, College of Business and Economics: Addis Ababa University. It has not been submitted before, in whole or part, for any degree or examination at any University, and all the sources used are also duly acknowledged.

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Fikre Gebrehiwot (GSR/6308/09)

Researcher

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Date

I hereby declare that the study which is being presented in this project work entitled as “**Assessment of Monitoring and Evaluation Systems of Promoting Basic Services-III and Enhancing Shared Prosperity through Equitable Services Programs in Ethiopia**” was conducted by Fikre Gebrehiwot for partial fulfillment of the requirements for the award of Master of Arts Degree in Project Management; is to the best of my knowledge an original work conducted by him, and had not been presented for a partial fulfillment for any educational qualification at this university or any other.

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Teklegiorgis Assefa (Asst. professor)

Advisor

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Date

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## **Abstract**

*This project work focuses on the assessment of monitoring and evaluation systems of an ongoing development programs namely Protecting (Promoting) Basic Services-PBS and Enhancing Shared Prosperity through Equitable Services-ESPES. These programs are primarily owned and implemented by the GoE and significantly funded by DPs (bilateral and multilateral) in a coordinated manner. Both of the programs focus on the delivery of basic services such as education, health, agricultural productivity, water and rural roads. The DPs provide one-fourth or one-third of the recurrent budget for the provision of the services. Apart from the basic services, social accountability, financial transparency and civic engagement are also the focus of the programs. The fund from the donors is transferred using intergovernmental fiscal transfer from MoFEC all the way through WoFECs or KoFECs as part the decentralized system of service delivery. The theme of this work is to look at the M&E systems put in place to monitor and evaluate the implementation of the jointly funded program. The paper has five chapters, and the first one includes the background, problem statement, objectives, justifications and the methodology used. The second chapter is all about the concepts of monitoring, and evaluation, program, development programs, models of and approaches to evaluation, program evaluation, processes of program evaluation and models of program evaluation. The third chapter is about aid, development aid or assistance from global to the national context as discussed briefly. The fourth chapter is focused on discussing about the programs in general and the M&E systems in particular, based on the data collected from key informants and the relevant documents . It is more of a qualitative explanation of the existing M&E systems, tools and mechanisms as witnessed from the DPs, GoE and their joint efforts. The final chapter has the conclusion and recommendation parts.*

**Key Words:** *monitoring, evaluation, basic services, aid, development aid/assistance, development partners, program evaluation*

## **Acronyms/Abbreviations**

AfDB: African Development Bank

BoFEC: Bureau of Finance and Economic Cooperation

CIIP: Context, Input, Process and Product

COPCU: Channel One Programs Coordinating Unit

CSA: Central Statistical Agency

DAG: Development Assistance Group

DAs: Development Agents

DLIs: Disbursement Linked Indicators

DLRs: Disbursement Linked Results

DPs: Development Partners

EDRE: Federal Democratic Republic of Ethiopia

EFY: Ethiopian Fiscal Year

ESPES: Enhancing Shared Prosperity through Equity Services

FEACC: Federal Ethics and Anticorruption Commission

FPPAA: the Federal Public Procurement and Property Administration Agency

FTA: Financial Transparency and Accountability

GoE: Government of Ethiopia

GTP: Growth and Transformation Plan

HEWs: Health Extension Workers

IDA: International Development Association

IGFT: Inter-Governmental Fiscal Transfer

JBAR: Joint Budget and Aid Review

JRIS: Joint Review and Implementation Support

M&E: Monitoring and Evaluation

MDGs: Millennium Development Goals

MEFF: Macroeconomic and Fiscal Framework

MoFEC: Ministry of Finance and Economic Cooperation

MoFED: Ministry of Finance and Economic Development

NPC: the National Planning Commission

ODA: Official Development Assistance

OECD: Organization for Economic Cooperation and Development

OFAG: Office of the Federal Auditor General

ORAG: Office of the Regional Auditor General

PBS: Protecting (Promoting) Basic Services

PDO: Program Development Objectives

PFM: Public Financial Management

PforR: Program for Results

POM/PIM: Program Operational Manual/ Program Implementation Manual

SA: Social Accountability

SAP: Structural Adjustment Program

SDS: Service Delivery Secretariat

TTF: Technical Task Forces

WB: the World Bank

WHEAR: Water, Health, Education, Agriculture and Road/Rural road

WHO: the World Health Organization

WOFEC: *Wereda* Office of Finance and Economic Cooperation

## **CHAPTER ONE**

### **1. INTRODUCTION TO THE RESEARCH PROJECT**

#### **1.1 Background**

Ethiopia, not being colonized, began to receive foreign aid after Italian occupation. The foreign aid has been gradual and incremental, and it was received in the forms of technical, humanitarian, military assistance and economic support. Since then, there have been changes in the approaches, modalities and justifications for development aid (assistance); shares of donors (development partners) to official development assistance (ODA) have varied, and the shares of ODA's disbursement to health, education, population policies, humanitarian assistance, developmental food aid, economic infrastructure, multi-sector aid, agriculture, government and civil society, water and sanitation, social infrastructure and others (Berhanu, 1999 and DAG Annual Report, 2014).

Currently, according to the Aid Management Platform data, there are 22 bilateral and 24 multilateral organizations actively supporting Ethiopia. Since 1970s all the way to 2014, Ethiopia is among the top three African ODA recipient countries and it is the first in Africa with USD 3.585 Billion (a significant contribution to the national GDP) in 2014 though Ethiopia's aid per capita (USD 36) remains below the sub-Saharan average per capita (USD 50) (DAG Annual Report, 2014 and OECD, Development Aid at a Glance- Africa, 2016).

Obviously, there is a shared consensus that fighting poverty by supporting economic growth and development in the least-developed countries has been and continues to be a major objective of aid (eds. Carlsson, Somolekae & Walle 1997). To achieve this objective, looking into aid effectiveness, its indicators and tools of measurement is very crucial though there are ongoing debates about effectiveness of development aid. In this regard, the Paris Declaration on Aid Effectiveness (2005) has given emphasis to ownership, harmonization, alignment, results and mutual accountability as indicators or issues vis-à-vis aid effectiveness. Later in 2011, the Busan Partnership for effective development Cooperation has shifted the issue from effectiveness aid to cooperation for effective development. With these recent developments, the architecture of development assistance and the programs (projects) thereby have changed their approaches and modes. In this regard, the development assistance or disbursements of funds of donor/development partners has been flowing through three Channels (Paris Declaration on Aid

Effectiveness, 2005; Busan Partnership for effective development Cooperation, 2011; PBS III and ESPES Periodic Reports).

Channel One is the main channel through which donors' funds are disbursed to many development programs or projects that have been coordinated by Channel One Programs Coordinating Directorate at MoFED (MoFEC). One of the programs designed and implemented by phases is Protecting (Promoting) Basic Services Program, and the program focuses on the protection and promotion of basic services such as agriculture, education, health, water and rural roads. While the operation of PBS III is to cease in January 2018, another program Enhancing Shared Prosperity through Equitable Services (ESPES) is devised and implemented since 2015 with a view to complementing (strengthening) the results of PBS and for further engagement in decentralized basic services in Ethiopia. Accordingly, Protecting (Promoting) Basic Services Program has been gradually replaced by ESPES. ESPES is a Program for Results (PforR) whose objective is to help recipient countries improve the efficiency of their programs of expenditures and achieve lasting results by strengthening institutions and building capacity. The key features of ESPES include: financing and support of clients' programs of expenditures, using program systems; disbursing upon achievement of program results, not inputs; focusing on strengthening the institutional capacity needed for programs to achieve their desired results; and providing assurance that Bank financing is used appropriately and that the environmental and social impacts of the program are adequately addressed (PBS III and ESPES Periodic Reports).

Channel Two is the other channel through which donors' funds are disbursed to sector ministries or agencies and to be transferred to the lower administrative agency. Channel Three is the other channel through which donors' funds are directly disbursed to specific agency, program or project.

Despite the changes in approaches and modes, there is a clear need to focus on Monitoring and Evaluation of effectiveness of development aid or cooperation for effective development in general and PBS III -ESPES in particular. As M&E is one of the most important tools that help the achievement of the objective of development aid/assistance, the M&E system of PBS III-ESPES in Ethiopia is worth studying.

## **1.2 Statement of the Problem**

Ethiopia is receiving development assistance from bilateral and multilateral development partners, and the assistance is a significant contribution to the national GDP and overall development. The development assistance has indeed helped to produce remarkable results in providing basic services such as health, education agriculture, rural road and water. In addition to the basic services, great results have been registered in social accountability, financial awareness and management, environmental protection and management, citizens' engagement and others (DAG Annual Report, 2014; PBS III and ESPES Periodic Reports).

In spite of the impressive results achieved, there are identified gaps between what was planned and what was achieved vis-à-vis the objectives, indicators and principles. These gaps are documented in different literatures including in the reports of joint reviews, performance and audit.

There are key challenges in reaching the overall PDO for PBS III, as identified by the mid-term review of the program. The challenges include: regional differences exist with emerging regions' performance still lagging behind the national average in some key indicators ( for example Penta 3 children immunization and gender parity ); the gaps between urban and rural areas; and inadequacy of available facilities in service giving institutions such as power, water, etc.(JRIS and JBAR Report 2014).

As per the audit report of EFY 2009 report of the FDRE Office of the Federal Auditor General, there are findings of financial mismanagement. For instance, budget (Birr 973,220.00) allocated and approved for the Harari Health Bureau was not used for the intended purpose rather it was transferred to non-basic service providing sectors; and budget (Birr 732,612.4) allocated to basic service providing sectors in Ambo Woreda was not used for the intended purpose as it was transferred to non-service sector. Besides, according to the audit report of EFY 2009 report of the FDRE Office of the Federal Auditor General, supporting documents was not provided for audit work for the payment amounting birr 14,543,738.63 which was recorded and reported as actual expenditure by Central Statistics Agency (OFAG Report 2009 EFY).

According to the program completion report of PBS (II), many of the targets set were not achieved. To mention some of the targets, the total federal block grants (including PBS funds) as

a share of total federal discretionary expenditure was planned to increase from 34.7 % in FY 2007/2008 to 37.5% in FY 2010/2011 but it was at 35 % in 2011; primary school net enrolment rate was planned to increase from 83% in 2009 to 94% in 2011, but it was at in 2011; agricultural productivity (major crops) to increase from 15.2 quintals per hectare in FY 2007/2008 to 18.89 quintals per hectare by FY 2010/2011, but it was 17.6 quintals in 2011; and rural population access to potable water to increase from 61.5 % in 2009 to 85% in 2011, but it was 71.3 % in 2011.(PBS II Program Completion Report 2012)

In the Joint Review and Implementation Support (JRIS) mission and Joint Budget and Aid Review (JBAR) reports (2014) on Promoting Basic Services III, some key challenges are well articulated. These include: weak internal audit mechanisms and inadequate audit follow up; weakness in budget monitoring, budget utilization and resource allocation where needed; and addressing the issues of skilled staff and staff turn-over.

The catalytic role of the PBS or ESPES for the achievement of objectives on the basic services may lead us to the assertion that the targets set may not be achieved by the mere contributions of the programs. However, the programs' use of intergovernmental fiscal transfer method and the programs' focus on strengthening internal follow-up and control systems help to have program oriented M&E systems. Having strong M&E system obviously play instrumental role to achieve set objectives or targets.

Given the lower Ethiopian aid per capita, compared to the sub-Saharan average, and very high development needs, there should be of proper follow-up mechanisms which would help efficient use of the "limited" resources. Since PBS III and now ESPES programs have been run by the "huge" funds from development partners and their focus on basic services are critical for the development of Ethiopia, systematically studying the M&E systems is indispensable for assisting the achievement of the objectives or target set and hence optimal results of the intervention.

### **1.3 Research Questions**

Some of the basic questions that were addressed in this mini research project include:

- ❖ Do the M&E systems and activities allow us to effectively track improvements or gaps with a view to achieving the set targets?

- ❖ Do the M&E systems and activities allow us follow up whether the dispersed resources are used only for the intended purposes?
- ❖ Are field missions, tests or other mechanisms of verifications adequate enough to validate the periodically delivered reports?

#### **1.4 Objective of the Project**

The main objective of this project is assessing the M&E system under the PBS (III)-ESPES programs setting. This major objective disaggregated into the following specific objectives.

- Explaining the PBS (III)-ESPES programs' settings with a particular emphasis to the M&E systems and tools.
- Identifying the M&E tools and activities of the PBS (III)-ESPES vis-à-vis the objectives and targets set.
- Pinpointing the gaps or limitations of the M&E system of the PBS (III)-ESPES

#### **1.5 Justification for the Research Project**

Historical patterns have shaped the relationships between the developed countries and the developing countries. One of the characterizing features of the relationship is Aid or Development Assistance. Following the ongoing debates about aid and other changes at global stages (for instance MDGs), a shift of foreign aid /assistance from humanitarian to development in selected areas of priorities in line with MDGs has become a reality. On the other side, countries began to have their own line to development as evidenced in their policies, strategies and development plans. Afterwards, the need to harmonize the development assistance with the internationally recognized (set) and the national development and strategies began to be appreciated. To ensure the effectiveness of the development assistance, different approaches have been adopted including coordinating and transferring the funds of the development assistance through channels and IGFT. Despite the ongoing debates on the effectiveness of development assistance, there is an undeniable need for conducting M&E as a tool to increase effectiveness and efficiency of performance of programs/projects funded by development partners and with a view to achieving the purpose of M&E, i.e. improving institutional performance, providing information to decision makers and/or generating understanding and explanation.

## **1.6 Scope of the Research Project**

It is discussed in different sections of this work that the development assistance funds for Ethiopia are currently flowing through three channels. Channel One Programs Coordinating Unit coordinates eleven active programs, and PBS and ESPES programs are the most crucial ones for their scope and results. PBS program has been implemented since 2003 and the third phase has been implemented from 2013 to 2018. Side by side to the PBS III, ESPES has begun to be implemented since 2015.

In the documents of these programs, it is clearly indicated that there are DPO, PDO Indicators, expected results, DLIs, DLRs with respect to the basic service delivery. There is a government structure on one side, and the joint (DPs and GoE) structure to monitor and evaluate the progresses and achievements vis-à-vis WHEAR, social accountability, FTA and civic engagement on the other. Although it is methodologically crucial to include the representatives from the *weredas* for assessing the M&E systems and tools, the limitations stated hereunder necessitated the narrowing of the scope to the regional and federal levels. Therefore, examining the M&E systems and techniques and tools for PBS III and ESPES in the aforementioned period and levels define the scope of this project.

## **1.7 Limitations of the Research Project**

The research project was highly constrained by three limitations. The first one is financial resource that could have enabled the design to be more expanded; additional resource persons to be accessed for additional data; more data collection instruments to be employed; and the overall quality of the project to be further improved as there are always rooms to improve. Time is the second important constraint. The third constraint is accessing all the crucial resource persons and documents. In the face all the three, this research project is at this level of completion, leaving rooms for further study.

## **1.8 Organization of the Research Project**

This paper is organized into five chapters. The first chapter contains the background, problem statement, objectives, justification for the research project, scope of the research project and limitations to the research project. The second chapter is on the reviewed related literatures and does have different sections such as conceptual framework, aid and development assistance in

Ethiopia, process of evaluation, approaches and models of evaluation and models of program evaluation. The third chapter is about the research methodology including the description of the programs, the research design for the project, data sources, data collection instruments, data organization and analysis. The fourth chapter covers the discussions with a particular reference to the institutional set-ups of the programs, the monitoring and evaluation systems and a brief meta-evaluation. The final and the fifth chapter put forward the conclusions and the recommendations.

## CHAPTER TWO

### 2. REVIEW OF RELATED LITERATURE

#### 2.1 Conceptual Review

As the project is about the M&E of a development program which is partially funded by development partners, the basic concepts to be framed include: Aid, development aid or assistance, program, development program (as the object of evaluation), and monitoring, evaluation, assessment and review.

In an effort to define these concepts, it is usually expected to come across with various definitions for one concept as forwarded by different figures. The variation mainly stems from the perspectives, purposes, scope and other factors. In some instances, there are generic elements to be commonly shared in the definitions of one concept. Bearing these points in mind and the project in focus, it is possible to put forward the following definitions.

**Monitoring** is a continuous function that uses systematic collection of data on specific indicators to provide the management and the main stakeholders of an ongoing intervention with indications of the extent of achievement of objectives and progress in the use of allocated funds. Development programs or projects such as PBS and ESPES have to obviously have systems, tools and activities of data collection on indicators and results of the programs' or projects' objectives with a view to indicating the extent of achievements and gaps thereof.

**Evaluation** is the systematic and objective assessment of ongoing and/or completed projects, programs or policies, with respect to the design, implementation and/or results. The criteria applied in the evaluation include: objectives, efficiency, effectiveness, impact and/or sustainability. Thus the aim of evaluation is to determine the relevance and fulfillment of objectives, development efficiency, effectiveness, impact, and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision making process of both recipients and donors. (UN Office on Drugs and Crime 2008; Kusek & Rist 2004). Since the development programs selected for this study are ongoing, the evaluation aspect is expected to focus on the inputs, activities and results. Had the programs been completed some years before this study was conducted, it would have been important to widen the scope of investigation to the outcomes and impacts.

Others definitions of evaluation forwarded by distinguished scholars and institution is summarized in the following paragraph.

Stufflebeam (2000) defined evaluation as a study designed and conducted to assist some audience to assess an object's merit or worth. Vedung (1997) also defined evaluation as a careful retrospective assessment of the merit, worth and value of administration, output and outcome of government intervention, which is intended to play a role in future practical situations. The other distinguished scholar of the profession, Michael Scriven (1991) elaborately defined evaluation as the process of determining the merit, worth and value of things and evaluations are the products of that process. For him, evaluation is not the mere accumulation and summarizing of data that are clearly relevant for decision making. According to him gathering and analyzing the data that are needed for decision making comprise only one of the two key components in evaluation, a second element is required to get to conclusions about merit or net benefits: evaluative premises or standards. Evaluation has two arms: one is engaged in data gathering; the other collects, clarifies and verifies relevant values and standards. The other important explanation about evaluation comes from the Centre for Program Evaluation- Government of the United States. The institution explains evaluation as an important exercise that: assesses the effectiveness of an ongoing program in achieving its objectives, relies on the standards of project design to distinguish a program's effects from those of other forces, and aims at program improvement through a modification of current operations (Swedish Institute For Growth Policy Studies 2006).

Though the terms *monitoring* and *evaluation* are customarily used interchangeably and monitoring usually complements evaluation, there are distinguishing features between the two. While monitoring is a continuous and regular function that takes place throughout the implementation of a project/program and is usually done by people directly involved, evaluation assesses or reviews the achievements of the project/ programme at specific stage (from ex-ante to ex-post evaluations) against identified criteria and it is best conducted by an independent outsider who can be impartial in consulting with project/ programme staff. Nonetheless, the data collected and insights gained in the course of monitoring are then fed into and used by the evaluation process (UN Office on Drugs and Crime 2008; *EVALSED* 2013).

*Assessment* and *review* are the other important concepts in relation to the M&E. Both are parts of and contributing to the evaluation. *Assessment* is a tool used to collect data and information as to the implementation of the program while *review* is a mechanism of discussing the program (targets, results, strengths, weaknesses and the way forward) based on the *assessment* result.

Evaluations are conducted for a variety of practical reasons, such as: to aid in decisions concerning whether programs should be continued, improved, expanded, or curtailed; to assess the utility of new programs and initiatives; to increase the effectiveness of program management and administration; and to satisfy the accountability requirements of program sponsors. Evaluations also may contribute to substantive and methodological social science knowledge (Rossi, Freeman & Lipsey 1999).

*Aid* is an age old practice with all connected issues such as, including but not limited to, reducing absolute poverty, emergency humanitarian relief, military, geopolitical strategy, colonialism and economic growth.

*Development aid* involves the transfer of resources from official or private institutions to low-income economies in the form of loans on concessional terms, technical assistance, and outright grants; and it is an international phenomenon after World War II and it has grown significantly afterwards. There are indeed technicalities to the development aid such as the ratio of grant to loans, conditions attached and modes of funding, effectiveness, and others (eds Carlsson, Somolekae & Walle 1997; Berhanu, 1999). Therefore, development aid is the proper subset of aid and it is given to the recipient countries or sectors in various forms. PBS and ESPES programs are example of development aid where donors coordinate their efforts to support the development of less developed countries in the areas of basic services.

A **program** is a set of resources and activities directed toward one or more common goals, usually under the direction of a single manager or management team. A program may consist of a limited set of activities in one agency or a complex set of activities implemented at many sites by two or more levels of government and by a set of public, non-profit, and even private providers.

**Development programs** or **projects** are those programs or projects that are run fully or partially by the resources and technical assistance of GOs or NGOs with a view to supporting the

development efforts of a given state in identified development areas such as physical infrastructures, socio-economic services and other areas. **Program evaluation** is the application of systematic methods to address questions about program operations and results. It may include ongoing monitoring of a program as well as one - shot studies of program processes or program impact. The approaches used are based on social science research methodologies and professional standards. The field of program evaluation provides processes and tools that agencies of all kinds can apply to obtain valid, reliable, and credible data to address a variety of questions about the performance of public and non-profit programs (eds. Wholey, Hatry, & Newcomer 2010).

**Program evaluation** is about understanding the program through a routine, systematic, deliberate gathering of information to uncover and/or identify what contributes to the 'success' of the program and what actions need to be taken in order to address the findings of the evaluation process (Frye & Hemmer 2012). In other words, program evaluation tries to identify the sources of variation in program outcomes both from within and outside the program, while determining whether these sources of variation or even the outcome itself are desirable or undesirable. The model used to define the evaluation process shapes that work.

**Program and project evaluation** is typically concerned with making judgments about the effectiveness, efficiency and sustainability of pieces of work, it is a management tool to provide feed-back so that future work can be improved or altered. While practice evaluation is directed at the enhancement of work undertaken with particular individuals and groups, and to the development of participants, and it tends to be an integral part of the working process.

**Meta-evaluation** is a systematic and formal evaluation of evaluations, evaluation systems or use of specific evaluation tools in order to guide management of evaluations within organizations or in programs or projects. A meta-evaluation can be used for ongoing evaluations (formative) or report on the strengths and weaknesses of previous evaluations (summative). It was a methodology proposed by Michael Scriven in 1969 (Scriven 2009). **Meta-evaluation** is also defined by Stufflebeam (2000) as "the process of delineating, obtaining, and applying descriptive information and judgmental information - about *the utility, feasibility, propriety, and accuracy of an evaluation* and *its systematic nature, competent conduct, integrity/honesty,*

*respectfulness, and social responsibility* - to guide the evaluation and/or report its strengths and weaknesses”

A meta-evaluation is carried out by making an assessment of evaluations through reports and other relevant sources including information, and judgments, from stakeholders including the evaluator, client, programme staff, programme beneficiaries, and others (Stufflebeam 2011). The assessment is based upon a set of critically recognized evaluation standards or check list. In practice a wide range of criteria are used in meta-evaluations ranging from predetermined and structured (such as AEA Programme Evaluation Standards) to emergent and unstructured. The approach used in applying criteria often reflecting the meta-evaluation procedure itself (Cooksy & Caracelli, 2009) –from narrative reviews to simple audits. Meta-evaluations considered for the purposes of this review applied standard evaluation criteria adapted to incorporate internal standards and reflect the needs and principles of the audience/ organizations.

## **2.2 Empirical Review**

### **2.2.1 Brief Summary of Aid and Development Aid/Assistance**

There are undeniably ongoing debates as to its rationale, purposes, effectiveness and overall results. Defining aid is not simple as asking the question “what is aid?”, and the context under which it is explained clearly shapes its definition. In the context of driving development in developing countries as part of development cooperation, aid may be defined as the transfer of money and resources from richer countries to poorer countries with the primary aim of alleviating misery or promoting economic and social development. The money and the resources are usually allocated to the projects or programs that are aimed at improving access to healthcare and education, building infrastructure, or reinforcing countries’ capacity to run their own affairs (Keeley 2012). Recognizing the existence of a number of issues, sometimes complex and debatable, this mini project work focuses only on few parts of it.

As some scholars in the field state, there are commonly identified features that characterize recent global aid architecture. First, it focuses on aid on policy reform towards *promoting economic liberalization, privatization and market mechanisms* as the instruments of growth and efficiency. So as to achieve this, donors collaborate to make concessional finance available to assist governments to develop their own overall strategies for economic growth and poverty reduction. This finance is usually spent on *pro-poor reforms* that would make these strategies

sustainable in the long run. In some cases loans and grants are now made to states on the basis of demonstrable commitment and past performance on the reform agenda and outcomes known through state-level poverty monitoring. Second, in the new architecture, aid is framed by an international commitment to *poverty reduction*. In particular many donor agencies have pinned their goals to *internationally agreed development targets*. Third, reform agendas go beyond economic and financial management to ‘governance’ more generally, including aid packages for *public sector management, the support of civil society, and the promotion of consultative and participatory mechanisms for development planning* (Mosse & Lewis 2005).

Just to appreciate the global volume of foreign aid spent since the late 1940s, someone may look at the figures of foreign aid (ODA only, excluding food aid and humanitarian assistance) spent in USD in 2014. Out of 161.075 Billion USD foreign aid (ODA only) spent globally including in America and Europe in 2014, Africa’s and Ethiopia’s shares were 54.193 Billion USD and 3.585 Billion USD respectively (OECD, Development Aid at a Glance, 2016). These figures clearly show that trillions of USD has been spent globally in the form of foreign aid after the Second World War.

Despite such massive inflow of aid to developing countries and extensive empirical work for decades on the aid-growth link, the aid effectiveness literature remains controversial. An important objective of much Official Development Assistance (‘foreign aid’) to developing countries is the promotion of economic development and welfare, usually measured by its impact on economic growth. Yet, after decades of capital transfers to these countries, and numerous studies of the empirical relationship between aid and growth, the effectiveness of foreign aid in achieving these objectives remains questionable (Durberry, Gemmel and Greenway, 1998; Tasew 2011).

Therefore, there is a clear concern among people as to the effectiveness of aid in terms of at least achieving the explicitly stated goals and bringing about the desired results and impacts. So as to respond to the concerns of the key stakeholders, institutions were established; agreements were entered into; declarations were made; and various approaches and programs were designed and implemented. In this regard, the establishment of the Organization for Economic Cooperation and Development in 1961, and introduction of Structural Adjustment Programmes from late 1970s and 1990s do have far –reaching consequences. Besides, the Declaration on Aid

Harmonization in 2003, the Paris Declaration on Aid Effectiveness in 2005, the Third High-Level Meeting on Aid Effectiveness in 2008 and the Busan Partnership for effective development Cooperation in 2011 were among the various initiatives aimed at the improvement of the whole coordination effort of the donors to accelerate progress with aid effectiveness and MDG attainment (Mavrotas2009).

### **2.2.2 Aid or Development Assistance in Ethiopia**

Foreign development assistance has been delivered to Ethiopia since 1960; and the primary objectives of donors have been the promotion of economic growth through support for investment and reform, alleviation of the high rate of absolute poverty, and reduction of the vulnerability of the economy to adverse natural and terms of trade shocks. Other donor motives, especially geostrategic ones, have also generated military assistance which at times dwarfed development aid and threatened to nullify the latter's positive impact (Berhanu, 1999).

Foreign aid has played a major role in Ethiopia's development effort since the end of World War II. It has been instrumental in bridging the country's savings investment and foreign exchange gaps. Its importance as a source of financing for the development of capacity building (human capital, administrative capacity, institutional building and policy reform) is also unquestionable. Thus increasing efforts were made to mobilize foreign aid in the last two regimes (Tasew 2011). Millions of lives (human and cattle) have been saved, and the country is getting a number of benefits from aid and foreign development assistance including hard currencies. However, the effectiveness of the aid or the development assistance has been debatable.

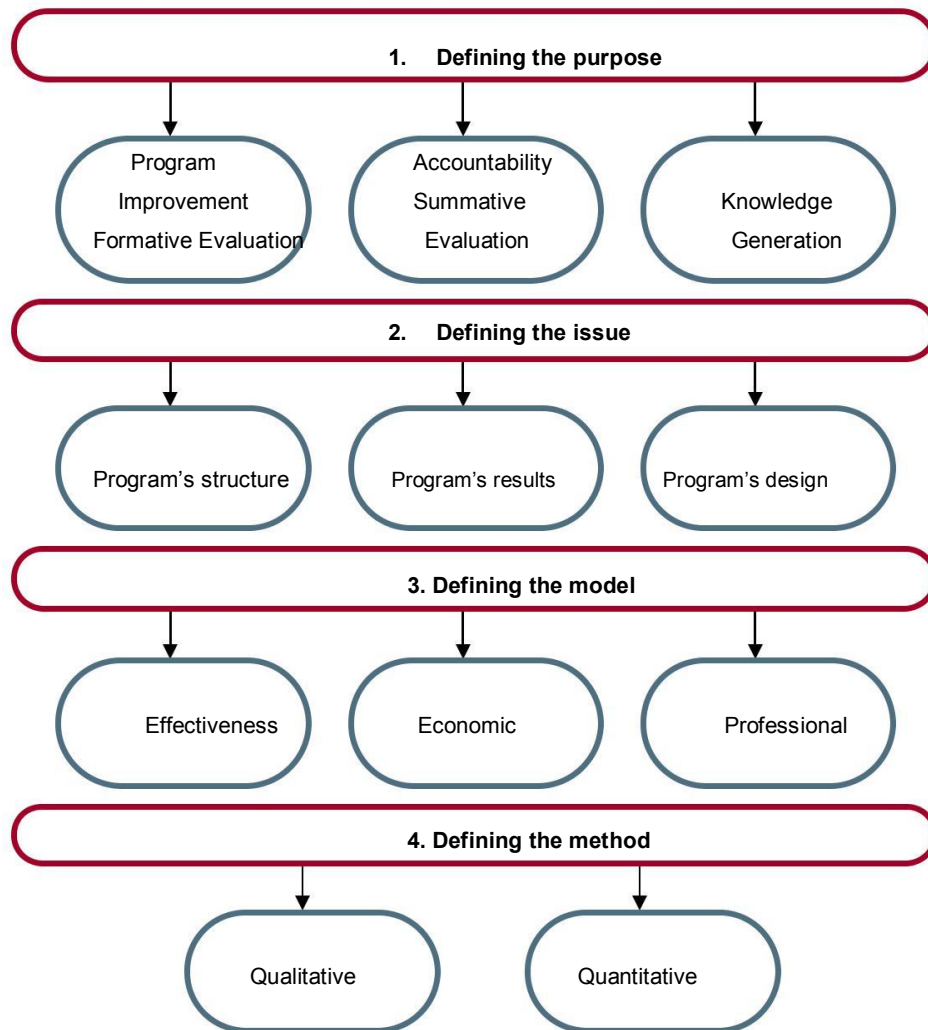
Starting from the first instance of receiving foreign aid up to the Structural Adjustment Programs and now Channeled programs, there have been different approaches were followed. These approaches are to be discussed later embedded in the discussions to follow.

### **2.2.3 The Process of Program Evaluation**

Evaluation is a process with phases and procedures as depicted in the figure next page. Evaluation operates within multiple domains and serves a variety of functions at the same time. Moreover, it is subject to budget, time and data constraints that may force the evaluator to sacrifice many of the basic principles of evaluation design. From the figure, it is clear that all the possibilities presented for the four steps of the evaluation procedures can be combined in

different ways, and hence varieties of evaluation techniques may be developed. The process shown on the next page is helpful to carryout program evaluation and design program alternatives at three different points in time: ex-ante, mid-term and ex-post evaluation. Therefore, the process as depicted in the figure plays significant role for program or project evaluation, especially for those development projects to be funded by unilateral, bilateral or multilateral agencies or development partners (Swedish Institute for Growth Policy Studies 2006).

Figure 2.1 Evaluation process



Source: Swedish Institute For Growth Policy Studies 2006

The first step enables us to define program and project evaluation from the perspectives of key players or stakeholders of the program or the project. Program and project evaluation is usually concerned with making judgments about the effectiveness, efficiency and sustainability of pieces

of work, and it is a management tool to provide feedback so that future work can be improved or altered. Hence, the program evaluation objectives as guidance for achieving the program's purposes that can be classified into: evaluation for development that is usually aimed at improving institutional performance; evaluation for accountability that is usually aimed at providing information to decision makers; and evaluation for knowledge that is usually aimed at generating understanding and explanation.

The second step is helpful to elaborate the program design, structures and results. The third step is crucial so as to explain about the model to be used in the evaluation from the economic, effectiveness and/or professional perspectives, and the fourth step enable us to define the qualitative and/or quantitative methods to be employed for the evaluation.

## **2.3 Evaluation Theories/Approaches and Models**

Since the 1960s, there have been strong efforts to make the subject of evaluation as international profession, and significant progresses have been made. Nowadays, Evaluation is an internationally distinguished profession. As a matter of fact, a series of approaches and model of evaluation have been developed by scholars from different field of specialization. These approaches and models may be categorized into three important groups. The categories and the subsequent approaches and models are presented as follow.

### **2.3.1 Evaluation Theories/Approaches**

Setting the on-going arguments of theory and/or practice of monitoring and evaluation aside, there are three theory based approaches in monitoring and evaluation. These are result-oriented, constructivist and reflexive.

#### **Result-Oriented Approach**

Result-oriented monitoring and evaluation is concerned with measuring the achievement of project/program objectives and the results of the interventions. Result-oriented approaches are often used to provide an accountability trail for the investment in the project or the program. This is the case whenever financiers and their backers have to or want to see what has been done with their contribution. Typical M&E methods in this situation are Log-Frames or Logic Charts or the more flexible Theory of Change. These methods are based on assumptions and expectations of causality and linearity (Kusek and Rist 2004).

### **Constructivist approach**

The constructivist M&E approach assumes that people are the motor behind the development of novelties and societal change processes. They achieve this through interaction and negotiation (Guba and Lincoln 1989). Mutual understanding and exchange of experiences support collective learning, improvement and change. Constructivist methods focus heavily on monitoring and evaluation of the progress of the collective learning process. They do not so much define (the “what” question) but highlight more how successful collective learning processes are initiated and prolonged (the “how” question). A central activity is sharing experiences from different perspectives by different people. An analysis of the most important issues is made on the basis of individual stories and together with the story-tellers, the group reflects on possible further steps. Related M&E methods are Learning Histories (Kleiner and Roth, 1997). The strength of constructivist methods is that they stimulate the exchange of perspectives. They ensure a good insight into how processes evolve. These insights are of value for the learning process itself and the relationships within the project can be strengthened using the results of monitoring and evaluation.

### **Reflexive approach**

It is the most recent approach in M&E, and it focus on both a collective learning process as well as on the results in terms of learning and institutional change. In reflexive approach, project participants not only exchange their personal viewpoints and motives but they also debate their presumptions and underlying values and norms and the institutional context in which they operate. In this way, they can arrive at diverse agreements about possible joint actions. Reflexive monitoring assumes that system innovation can only take place if the institutions (laws, regulations, culture, etc.) which have until now perpetuated the current (non-sustainable) practices change as well (Mierlo and Regeer 2010).

### **2.3.2 Categories of Evaluation Models**

As presented in the evaluation literatures, there are a series of alternative approaches to and models of evaluation. However, many authors agree on the basic classification of models into categories based on their focus: effectiveness models, economic models and professional models. Each one of these has, obviously, different purpose and present advantages and disadvantages according to the object of evaluation. Let us see the categories in brief.

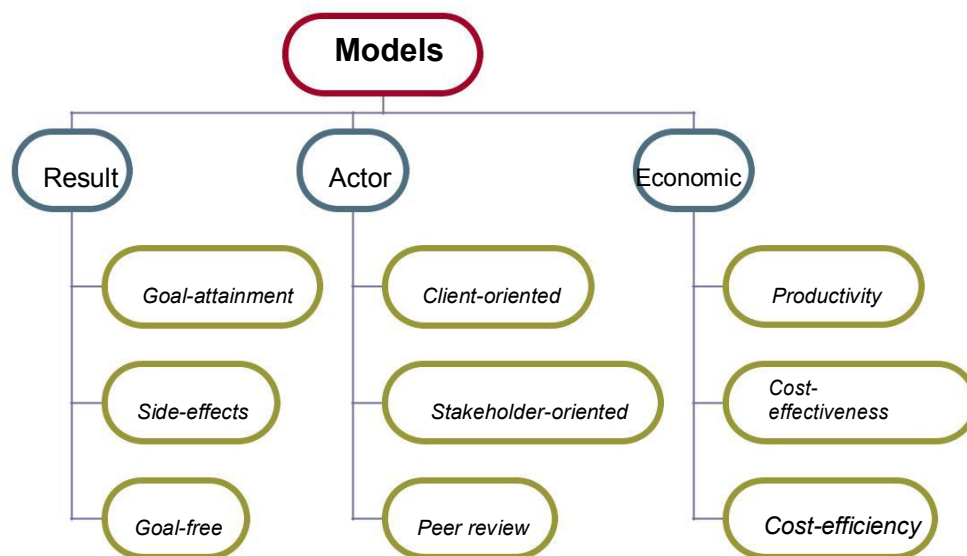
## ***Result Models***

Model that fall under this category focus on the results of a given performance, program or organization and they inform on whether the goals have been realized or not and on all the possible effects of the program, both foreseen and unforeseen. There are at least two distinct methodologies, reflecting distinct methodological principles: goal-bound and goal-free procedures. Broadly speaking, goal-bound evaluation is focused on the relative degree to which a given product effectively meets a previously specified goal, while goal-free evaluation measures the effectiveness of a given product exclusively in terms of its actual effects (Swedish Institute For Growth Policy Studies 2006).

## ***Economic Models***

These models test whether program's productivity, effectiveness and utility have been satisfactory in terms of expenses. Even though cost analysis is currently a somewhat controversial set of methods in program evaluation, economic models can provide estimates of what a program's costs and benefits are likely to be, before it is implemented; they may improve understanding of program operation, and tell what levels of intervention are most cost-effective and they might reveal unexpected costs (Swedish Institute For Growth Policy Studies 2006).

Figure 2.2 Evaluation Models



*Source: Adapted from Vedung (1997), "Public Policy and Program Evaluation"*

### ***Professional Models***

Recently, the need of “defining evaluation model according to the purpose of evaluation, its object or the problem to be solved by the evaluated program” has been appreciated by scholars and three schools of thought emerge accordingly (Hansen 2005; Swedish Institute For Growth Policy Studies 2006). Scholars in one school of thought claim that the choice of models must be based on the purpose of the evaluation (formative evaluation and stakeholder models if the evaluation is intended to create learning, summative and goal attainment model if it is planned to control performance). Scholars in the other school are advocates of the choice of different combination of evaluation models due to the characteristics of the object to be evaluated; and finally we have the scholars arguing that evaluation design should be determined on the basis of an analysis of the problem that the object of evaluation is meant to solve (Swedish Institute For Growth Policy Studies 2006).

Accordingly, there are varieties of approaches used and models developed by renowned professionals in the field of evaluation, namely George F. Madaus, Michael S. Scriven, Daniel L. Stufflebeam, Micheal Q. Patton and others. This part of the paper briefly discusses some important approaches/models of evaluation.

### **2.3.3 Selected Evaluation Approaches and/or Models**

#### **Goal-Free Evaluation Approach**

It is developed by Michael S. Scriven and focuses on the actual outcomes rather than the intended outcomes of a program. Thus, the evaluator has minimal contact with the program managers and staff and is unaware of the program’s stated goals and objectives. The major question addressed in this kind of evaluation is, “What are all the effects of the program, including any side effects?”

#### **Adversary/Judicial Approaches**

These approaches adapt the legal paradigm to program evaluation. Accordingly, two teams of evaluators representing two views of the program’s effects argue their cases based on the evidence (data) collected. Then, a judge or a panel of judges decides which side has made a

better case and makes a ruling. The question this type of evaluation addresses is, “What are the arguments for and against the program?”

### **Utilization-Focused Evaluation Model**

It is developed by Micheal Quinn Patton, and the evaluation is done for and with specific, intended primary users for specific, intended uses”. It is assumed that stakeholders will have a high degree of involvement in many, if not all, phases of the evaluation.

### **Participatory/Collaborative Evaluation**

Participatory or collaborative forms of evaluation allows the engagement of stakeholders in the evaluation process, so they may better understand evaluation and the program being evaluated and ultimately use the evaluation findings for decision-making purposes.

### **Other Approaches**

The other important approaches to evaluation include: the *Behavioral Objectives Approach* that focuses on the degree to which the objectives of a program, product, or process have been achieved; the *Responsive Evaluation* approach that calls for evaluators to be responsive to the information needs of various audiences or stakeholders; the *Consumer-Oriented Approach* whose emphasis is to help consumers choose among competing programs or products; the *Expertise/Accreditation Approach* which relies on expert opinion to determine the quality of programs; the *Empowerment Evaluation Approach* that uses evaluation concepts, techniques, and findings to foster improvement and self-determination; and the *Organizational Learning Approach* that views evaluation as ongoing and integrated into all work practices.

## **2.3.4 Models of Program Evaluation**

Even if there are a series of models of program evaluation, the Logical Framework Analysis and Context, Inputs, Process, Product (CIIP) are chosen to be discussed for this project.

### **2.3.4.1 The Logic Model**

The Logic Model often used during program planning, and its structure strongly supports a rational evaluation plan. All the necessary activities of evaluation should be done, and the information should be filled in templates as presented next page.

Table 2.1 Logical Framework (Logframe) Template

	PROJECT SUMMARY	INDICATORS	MEANS OF VERIFICATION	RISKS / ASSUMPTIONS
Goal				
Outcomes				
Outputs				
Activities				

*Source:* Adapted from the book Evaluation: A Systematic Approach (1999)

The Logic Model's structure, as clearly shown in the template, does have horizontal logic components and vertical logic components. Vertically, there are activities to be carried out with the use of inputs (material, financial, human, technical, etc.) that are already in place. Once the activities are carried out, some results (outputs) are expected to be produced. The outputs then bring about the outcomes expected. The outcomes in turn contribute to the achievement of the broader objective, i.e. goal. There are also elements in the horizontal section that are to be explained in the Logical Framework table later.

The other very important issue is the fact that the Logic Model's structure shares characteristics with Stufflebeam's CIPP evaluation model whose discussion is to follow after this part. Actually, the four basic components of the Logic Model are simple to define. The level of complexity introduced into the specification of each component can vary with the evaluator's skill or the program's resources. For complex programs, the Logic Model can be expanded to multiple tiers (Frechtling, 2007), and Frye & Hemmer (2012) discuss the basic elements of Logic Model as follow.

**INPUTS:** A Logic Model's Inputs comprise all relevant resources, (financial, material, and human), expected to be or actually available to a project or program. Inputs may include funding sources (already on hand or to be acquired), infrastructural facilities, skills, time, staff time, technologies, institutions and other crucial materials for the program or the project. An inventory of relevant resources essentially allows all stakeholders an opportunity to confirm the commitment of those resources to the program. A comprehensive record of program resources is also useful later for describing the program to others who may wish to emulate it.

**ACTIVITIES:** The second component of a Logic Model details the activities that are naturally expected to occur in sequence or simultaneously as specified in the Model. That explicit ordering of activities acknowledges that a subsequent activity may be influenced by what happens after or during implementation of a preceding activity. The activities to be elaborated in the model are indispensable to meet the needs of the programs.

**OUTPUTS:** Outputs, the Logic Model's third component, are defined as indicators that one of the program's activities or parts of an activity is underway or completed and that something (a 'product') happened. The Logic Model structure dictates that each Activity must have at least one Output, though a single Output may be linked to more than one Activity. Outputs can vary in 'size' or importance and may sometimes be difficult to distinguish from Outcomes, the fourth Logic Model component.

**OUTCOMES:** Outcomes define the short-term, medium-term, and longer range changes intended as a result of the program's activities. The program's outcomes may be specified at the level of individuals, groups or an organization.

Besides the four basic Logic Model elements, a complete Logic Model is carefully referenced to the program's Context and its Impacts. Context refers to important elements of the environment in which the program takes place, including social, cultural, and political features. Impact comprises both intended and unintended changes that occur after a program or intervention. Long-term outcomes with a very wide reach might be better defined as 'impacts' than outcomes in a Logic Model approach.

A Logic Model approach can be very useful during the planning phases of a new development program or project or when a program is being revised. Because it requires that development planners explicitly define the intended links between the program resources (Inputs), program strategies or components (Activities), the immediate results of program activities (Outputs), and the desired program accomplishments (Outcomes). Logic Models have proven especially useful when more than one person is involved in planning, executing, and evaluating a program. A program's initial Logic Model may need to be revised as the program is implemented (Patton 2011).

Table 2.2 The Logical Framework Matrix Explained

	<b>DESCRIPTION</b>	<b>INDICATORS</b>	<b>MEANS OF VERIFICATION</b>	<b>ASSUMPTIONS</b>
<b>Objective</b>	The condition or state one expects to achieve. The part of the overall purpose or goal that the project will achieve.	A quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement or to reflect the changes connected to an intervention. A variable that represents a valid measure of change. (A measure you will use to determine whether you have achieved your objective)	How the information or data required to calculate the indicator will be collected	External conditions necessary if the goal is to be achieved.
<b>Outcome</b>	The planned or achieved results of an intervention's activities and outputs; changes that contribute to the project's overall objective.	Same as above (A measure you will use to determine whether you have achieved your outcome)	Same as above	External conditions necessary if the objective is to be achieved.
<b>Output</b>	The products, goods, services and immediate results produced by the project.	Same as above (A measure you will use to know you have produced the output and that the output is of good enough quality to achieve your outcomes)	Same as above	External conditions necessary if the outcome is to be achieved.
<b>Activities</b>	The tasks or interventions required to achieve the outputs	Inputs/resources required to carry out activities: Resource provided for program implementation. Examples include money, staff, time, facilities, and equipment.		External conditions necessary if activities are to be conducted and lead to the outputs.

Source: Adapted from the book Evaluation: A Systematic Approach (1999)

#### **2.3.4.2 The CIPP (Context/Input/Process/Product) Model**

The CIPP set of approaches to evaluation is developed and described by Daniel Stufflebeam. First described in print in 1971, Stufflebeam intended CIPP Model evaluations to focus on program improvement instead of proving something about the program. The CIPP approach consists of four complementary sets of evaluation studies that allow evaluators to consider important but easily overlooked program dimensions. By alternately focusing on program Context, Inputs, Process, and Products, the CIPP model addresses all phases of development program: planning, designing, implementation, and evaluation. The first three elements of the CIPP model are useful for improvement-focused (formative) evaluation studies, while the Product approach, the fourth element, is very appropriate for summative (final) studies (Frye & Hemmer 2012). Let us see the CIIP model as discussed by Frye & Hemmer.

**Context evaluation study:** A CIPP Context evaluation study is typically conducted when a new program is being planned. A CIPP Context evaluation study identifies and defines program goals and priorities by assessing needs, problems, assets, and opportunities relevant to the program. The Context study's findings provide a useful baseline for evaluating later outcomes (Products). When preparing a request for external funding, a program's planning or leadership team can use a good Context study to strengthen the proposal. Because questions about potential impediments and assets are included, a Context evaluation is more inclusive than a conventional 'needs assessment', though it does include that essential element. A number of data collection and analysis methods lend themselves well to a Context study. The evaluator might select from among the following methods, for example, depending on what the situation demands: document review, demographic data analysis, interviews, surveys, records analysis and focus groups discussions (Frye & Hemmer 2012).

**Input** evaluation study: A CIPP model Input evaluation study is useful when resource allocation (e.g., staff, budget, time) is part of planning development program. An Input evaluation study assesses the feasibility or cost-effectiveness of alternative or competing approaches to the development need, including various staffing plans and ways to allocate other relevant resources. Incorporating the Input evaluation approach into program development helps to maintain maximum responsiveness to unfolding program needs (context). Building on the associated Context evaluation study, a CIPP model Input evaluation study focuses on how best to bring

about the needed changes. A CIPP Input evaluation study formalizes a scholarly approach to program design. When used to plan a new program, an Input evaluation study can also set up clear justification for assigning grant funding or other critical resources to a new program. When applied to a program already in place, an Input evaluation study can help the key players to assess current progresses against intended objectives. Its focus on feasibility and effectiveness allows a developing program to remain sensitive to the practices most likely to work well.

***Process evaluation study:*** A CIPP Process evaluation study is typically used to assess a program's implementation. This type of study also prepares the evaluator to interpret the program's outcomes by focusing attention on the program elements associated with those outcomes.

A Process evaluation study can be conducted one or more times as a program runs to provide formative information for guiding in-process revisions. For programs operating in the complex environment, this attention to process issues allows an ongoing data flow useful for program management and ongoing effective change. This kind of evaluation study can also be conducted after a program concludes to help the evaluator understand how the program actually worked. A CIPP Process study explicitly recognizes that a model or program adopted from one site can rarely be implemented with fidelity in a new site: contextual differences usually dictate minor to major adaptations to assure effectiveness. The Process evaluation study elicits information about the program as actually implemented.

The CIPP model's Process evaluation study is invaluable for supporting accountability to program stakeholders. It also allows for the data collection necessary for a program's continual improvement. The 'lessons learned' about programmatic processes documented in a Process study are often useful to other evaluators, even when communication of program outcomes alone may not be all that useful.

An evaluator designing a CIPP Process evaluation study would typically want to use the least-obtrusive methods possible while the program is running. The evaluator might choose from among these methods: Observation, Document review and Participant interviews.

***Product evaluation study:*** The CIPP model's Product evaluation study focuses on program outcomes. The CIPP Product evaluation study is the one most closely aligned to the traditional

‘summative’ program evaluation found in other models, but it is more expansive. This type of evaluation study aims to identify and assess the program outcomes, including both positive and negative outcomes, intended and unintended outcomes, short-term and long-term outcomes. It also assesses, where relevant, the impact, the effectiveness, the sustainability of the program and/or its outcomes, and the transportability of the program (Frye & Hemmer 2012).

A CIPP model Product evaluation study also examines the degree to which the targeted needs were met. A Product evaluation study may be conducted while a project is *running*, as interim reports of such a study will be useful for accountability purposes and for considering alternative processes, if warranted by less than desirable findings.

A well-conducted CIPP model Product evaluation study allows the evaluator to examine the program’s outcomes across all participants as well as within relevant sub-groups or even for individual participants. Program outcomes (Products) are best interpreted with the findings of the Process evaluation studies in hand: it is possible, for example, that poor implementation (a process issue) might cause poor or unintended outcomes. The art of the Product evaluation study is in designing a systematic search for unanticipated outcomes, positive or negative. To encompass the breadth of a good Product evaluation study, the evaluator might choose from these methods and data sources: Stakeholders’ judgments of the project or program, Comparative studies of outcomes with those of similar projects or programs, Assessment of achievement of program objectives, Group interviews about the full range of program outcomes, Case studies of selected participants’ experiences, Surveys and Participant reports of project effects (Frye & Hemmer 2012).

## **CHAPTER THREE**

### **3. METHODOLOGY OF THE RESEARCH PROJECT**

### **3.1 Description of the Programs**

The programs that this research project focuses on fall under channel one programs that have been coordinated under COPCU at MoFEC. The details of the programs are presented as follow.

#### **3.1.1 Promoting Basic Services**

As stated in the background of the this paper, the development assistance of development partners has been flowing through three channels, and Channel One Programs Coordinating Unit had eleven programs while this project was being done. PBS that is being substituted by ESPES is one of the key programs coordinated by COPCU, and its main objective is to contribute to the higher-level objective of expanding access and improving the quality of basic services by funding block grants that ensure adequate staffing and operations, and by strengthening the capacity, transparency, accountability and financial management of sub-national governments.

The Program's Development Objective indicators are: Student-teacher Ratio (Grades 5-8) & Proportion of Qualified Primary School Teachers (by gender and region) for education; Ratio of health extension workers to population for health; Agricultural extension services beneficiaries for agriculture; Reduced non-functioning water supply schemes for water; Roads in fair and good condition for rural roads; Citizens who are informed about Woreda budget for transparency; Citizens who report that Woreda officials have actively sought the views of people in their *Kebele* on improving quality of basic services for Social Accountability; and WoFEDs that have effectively rolled-out IBEX for Financial Management (PBS Program Operational Manual 2012).

The guiding principles of the program implementation are: *effectiveness* which focuses on maintaining effective service delivery through adequate sectoral resource allocation, balanced intra-sectoral allocation, and results achieved; *sustainability* to ensure sustainable financing of basic services over the long-term even without the PBS Program; *additionality* to ensure increasing of overall financing for the federal block grants in a predictable manner; *fairness* to ensures that resource allocations are rules-based and transparent, and block grant disbursements are executed as planned in budget allocations; *equity* to track and assess any discrepancies in access to basic services; *transparency* to provide stakeholders with more information about resource flows, standards and results; *fiduciary probity* relying on a robust fiduciary system

down to local administrations; and **predictability** to ensure mutual accountability by predictable resource flows for basic service delivery results (PBS Program Operational Manual 2012).

### **Program Components**

PBS supports the Government's commitment to strengthen decentralized service delivery and enhance local transparency and accountability mechanisms that support those service delivery objectives. The PBS Program has three sub-programs with components and sub-components. *Sub-Program-A (Basic Services Block Grants- USD 6.2 billion, IDA USD 555 million)* is a high-volume sub-program that finances recurrent expenditures for basic services at sub-national levels. *Sub-Program-B (Strengthening Local Accountability and Transparency Systems- USD 114.6 million, IDA USD 40.0 million)* is a system strengthening sub-program with three interrelated components aimed at improving transparency and accountability systems at woreda-level. The components are (B1) Citizen's Engagement, (B2) Local Public Financial Management, and (B3) Managing for Results. *Sub-Program-C (Results Enhancement Fund- DFID administered UKLBS 50 million or USD 78.2 million)* is a results enhancement fund to pilot performance-based approaches to remove constraints to reaching results (FDRE Ministry of Finance and Economic Development PBS Program Operational Manual 2012).

#### **3.1.2 Enhances Shared Prosperity through Equitable Services**

Enhancing Shared Prosperity through Equitable Services (ESPES) is devised as a new framework for engaging in decentralized basic services in Ethiopia, and it focuses on leveraging the government's broad program of service delivery support to promote equity, enhance capacity, and institutionalize critical systems for service delivery, especially at the *woreda* level.

The program supports the government's system for the delivery of basic services, which is supported by the Federal Government through the IGFT to the *woredas*. Under this program of support, the *woredas* are responsible for the delivery of basic education, primary health care, agriculture extension, water supply, and rural road maintenance. The IGFT or block grant mechanism is primarily focused on recurrent expenditure: salaries and operational and maintenance costs. Approximately 85 percent of local-level allocations finance recurrent expenditures, the majority of which are for the salaries of front-line service providers, for example, teachers, agricultural development agents (DAs), and HEWs (Program Appraisal Document 2015; World Bank Report 2015).

The objective of the proposed program is to improve equitable access to basic services and strengthen accountability systems at the decentralized level. The project development objective (PDO) monitoring indicators are: per capita increase in budgeted federal government block grant transfers to regions, excluding Addis Ababa; improved geographic equity in NER outcomes; improved geographic equity in Penta3 outcomes; increased number of women household heads receiving agricultural advisory services; increased number of *woredas* screening projects for their environmental and social effects; increased number of *woredas* conducting pre-budget discussions; and public financial management (PFM) Benchmarking Rating system established in all regions (Program Appraisal Document 2015; World Bank Report 2015).

The program is focused around four sets of key results: ensuring equitable access to basic services; enhancing citizen engagement and environmental and social management capacity; deepening fiduciary aspects of basic service delivery; and ensuring quality data access and results. There are disbursement linked indicators (DLIs) detailed to bring about the set key results.

The ESPES replaced the basic service block grant portion (Subprogram A) of the PBS, which has supported the government's IGFT program since 2006. The PBS Subprogram B (strengthening local accountability and transparency systems) will continue until 2018. The PforR will therefore complement the parallel efforts under the PBS Subprogram B to promote citizen engagement, environmental and social management capacity, FM, and results. This complementarity is intended to promote synergies between the programs to significantly advance capacity-building efforts for and efficiency of decentralized service delivery (Program Appraisal Document 2015; World Bank Report 2015).

The government's overall program of support is reflected in the current growth and transformation plan (GTP), which includes broad objectives for service delivery in each sector. The GTP aims to expand the coverage of basic services and improve their quality as a key mechanism to achieve the MDGs. Among the GTP's seven key strategic pillars, (a) enhancing expansion and quality of social development, and (b) building capacity and deepening good governance are directly related to the envisaged ESPES PforR support. With the overall goal of maintaining a strong economic growth rate, the GTP gives special emphasis to agriculture and

rural development, industry, infrastructure, social and human development, and better governance through decentralization and local decision-making. The GTP also accords high emphasis to increasing capital investment in infrastructure and in the social and human development sectors. Because the GTP goals inform and determine the structure of the IGFT, public expenditures on basic services have more than doubled in recent years. DP support is organized around these goals (Program Appraisal Document 2015; World Bank Report 2015).

The total program expenditure anticipated for *woreda*-level service delivery from 2015–2018 is US\$8.01 billion, of which the government is currently expected to finance 89 percent (including the identified financing gap). The proposed PforR projects cost approximately 7.5 percent of total financing for this period. The estimate of the government’s program of expenditure is based on the GoE’s Macroeconomic and Fiscal Framework (MEFF), which provides rolling estimates of medium-term (five years) government expenditure forecasts. Based on forecasts of federal block grant transfers obtained from the MEFF, *woreda* block grant transfers for the program period were estimated using historical trends. Support from other DPs includes resources from the African Development Bank (AfDB) and Italian Development Cooperation (Program Appraisal Document 2015; World Bank Report 2015).

Table 3.1 Overall Government Program and Contribution of PforR (in US\$ millions)

No.	Sources	Fiscal Year			Total
		2015/16	2016/17	2017/18	
1	<i>Woreda</i> Block Grants Total Value <sup>a/</sup>	1,948.5	2,598.0	3,464.0	8,010.5
2	Government Contribution <sup>b/</sup>	1,430.0	1,906.6	2,542.1	5,878.7
3	IDA Contribution	200.0	200.0	200.0	600.0
4	Other Development Partners	89.2	84.0	84.0	257.2
5	IDA Share	10.3%	7.7%	5.8%	7.5%
6	Financing Gap	229.3	407.4	637.9	1,274.6

<sup>a/</sup>Projected based on historical trends.

<sup>b/</sup>Projected based on past growth rate of government contribution to the block grants

Source: Program Appraisal Document 2015; World Bank Report 2015

### **3.2 Design of the Research Project**

Both quantitative and qualitative research methods were used in this study. The qualitative method was more descriptive, and the data was organized and presented using table, frequencies and percentages. Part of the data which was collected using interview schedule was presented and analyzed using the qualitative technique. As it is customary to begin any research by consulting pertinent literatures, a review of literature was made on M&E and aid in general and on M&E of the PBS and ESPES programs in particular. Next to that, identification of key informants; preparation of interview questions; development of questionnaire; organization and analyses of the collected data were carried out. After the identification of the key informants, informal discussions were held as the first brain storming session. The session was of great significance to shape the direction of the project. In addition to that, potential sources and persons for data collection were identified. In the first formal meeting, the writer met with the PBS III Team Leader at MOFED (MOFEC) to discuss on the setting under which PBS (III) and ESPES programs operate. Meanwhile, regional focal persons for the programs, PBS Secretariat Office and other crucial sources of data were consulted. From all these sources, primary and secondary data were collected. Eventually, the data were organized, presented and analyzed both quantitatively and qualitatively.

### **3.3 Target Population**

As stated in the scope of this project work, the assessment of the M&E systems and tools of the programs is limited to the regional and federal levels. At federal level, there are key institutions such as: the implementing ministry-MoFEC; the key sector ministries- MoH, MoE and MoANR; and the verifying agencies-OFAG, CSA, FEACC, FPPAA, NPC and WHO. At regional level too, there are key institutions such as: the implementing bureaus-BoFECs; the key sector Bureaus- BoH, BoE and BoANR. In the MoFEC, there is COPCU, PBS III Team with finance, procurement, social accountability units. Consequently, coordinators, specialists, experts and consultants were part of the target population. In the key sector ministries also, there were experts working on information management systems for education, health and agriculture, and they are also part of the population. In the verifying institutions too, there were experts working on the verification of reports from the key sector ministries. Thus, these experts were also part of the target population. Similarly, there were employees at regional levels that were made up to be

part of the target population. All regional COPCU coordinators were also added to these employees. Just to put it by figures: there were 10 BoFECs' COPCU coordinators; there were 20 procurement and property management team leaders at Regional Agencies of Procurement and Property Disposal or Administration; there were 10 finance team leaders at BoFECs; and there were 60 (10 \* 3\*2) information management system experts from key regional sector bureaus. Hence, the aggregate number of target population from regions is 100. The aggregate number of population at the federal level is 70, and it is disaggregated as: 16 employees from MoFEC PBS III- ESPES Team (6 from finance, 5 from Procurement and 5 from social accountability units); 6 information management system experts from key sector ministries; 36 employees of finance, audit, procurement and property disposal/administration key sector ministries; and 12 employees from verifying agencies. Therefore, the total number of target population from the regions and the federal governments is 170.

### **3.4 The Sampling Procedure, Techniques and the Sample Size**

The sampling procedure for the selection of key informants and sample from among 170 members of the target population who can provide responses for questions in the questionnaire combined probability and non-probability techniques. Key informants for interview were mainly selected using the snow-ball and quota techniques of non-probability sampling. For the remaining respondent selection, clustering and systematic randomization were used and a sample of 118 employees was formed eventually.

Obviously, 69.4% of the target population was made to be the sample size because of the nature of the research project, the programs to be studied and the relatively small number of target population. In order to constitute the sample size from the other categories, members of the target population from different categories were listed *sequentially* as per the numbering of the regions. Accordingly, 7 coordinators were selected from BoFECs' COPCU; 7 finance team leaders were selected from BoFECs; 14 team leaders of procurement and property management were selected from Regional Agencies; 42 information management system experts were selected from key regional sector bureaus; 11 employees were selected from MoFEC PBS III- ESPES Team; 4 information management system experts were selected from key sector ministries; 25 employees of finance, audit, procurement and property disposal/administration key sector ministries; and 8 employees were selected from verifying agencies, all the selections were by

*systematic* randomization. Consequently, 118 units were selected from the target population of 170 people and it is the appropriate sample size as per the following formula.

$$S = \frac{X^2NP(1-P)}{d^2(N-1) + X^2P(1-P)}$$

S= required sample size

X<sup>2</sup>= the table value of chi-square for 1 degree of freedom at the desired confidence level (3.841).

N= the population size.

P= the population proportion (assumed to be .50 since this would provide the maximum sample size).

d = the degree of accuracy expressed as a proportion (.05).

After 118 employees were selected, the developed questionnaires were dispatched via electronic mail of the PBS III- ESPES Team at MoFEC. Afterwards, the data were collected, organized and analyzed using qualitative technique. The rate of return for the questionnaire was about 78%, and the data were incorporated into the discussion of the project.

### **3.5 Sources of Data or Information**

There are primary and secondary sources of data for the project. The primary sources are the key informants (senior experts, specialists, consultants, coordinators and team leaders), and respondents to the questionnaire. The secondary sources are documents such as Programs' Appraisal Documents, Programs' Implementation/Operational Manuals, JRIS and JBAR Review Reports, Programs' Mid-term Review Reports, Programs' Progress Reports, Programs' Audit Reports, Programs' Procurement Reports and others relevant documents.

### **3.6 Techniques and Tools for the Data or Information Collection**

Some techniques and tools were used for the collection of data and information for the project. They include: reviewing the relevant documents meticulously, holding informal and formal discussions with the key informants, preparing interview schedule and conducting the interview session with different key informants, preparing questionnaire, dispatching it to respondents and collecting the dispatched questionnaire.

### **3.7 Organization and Analysis of the Data or Information**

The collected data and information were organized, discussed and analyzed both quantitatively and qualitatively. The data that were gathered by dispatching questionnaires were organized and presented in tables with frequency and percentages. The figures were described and analyzed in a way they are substantiated by qualitative data and corroborative documents. While conducting interview with the key informants, a number of issues were raised. With all due appreciation to most of their efforts to provide data and information, the nature of the data/information dictated the organization and the discussion part because of a number of reasons. For one thing, under the programs' context and the supplied data/information, the discussion of the data/information both quantitatively and qualitatively was more appropriate. Besides, accessing quantitative data on the M&E techniques and tools used at the *wereda* level was quite difficult. Undertaking a nationwide assessment to the programs' M&E systems to higher level of quality requires a significant commitments by the GoE and the DPs. What this financially, technically and practically 'poor' researcher can do is to shade light about the necessity of conducting assessment of development programs' M&E systems to optimally achieve, the set national and international targets.

## **CHAPTER FOUR**

### **4. DISCUSSIONS OF THE DATA/INFORMATION**

#### **4.1 Introduction**

In order to collect data and information for this mini research project, the writer used some instruments and techniques. The techniques and tools used for the collection of data and information were justified by the relative constraints of time, access to the data source, material and financial resources. Thus, in such a scenario, the writer gathered the data and information required from primary and secondary sources. The primary sources were staff of PBS and ESPES in the COPCU of MoFEC and the PBS/SDS Secretariat Team at WB Country Office at Bole. Under the Program PBS (III) and now ESPES, there are Finance, Procurement, Social Accountability, Financial Transparency and Accountability and Financial Management Units. These units have coordinators, consultants, specialists and experts who have been the primary source of information for the project. Some efforts were also made to collect data from the regional program coordinators by dispatching questionnaire (twenty) via email. Regarding the secondary sources, Reports (JRIS and JBAR Progress and midterm Reviews, Independent Procurement Review, Audit Report, Performance Reports and other evaluation reports) constitute the major portion. Apart from these reports, crucial documents (Program Operational/Implementation Manual, Program Appraisal Document, Procurement and Auditing Manuals, National Proclamations) also served as secondary sources. The critical review of the documents and in-depth interview with the aforementioned staff were, therefore, the bases of the discussions made hereunder.

#### **4.2 Institutional Contexts of PBS III and ESPES**

This program has been implemented in the context where the bilateral and multilateral DPs coordinated their development assistance effort to be channeled into the intergovernmental fiscal transfer system of the GoE. On the side of the DPs, the WB country office through the PBS Secretariat hosted therein follows-up and supervises the overall performance of the Program. On the side of GoE, MoFEC through the COPCU and PBS III Team is in charge of implementing the program using the decentralized system of fiscal transfer and performances vis-à-vis the delivery of basic services stated in the PDO.

As part of joint efforts of DPs and GoE to monitor the progresses of the program, there are JRIS and JBAR. There is also Technical Task Force that is composed of the staffs of PBS Team from MoFEC and PBS Secretariat from WB. The TTF hold monthly meetings to discuss major issues in relation to the implementation of the programs, reporting and others.

Except for having the six institutions for verification, all the institutional set-ups of the PBS are applicable to ESPES.

### **4.3 The Monitoring and Evaluation Systems**

The M&E systems of the PBS III and ESPES are put in place by DPs (WB/PBS Secretariat or SDS), GoE (Implementing and Verifying Agencies) and DPs and GoE jointly (JRIS, JBAR and TTF). The DPs, through the WB PBS Secretariat and other monitoring and evaluation mechanisms, monitors the progresses and evaluate the programs. The GoE, through the top-to-down implementing agencies and verifying institutions monitors the progresses and evaluate the achievements of the program. The DPs and the GoE jointly monitor and evaluate the programs through JRIS, JBAR and TTF. Let us briefly discuss each of them.

#### **4.3.1 World Bank and PBS Secretariat/SDS**

It is discussed in chapter three that the PBS III program has objectives (PDO), indicators and target set in all the five basic services (WHEAR), and FTA, Social Accountability and Budget Utilization. In order to achieve the objectives set, the WB transfers the agreed amount of fund to the Federal Block Grant (FBG). This fund being added to the FBG will be transferred to BoFEDs of the ten regions, excluding Addis Ababa, as per the formula used by the House of Federation. The BoFEDs in turn transfer the allocated portion of the block grant to WoFEDs and then to KoFEDs. At *wereda* and *kebele* levels, the block grant will be distributed to the concerned sector office that are responsible for the planning, implementation and monitoring of the basic services' (WHEAR) delivery.

There are important points to note here. The first one is that the PBS III fund is added to the recurrent budget (mainly salary), and the program's contribution is not on the physical infrastructure. The second one is that there is no disaggregation of the block grant by its source. Thus, the M&E focus on the progresses and achievements of basic services delivery without

dissociating the contribution of the PBS III program from the lion's share investment of the government, the community and other stakeholders.

The WB country office hosted the PBS Secretariat with the relevant specialists and consultants. The WB and the PBS secretariat monitor and assess the program using varieties of mechanisms such as undertaking separate assessment, consulting other sources of data and information, conducting field missions and others. At this juncture, it is difficult, if not possible, for WB and the secretariat to monitor the day to day activities of basic service delivery and other subcomponents of the program down to the grassroots in all parts of the country. Thence, the M&E of the WB and the secretariat is overall assessment and more of affirmation.

As ESPES is Program for Results, the program fund will be transferred to the FBG after the achievement of Disbursement Linked Results (DLR) is verified and confirmed or approved. Up on the receipt of consolidated and verified reports on achieved DLR, the SDS will make its own review and assessment with a view to deciding for transfer of program fund or to make improvements in the report.

#### **4.3.2 MoFEC, Key Sector Ministries and Verification Agencies**

For PBS III, MoFEC is the implementing agency on government's behalf, and sector ministries/bureaus/offices are partners. Under ESPES Program, the implementation of the physical works has begun to be supervised by key sector ministries while the financial management has been supervised by the MoFEC PBS/ESPES Team. Besides, the role of verifying the consolidated report has begun to be played by CSA, Federal Ethics and Anticorruption Commission (FEACC), Office of the Federal Auditor General (OFAG), the Federal Public Procurement and Property Administration Agency (FPPAA), the National Planning Commission (NPC) and the World Health Organization (WHO) as per the agreement reached between the WB and the MoFEC.

For DPs recognized and supported the decentralized system for the delivery of the basic services (WHEAR), the program fund is transferred and allocated to the *Wereda* and *Kebele* levels using intergovernmental fiscal transfer (IGFT). It is the mandate of the *wereda* to decide on the portions of the grant to the basic services based on its need. However, the targets are set at

national level. As a result, there may be a tendency to compromise the nationally set targets for the basic services (WHEAR).

The other issue to raise here is that it is the constitutional power of the *Wereda* to prepare, implement and monitor the development plan in their constituency. In recognition of this, the DPs agreed to use and strengthen the M&E system of the GoE vis-à-vis the program implementation down to the *kebele* level. In fact, higher need for development; and limited skills to prepare, implement and monitor local development plan adversely affects the achievement of the plans, hence alignment with national targets.

When the monitoring and evaluation systems for the implementation of development plans with respect to the basic services are examined, there are variations among regions, zones, *weredas* or *kebeles*. Understandably, the variations are attributable to a number of factors including capacity. In spite of the variations, putting strong M&E system in place is a recognized challenge in sector offices at all levels of administration. Cognizant of this challenge, let us look at the existing M&E systems, tools and mechanisms from *kebele* to the joint missions.

One tool of monitoring the implementation of development plans is *One-to-Five Development Team*. Though the monitoring exercise is good to follow-up the progress, it has to be *systematic* and *supportive* to the achievement of targets. Some kind of *corrective actions* or *accountability* should also be demonstrated other than reporting and discussing on the responsible factors for not meeting development targets.

The other important tool of M&E is ***auditing***. In the context where there is a strong auditing of financial, procurement, HR, performance and property management activities, the probability of achieving the objectives of well-developed development plan is very high. Regrettably, there is no *internal auditor* assigned or hired in many of the lower level administrations. The capacity of regional offices of auditing (ORAGs) is very limited even to audit less than 10% of the *Weredas*. Their auditing is also more focused on financial or procurement management, and the *audit findings* in many cases left unaddressed. Logically, it is the auditing of performance management including HRM that is important to M&E the level of progresses made and the results achieved in the implementation of development plans.

Conducting well-prepared and undisclosed *supervision* is also important tool of monitoring and evaluation. However, the interviewees reported that supervision activities are more of superficial and the institutions to be supervised are usually aware when supervisors come to supervise.

The other platform of M&E is *meetings* of executives and/or councils. Undoubtedly, the *Wereda* or *Kebele* councils do not monitor the day to day implementations. Nonetheless, they try to indicate general areas of improvements or seek explanation for reported misconducts.

*Reports* also play important roles to monitor progresses. However, the reports should be *authentic, standardized, detailed and periodic*. From the practical experience and discussions of the interviewees, authenticity of reports is compromised by inflated and false figures or information; there are no uniform standards; details are missing in reports; and timeliness of reports is challenged. The tools and mechanisms of M&E discussed here above are applicable from *kebele* to sector ministries despite the relative betterment at some level.

The other important tool introduced under ESPES is *verification*. There are six agencies, i.e, CSA, FEACC, OFAG, FPPAA, NPC and WHO, identified and agreed by the DPs and GoE to verify the consolidated reports of key sector ministries with a view to getting program funds released for DLRs. Indeed, there are recent efforts to strengthen the verification capacity of the agencies. Yet, there are significant gaps to verify the reports based on the day to day monitoring activities down to the *wereda* or *kebele* level. The assignment of ethics and anticorruption officers in many *weredas* is an important measure.

#### **4.3.3 JRIS, JBAR and TTF**

Joint Review and Implementation Support (JRIS) is a semiannual joint mission that is logistically coordinated by PBS Secretariat and functionally coordinated and led by MoFEC. It is an important instrument of M&E of the implementation of the PBS III program. In the JRIS meetings, heads of MoFEC and BoFECs, regional program coordinators, heads of key sector ministries and bureaus attend from the government's side. From the development partners' side, the PBS secretariat and representatives of major DPs attend the meetings. Joint Budget and Aid Review (JBAR) is another semiannual mission that focuses on the review of budget and aid.

These semi-annual Joint Review and Implementation Support (JRIS) and Joint Budget and Aid Review (JBAR) missions allow for the Government, including MoFEC, sectoral ministries, and

regional authorities, and Development Partners to review performance according to the program's principles. Disbursement for the Basic Service Block Grants depends on overall performance of the program.

Before the formal JRIS meeting, there are pre-JRIS field missions that are technically and logistically supported by the PBS Secretariat. The field missions are very important inputs for monitoring and reviewing the program during the formal meetings of JRIS and JBAR. There is also a joint mid-term program review.

In this joint platform, both sides raise and discuss different issues and concerns vis-à-vis the program's implementations, strong areas of implementations, weaknesses to be improved, and many more. This is the way how they jointly review, monitor, and evaluate the performances against the set targets and according to the program's core principles. Actually, each DPs and the PBS Secretariat may employ different techniques to gather information or data on the points to be raised and discussed at the formal meetings of JRIS and JBAR.

The other important joint tool of M&E is the PBS Technical Task Force that is composed of the MoFEC PBS Team and the WB PBS Secretariat. There are monthly meetings of TTF to discuss the overall progresses or performance of the program.

Except for the change in name for the PBS Secretariat into Service Delivery Secretariat (SDC), all these platforms are in place for ESPES too.

#### **4.4 Main Issues of M&E under PBS III and ESPES Programs**

It is explained earlier that the M&E of the PBS III and ESPES Programs have been carried out by DPs (by WB and donor countries or agencies), the GOE and DPs jointly (JRIS and JBAR) and the GOE (by implementing, key sector and verifying institutions). As it is stipulated and agreed in the programs' documents, the programs mainly use the M&E systems, tools and activities for the programs funds are transferred through IGFT system. Hence, discussions and analyses presented hereunder are more focused on the M&E systems, tools and activities of the GOE's implementing, key sector and verifying institutions vis-à-vis the programs. The tables presented below were organized in a way it was possible to present the data collected by using questions with multiple responses by a single respondent for a single question. Therefore, the tables show multiple responses of the respondents aggregately and dis-aggregately.

##### **4.4.1 Tools and/or Activities of the M&E system**

In connection with the tools and activities of the M&E used by the implementing, key sector and verifying institutions at federal, the responses of the respondents are summarized in table 4.1 next page. Accordingly, the tools and activities used for the M&E of the programs include: Management Information System (48%), Completed reports with standard formats (32%), Reports with different formats & quality (68%), Adequate and supportive regular supervision (2%) and Assessments and/or reviews (35.5%). As depicted in the table, a combination of tools and activities were used by the federal implementing, key sector and verifying institutions in order to monitor and evaluate the programs' implementation. From the figures in the table it is clear that reports play significant role in monitoring and evaluating the implementation of the programs. However, the standards, quality and verification of the reports need further improvement for the programs to be more successful since the percentage of having standard and quality reports is at 32. Apart from the responses from the questionnaire, the interviewees also stressed the role of periodic reports as the typical M&E tool.

Although the role of sector MIS as an M&E tool is recognized by the programs and activities were planned to strengthen the MIS, many of the activities are yet to be accomplished. Even though key positions for MIS are available in the structure of the organizations and the positions are filled, the use of MIS as M&E tool was less than half (48%). This shows us that having the necessary structure, staff and infrastructure do not suffice to use the MIS as M&E tool. What

additional things required will be discussed later. Nonetheless, the use of MIS, standard reports and conducting assessment or review was relatively better at federal level.

Table 4.1: M&E Systems, Tools and Activities at Federal Level (N=31)

No	M&E Systems, Tools and Activities	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Management Information System	15	48	16	52	100
2	Completed reports with standard formats	10	32	21	68	100
3	Reports with different formats & quality	21	68	10	32	100
4	Adequate and supportive regular supervision	2	6.5	29	93.5	100
5	Assessments and/or reviews	11	35.5	20	64.5	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

At regional level, the use of MIS for the M&E of the programs was very low (16.7%); the provision of adequate and supportive regular supervision was also very low (8.3%); reports with standard formats and quality was also at 8.3% and there were no assessments or reviews made regarding the implementation of the programs. Reports with varied formats and quality constituted the major tool of M&E for the programs. Reasons for very low usage of the aforementioned tools and activities for the M&E of the Programs were also explained during the interview schedule with the key informants. The reasons were lack of structures/ positions for the MIS staff at *wereda* level, shortage of skilled manpower, limited infrastructure/ facilities and utilities at *wereda* level, very low commitment, transparency and accountability systems put in place.

Table 4.2: M&E Systems, Tools and Activities at Regional Level (N= 24)

No	M&E Systems, Tools and Activities	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Management Information System	4	16.7	20	83.3	100
2	Completed reports with standard formats	2	8.3	22	91.7	100
3	Reports with different formats & quality	22	91.7	2	8.3	100
4	Adequate and supportive regular supervision	2	8.3	22	91.7	100
5	Assessments and/or reviews	-	-	24	100	100

Source: Respondents of the survey Questionnaire, May-June, 2018

Effective use of the above M&E tools and activities is clearly essential to effectively track improvements or gaps in the implementation of the programs' components, subcomponents, DLIs and sub-activities. However, from the discussion of here above, the use of the MIS for M&E was less than half at federal and less than 20% at regional level. Having standard and quality reports for M&E purpose was also at lower level. In this situation, the available and employed M&E tools and carried out activities could not effectively track improvements or gaps in the implementation of the programs' components, subcomponents, DLIs and sub-activities to the level required.

#### 4.4.2 Criterion for examining progress reports and giving feedbacks

Usually, progress reports have been produced on the programs' components, subcomponents, DLIs, DLRs and many of the core activities of the programs from the *weredas* all the way to the implementing ministry-MoFEC. It is also expected from the report-recipient institution to have its own criteria/document against which the progress reports are assessed. Upon the completion of the reports, it is also expected from the report-recipient institution to send back timely and appropriated feedback depending on the progress report after assessment and/or verification activities. In this regard Table 4.3 summarized the criteria for examining progress reports and

giving feedbacks at federal level. Accordingly, the annual development or sectoral plans and the nationally set targets for WHEAR were the main criteria against which the achievements of the programs or their progress reports were examined and subsequent feedbacks were provided.

Table 4.3: Criterion for examining progress reports and giving feedbacks-Federal (N= 31)

No	The criterion upon which examining progress reports and giving feedback depend	Responses				Total
		Yes		No		
		N	%	N	%	
1	Annual plan of sector agency/administrative Unit	31	100	-	-	100
2	Set national targets for WHEAR	31	100	-	-	100
3	The Needs of sector agency or regions	2	6.5	29	93.5	100
4	Arbitrary comments or feedback of employees	-	-	31	100	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

Similar to the discussion made above for the federal level, the criteria for examining progress reports and giving feedbacks for regions were the annual development or sectoral plans and the regionally set targets for WHEAR. From the formal discussions made with key informants, however, the researcher was informed that there were significant gap in following up whether assessment and/or verification of the progress reports were made adequately and feedbacks were provided timely. Moreover, it was reported that there were no mechanisms of checking whether the feedbacks given before were timely and appropriately addressed, and this was reflected in the subsequent progress reports. This was also the case for the federal institutions too.

Table 4.4: Criterion for examining progress reports and giving feedbacks-Regional (N= 24)

No	The criterion upon which examining progress reports and giving feedback depend	Responses				Total
		Yes		No		
		N	%	N	%	
1	Annual plan of sector bureau of the region	24	100	-	-	100
2	Set national targets for WHEAR	-	-	24	100	100
3	The Needs of the regions or <i>weredas</i>	2	8.3	22	91.7	100
4	Arbitrary comments or feedback of employees	-	-	24	100	100

Source: Respondents of the survey Questionnaire, May-June, 2018

#### 4.4.3 Follow-up Mechanisms of Disbursements against the Indicators or Results

In Table 4.5, it is indicated that there were follow-up mechanisms of the disbursements of the program fund as part of the federal block grant through IGFT to enable the achievement of planned program results. In relation to this, the identified mechanisms at federal level included: MIS, periodic reports, assessment and/or reviews. Actually, from the figures in Table 4.5, one clearly recognizes combinations of mechanisms used with varying degree in each federal institution. The figures of some institutions that did not use any one of the mechanisms stated in the table were also presented. Overall, the follow-up mechanisms of disbursements were weak and it was also confirmed by JRIS, OFAG audit findings and interviewed key informants.

Table 4.5: Follow-up mechanisms, tools or activities at Federal Level (N= 31)

No	Follow-up mechanisms, tools or activities	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Management Information Systems	15	48	16	52	100
2	Periodic reports with standard formats	10	32	21	68	100
3	Reports with different formats & quality	21	68	10	32	100
4	Adequate and supportive regular supervision	2	6.5	29	93.5	100
5	Assessments and/or reviews	11	35.5	20	64.5	100

Source: Respondents of the survey Questionnaire, May-June, 2018

Indeed, the follow-up mechanisms, tools and activities were even weaker at regional level. This was also confirmed from the explanations of the key informants, semi-annual JRIS and JBAR reviews and other reports. Because of the weaker follow-up mechanisms, tools and activities, mismatch between what was reported and what was achieved was witnessed under the PBS programs at the completion phase. It was clearly identified when the baseline for PBS III in some indicators was less than the result that was reported as achieved for the same indicators. Similar problems have also been witnessed under ESPES program. This was partly the reason for the back-and-forth of consolidated and verified reports among the WB, MoFEC and Verifying agencies.

Table 4.6: Follow-up mechanisms, tools or activities at Regional Level (N= 24)

No	Follow-up mechanisms, tools or activities	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Management Information Systems	4	16.7	20	83.3	100
2	Periodic reports with standard formats	2	8.3	22	91.7	100
3	Reports with different formats & quality	22	91.7	2	8.3	100
4	Adequate and supportive regular supervision	2	8.3	22	91.7	100
5	Assessments and/or reviews	-	-	24	100	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

From the above results and discussions, it is clear that the use of MIS for M&E is about half at federal level and it is used for the follow-up finance-related activities but not overall program-related activities. This was more difficult at regional and wereda levels. The usual follow-up mechanism was receiving progress reports with all their limitations in connection with standardization, quality and verification. This was also coupled with the findings of assessments or reviews made by governmental and other independent consultants. From the government side, some findings of the OFAG did show that some of the programs' funds were used for purposes they were not intended. Similar findings were also reported by independent review consultants.

What is more a worrying is the focus of the follow-up mechanisms on the financial and budget aspect. Inputs, activities and various aspects of the programs' implementations were with little follow-up especially at local levels. Therefore, there were limitations in the M&E systems, tools and activities in allowing us follow up whether the dispersed resources were used only for the intended purposes

#### 4.4.4 Verification of Progress Reports

The verification of progress reports to be discussed hereunder may fall into two categories. The first category of the verification is about the nationally consolidated reports of sector ministries. The second category is for the verification of the reports received from the lower administrative unit or sector office in the hierarchy.

The verification in the first category more depended on the reports and data from other appropriate and authentic institutions including CSA. Besides, depending on the scope of the report to be verified, there were some activities to be carried out by the verifying institutions. Accordingly, purpose, scope, methodology and result of the verification works would be sent to the MoFEC then to WB. If the WB was not satisfied by the verification result, additional verification could be requested and done accordingly. It is when the verification result is produced to the satisfaction level of the WB that request form for the earmarked money will be filled and the money will be transferred to the Program's account. In fact, the strength of the verification of this category varied due to the capacity and/or competency of the verifying agency, availability of verified data and the scope of the verification work.

Table 4.7: Verification tools or activities for the progress reports at Federal Level (N= 31)

No	Verification tools or activities for the progress reports	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Reports of other GOs and/or NGOs	31	100	-	-	100
2	Field Missions	18	58	13	42	100
3	Adequate and supportive regular supervision	2	6.5	29	93.5	100
4	Assessments and/or reviews	20	64.5	11	35.5	100

Source: Respondents of the survey Questionnaire, May-June, 2018

The verification in the second category was looser and there is no accountability for that. The first weakness at this category was limitations to institutional and human capacities. The limitations in the institutional capacity included the lack/inadequacy of the structure, position, infrastructures, facilities and utilities whereas the limitations to the human capacity included the appropriate knowledge, skill, attitude and commitment.

Table 4.8: Verification tools or activities for the progress reports at Regional Level (N= 24)

No	Verification tools or activities for the progress reports	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Reports of other GOs and/or NGOs	-	-	24	100	100
2	Field Missions	2	8.3	22	91.7	100
3	Adequate and supportive regular supervision	2	8.3	22	91.7	100
4	Assessments and/or reviews	2	8.3	22	91.7	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

From the above discussions, it is clear that there were little verification mechanisms for the day-to-day activities and the periodic progress reports, especially at lower but crucial level of administration. Though the verification of progress reports was relatively better at the federal level, there were also limitations. For one thing, the capacity of the verifying agencies was very limited. Even then, the scope and mechanisms of verification were very narrow and defective. Secondly, there was no verification of progress reports during the PBS III program implementation. There were progress reports only and they were received without verification. Though their scope was very narrow, JRIS and JBAR missions were important. In any case, the field missions, tests or other mechanisms of verifications were not adequate enough to validate the periodically delivered reports.

#### **4.4.5 Effectiveness of the Existing M&E Systems, Tools and Activities**

There are a number of issues that are related to the effectiveness of the M&E systems, tools and activities. More importantly, the effectiveness of the M&E systems, tools and activities are affected by timely responses and actions of the key stakeholders/players to the outputs or results

of the M&E. The responses and actions in turn are affected by policy, legal and institutional setups. Because of the complexity and dynamism of many of the interconnected issues, the question raised to the respondents is more general and opinion-dependent. To ease it, they were asked to reflect on the M&E effectiveness from the perspective of assisting the achievement of program or disbursement linked results. Accordingly, 87 % of the respondents replied that the M&E systems, tools and activities were helpful for the registering 40-60 % of the planned or set programs results.

Table 4.9: Effectiveness of the existing M&E systems, tools and activities-Federal (N= 31)

No	Effectiveness of the existing M&E systems, tools and activities to help the achievement of programs' objectives or targets	Responses		Total	
		No.	%	No.	%
1	Poor (for < 20% of the achievement)	-	-	-	-
2	Moderate (for 20-40 % of the achievement)	2	6.5	2	6.5
3	Good (for 40-60 % of the achievement)	27	87	27	87
4	Very Good (for 60-80 % of the achievement)	2	6.5	2	6.5
5	Excellent (for 80-100 % of the achievement)	-	-	-	-
	Total			31	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

The result of responses for the federal level was nearly approximate to percentage to the responses for the regions. It would be unwise to make a critical reflection or analysis on this response for the may be convincingly many issues to raise in connection of the effectiveness of the M&E systems, tools and activities. Anyways, the researcher opted for putting the figures of the responses as they were.

Table 4.10: Effectiveness of the existing M&E systems, tools and activities-Regional (N= 24)

No	Effectiveness of the existing M&E systems, tools and activities to help the achievement of programs' objectives or targets	Responses		Total	
		No.	%	No.	%
1	Poor (for < 20% of the achievement)	-	-	-	-
2	Moderate (for 20-40 % of the achievement)	2	8.35	2	8.35
3	Good (for 40-60 % of the achievement)	20	83.3	20	83.3
4	Very Good (for 60-80 % of the achievement)	2	8.35	2	8.35
5	Excellent (for 80-100 % of the achievement)	-	-	-	-
	Total			24	100

Source: Respondents of the survey Questionnaire, May-June, 2018

#### 4.4.6 Brief Assessment of the M&E vis-à-vis Management Information System

Nowadays, the role of ICT is quite indispensable for many purposes. Thus, these programs are no exceptions because of the ever-growing influence of globalization, the joint consensus or agreement of the GoE and DPs and irreplaceable role of management information systems (MIS) for M&E of the implementation of development programs. Besides, limitations attached to the M&E of the PBS I, II and III Programs were well recognized in JRIS Reviews. Consequently, putting in place an effective M&E system through capacity building and management information system is one important Disbursement Linked Indicators (DLI-11) under ESPES. Having a functional, integrated and strong MIS at the key sectors is therefore a crucial component. To this end, it is appropriate to briefly look into the basic elements of MIS for the purpose of M&E of the programs under investigation. These elements include organizational structure, positions, staffing, trainings, skills, data production, data management, formats, procedures, guidelines, verifications, quality assurance and control. Actually, the elements could be categorized into groups such as organizational structure and human resource; operation and procedures; data management; and quality assurance and control. Under the headings of each category, there were indicator-related questions raised to the respondents of key sector ministries and bureaus. The respondents of the key sector ministries were asked to respond to the questions by considering facts of their own ministry and regional bureaus along their respective line.

Similarly, the respondents of the key sector bureaus were asked to respond to the questions by considering facts of their own bureau, offices of the respective *weredas*.

The first major component of any MIS in general and MIS for M&E in particular is having adequate organizational structure, approved positions and competent staff for managing the relevant information systematically. In this regard, all the federal ministries and agencies that were contributing to the programs' results achievements did have the structure, staff and their MIS staff received trainings.

Table 4.11: Organizational Structure and Human Resource for Ministries (N=3)

No	Organizational structure and human resource for data production and management	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Structure and Position for MIS (Ministry)	3	100	–	0	100
2	Positions for MIS are filled (Ministry)	3	100	–	0	100
3	Training for MIS staff (Ministry)	3	100	–	0	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

At regional bureaus too, all the implementing and key sector bureaus the structure, staff and their MIS staff received trainings. However, the responses from the respondents indicated that the *weredas* were weak because only 8 (23.5%) of them reported as the *weredas* did have the positions. Of them, 6 reported that the positions were staffed while 4 of the 6 reported that 4 of the staffs were trained. Though this issue requires more investigation, it was obvious from the data that the *weredas* did have very few positions for MIS, with inadequate staffing and training.

Given the *weredas* and the *kebeles* are the most important administrative units in the decentralized system of administration and basic service promotion and delivery, weakness in the M&E systems, tools and activities in general and the MIS in particular can undoubtedly affect the achievement of the programs' results.

Table 4.12: Organizational Structure and Human Resource for Bureaus and *Weredas* (N=34)

No	Organizational structure and human resource for data production and management	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Structure and Position for MIS (R. Bureau)	34	100	–	0	100
2	Positions for MIS are filled (R. Bureau)	34	100	–	0	100
3	Training for MIS staff (R. Bureau)	34	100	–	0	100
4	Structure and Position for MIS( <i>Weredas</i> )	8	23.5	26	76.5	100
5	Positions for MIS are filled ( <i>Weredas</i> )	6	75	2	25	100
6	Training for MIS staff( <i>Weredas</i> )	4	66.7	2	33.3	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

The other crucial component of the MIS is the availability of operational and procedural guidelines that ensure standardization of naming, coding, classification, operating procedures, tools or formats and testing procedures or guidelines.

Table 4.13: Operational and Procedural Guidelines for Key Sector Ministries (N=3)

No	Operational and Procedural Guidelines for data production and management	Responses				Total
		Yes		No		
		No.	%	No.	%	
1	Standard naming, coding & classification (M.)	3	100	–	0	100
2	Standard operating procedures & guidelines (M.)	3	100	–	0	100
3	Standard data collection and reporting tools or formats (Ministry)	3	100	–	0	100
4	Regular testing of procedures/guidelines (M.)	–	0	3	100	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

In relation to this component and its subcomponents, the performance of the federal implementing and key sector ministries did have excellent level of performance. The regional implementing and key sector bureaus were also better in the performance of this component and

its subcomponents. Nevertheless, the *weredas* were at very low level of performance as figures in Table 4.14 show.

Table 4.14: Operational and Procedural Guidelines for Bureaus and *Weredas* (N=34)

No	Operational and Procedural Guidelines	Responses				Total
		Yes		No		
		N	%	N	%	
1	Standard naming, coding & classification (Bureau)	24	70.5	10	29.5	100
2	Standard operating procedures & guidelines (Bureau)	24	70.5	10	29.5	100
3	Standard data collection & reporting tools/formats(B)	24	70.5	10	29.5	100
4	Regular testing of procedures/guidelines (Ministry)	–	0	34	100	100
5	Standard naming, coding & classification ( <i>Weredas</i> )	6	17.7	28	82.3	100
6	Standard operating procedures & guidelines (W.)	6	17.7	28	82.3	100
7	Standard data collection and reporting tools or formats ( <i>Weredas</i> )	4	12	30	88	100
8	Regular testing of procedures/guidelines ( <i>Weredas</i> )	–	0	34	100	100

*Source:* Respondents of the survey Questionnaire, May-June, 2018

Data management is also another critical component of the MIS. In this regard, the federal implementing and key sector ministries all the respondents replied that there were manuals for data management and storage, source documents and reports for audit, data transmission and storage protection, and infrastructures for data management and protection.

Table 4.15: Data management at Ministries

(N=3)

No	Data management and Protection	Responses				Total
		Yes		No		
		No.	%	N	%	
1	Manual for data management & storage (Ministry)	3	100	–	0	100
2	Source documents & reports for audit (Ministry)	3	100	–	0	100
3	Data transmission & storage protection (Ministry)	3	100	–	0	100
4	Infrastructure for data management & protection (M.)	3	100	–	0	100

Source: Respondents of the survey Questionnaire, May-June, 2018

Concerning the data management at the regional level, the bureaus did perform better and the *weredas* were at lower level of achievement in: having manuals for data management and storage; compiling source documents and reports for audit; making data transmission and storage protection; and installing infrastructures for data management and protection. This is well summarized in Table 4.16 next page.

Table 4.16: Data management at Bureaus and *Weredas* (N=34)

No	Data management and Protection	Responses				Total
		Yes		No		
		N	%	N	%	
1	Manual for data management & storage (Bureau)	20	59	14	41	100
2	Source documents & reports for audit (Bureau)	16	47	18	53	100
3	Data transmission & storage protection (Bureau)	20	59	14	41	100
4	Infrastructure for data management & protection (B.)	22	64	12	36	100
5	Manual for data management & storage ( <i>Weredas</i> )	6	17.7	28	82.3	100
6	Source documents & reports for audit ( <i>Weredas</i> )	6	17.7	28	82.3	100
7	Data transmission & storage protection ( <i>Weredas</i> )	–	0	34	100	100
8	Infrastructure for data management & protection ( <i>W.</i> )	22	64	12	36	100

Source: Respondents of the survey Questionnaire, May-June, 2018

The last but the most important component of MIS is data quality assurance and control. In this aspect of MIS, the institutions at all levels were reported to be very weak, and many of its sub-components were indicated as non-existent. For instance, there was no adequate and supportive regular supervision of the MIS at the ministries. Besides, there were no adequate and regular feedbacks on data quality, and guidelines for data quality control mechanisms.

Table 4.17: Data Quality Assurance and Control at Ministries (N=3)

No	Data Quality Assurance and Control	Responses				Total
		Yes		No		
		N	%	N	%	
1	Adequate & supportive regular supervision (Ministry)	-	0	3	100	100
2	Regular procedure for data check & receipt (Ministry)	1	33.3	2	66.7	100
3	Manual for data entry, coding & editing (Ministry)	3	100	-	0	100
4	Adequate & regular feedback on data quality(M.)	-	0	3	100	100
5	Guidelines for data quality control mechanisms (M.)	-	0	3	100	100

Source: Respondents of the survey Questionnaire, May-June, 2018

In the regions too, weaknesses were indicated in many of the sub-components. Apart from the lack of adequate and supportive regular supervision of the MIS, there were little adequate and regular feedbacks on data quality, and guidelines for data quality control mechanisms in regions and the *weredas*. Moreover, regular procedure for data check and receipt is almost non-existent.

Table 4.18: Data Quality Assurance and Control at Bureaus and *Weredas* (N=34)

No	Data Quality Assurance and Control	Responses				Total
		Yes		No		
		N	%	N	%	
1	Adequate & supportive regular supervision (B.)	10	29.5	34	70.5	100
2	Regular procedure for data check& receipt (B.)	2	5	32	95	100
3	Manual for data entry, coding & editing (B.)	20	59	14	41	100
4	Adequate & regular feedback on data quality(B.)	-	0	3	100	100
5	Guidelines for data quality control mechanism(B.)	-	0	3	100	100
6	Adequate & supportive regular supervision ( <i>W.</i> )	2	5	32	95	100
7	Regular procedure for data check & receipt ( <i>W.</i> )	-	0	3	100	100
8	Manual for data entry, coding & editing ( <i>W.</i> )	4	12	30	88	100
9	Adequate & regular feedback on data quality( <i>W.</i> )	-	0	3	100	100
10	Guideline for data quality control mechanisms( <i>W.</i> )	-	0	3	100	100

Source: Respondents of the survey Questionnaire, May-June, 2018

#### 4.4.7 Strengths and Weaknesses of the M&E Systems and the Tools

So far discussions have been made on a series of issues in relation to the M&E systems, tools and activities of the programs. Since there are as many answers as possible to be provided by the respondents due to variations in the contexts, the questions on the strengths and weaknesses of the programs were left open-ended for the respondents. Consequently, several responses were forwarded by the respondents. In addition to that, data gathered from the interview schedule and discussions with the employees of PBS Team at MoFEC. Henceforth, the strengths and weaknesses are discussed in the paragraphs to follow.

#### Strengths of the M&E Systems and the Tools of the Programs

Strengths of the M&E Systems, tools and activities for the programs as indicated from the data collection were many and they may be summarized briefly. One of the crucial strengths of the program's M&E was attached to the JRIS and JBAR missions. As there are a many stakeholders involved in the joint mission, the M&E of the programs was allowed to be improved by the pre-

JRIS field tests or assessment, semi-annual and mid-term JRIS and JBAR joint reviews. The perspectives of both the government and the development partners were being incorporated for the next JRIS meetings.

The other important strength of the programs was the conducting of independent reviews or assessments for different units and components of the programs. These reviews or assessments were financed by the components' budget or by the individual donors or by the WB. Though the purposes and the results of such reviews or assessments varied, they as M&E tools did have significant contributions for the M&E of the programs.

System of verification under ESPES was also additional strength of the M&E of the programs. In the verification system, there are six verifying agencies that do the works of verifying the consolidated sectoral reports for the achieved DLRs. Each of the verifying agencies uses different mechanisms of verification on the reported DLRs.

Even though the scope is limited to the federal level and regional bureaus, the use of MIS as a tool for M&E was strength of the M&E of the programs. As discussed in section 4.4.6 above, many of the components and subcomponents were missing especially at lower levels. Nevertheless, the beginning of it and the attention of ESPES to MIS as M&E tool was quite promising.

### **Weaknesses of the M&E Systems and the Tools of the Programs**

On the weakness side too, many factors were identified. Hereunder are mentioned the main ones. Inadequacy of the M&E systems, tools and activities of the implementing and key sector institutions to the level they were expected to the PDO and DLRs as planned and scheduled by programs operational or implementation manuals. The M&E capacity of the implementing and key sector institutions at *wereda* and *kebele* were very limited. This limitation was related to the availability of approved positions, staffing, knowledge, skills and commitments of the little M&E related staff, infrastructures, facilities and utilities.

Limited scope of the joint missions (JRIS and JBAR) was another weakness even if it was an important M&E mechanism. This was especially true for the field mission. The focus of each

JRIS mission varied over the course of the implementations of the programs. For instance, if the focus of last JRIS was on FTA, the next mission will be on SA or other component of the programs. Even after the selection of one theme or component, the regions or the *weredas* to be selected could be one/two for regions and about 5% of the *weredas*. In the context where the government's M&E capacity was limited at local levels, and very narrow scope of the joint mission, the achievement of programs results would not be expected as planned or scheduled.

Actually, there was system of verification for DLRs. But, there was shortage or lack of verification systems, tools or activities for the progress reports. Even for the DLRs, the M&E capacity of important verifying agencies was very limited. Besides, no accountability was attached for the missed targets or results. Little room for assessing the effectiveness of the M&E systems despite the significant delay in achieving many DLRs as scheduled

The M&E system was more focused on the financial & budget management, and the physical works were not monitored or assessed adequately. The efforts to strengthen the M&E systems of key sector ministries were inadequate though it was DLI as stated in the Program Document. The management information systems for the implementing and key institutions were very weak for ensuring the monitoring and evaluation of the programs performances and results.

From all the above discussions, it is clear that there were a number of limitations to the M&E systems, tools and activities put in place.

#### **4.5 Brief Meta-Evaluation**

As discussed above, the *monitoring* of the programs' performances (as embraced in the performances of administrative units) is to be carried out by the appropriate staffs of the implementing agencies down to the *Wereda* and *Kebele* levels. The *reporting activities* and the subsequent *feedbacks*, if there are any, are also part of the *monitoring* efforts. Concerning the *evaluation* of the programs, it seems remote to the staffs of the *local key sector agencies* only since there are limited capacities. However, the joint efforts to *monitor and evaluate* the programs have been witnessed by the activities and results of the JRIS, the JBAR and the TTF. The other activity of *evaluation* of the programs is *annual auditing* to be conducted by OFAG or ORAG. The scope of *meta-evaluation* in this project paper is, therefore, limited to the aforementioned *monitoring* and *evaluation* systems and hence the instruments and activities

therein. Obviously, there are independent evaluations to be conducted at the mid-term or the completion of program's phase, and they are not part of this exercise due to the lack of access or they are not produced yet.

This short meta-evaluation is done using the Logical Framework Analysis focusing on the lower orders, i.e. Inputs, Activities and Results or Outputs, and the CIPP (Context, Inputs, Process, and Product).

The JRIS Mission in its semiannual meeting and review, have given little attention to the *inputs* that play crucial roles to achieve development targets in general and program's targets in particular. For instance, increasing primary completion and enrollment rates could not clearly be achieved by the mere provision of salaries to teachers though it plays very important role. The physical infrastructures of the school, socio-economic conditions of the families of school-age children, availability of qualified teachers, distribution of textbooks and other factors play significant roles to achieve such results. The same holds true for increasing agricultural productivity. Apart from the advisory and supportive roles of development agents, productivity of agricultural productivity is affected by the topography of the agricultural plot, types and characteristics of the soils, usage of better seeds and fertilizers, access to waters and others. There are other indispensable inputs required for achieving expected results due to the catalytic role of the program intervention. In the horizontal logic, *assumptions* were not stated adequately.

Overall, the pre-JRIS field missions and JRIS reviews are more focused on assessing the progress of the program with respect to the expected results. Getting the desired output is all determined by the preceding activities and supply of inputs (financial, material, human and technical) to be used in the activities. The inadequacy of inputs, quality of inputs and timing of providing inputs affect the activities and later the outputs. Thus, instead of focusing only in *what was or was not achieved*, the JRIS Mission has to give due attention to *why it was not achieved*. This is to mean the inputs required at all levels of administration to achieve the stated objectives and set targets with respect to WHEAR, social accountability, FTA and civic engagement. It has to be also made by taking into account the PDO indicators, expected results, DLIs and DLRs.

Though it may be argued that the M&E of the lower levels of objective in LFA and CIIP models are of the responsibilities of the local (*wereda* or *kebele*) administrations, significant weaknesses

have been reported by the key informants. Indeed, the DPs and the GoE in the Programs' documents agreed to strengthen the M&E systems. However, the joint efforts of the DPs and the GoE to assess the M&E of the program received minimal attention. Only the result component of the LFA and CIIP models were given due attention. There was no clear mechanism of assessing the M&E systems under the program setting to the local level.

The other joint mission is JBAR where the budget utilization and the aid are reviewed. In this mission, the focus is on the timely reporting of the budget utilization and the purposes on which the aid fund is spent. In this mission, little emphasis is given to align the budget utilization with the stated targets. More importantly, the budget to be disbursed for the costs of operation, maintenance and procurement should be aligned with time.

## **CHAPTER FIVE**

### **5.1 CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1.1 Conclusions**

Ethiopia has received foreign assistance since 1940s in the forms of technical, humanitarian, military and development support. The preconditions attached to foreign aid began to ease since the turn of the 21<sup>st</sup> century. Since then, a number of conferences were held, declarations were made and consensus is reached as to the content, objectives, modalities, approaches and effectiveness of development aid. Following the developments, foreign aid began to be harmonized to the national policies and strategies that are geared towards MDGs; countries began to take ownership and responsibilities of the implementations of development programs that are partially or fully funded by development partners; effectiveness of development aid has become the central issue; and above all pro-poor development programs began to deliver concrete results that are crucial to reduce poverty.

Nowadays, the foreign assistance to Ethiopia has been channeled through three important lines. The first channel is coordinated by MoFEC through the unit Channel One Programs Coordinating Unit (COPCU). This channel has now eleven programs under implementation, including General Education Quality Improvement Program (GEQUIP), Productive Safety Net Program (PSNP), PBS and ESPES. PBS and ESPES are programs coordinated by COPCU. The PBS program (Subprogram A) focuses protecting (promoting) basic services such as education, health, agriculture, water and rural road. Besides, social accountability, financial transparency, budget utilization and citizens' engagement are areas of focus under Subprograms B and C. In the stated areas, remarkable achievements have been witnessed such as reducing child mortality, increasing enrolment, improvement in teacher-students ratio, improvement in HEW-Population ratio, reduced non-functional water wells, access to improved rural roads (including all weather roads), increased financial transparency, increased FBG and civic engagement. Under the PBS program, the fund used to be released ahead of implementing the program's component and the results are to be reported later. In the case of ESPES, the budget for carrying out the program's activities is covered by the GoE and it will be refunded when the disbursement linked results are reported as achieved and verified by the verification agencies. Therefore, the PBS was a program managing for results while ESPES is a program for results.

When we come to the monitoring and evaluation systems put in place, the Programs mainly used the existing M&E system of the government from implementing and key sector ministries to the *wereda* or *kebele* level offices. In addition to that, there were joint missions (JRIS and JBAR) and independent reviews or assessments. Generally, the following points are the conclusions of the M&E of the programs as discussed in chapter four.

The M&E system, tools and activities that were used to monitor the programs performances or results were focused on progress reports with inadequate standardization, quality and verification system. Though there were efforts to establish MIS and they were promising at federal and regional bureaus level, the MIS was little established at *wereda* and *kebele* levels. This is therefore a grave concern for the Programs M&E.

Even if the existence of adequate and supportive regular supervision is crucial especially down to the lower administrative units, it was almost absent at regional, *wereda* and *kebele* level where the successes or failures of the programs were seated.

Follow-up mechanisms and verification of progress reports, except for DLRs under ESPES, were highly in adequate. All in all, there were weaknesses in the governmental M&E systems and tools. The weaknesses were attributable to: shortage of skilled manpower; absence of or little internal controls; inadequate auditing and follow-up mechanisms of audit findings; and very limited use of sectoral MIS for M&E. Furthermore, the limited auditing practices were mainly focused on finance but not on procurement, property, human resource and performance.

There were also defects in the M&E activities of JRIS and JBAR for they focus only on the results or targets achieved or missed. The scope of their activities and the sample taken were very small. Weaknesses in the provision of inputs or carrying out activities were not the concerns of the joint missions. In the case ESPES even, the verification agencies capacity was very limited despite the variations in the capacity among themselves.

Generally, the M&E system was very weak though there are variations among regions, *weredas* and *kebeles*. In fact there was a tendency in the relative betterment of M&E when one went upward to the ministerial offices. Overall, monitoring and evaluation of inputs, activities and results in an interwoven manner was far from reality at local levels. The principle of accountability was little implemented.

### **5.1.2 Recommendations**

Obviously, there is high level of emphasis towards MDGs and reaching base of middle income country. In an effort to achieve these targets, there are pivotal things (such as basic services, accountability and transparency, and citizens' engagement) that have to receive significant attention. Promoting the basic services, enhancing equity of service delivery, improving citizens' engagement, improving transparency and accountability are all crucial, and a huge investment has been made on them. So as to ensure them, there must be systems of monitoring and evaluating the basic elements of the development plans in general and of the programs' components (inputs, activities and outputs) in particular. The M&E systems, therefore, play indispensable and catalytic role to achieve the objectives and targets set for the basic services and other components. Based on this fact and the conclusions made, I suggest the following recommendations.

First, putting strong M&E systems in place or strengthening the existing ones should be realized as soon as possible. The M&E systems to be established at *wereda and kebele* levels and to be strengthened at regional and federal levels should make effective use of the information communication technologies. To ensure the effective use of ICT for the M&E, the essential inputs (such as organizational positions, competent employees, ICT infrastructures, utilities, facilities, guidelines, procedures, formats, standard tools, quality assurance and control) should be fulfilled at the levels down to the grassroots.

Secondly, till the effective use of ICT at all levels as it requires more resources including time, standard mechanisms and formats should be developed for verifying the periodic financial, procurement, performance and property management reports at all levels. To ensure the verification, appropriate staff should be hired or assigned. If any discrepancies are to be witnessed, some kind of accountability should be attached and the measures taken have to be communicated to the staffs in a way it serves as a warning lesson for future wrongdoings.

Thirdly, the planned effort to strengthen the M&E of the government system by the program should be materialized in a way it does not adversely affect the existing understanding and agreement between the GoE and the DPs. Such effort should include the appropriate support for verification agencies.

Finally, the M&E system has to have justified approach to fit to the specific needs and requirements of the local administration. It has to be systematic and aligned with the set targets or objectives.

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## *Annex 1: Questionnaire*

**ADDIS ABABA UNIVERSITY**

**College of Business and Economics**

**Graduate School of Commerce**

This questionnaire is prepared for an academic purpose, for the partial fulfillment of MA in Project Management from Addis Ababa University; College of Business and Economics-School of Commerce. The objective of the study is to assess the M&E systems of PBS III and ESPES Programs. The study tries to look at the existing M&E systems, tools and techniques vis-à-vis the implementation of PBS III and ESPES Programs. Therefore, your cooperation with honest response to the subsequent interviews is important for the overall success of the study. The information to be obtained through this interview will remain confidential and used only for research purpose.

Thank you in advance for your cooperation!

### **Instructions**

Please, **Highlight** on the phrase of the alternative you choose. You may pick **more than one answer** for each question, and these questions are forwarded to you assuming that you will have knowledge of them. You may also skip questions that are not in your domain.

#### **I. Background Information**

The name of your organization/institution \_\_\_\_\_ Your Position \_\_\_\_\_

Your Experience \_\_\_\_\_ ( Years)

#### **II. Questions on the M&E of the Programs in general**

The following questions focus on the planning, implementation, monitoring, evaluation and feedback of works or activities on the basic services of water, health, education, agriculture and roads (WHEAR), and social accountability, FTA and budget utilization at regional or federal levels.

1. What are the major tools and/activities of M&E system in relation to the basic service delivery in your organization/institution?  
A. Information Management Systems    B. The reports' Standard formats    C. Supervisions  
D. Assessments and/or reviews    E. Others \_\_\_\_\_.
2. What is the **Base** against which the progress report is **examined and the feedback** is given?  
A. The annual development plan    B. Set national or regional targets for WHEAR  
C. The region's *needs*    D. Arbitrary feedback    E. Others \_\_\_\_\_.

3. How do you trace improvements or gaps in the implementation of PBS III-ESPES in your organization/institution?
  - A. Strongly built Information Management Systems
  - B. The reports' Standard formats
  - C. Supervisions
  - D. Assessments and/or reviews
  - E. Others\_\_\_\_\_.
  
4. How are the **timeliness of reporting and feedbacks** for performance progress, from and to, in relation to WHEAR, and social accountability, FTA and budget utilization?
  - A. Poor (for < 20% of the *weredas*)
  - C. Moderate (for 20-40 % of the *weredas*)
  - B. Good (for 40-60 % of the *weredas*)
  - D. Very Good (for 60-80 % of the *weredas*)
  - E. Excellent (for 80-100 % of the *weredas*)
  
5. What are the mechanisms of verifying the progress reports from the *Weredas* on the promotion and delivery of basic services, SA, FTA and budget utilization?
  - A. Reports of other GOs and/or NGOs, specify\_\_\_\_\_
  - B. Field Missions
  - C. Supervisions
  - D. Assessments and/or reviews
  - E. Others\_\_\_\_\_.
  
6. How do you follow up whether the programs' funds are spent on the disbursement linked indicators or the PDO indicators?
  - A. Periodic Financial Reports
  - B. Verifying agencies
  - C. Internal Audit & control
  - D. External auditors, Specify\_\_\_\_\_
  - E. Others\_\_\_\_\_.
  
7. How do you rate the effort exerted by **PBS-ESPES or higher level of administration** to strengthen the internal monitoring and control capacity at *Weredalevel* with a view to achieving program development objectives for WHEAR, and social accountability, FTA and budget utilization?
  - A. Poor (for < 20% of the *weredas*)
  - C. Moderate (for 20-40 % of the *weredas*)
  - B. Good (for 40-60 % of the *weredas*)
  - D. Very Good (for 60-80 % of the *weredas*)
  - E. Excellent (for 80-100 % of the *weredas*)
  
8. How do you rate the effectiveness of monitoring and evaluation tools/activities in your organization/institution in achieving the DPO or Disbursement Linked Results?
  - A. Poor (for < 20% of the achievement)
  - C. Moderate (for 20-40 % of the achievement)
  - B. Good (for 40-60 % of the achievement)
  - D. Very Good (for 60-80 % of the achievement)
  - E. Excellent (for 80-100 % of the achievement)

### III. Questions on Management Information Systems

Please put “√” in the boxes in front of each alternative.

9. Does your organization have the following ones with respect to MIS?

	Yes	No
Structure and Position for MIS	<input type="checkbox"/>	<input type="checkbox"/>
Positions for MIS are filled	<input type="checkbox"/>	<input type="checkbox"/>
Training for MIS staff	<input type="checkbox"/>	<input type="checkbox"/>

10. Does your organization have the following ones with respect to MIS Operational and Procedural Guidelines?

	Yes	No
A. Standard naming, coding & classification	<input type="checkbox"/>	<input type="checkbox"/>
B. Standard operating procedures & guidelines	<input type="checkbox"/>	<input type="checkbox"/>
C. Standard data collection & reporting tools/formats	<input type="checkbox"/>	<input type="checkbox"/>
D. Regular testing of procedures/guidelines	<input type="checkbox"/>	<input type="checkbox"/>

11. Does your organization have the following ones with respect to MIS Data management and Protection?

	Yes	No
A. Manual for data management & storage	<input type="checkbox"/>	<input type="checkbox"/>
B. Source documents & reports for audit	<input type="checkbox"/>	<input type="checkbox"/>
C. Data transmission & storage protection	<input type="checkbox"/>	<input type="checkbox"/>
D. Infrastructure for data management & protection	<input type="checkbox"/>	<input type="checkbox"/>

12. Does your organization have the following ones with respect to MIS Data Quality Assurance and Control?

	Yes	No
A. Adequate & supportive regular supervision	<input type="checkbox"/>	<input type="checkbox"/>
B. Regular procedure for data check& receipt	<input type="checkbox"/>	<input type="checkbox"/>
C. Manual for data entry, coding & editing	<input type="checkbox"/>	<input type="checkbox"/>
D. Adequate & regular feedback on data quality	<input type="checkbox"/>	<input type="checkbox"/>
E. Guidelines for data quality control mechanism	<input type="checkbox"/>	<input type="checkbox"/>

**IV. Questions on Strengths and Weaknesses of the M&E of the programs**

13. In your assessment, what are the major **strengths** of **M&E System or Activities** under **PBS III**?

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14. In your assessment, what are the major **weaknesses** of **M&E System or Activities** under **PBS III**?

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15. In your assessment, what are the major **strengths** of **M&E System or Activities** under **ESPES**?

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16. In your assessment, what are the major **weaknesses** of **M&E System or Activities** under **ESPES**?

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## *Annex 2: Interview Schedule*

### **ADDIS ABABA UNIVERSITY**

#### **College of Business and Economics**

#### **Graduate School of Commerce**

This Interview is prepared for an academic purpose, for the partial fulfillment of MA in Project Management from Addis Ababa University; College of Business and Economics-School of Commerce. The objective of the study is to assess the M&E systems of PBS III and ESPES Programs. The study tries to look at the existing M&E systems, tools and techniques vis-à-vis the implementation of PBS III and ESPES Programs. Therefore, your cooperation with honest response to the subsequent interviews is important for the overall success of the study. The information to be obtained through this interview will remain confidential and used only for research purpose.

**Thank you in advance for your cooperation!**

#### **General Information**

1. Name of the Respondent \_\_\_\_\_ 2. Education level \_\_\_\_\_
3. Job Position \_\_\_\_\_ Date of interview \_\_\_\_\_
5. Time of Interview: beginning time \_\_\_\_\_ ending time \_\_\_\_\_

#### **A. Interview Guide Questions for staffs of PBS III-ESPES**

1. How is disbursement of the PBS III Program designed, scheduled, approved and the budget allocated? What is the **Agreed Formula** for Transferring **Block Grants** (PBS III POM Page 9)?
2. As the program's fund is distributed using intergovernmental fiscal transfer channel, it is very important to look at the M&E of implementing agency down to the *Weredale* level. Have you ever looked at standard formats or system of M&E used by the relevant ministries/bureaus/offices? Do you comment on the capacity of implementing agency's M&E systems and activities? Do they help achievement of Program Development Objectives (PDO) or targets set vis-à-vis the basic services?
3. Is there a verification mechanism of reports on the implementation of each components of PBS III?
4. How do you monitor and evaluate whether the **key objectives** of PBS Secretariat are met or not? What are the indicators and scales to measure the achievement of the objectives?

5. How are the **internal controls and internal audits** effectiveness and efficiency monitored and evaluated? (PBS III POM Page 14)
6. How are the discretions of the LGs to adhere to their **needs** harmonized with the **targets** set by the Program? (bridge/rural road, ...) how are such scenarios monitored?
7. How do we monitor whether the recurrent budget is spent in a way it allows the achievement of targets, especially in case of **over or under** staffing?
8. What are the main tools of reviewing, assessing, monitoring, evaluation and control of the performances, apart from the FM, Procurement or property administration-as they are instruments per se to achieve targets? Especially, **quality, equity and inclusivity** of the delivery of the services are crucial.
9. How does Channel one coordinating unit or the PBS team monitor the LGs M&E as they are crucial for the successes or failure of the program?
10. I hope there is a portion of programs' funds to be invested for the procurement of goods or services. What are the main goods or services procured for which subprogram? There are different types of procurement with their relative advantages. There are frameworks (legal, agreement, institutional). Does such compliance suffice to achieve results under M4R or P4R? Is there a M&E mechanism as to the timing, compliance, PDO, indicators and results including the disbursement linked ones, down to *Wereda* Level?
11. Does the structure of FPPPA go down to *wereda* level with a capacity of verification agency of P4R? How is the effectiveness of the structure in M&E of the procurement activities?
12. What are the major groups to independently carryout external evaluation or to fund the effort?
13. Do the verifying agencies have staffs or structure to make the verification starting from the *Wereda* level?
14. What are the composition and the functions of PBS or ESPES Secretariat at World Bank?
15. Core evaluation activities (two rounds of process evaluation PBS Subprogram B in FY 2016 and 2018)? Is it external and conducted?
16. Planning (budget, HR, Procurement...) ahead of **budget approval** from *Wereda* to high level, but subject to revision? How to address the gap in public Finance (revenue minus expenditure) given there are **stretched target** and limited capacity?

**Thank you!**

***Annex 3: List of Experts Interviewed***

No.	Name	Position
1	Mr. DemileYismaw	Senior M&E Specialist of PBS-ESPES at MoFEC
2	Mr. AberaGelgelo	Procurement Team leader for PBS-ESPES at MoFEC
3	Mr. BeyeneHailu	Procurement Consultant for PBS-ESPES at MoFEC
4	Mrs. TiruworkBekele	Team Leader, for PBS
5	Mr. BelayAsrat	Social Accountability Consultant
6	Mr. DerejeKassaw	Senior Accountant of PBS-ESPES Finance Unit at MoFEC
7	Mr. Gezahegn Shite	Senior Auditor of PBS-ESPES Finance Unit at MoFEC