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# **Regular Project Monitoring for Project Success: The Case of Input Voucher System Project in Ethiopia**

**Study proposed as a partial fulfillment of the requirement for MA  
degree in Project Management**

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**April 2018  
Addis Ababa, Ethiopia**

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COMMERCE  
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**Regular Project Monitoring for Project  
Success: The Case of Input Voucher System  
Project in Ethiopia**

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## DECLARATION

I, the undersigned, declare that this thesis is my original work, prepared under the guidance of my advisor Dr. Wubshet. All sources of materials used for the thesis have been duly acknowledged. I further confirm that the thesis has not been submitted either in part or in full to any other higher learning institution for the purpose of earning any degree.

Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **ENDORSEMENT**

This thesis has been submitted to Addis Ababa University, School of Commerce for examination with my approval as a university advisor.

Advisor Name: \_\_\_\_\_

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **ACKNOWLEDGMENTS**

I have deep gratitude for God for His blessing and grace to have finished this work.

My profound gratitude goes to my advisor, Dr. Wubshet for his immense contribution to this work and his guidance in completing this work. I am grateful to him for giving me his time and expertise to advice, comment, and encourage me to ensure that this study is conducted in a manner that it adds value to existing and upcoming researches in the subject. Many thanks goes to the Agricultural Transformation Agency Input Voucher System project team members for their undying support in completing this work. I am also grateful that I have great family and friends to provide me with all the support I needed on a personal level to complete this work and my master's program overall.

## List of Abbreviation S/Acronyms

<b>ATA</b>	Agricultural Transformation Agency
<b>BMGF</b>	Bill and Melinda Gates Foundation
<b>CSF</b>	Critical Success factor
<b>eVoucher</b>	Electronic Voucher
<b>GTP</b>	Growth and Transformation Plan
<b>IDRC</b>	Canadian International Development Research Centre
<b>ILO</b>	International Labor organization
<b>IVS</b>	Input Voucher System
<b>LFA</b>	Logical Framework Approach
<b>M &amp; E</b>	Monitoring and Evaluation
<b>MFI</b>	Micro Finance Institution
<b>OM</b>	Outcome mapping
<b>PASDEP</b>	Plan for Accelerated and sustained development to end poverty
<b>RFS</b>	Rural Financial Services
<b>RFW</b>	Results Framework
<b>RuSACCO</b>	Rural Saving and Credit Cooperative
<b>SACCO</b>	Saving and Credit Cooperative
<b>SNNP</b>	Southern Nations Nationalities and People
<b>UNIDRR</b>	United Nations Office for Disaster Risk Reduction
<b>USAID</b>	United States Agency for International Development

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## Abstract

The Ethiopian Agricultural Transformation Agency is a government entity that actively works to transform the Ethiopian Agricultural sector. One of the flagship projects of this agency is the Input Voucher System Project which has been running for almost five years and is just a few months away from closure. This project has been implemented in 4 regions of Ethiopia (Amhara, Tigray, SNNP and Oromia) and has reached more than 5 million small holder farmers until today.

The project is considered as one of the successful projects in the organization mainly due to the successfully done monitoring activities by the implementation team. The project has pre-defined project critical success factors and was able to do timely and regular project monitoring at four stages of the project (initiation/definition, planning, execution and closure).

This objective of the study is to analyze how critical success factors and the monitoring activities done on those factors affected the success of the Input Voucher System Project. This thesis follows the descriptive methodology to do analysis of how monitoring critical success factors of a project regularly leads to project success. The researcher collected both primary and secondary data and did a qualitative analysis on the grouped critical success factors of different phases.

The study concludes that this relationship exists in this project in most aspects of the implementations at all phases. Some activities such as external evaluations, audit reports and impact evaluations have not been planned to be done by the project team. There are also some activities remaining to be implemented just yet as delay has been caused due regional social unrests in recent months.

The study recommends that the project implementation, before the closure, should focus on monitoring pending activities, working closely with stakeholders, developing audit planning after completion and working on implementing external evaluations and impact evaluations. The organization has been recommended to take in to consideration the learnings from this project to implement into others.

# Chapter 1 - Introduction

## 1.1. Background of the Study

Initially, project success was referred to as reaching the objectives and the planned results in compliance with predetermined conditions of time, cost and performance. As knowledge in project management field developed, the “golden triangle” was considered not enough to define project success. Project success was recognized to be a complex, multi-dimensional concept encompassing many attributes (Mir, Pinnington, 2014). Projects are unique, reason why project success criteria differ from one project to another (Muller, Turner, 2007). To increase complexity even more, within the last decades the concept of project success is approached in relationship with stakeholders’ perception (Davis, 2014), being accepted that success means different things to different people (Shenhar et al, 2001). What determines project success, referred to as success factors, is also approached and considered to be of great interest.

Project success may be assessed by different interest groups—stockholders, managers, customers, employees, and so on. Criteria for measuring project success must therefore reflect different views (Stuckenbruck, 1986).

There is now ample research on the impact relationship of project success and regular project monitoring. Project managers need to become adept at negotiating the corners of “the tradeoff triangle” – time, cost and product – and the impact of those tradeoffs on the three outcome criteria – use, learning, and business value. The project charter should include the negotiated success metrics, the project dashboard should enable real-time monitoring of the metrics, and the project retrospective should document the actual results, concluding with overall stakeholder satisfaction. (R. Ryan Nelson, 2005)

Project monitoring is the systematic and regular collection and analysis of data over a period of time to identify and measure changes. Monitoring involves the collection of data prior to and during project implementation (United Nations Environment Programme, 2008). The primary purpose of monitoring is to document the implementation process, facilitate decision making, and provide feedback for plan review and lessons learnt.

This research will incorporate direct interviews with project staff, review of literature and use of analytical tools to present findings.

Thus, a permanent monitoring of these factors is needed and whenever necessary the project manager should influence certain factors in order to increase chances of accomplishing success criteria.

This project has been designed for 5 years. It started in January 2014. 80% of the project activities have been completed successfully. The project has consequently met all time frames provided, completed most activities within budget and satisfied stakeholders at all levels according to the internal assessments done by the project team. When measured against several success factors, this project can be rated as successful for the time it ran so far. Even though not much research has been done on this project's success and its relationship with regular monitoring, this is a common fact as per the preliminary assessment done on the project staff.

This thesis reports the findings of a thorough assessment to establish a relationship between regular project monitoring and the success of the IVS project in Ethiopia. Emphasis is placed on the how much project monitoring is an important project management tool to measure and work on project critical success factors to achieve project success, specifically in this project's case. Also central to the research study is the exploration of what is the right level of monitoring to result success of projects.

In order to build a logical relationship between regular monitoring and project success there's a need to understand what defines project success and what is the right level of regular monitoring is. It is important to comprehend the nature and status of the project and measure its success/failure against agreed up on success factors.

## 1.2. Background of the Organization and the Project

In 2009, Ethiopia was in the final year of its five year Plan for Accelerated and Sustained Development to End Poverty (PASDEP) and beginning to design its next five year plan – the first Growth and Transformation Plan (GTP). It had also begun a rapid growth period with major gains in its agriculture sector. In the midst of these development, the late Prime Minister Meles had a fortuitous meeting with Melinda Gates, Co-Chair of the Bill & Melinda Gates Foundation where he asked for the Foundation’s support in identifying an innovative way to catalyze not only the growth but of the transformation of Ethiopia’s agriculture sector.

This began a journey of nearly two years, where the Gates Foundation facilitated a process led by the Ministry of Agriculture that developed eight different diagnostic and a series of recommendations.

Based on the recommendations, in December 2010 the Council of Ministers in Ethiopia passed Regulation 198/2010 which established the Agricultural Transformation Agency (ATA) as the Secretariat of an Agricultural Transformation Council chaired by the Prime Minister.

Mandate:

Support partners in developing and implementing solutions to systemic bottlenecks in order to transform the agriculture sector, coupled with;

Support the implementation of a targeted set of integrated interventions that will make immediate impact for a large number of women, men and youth smallholder farmers in Ethiopia

ATA doesn’t have a general vision for all programs. It has specific visions in each program area with specific missions, but, the general objective of the organization is transforming the Ethiopian Agricultural Sector by applying innovative and best practice interventions.

Lifespan: The ATA is a time-bound organization that aims to fulfill its mandate within a 15-20 year lifespan



The ATA operates using donor’s fund and reports to the transformation council that is chaired by the prime minister of Ethiopia and joined by the Ministry of Agriculture, Ministry of Finance and Economics Development, the Minister of Trade, the Minister of Water and Energy, the Secretary to the Cabinet, the Director General of the Ethiopian Institute of Agriculture Research, and the Agriculture Bureau Heads of the four largest Regions of the country (Amhara, Oromia, Tigray, and SNNP).

The research tries to compare and contrast the two sections of ATA, namely Rural Financial Services (RFS) and the Logistics. The following sections provide an oversight on the two sections.

The Rural Financial Services (RFS) program area aims to increase access to finance for smallholder farmers and other actors in the agricultural value chain. This requires addressing both structural and service-quality issues to create a vibrant and self-sustaining rural financial sector. Strong financial institutions must be developed to offer access to rural sector-adapted credit and other financial services. Furthermore, farmers need incentives to raise aggregate savings. Under this vision, savings and credit cooperatives will mature into professional financial service providers with competitive depth of products and services.

This project has five sub-projects under it

1. Input Voucher Sales (IVS) System – Improving access to inputs by providing credit for seeds and fertilizers for smallholder farmers through rural financial institutions using vouchers
2. eVoucher – Automating the Input Voucher System to be through mobile phones and NFC tags
3. Financial Literacy – Creating awareness of rural financial products using different media

4. Micro-insurance – Availing insurance for smallholder farmers for unforeseen circumstances of drought, disaster and credit default
5. Saving and Credit Cooperatives (SACCOs) Capacity Building – Building the physical and knowledge capacity of saving and credit cooperatives to enable them serve the rural population better

The Ethiopian Agricultural Transformation Agency currently runs more than 200 projects and programs under it. One of its flagship projects is the Input Voucher System Project that is near to completion. This project will be the focus of this research paper

The Input Voucher System (IVS) project was designed to focus on financial institutions, mainly Microfinance Institutions (MFIs) and Rural Saving and Credit Cooperatives (RuSACCOs), as the key intermediaries for all financial transactions on input purchases. In this new model, the financial institution issues vouchers to smallholder farmers for cash or credit to be redeemed for fertilizer and improved seed at a primary cooperative store. By having the financial institutions act as a payment agent for cash sales and a formal lender for credit sales, the IVS minimizes the cash risk exposure for participating farmers, cooperatives and regional governments. The MFI also becomes responsible for collecting loan repayments from farmers, allowing for effective audit and control processes by all institutional participants, as well as supporting effective financial flows between and among all stakeholders. In order to minimize travel and transaction cost for farmers, these financial institutions establish satellite branches closer to the primary cooperatives, yielding many additional benefits related to financial inclusion.

### 1.3. Statement of the Problem

As per the International Labor Organization project management guideline;

- Monitoring and Evaluation can sometimes be seen as a much lower priority at the project's inception, as all efforts are aimed at launching the project. This may be due in part to the limited resources available even for project start-up and delivery. Regardless, there is often limited follow-through on implementation of the performance measurement strategies and M&E Plan, in spite of how well defined they may be
- In general, when performance information is collected, it tends to serve more of an administrative purpose, for example, used by a program manager to report on activities and expenditures so as to justify or release funds for further project activities. Broader use of results information is limited, certainly during the life of the project.

Taking account of the above observations, the eventual midterm or final evaluations of the project will have access to limited results information that is readily available on project effectiveness and success. Moreover, this results in additional expenditure to collect primary data at the time of evaluation. (Lahey, 2015)

Several studies have been carried out with an aim of determining the critical success factors (CSFs) which contribute to project success. Most of the studies as discussed in the following paragraphs links project success to monitoring. The problem of this study is that, despite knowledge that effective monitoring is a major contributor to project success, there are still project failures in Ethiopia. This section explores the existing knowledge that links effective M&E to project success.

A study by Prabhakar (2008) pointed that Monitoring and Feedback was one of factors leading to project success. Likewise Papke-Shields et' al (2010) also noted that the probability of achieving project success seemed to be enhanced among other factors, by constantly monitoring the progress of the project. According to their study, monitoring and controlling was relevant in management of project scope, time, cost, quality, human resources, communication and risks.

A research carried out by Ika et' al (2010) established that project success was insensitive to the level of project planning efforts but on the other hand ascertained that a significant correlation does exist between the use of monitoring and evaluation tools and project "profile," a success

criterion which was an early pointer of project long-term impact. Once again Ika et' al (2010) accentuates that M&E is even more critical than planning in achievement of project success. Similarly one of the components of the project management methodology whose main aim is to achieve project success was monitoring project progress (Chin, 2012).

According to a study done by Charles G. Kamau, Humam Bin Mohamed (2015) titled “Efficacy of Monitoring and Evaluation Function in Achieving Project Success in Kenya: A Conceptual Framework”, it shows that a significant share of the failed projects was government funded or donor funded projects. These projects usually undergo the necessary monitoring and evaluation processes which are often a requirement of the law. The paradox is, despite a consensus among scholars that proper monitoring and evaluation leads to project success, there are still cases of project failure in Kenya. Further projects fail despite heavy presence of monitoring and evaluation activities. This therefore raises serious issues as to whether the monitoring and evaluation employed is effective enough to achieve project success. The monitoring team perhaps may be lacking the necessary capacity or strength to carry out their work effectively, or they may be approaching their work using incorrect methodologies. The project monitoring team may also be lacking the necessary management support. This thesis examined the efficacy of monitoring and evaluation in achieving project success in Kenya. The findings of the study attempted to provide a solution to the stated problem.

Several researches have been done; both theoretical and empirical on the relationship between project monitoring and project success. There are some researches done on the project itself but most research and monitoring reports regarding the project have been done by internal implementers making the findings not free from bias. Even though there is an initial hypothesis to say this project could be taken as an evidence for the impact relationship between project success and regular project monitoring, no available research exists to prove this hypothesis.

As a result of the numerous studies that approached the topic of project success, several lists of success factors exist. Pinto and Slevin's paper from 1987 represents a reference point by establishing a list of ten success factors, recognized by other authors as accurate (Turner, Müller, 2005): project mission, top management support, schedule and plans, client consultation, personnel, technical tasks, client acceptance, monitoring, communication, trouble-shooting (Pinto, Slevin, 1987). This paper highlights one of the success criteria identified here as one of

the most relevant factor for project success. With lack of proper and regular project monitoring any project has a chance of failure since project owners and sponsors don't have real-time information regarding the project's performance, improvement areas and shortcomings.

A study has been done on an Ethiopian project by Hirut Demissie in 2014 titled ASSESSMENT ON PROJECT MONITORING AND EVALUATION SYSTEM: THE CASE OF MEDA, "EDGET" PROJECT. The main objective of the study was to assess the functionality of the M&E system of EDGET project, implemented by MEDA. The study has employed a qualitative research method to explore the views and experiences of individuals and to get a deeper understanding of how the M&E systems support project implementations. Social phenomena than would be obtained from purely quantitative methods. The major findings of the study are the study uncovered that the M&E information collected, analyzed and presented in the organization for the management decision has quality problem. Therefore, where there is no quality data collection, analysis and production system in the M&E unit of the organization, effective decision making process is unthinkable. The finding evidently identified that the organization does not allocate enough amount of fund to the M&E activities. And without earmarking enough funds expecting functional M&E system is impossible. The study also found out that the level of technology and equipment that is employed to facilitate the M&E activities of the project is minimal. Shortage of electronic equipment and advanced networking and communication system in the regional offices are not implemented fully to facilitate the M&E activities effectively. Inadequate equipment, poor technology and ineffective communication system within the entire offices of the organization cannot allow effective decision making.

### **1.3.1. Research Gap**

As can be seen from the above extensive research, a lot has been done to prove there is a link between project monitoring and project success. Several researches have been done to explore the effectiveness of project monitoring done on different projects. The missing research with this topic is the assessment of project monitoring in perspective of critical success factors to result in project success. This study tries to assess the relationship between project success and regular project monitoring of project critical success factors in the case of the Input Voucher System Project that is close to completion within the coming few months.

## **1.4. Objective of the Study**

### **1.4.1. General Objective**

The general objective of this research paper is to assess the relationship between project success and regular project monitoring in the case of the Input Voucher Project in Ethiopia.

### **1.4.2. Specific Objectives**

Specific objectives include;

- To assess how project monitoring is done in Ethiopian Agricultural Transformation Agency Input Voucher System Project
- To assess what the factors that led to the Input Voucher System Project success
- To Determine how effective the project monitoring has been for the ATA's Input Voucher System Project

## **1.5. Research Questions**

The main research questions this research work tries to answer are;

- How is project monitoring done in Ethiopian Agricultural Transformation Agency Input Voucher System Project?
- What are the factors that led to the Input Voucher System Project Success?
- How effective has project monitoring has been for the ATA's Input Voucher System Project?

## **1.6. Significance of the Study**

The findings of this study will help Ethiopian Agricultural Transformation Agency and IVS project implementation team identify strengths and weaknesses of the monitoring systems and consequently take corrective actions to improve the system.

The organization as a whole can take these lessons and apply them to other projects planned and give due attention to project monitoring to achieve project success.

Similar projects may also benefit from the evidence generated from this study to improve their project monitoring system.

And finally, it also adds to existing literature on the subject matter and serves as a basis for further research.

### **1.7. Limitations of the Study**

The main reason the limitations of the study exist is due to the short amount of time given to complete the thesis. One of the major limitations of the study is the fact that it lacks opinions of the end users of the project. This is a rural based project and beneficiaries of it live in the rural area making them inaccessible with the limited time given. If the end users could be included for their opinion, the findings would have been more complete.

### **1.8. Scope of the Study**

The research is specifically focused on assessing the project monitoring practices of Input Voucher Project and how it relates to its success. The researcher does not extend its exploration to other projects of Ethiopian Agricultural Transformation Agency, as the other projects do a completely different activity which follows a different project monitoring system based on its activity and donor's recommendations.

## Chapter 2 - Review of Related Literature

### 2.1. Project Monitoring

#### 2.1.1. What is Project Monitoring

Project monitoring is an integral part of day-to-day management. It provides information by which management can identify and solve implementation problems, and assess progress. The Logical Framework, the implementation schedule, activity schedules, and project budget provide the basis for this monitoring. There are a number of different levels of monitoring, each related to what kind of information is relevant, and the regularity of monitoring. (Introduction to Monitoring and Evaluation Using the Logical Framework Approach, 2017)

Monitoring is viewed as a process that provides information and ensures the use of such information by management to assess project effects – both intentional and unintentional – and their impact. It aims at determining whether or not the intended objectives have been met. (OTIENO– No date, pp. 1)

Together, monitoring and control form the project control cycle of Action-Plan-Monitor Compare; and then re-plan as necessary. Project monitoring and control have increasingly become key functions of project management as projects grow bigger and more complex. It is the process of tracking, analyzing and reporting progress with respect to objectives. This task helps stakeholders to understand the current state of the project, activities undertaken, and the budget, schedule and scope forecasts. Monitoring and control cycle consists of: making a plan; implementing the plan; monitoring and recording the actual output; report the actual output, the planned parameters and the variations and finally; take corrective action on the variations (Shrenash, and Sawant, 2013). This phase of the project provides an understanding of the project's progress so that appropriate corrective action can be taken when the project's performance deviates significantly from the plan. In traditional project management, control would involve identification of deviations from the project plan and put things back on track. However, the adaptive project management approach identifies changes in the business environment and adjusts the plans accordingly.

According to PRINCE 2, project control is project management function that comprises of monitoring, evaluating and comparing actual versus planned results (ILX Group, 2015). It tracks

the project progress towards achieving the stated objectives within project constraints; identifies deviations; evaluates alternative courses of action and takes remedial actions (Larson and Gray, 2011).

### 2.1.2. The need for Project Monitoring

When project managers make important decisions without verified data, it is like taking a stab in the dark. Your decisions will be based on very little to no evidence, so the action may not be very efficient and could only be a waste of time and resources. That's why it is important to monitor projects diligently and use the data you gathered to come up with intelligent decisions. (Knowledge Hut Editor, 25th Jul, 2017)

Monitoring and evaluation are important management tools to track your progress and facilitate decision making. While some funders require some type of evaluative process, the greatest beneficiaries of an evaluation can be the community of people with whom your organization works. By closely examining your work, your organization can design programs and activities that are effective, efficient, and yield powerful results for the community. (Sera and Beaudry, 2007)

According to (Audry 2016, [www.sportanddev.org](http://www.sportanddev.org))

Monitoring and evaluation is important because:

- It provides the only consolidated source of information showcasing project progress;
- It allows actors to learn from each other's experiences, building on expertise and knowledge;
- It often generates (written) reports that contribute to transparency and accountability, and allows for lessons to be shared more easily;
- It reveals mistakes and offers paths for learning and improvements;
- It provides a basis for questioning and testing assumptions;
- It provides a means for agencies seeking to learn from their experiences and to incorporate them into policy and practice;
- It provides a way to assess the crucial link between implementers and beneficiaries on the ground and decision-makers;
- It adds to the retention and development of institutional memory;

- It provides a more robust basis for raising funds and influencing policy.

Monitoring provides information as to what the status of a particular program, project or policy is at any moment, or is going to be over time, and how well the functioning of various processes in the project, including the resources allotted for it relate to targets and deliverables. Its focus should also be on optimum utilization of the resources made available for the project. The objective is to track the gap between what was originally planned and what is actually happening now.

Therefore, the primary reason why projects should be monitored is to:

- Get sound visibility into project execution.
- Determine what actions need to be taken to ascertain that project objectives and goals are successfully met.
- How project goals relate to team efforts, delivery schedules and quality of deliverables.
- Allow the team to educate and learn for itself from its past experiences and improve its productivity levels.
- Make the team accountable for the work it carries out by evaluating the performance metrics.
- Justify the capital invested by the stakeholders and investors.

### **2.1.3. Different Approaches of project monitoring**

In the world of monitoring and evaluation (M&E) three approaches can be identified: result-oriented, constructivist and reflexive. Every approach includes principles, methods and tools that can be used for projects that have the ambition to contribute to (system) innovation. But they differ widely in their vision on reality, the on-going processes and their results and how to support, manage or adjust these processes. Deciding which method is the best depends heavily on the nature of the project, its context, and the monitoring and evaluation objectives. In practice, it may be desirable to use a selection of methods from the different approaches in order to combine their strong points. (Mierlo et al., 2010)

	result-oriented approach	Constructivist Approach	Reflexive Approach
Methods	LogFrames, Logic Charts, Theory of change	Learning Hiwtories, Responsive Evaluation, Most Significant Change	Reflexive monitoring in action/Reflexive process monitoring/Interactive Learning approach
Objective	Accountability and managing	Learning from each other and modifying processes agenda setting	Learning, change of practices and their institutional setting
Paradigm	Reality exists and can be measured/defined objectively	Reality is constructed through interaction and negotiation	Reality has to be reconstructed/a new reality has to be developed
Focus	Results/predefined objectives of procedures	Meanings and values, based on negotiations	Calling existing practices and institutional settings into question

Table 2.1: Approaches of Project Monitoring

#### 2.1.4. Frameworks of project monitoring

Monitoring and evaluation (M&E) can be effective tools to enhance the quality of project planning and management. Monitoring helps project managers to understand whether the projects are progressing in schedule and to ensure that project inputs, activities, outputs and external factors are proceeding as planned. Evaluation can be a tool to help project managers assess to what extent the projects have achieved the objectives set forth in the project documents. (Monitoring and Evaluation Framework for Continuing Professional Development, 2012)

Major outcomes, such as improved food security, or reduced prevalence of malnutrition are often the ultimate goals of an organization implementing relief and development activities. Through a conceptual framework, influencing factors such as risks, behaviors and subsequent program

activities can be rationally visualized within a particular local context. Importantly for the purpose of this manual, the primary hierarchical elements of an M&E system can be attached to the framework in order to retain a conceptual view of the “big picture” of the program and its goals. The adoption of an appropriate conceptual framework is particularly crucial in the initial stages of the project lifecycle in order to inform project design, budgeting, implementation strategies and approaches to project evaluation. (ADRA Monitoring and Evaluation Manual, 2007)

The United Nations Office for Disaster Risk Reduction (UNISDR) has a monitoring and evaluation framework used uniformly to most programs and project. The purpose of this Framework is to provide a consistent approach to the monitoring and evaluation of the UNISDR’ Programmes and Projects, so that sufficient data and information is captured to review the progress and impact of UNISDR Work Programme. Lessons learned will also be used to inform best practice guidelines. Monitoring tracks mainly the use of inputs (activities) and outputs, but in some degree also tracks (intermediate) outcomes. In contrast, evaluation takes place at specific moments, and permits an assessment of a program’s progress over a longer period of time. Evaluation tracks changes and focuses more on the outcome and impact level. This is illustrated by the following graphic, which shows the link of the chain of inputs, outputs, outcomes and impacts with the planning cycle.

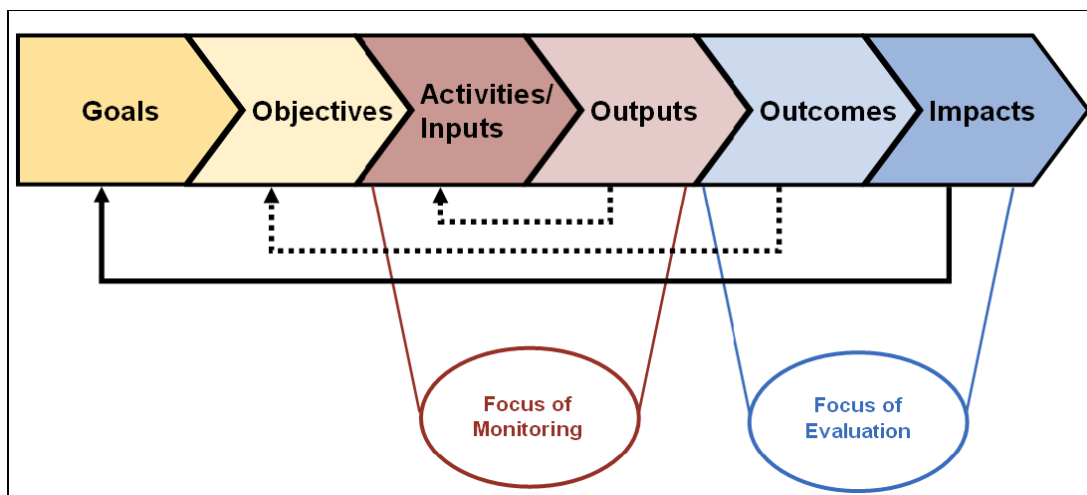


Image 2.1: Value chain of RFW

Performance indicators are measures of inputs, processes, outputs, outcomes, and impacts for development projects, programs, or strategies. When supported with sound data collection—perhaps involving formal surveys—analysis and reporting, indicators enable managers to track progress, demonstrate results, and take corrective action to improve service delivery. Participation of key stakeholders in defining indicators is important because they are then more likely to understand and use indicators for management decision-making. (UNISDR Monitoring and Evaluation Framework, 2013)

One of the biggest international organizations; International Livestock Research Institute (ILRI), present two M&E approaches that represent the different paradigms and that hold potential for use in M&E of Innovation Platforms and Value Chains.

- a. The Logframe approach: The Logical Framework Approach (LFA) has its foundations in the 1960s and was first formally adopted by the United States Agency for International Development (USAID) in the early seventies (Roduner et al. 2008). It is one of the most commonly used methods for planning and M&E. It is a conventional tool preferred by donors for project design and M&E of projects. It is very useful to set up a well-structured framework that will satisfy the requirements of donor organizations, especially for accountability, improving decision-making, managing risks and supplying operational information. In this approach, it is hypothesized that all inputs can and must be foreseen, and that every input should and will lead to a measurable outcome (Earle 2002). In the LFA, expected results are aligned with activities in a cause–effect chain (Roduner et al. 2008; Prasad Pant 2010; Rogers 2012). Activities produce outputs that result in outcomes and, finally, impacts. Indicators are used for measuring
- b. Outcome Mapping: Outcome Mapping (OM) is an alternative approach to planning, monitoring and evaluating development impact. It was developed about a decade ago by the Canadian International Development Research Centre (IDRC) in response to fundamental problems with existing approaches (Earl et al. 2001; [www.outcomemapping.ca](http://www.outcomemapping.ca)). The complexity and fluidity of development processes mean that achieving impact requires the involvement of a variety of actors over a considerable period time. When impact occurs, it is often as result of a combination of events over which no single agency has control or can claim full credit. OM focuses on ‘outcomes’,

defined as the changes in behaviour, relationships, activities, and action of the people with whom a program works directly (so called ‘boundary partners’). In practical terms, OM consists of a set of tools and guidelines for steering project or program teams through an iterative process to identify their desired change and to work together with boundary partners in order to bring about the anticipated changes. OM allows modification of the interventions over time according to the complexity of the change process. Unlike LFAs, OM balances learning and multiple accountabilities, by identifying the use of M&E data and by employing participatory and use-oriented approaches to M&E. (Swaans et. al., 2013)

### 2.1.5. Major Challenges of Project Monitoring

As per the research done by the International Labor Organization (ILO), major challenges faced by big projects are;

- Evaluability assessments of large ILO projects that were undertaken over 2014-2015 have revealed some recurring weaknesses that impact the ability of project management to measure, monitor and use results information.
- In general, a systematic approach, based on the ILO *Development Cooperation Internal Guidance Manual*, is being used in planning during the project design phase. Aided in part through the development of log frames during the front-end development of the project document, projects are articulating objectives along with the relevant activities associated with their attainment. This has led to greater potential for monitoring progress of project implementation.
- There are some serious gaps, however, in several areas associated with the results framework, the theory of change and the M&E plan. In particular:
  - The articulation of the project’s theory of change is generally absent or insufficient. The current approach to log frames needs modification and enhancement, for example, more focus on causal link assumptions and risks, as well as the potential role of other key players/partners to programme success;
  - The log frame identification of expected results generally fails to clearly identify the full set of results and often confuses the articulation of ‘outputs’ with ‘outcomes’;

- The clarity and completeness of performance indicators to measure project progress and success are frequently problematic;
  - The performance measurement strategy in general tends to have serious gaps, in particular, lack of relevant data/information sources and feasible measurement strategies;
  - There is too little or no monitoring of ‘other influencers’ that influence movement along the results chain and ultimately, attainment of success. Recognition of such ‘influencers’ may bring to light the non-linear relationship inherent in a project’s theory of change and the true complexity of the initiative;
  - Most M&E plans generally need a more systematic, structured and comprehensive approach to the collecting, reporting and analysis of data, including assigning responsibility;
  - M&E Plans frequently are neglected or are not implemented effectively.
- Most log frames are not cast in a holistic frame of broad results/expectations for eventual outcomes. In many respects, the log frame seems to serve as a road map for articulating activities for the sole purpose of monitoring the activities. This is useful from a planning and management perspective, but falls far short of measuring and monitoring results and project success. It also means that results information which is needed for an eventual evaluation will not likely be readily available at the time of the evaluation.
  - The absence of a theory of change for most projects leaves a significant gap in design aspects of the architecture of the project. For those ILO projects where partnering is a common feature, clarity around the assumptions identifying where, when and how external influencers would be expected to intervene is important for both project design as well as monitoring progress and performance. On a measurement level, this kind of gap negatively impacts the ability to monitor, evaluate and report on project performance.

## 2.2. Critical Success Factors for Projects

### 2.2.1. What are project Success Factors

Baccarini (1999) identified two distinct components of project success:

- Project management success-- This focuses upon the project process and, in particular, the successful accomplishment of cost, time, and quality objectives. It also considers the manner in which the project management process was conducted.
- Product success--This deals with the effects of the project's final product.

It is common for project management literature to confusingly intertwine these two separate components of project success and present them as a single homogenous group. In order to properly define and assess project success, a distinction should be made between product success and project management success, as they are not the same. Pinto & Slevin (1988) after sampling over 650 project managers, the researchers concluded that “project success” is something much more complex than simply meeting cost, schedule, and performance specifications. In fact client satisfaction with the final result has a great deal to do with the perceived success or failure of projects. Further, Baker, Murphy and Fisher (1983, 1988) conclude:

“In the long run, what really matters is whether the parties associated with, and affected by, a project are satisfied. Good schedule and cost performance means very little in the face of a poor performing end product.”

In the words of Baker et al. (1983): “instead of using time, cost and performance as measures for project success, perceived performance should be the measure.”

Defining project success poses another challenge in understanding project management and consequently assessing its performance. It is generally accepted however, that the success or otherwise of a project can be defined through the convergence of, the ability of the process to meet the technical goals of the project whilst not deviating from the three constraints of scope, time and cost; the usefulness of the project as perceived by beneficiaries and sponsors as well as the project team; and the performance of the project (Kerzner, 1992, 2001, 2003). By such a definition, project success or failure can only be effectively measured at the completion of the project. This is concurred with by Baccarini’s (1999) definition of project success which measures success or failure by the elements of the project log-frame and thus, the effective utilization of the project output. Projects generally fail as a result of poor planning, constant changes in the scope and consequently deadline and budget, as well as the lack of monitoring

and control. Boyd (2001) introduced five maxims of measuring project satisfaction regardless of project scope, size or duration which are; delivering the product that the customer desires or needs; delivering quality consistent with price; delivering the project within the timeframe stipulated by the customer; delivering the desired degree of feedback that the customer desires; having a system of conflict resolution that is fair to both the customer and the development team.

DeWit (1988) distinguished between project success, which is measured against the overall objectives of the project, and project management success measured against the widespread and traditional measures of performance against cost, time and quality. Pinto and Slevin (1988) came out with a set of best practices for project management which were believed to contribute to project success. These include: *Project Mission* – the initial clarity of goals and general direction; *Top Management Support* – the willingness of top management to provide the necessary resources and authority for project success; *Project Schedule/ Plans* – a detailed specification of individual action steps required for project implementation; *Client Consultation* – communication, consultation, and active listening to all impacted parties; *Personnel* – recruitment, selection, and training of the necessary personnel for the project team; *Technical Tasks* – availability of the required technology and expertise to accomplish the specific technical action steps; *Client Acceptance* – the act of “selling” the final product to its ultimate intended users; *Monitoring and Feedback* – timely provision of comprehensive control information at each phase in the implementation process; *Communication* – the provision of an appropriate network and necessary data to all key actors in the project implementation; and *Trouble Shooting* – ability to handle unexpected crises and deviations from plan. Over the years, a number of researchers, such as Cooke-Davies (2001) and Cleland and Gareis (2006) have concurred that these practices do ensure effective and successful project management.

The complexity of Project Management, particularly monitoring and control and conterminous demand on the time of the project team, has led to the development of various tools for ensuring the project is on track, such as the critical path methodologies, Gantt chart, and other computer-based techniques. Unfortunately, a dependence on these tools can only yield success if from the onset the project management team is able to identify the critical success factors at every phase of the project life cycle. By constantly enquiring whether the project meets the needs of the

client; whether the project has the support of management; whether there is appropriate knowledge and skill to support the project; and whether the project is solving the right problem, the team is able to identify the key variables that make for success or failure.

Generally, critical success factors are a set of project variables or factors that are strongly correlated to project success, and whose maximization or minimization, depending on whether they are favorable or unfavorable, will lead to project success. Frese and Sauter (2003) conclude that generally, Good Planning, Clear Responsibility and Accountability, and Schedule Control as well as Project leadership and Governance, and Communications are key areas of successful projects. This means that, a clear project plan, a plan for risk management, and the commitment and support from stakeholders are the critical success factors for project management. Khang and Moe (2008) expand this further by recommending the sets of critical success factors for the various phases of the project life cycle.

<b>Phase</b>	<b>Success Factors</b>
Conceptualizing	Clear understanding of project environment Effectiveness of consultation with stakeholders Competency of project team
Planning	Alignment with development priorities Adequate resource support Effectiveness of consultation with stakeholders Competency of project team
Implementation	Compatibility of regulation for project management Effectiveness of consultation with stakeholders Consistency of support for stakeholders Competency of project team
Closing	Adequacy of project closure activities Effectiveness of consultation with stakeholders Competency of project team

Table 2.2: Grouping of CSF

Despite the various definitions of what constitute project success and failure factors, drawing conclusions on reasons for the success or failure is as complex as project management itself. It is worth noting from the definitions of critical success factors given by various authors that the proverbial project management “iron triangle” is not the only benchmark for measuring success or failure of projects. Fortune and White (2006) reviewed 63 publications that focus on critical success factors (CSF) and surmise that there is only limited agreement among authors on the factors that influence project success. They list the three most cited factors as: the importance of

a project receiving support from senior management; having clear and realistic objectives; and producing an efficient plan. Bakar, Razak, Abdullah and Awang (2009) also summarize literature review from various authors on project success and failure; pointing to the need for project managers to be more dynamic about the factors that are critical to the success of their project.

To summarize critical success factors based on the literature reviews;

- Clear Project Management Objectives
- Top Management Support
- Information Communication
- Client Involvement
- Competent Project Team
- Authority of the Project Manager/Leader
- Realistic Cost and Time Estimates
- Adequate Project Control
- Problem Solving Abilities
- Project Performance and Quality
- Adequate Resources
- Planning/Controlling
- Monitor Performance and Feedback
- Project Mission/Common Goals
- Project Ownership

### **2.2.2. Monitoring project Critical Success Factors**

In defining the term monitoring, one needs to be exposed to a number of concepts associated therewith.

Monitoring is the continuous assessment of a programme or project in relation to the agreed implementation schedule. It is also a good management tool which should, if used properly, provide continuous feedback on the project implementation as well assist in the identification of

potential successes and constraints to facilitate timely decisions. Unfortunately, in many projects, the role of this is barely understood and therefore negatively impacts on the projects.

Monitoring is not only concerned with the transformation of inputs into outputs, but can also take the following forms:

- Physical and financial monitoring - Measuring progress of project or programme activities against established schedules and indicators of success.
- Process monitoring - Identifying factors accounting for progress of activities or success of output production.
- Impact monitoring - Measuring the initial responses and reactions to project activities and their immediate short-term effects.

Projects are monitored so as to:

- Assess the stakeholders' understanding of the project;
- Minimize the risk of project failure;
- Promote systematic and professional management;
- Assess progress in implementation; and
- Most importantly, exploring the achievement of Critical Success Factors identified at the beginning of the project

### 2.3. Conceptual Framework and Research Gaps

According to the above review of literature, major critical success factors were identified from major authors.

Category	Critical Success Factors	Authors								
		Pinto & Slevin (1987, 1989)	Kerzner, (1992, 2001, 2003)	Ye o, - 2002	Boyd -2001	Andersen et. al, - 2002	Hyvari -2006	Turner & Muller(2005,2007)	Khang & Moe -2008	Frese & Sauter-2003
Project Definition / Initiation	Clear Project Management Objectives									
	Top Management Support									
	Client Involvement									
	Competent Project Team									
	Project mission/ common goals									
Project Planning	Realistic Cost & Time Estimates									
	Adequate Resources									
	Planning/controlling									
Project Execution	Information/Communication									
	Adequate Project Control									
	Monitor performance and feedback									
	Problem Solving Abilities									
Project Closure	Project ownership									

Table 2.3: Conceptual Framework

## Chapter 3 – Research Methodology

### 3.1. Research Design

The research design of this thesis is descriptive. Descriptive research refers to the type of research question, design, and data analysis that will be applied to a given topic. Descriptive statistics tell what is. Descriptive research is research used to “describe” a situation, subject, behavior, or phenomenon. It is used to answer questions of who, what, when, where, and how associated with a particular research question or problem. This research tries to explore/describe how regular project monitoring used to achieve project success.

The type of question asked by the researcher will ultimately determine the type of approach necessary to complete an accurate assessment of the topic at hand. There are three main methods that may be used in descriptive research:

- **Observational Method** – Used to review and record the actions and behaviors of a group of test subjects in their natural environment. The research typically does not have interaction with the test subject.
- **Case Study Method** – This is a much more in-depth student of an individual or small group of individuals. It may or may not involve interaction with the test subjects.
- **Survey Method** – Researchers interact with individual test subjects by collecting information through the use of surveys or interviews.

This study will use survey method to collect information and analyze results from test subjects, i.e., project implementers.

### 3.2. Data and Variables

The data to be used in this research is qualitative information gathered from project implementation team and literature reviewed to aid the thesis.

#### 3.2.1. Source of Data

Two sources of data will be used for the research.

As primary source, direct interviews will be conducted with members of the project implementation team and related stakeholders.

As secondary sources; annual reports, project monitoring reports, published materials regarding the project and any related literature will be reviewed to have full information regarding the project.

### **3.2.2. Instrument of Data Collection**

The data collection will be done from both primary and secondary sources.

To explore regular project monitoring in perspective of project success, direct interviews will be conducted with members of the project team. The interview questions are designed as a questionnaire. The interview will also include some open ended questions so the interviewer gets an opportunity to explore and have detailed responses from the interviewee.

To understand theoretical aspects of the topic, past literature will be reviewed. To explore the nature of the project and the status it is at, materials published by the Ethiopian Agricultural Transformation Agency and affiliated organizations will be reviewed.

### **3.2.3. Population of Sampling**

The population under observation is the whole project team and stakeholders of the project. The project is composed of 9 people; 1 project manager, 1 project supervisor, 4 regional project officers (for Amhara, Tigray, Oromia and SNNP regions), 2 project analysts and 1 project assistant.

The study will take the whole population of the project team in the data collection to understand the perspective of all implementation parties.

## **3.3. Method of Data Analysis**

The study will do a qualitative analysis of the collected data through the interviews conducted. Since this study is purely qualitative, there will not be any use of analytical software by the researcher.

Since the research question is about exploring regular project monitoring to achieve project success, analysis methods also revolve around this objective.

### **3.4. Presentation**

The findings of the data collected and analysis findings will be presented in two documents. A narrative document that contains the summary of all literature reviewed, data collected and analysis with every reference used and a Power Point presentation of the final narrative report to be presented to examiners.

## Chapter 4 – Data analysis Presentation, Interpretation and Discussion

### 4.1. Demographic information of respondents

The researcher has done the interviews and data collections directly from team members of the project. The below composition of the respondents is presented to show their demographic backgrounds.

	Description	Quantity	%
Sex	Male	6	66.67%
	Female	3	33.33%
	Total	9	100%
Age	<30 years old	4	44%
	30 – 39 years old	2	22%
	40 – 55 years old	2	22%
	55< years old	1	11%
	Total	9	100%
Education	Diploma	0	0%
	Degree	3	33.33%
	Masters	6	66.67%
	Total	9	100%
Work Experience	<3 years	1	11%
	4 – 5 years	4	44%
	5 – 10 years	3	33.3%
	>10 years	1	11%
	Total	9	100%

Table 4.1: Respondent population demography

### 4.2. Interview Return Rate

Out of the 9 people that were targeted to be interviewed, all 9 of them were cooperatively responsive to interview and data collection requests. This makes 100% interview response rate by the project team members.

Checklist of documentation availability has also been sent out for project team members to make relevant document available for review.

### 4.3. Analysis of major findings

#### 4.3.1. Findings on monitoring activities in the IVS project

##### 4.3.1.1. Monitoring activities at project initiation/definition stage

No.	Question	1	2	3	4	5
1	Contractor requirement and conditions					9
2	Definition of logical framework for project implementation achievement				3	6
3	Stakeholder definition and analysis				2	7
4	Clear Project Management Objectives					9
5	Top Management Support in project definition		2		2	5
6	Allocation of adequate project resources					9
7	Critical success factor definition					9

The above questions have been answered by 9 people and analysis shows that their aggregate mean is 4.6. This means most of the responses are close to 5 (Strongly agree). This as a whole gives a meaning that says the monitoring activities that affect initiation/definition stages have been done according to the respondents.

At the project definition stage, the IVS project has pointed out the need to do project monitoring, repeated supervision and technical support to achieve project success. One of the major activities in project definition is defining relevant stakeholders and their roles. According to the interviews conducted, it was said that the project defined every role each stakeholder plays in doing project supervision and monitoring activities to make the project successful. Agreement was reached on project initiation/kick-off meeting conducted before the project was started.

Main issues covered in the contractor requirement conditions document is the need to do project supervision, monitoring and evaluation, by whom and when. The only thing missing in this document, according to project implementers is final external evaluation of the project to measure success.

Most of the project implementers agree that there are clear project management objectives. Clear project management objectives lead to clearly defined project objectives and where there's clear project objective, it is easy monitoring success of critical success factors.

More than half of the respondents say there is high top management support for the project while only 2 of them disagree. The respondents that have these opinions are the ones working with

Oromia Regional State bureau. As the project is not just required from top management of ATA, but also from the regional counterparts, without support from regional government officials (specifically in agricultural bureau), the project wouldn't become successful. The reason for this lack of support is said to exist due to the repeatedly changing government officials and high turnover of technical staff.

In addition to this, the project from the start has allocated enough budget and other resources to enable all the monitoring activities to be done.

In summary, the project definition not only defines activities to achieve project success but also critical success factors to make implementation smooth and trackable.

#### *4.3.1.2. Monitoring Activities at Project Planning Stage*

No.	Question	1	2	3	4	5
1	Inclusion of budget needed for project monitoring in the project plan					9
2	Reflection of monitoring in project plan				1	8
3	Involvement of stakeholders in project planning				2	7
4	Usage of logical framework in project plan				1	8
5	Inclusion of contingencies in the budget	9				
6	Audit planning	9				
7	Project Management Objectives aligned with planning			2	1	6
8	Top Management Support in project plan				1	8
9	Competency of project team					9
10	Realistic cost and time estimates		2	1	3	3
11	Activity based project resource planning			2	3	4
12	Planning of project monitoring				1	8
13	Project risk analysis					9

The above questions have been answered by 9 people and analysis shows that their aggregate mean is 4.0. This means most of the responses are close to 4 (agree). This as a whole gives a meaning that says the monitoring activities that affect project planning stages have been done according to the respondents, however, some aspects like contingency budgeting and audit planning have not been considered at all.

As can be seen from table 4.4, budget has been allocated to do proper and periodic project supervision and monitoring. Monitoring plan has also been reflected in the project plan. As can be seen from Picture 4.9, the project has specified activities in the project planning document as milestones. These show how specifically project monitoring has been planned and how much it

is taken seriously by the project implementers, ATA management and external implementing partners.

As per the interview conducted and documents reviewed, project monitoring plans have been communicated from the launching of the project. The plans have then been subdivided into specific targets of activities to be completed with targets and measurement methods. The interviewees have also mentioned that every stakeholder has been involved in the planning of the project, therefore, has had a say in how project monitoring is done by the implementation team.

The project developed logical framework as one other tools of monitoring project success. The log frame developed has detailed outlines of what results must be achieved; how much the target is and how that will be measured. The results that need to be measured have been cascaded to quarterly level. All of the results planned to be achieved are also planned at a national, regional, zonal as well as woreda levels. Targets and their definitions/indicators are set by number of farmers reached; amount of fertilizers purchased and amount of birr collected. Measurements of the achievement of targets is reported monthly, quarterly (every three months), bi-annually, annually and at the end of the project period. When these reports are written, they don't just focus on numbers, but also have qualitative aspects to show activities completed, stakeholders engaged, challenges faced measures taken to solve challenges, asks from the management and next steps followed with the coming period of implementation.

The project implementers unanimously mentioned that there is no contingency budget kept for project monitoring activities. As the project has unpredictable nature, there should have been contingency planning in the project management, especially for doing unplanned monitoring. The fact that there was no contingency assigned made it difficult for the team to accommodate stakeholder request that were unplanned but were crucial for the success of the project. However, the flexibility of the organization made it easier in the later years of implementation by making some funds available for unplanned monitoring purposes.

The project team has also mentioned that there was no audit planning done. Audit is an important aspect, especially in creating awareness regarding project status and compliance of activities with company regulations. According to some of the respondents that have been in the team from the start of the project, audit planning has not been done by the project designing team because

the company does this uniformly for everyone. However, the auditing of overall company activities is not specific enough to have relevant findings that would have helped the project draw out lessons on time.

Project management objectives are said to align with project planning. According to 6 of the team members, project management objectives have been defined early on therefore was not hard to get them aligned with planning. The fact that they were initially defined made it easier for the planning of the project they properly includes monitoring activities. Some of the team members do not feel the same way, meaning they felt neutral to this mainly because they were brought on the project after the project definition was done.

As per the information from respondents, all of them feel that there was top management support in project planning. Top management support has been shown by the management's involvement in endorsement of plan, integration of project target/plan in organization's target and public endorsement of project to all ATA staff when necessary.

Even though it is difficult for one person to rate oneself as competent in doing a job, most of the project team members were said to be competent by the project manager. The team follows a competency based performance management where everyone is measured with expected performance in perspectives of content expertise, project management skills, problem solving skills, team management skills, communication skills and stakeholder management skills. All project team members have been rated excellent for the past years by the management. Performance is not just measured by subjective items like these, but is also measured by the targets completed by the project. According to the project manager, the fact that performance and rewards are tied with project target achievement made all the difference in the performance of staff in the team. The team's performance is measured every six months and every year. According to the team members, one of the reasons for success of the project is the fact that this monitoring of performance is put in place.

Where realistic cost and time estimates are considered, the project team has mixed feelings. Even though majority of the planning has been done in a realistic way when cost and time are considered, some unrealistic items still exist. For example, some planning of monitoring activities put in place is not considering the fact that there have been security issues in Oromia

region for the past 2 years. Even though there was an honest mistake in the first year of the unrest, it was not wise to put similar estimates in the second year before making sure issues have been resolved in that region.

As shown in table 4.4, it is understood that budget allocation has been done for monitoring activities. Other resources like human resource, logistics and monitoring tools have been made available according to the timeline of the activities.

According to Image 4.7, the organization has its own risk analysis done for each project. The IVS project has also done the risk analysis according to the company's format and this analysis has enabled the team to plan for anticipated risks of several natures. Planning of monitoring has also been affected by this analysis and the identified risks have been the subject of project monitoring planning in several parts.

Overall, the project planning specifically puts project monitoring plans as relevant activities to be done. These activities are even put as milestones to give them weight. The monitoring activities are not just based on project status but also the critical success factors that have been agreed up on initially.

#### ***4.3.1.3. Monitoring Activities at Project Execution Stage***

<b>No.</b>	<b>Question</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1	Adherence to time schedule			3	1	5
2	Quality of project implementation					9
3	Involvement of stakeholders in project implementation				1	8
4	Contractor involvement as a stakeholder					9
5	Assessment of the expected output or the logical framework					9
6	Evaluation of logical framework matrix in relation to project planning		2	1		6
7	Application of log frame matrix in relation to project planning		2	1		6
8	Conformity of budget to project plan	2		1		6
9	Timely flow of funds				1	8
10	Adherence to the budget	2				7
11	Actual expenditure vs. plan	2				7
12	Project Management Objectives aligned with planning				2	7
13	Top Management Support in project execution					9
14	Availability of information/ communication					9
15	Problem solving abilities					9
16	Quality of project implementation					9
17	Project risk analysis output utilization in implementation		2		1	6
18	External project monitoring and evaluation	9				

The above questions have been answered by 9 people and analysis shows that their aggregate mean is 4.5. This means most of the responses are close to 4.5 (strongly agree). This as a whole gives a meaning that says the monitoring activities that affect project execution stages have been done according to the respondents, however, some aspects like external project monitoring and evaluation have been looked over by the implementation team. Some answers show different results in some issues and this has its own reasons.

Project execution includes all the implementation activities done by the project team and relevant stakeholders. At the execution stage, several aspects of the project get monitored as per the plan.

According to the project team, the adherence to time schedule is one of the major things that get monitored. Time schedule is set at the planning phase and adherence to the set timelines for each project implementation activities has been crucial to the project team, ATA management and other relevant stakeholders. Up on implementation, timeliness of target achievement is reported weekly, monthly, quarterly, bi-annually and annually. These reports are evaluated jointly by internal as well as external stakeholders. If reports show delay, next steps of implementation becomes addressing issues that resulted in the delay and might even go to potentially revising of plan based on findings. To mention one issue that resulted in plan changes of implementation is the security issues in Oromia and Amhara regions that resulted in activity implementation delays. These delays were inevitable given the situation, therefore, required re-planning for the coming implementation year so the initial plan will catch up at some point.

Quality is one of the project aspects that needed to be monitored regularly to achieve project success. According to respondents, project quality is usually reported on quarterly project supervision visits. After activities completed have been monitored, a monitoring/supervision report is produced by project implementers (internal team and external implementation partners) and shared as feedback to all relevant stakeholders at kebele, woreda, zone, regional and federal levels for further actions.

All respondents unanimously agree that implementation includes all relevant stakeholders in the process. The nature of the project requires the involvement of all stakeholders to have successful implementation. This particularly is a critical aspect that is measured by the organization and external implementation partners since it is a determining factor for the project's success.

The contractor in this case is the ATA senior management and the external implementation partners (federal and regional agricultural bureaus). All contracting partners have been involved in the implementation of the project according to respondents. This involvement is monitored weekly, monthly, quarterly, bi-annually and annually by the team as it is considered as one of the major critical success factors for the project.

As it was mentioned in the above section, logical framework has been one of the project planning tools. Project monitoring of the implementation has been done according to items in the logical framework, set targets and indicators.

Most of the team members agree that project evaluation of logical framework matrix in relation to project implementation has been done effectively and regularly.

The planned project monitoring budget has been put to use, according to most respondents. However, this budget has not been applied in Oromia region in the past 2 years due to the security issues. As the budget has been allocated properly, flow of funds has also gone smoothly. To facilitate the smoothness of fund flow and monitoring of any cash spending, the ATA has implemented an ERP system. This system enables the effective, timely and accurate reporting of fund management by the team. When budget allocation vs. spending is considered, the IVS project is one of the very few projects in ATA that has more than 85% of project spending every year. The high number is due to realistic cost estimating and regular budget utilization tracking by the team. Adherence to the budget deviates a little bit from actual spending due to some unspent budget in Oromia region.

As project management objectives have been defined well, planned up on properly, they also reflect in the implementation of the project. The implementation made sure that the project management objective is addressed when working on any issue.

At each and every aspect of the implementation of the project, top management support is reflected. As mentioned above, there has been observed top management support was missing from Oromia Regional State Bureaus at the planning stage, however, this has shown an improvement at the implementation stage especially near to the end.

Problem solving abilities of project implementers (internally and externally) is important for project success. To make this happen, the project team members have been put through rigorous training programs for improved analytical abilities. These project team members were also given a task to provide capacity building activities to external implementation partners in training them in problem solving tools and methods. This activity is one of the things measured by project monitoring activities as it affects not only the performance of the project but also the sustainability of changes achieved.

The project risk analysis document is used whenever project monitoring and supervision is planned by the team members. That document is used as a base document to develop checklists and data collection tools since it contains all relevant frameworks of possible risks that are probable to exist.

One of the major activities that must be put in place whenever planning for a project, is an external evaluation to measure success. However, this project has not planned to do external evaluation at all.

#### ***4.3.1.4. Monitoring Activities at Project Closure Stage***

<b>No.</b>	<b>Question</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1	Application of monitoring reports in relation to project completion		2			7
2	Involvement of stakeholders in readiness for handover of project to convert to program					9
3	Audit reports		7	1	1	
4	Project ownership by stakeholders for handover readiness					9
5	Sustainability of completed project					9

The above questions have been answered by 9 people and analysis shows that their aggregate mean is 4.2. This means most of the responses are in the middle of agree and strongly agree. This as a whole gives a meaning that says the monitoring activities that affect project execution stages have been done according to the respondents, however, some aspects like audit reports have been looked over by the implementation team.

As the IVS project is coming to an end in the coming few months, the activities the team is mostly engaged in are part of handing over activities. Handing over requires the evaluation of learnings collected so far by project monitoring activities. Project monitoring and supervision

reports are used in order to make hand over as smooth as possible. Most of the respondents have agreed that the monitoring reports are being used as learning documents to facilitate handing over, however, the experts working in Oromia region still have doubts in making this happen soon and are also confident this will affect the overall completion period of the project.

All respondents unanimously agree that there is involvement of stakeholders in readiness for handover of project to convert to activities in to a program. All activities are to be inserted in the normal business-as-usual operations of the regional bureaus. To facilitate this hand over, ATA's team has worked in a way that involves all relevant stakeholders (at the technical and management levels) up on implementation so all of them have an equal understanding of the project. ATA's team has also facilitated Training of Trainers to regional and zonal experts to avoid the absence of expertise in all areas when ATA phases out.

For project closure to happen, one of the ideally existing documents should have been an audit report prepared externally. Since this and project evaluation activities have not been included in the initial planning document, they are still not reflected at this stage also.

All project members unanimously agree that the project can be sustainable even after the project team phases out. Activities have been implemented to make hand-over as smooth as possible. These activities have been monitored by the management and external implementation partners weekly, monthly, quarterly, bi-annually and annually.

### 4.3.2. Document check-list

Project stages	Check list	Available	
		Yes	No
<b>In puts</b>	Site plan		No
	Availability of Project plan,	Yes	
	Availability of Logical framework (indicators of goals, inputs, outputs, outcomes & activities).	Yes	
	Availability of Logical framework matrix,	Yes	
	Availability of Monitoring & Evaluation plan,	Yes	
	Availability of Gantt chart, (time schedule vs stages of implementation)	Yes	
	Availability of management chart	Yes	
	Availability of Time schedule	Yes	
	Availability of Stakeholders analysis	Yes	
	Tendering process	Yes	
	Bill of quantities (if necessary)		No
	Contracting process	Yes	
<b>Out put</b>	Completion Time schedule	Yes	
	Adherence to operation schedule		No
	stakeholders involvement	Yes	
	Monitoring & Evaluation reports	Yes	
	Audit reports	Yes	
	Architecture services (if necessary)	Yes	
	Clerk of works services		No
	Existence of project tender committee	Yes	
	Quantity survey		No
	Engineering services		No
<b>Outcome</b>	Operationalization of the Completed Project	Yes	
	Sustainability of the completed project	Yes	
	Future development plans	Yes	

Table 4.2: Document Check-list

Out of the 25 documents requested by the researcher, 18 were made available by the project team members. Seven of the requested documents were not available at all due to the nature of the project.

However, all documents deemed relevant to make the case of proper project monitoring existence have were available for review.

#### 4.3.3. Project Monitoring Activities in Agricultural Transformation Agency

The Agricultural Transformation Agency is a multi-project organization with more than 200 on-going projects focusing on several aspects of the agricultural sector. Projects vary from small to Mega sizes affecting every agrarian household in Ethiopia.

ATA has been established by Ethiopian government officials to break traditional working styles of the normal government bodies that try to develop the agricultural sector and bring about real transformation and make farmers' lives better. As this organization is supposed to bring about a change that was never seen before in the normal operation of the government, it is also expected to have different working styles to make projects successful. The Ethiopian Agricultural Transformation Agency has predetermined project management procedures including monitoring and evaluation tools that can be used by the project teams. Project teams are required to adapt these tools to the project natures and current situations when implementing project activities. To manage project monitoring and performance activities centrally the ATA has recently formed the Performance Management Unit (PMU). According to respondents and documents reviewed, most projects in ATA are rated unsuccessful when measured against critical success factors identified above. 6 out of 9 of the respondents say successful projects in ATA are ones that have implemented the regular project monitoring activities.

Based on the interviews conducted, the below project monitoring tools have been made available by the organization to manage projects successfully.

- a) ***Project planning document*** – This document is composed of guidelines on how to develop activity based project planning. It follows the template below.

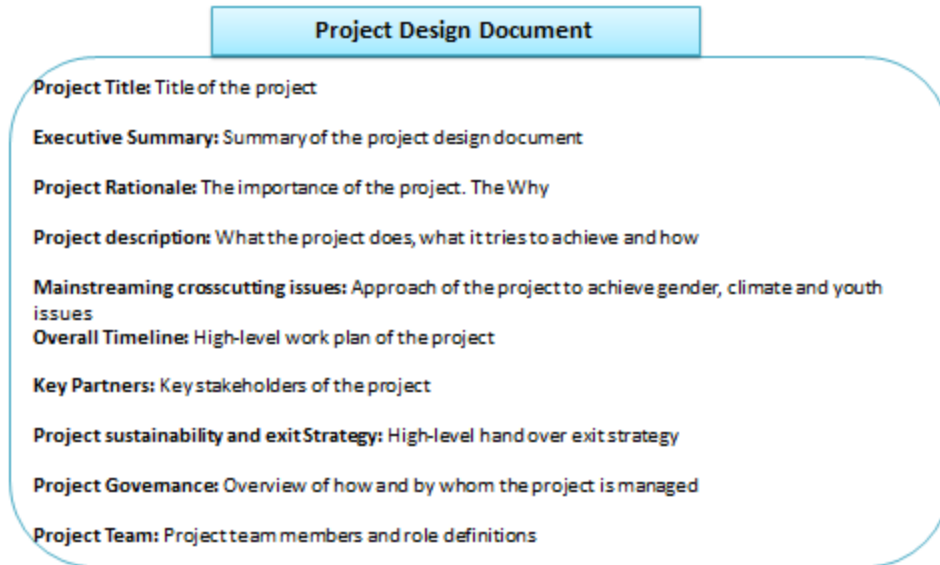


Image 4.1: Project planning document

b) **Logical Framework** – For each project the agency implements, Logical Framework design is required with the below flow.

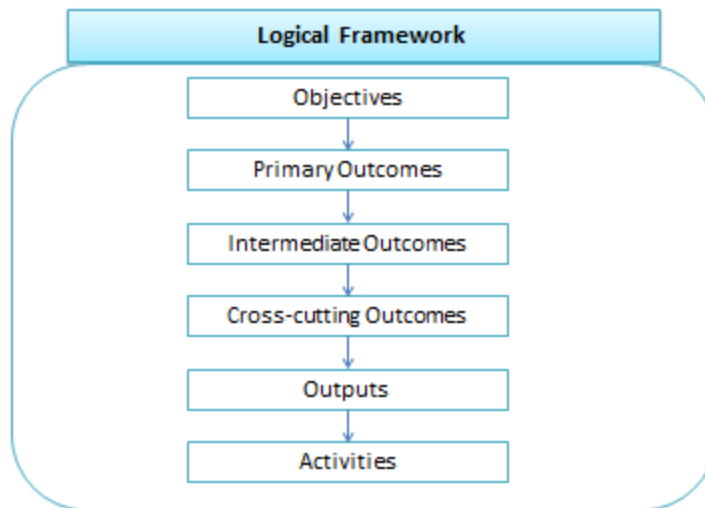


Image 4.2: Logical Framework format

c) **Project Monitoring Plan** – The project monitoring plan outlines the planning of monitoring activities for the project with associated cost and timeline of implementation.

Core MLE Activities	Total Budget (ETB)	Implementation schedule					Responsible/potential partner (if identified)
		Year 1	Year 2	Year 3	Year 4	Year 5	
Baseline survey							
Result progress monitoring (Monthly and Quarterly)							
Mid-term evaluation							
Learning events/platforms							
Final Evaluation							
Project impact evaluation							

Image 4.3: Project M & E Planning format

- d) **Results measurement Framework** – The RFW is the document that outlines the specific project milestones and the targets ought to be achieved.

Result	Indicator	Indicator Type	Baseline value	Target					Data collection				Reporting			Remark	
				Y1	Y2	Y3	Y4	Y5	Responsibility	Source	Frequency	Method	Responsibility	Frequency	Use		

Image 4.4: RFW format

- e) **Project budget planning** – The project budget is estimated based on different budget items to make reporting easier for project staff. Most budget planning includes not only the budget estimate but also sources of funding, especially when planning is done for each year. The below table illustrates the general Budget planning template that is implemented throughout the organization.

Budget Line Description	EC 2009 GC	EC 2010 GC	EC 2011 GC	EC 2012 GC	TOTAL ETB	EC 2009 GC	EC 2010 GC	EC 2011 GC	EC 2012 GC	TOTAL USD
	2016/17	2017/18	2018/19	2019/2020		2016/17	2017/18	2018/19	2019/2020	
TOTAL										
Project / Program Implementation Casual staffing cost										
Local - Team and stakeholders Meetings / Workshops/Monitoring and Supervision										
International - ATA or MoA Team and stakeholders Meetings/ Training / Workshop										
Program Implementation Goods / Materials Procurement/ Warehouse installation										
Service and Consultancy Procurements										
Sub-Grant										
Others / Discretionary										
Contingency										

Image 4.5: Project budget planning template

- f) **Annual Project Timeline** – The overall project plan must be done for the whole project timeline based on the organization’s template to have a smooth and uniform reporting.

The below template illustrates what annual project timeline planning looks like in the organization. This template could be modified for different projects when found necessary so they are able to serve the purpose.

Activities	Timeline					Main output
	Yr 1	Yr 2	Yr 3	Yr 4	Yr 5	
1	█					XYZ
2		█				XYZ
3			█			XYZ
4	█					XYZ

Image 4.6: Gantt chart Format

- g) **Possible Risks and mitigation actions** – As risk management is one of the things that are deemed important by the organization, every project and program team is requested to do the risk analysis based on the below format.

Sub-objective/ activity	Risk statement	Risk source	Risk consequence	Existing control	Risk Response
					Mitigate, Accept, Avoid, Transfer

Image 4.7: Risk analysis template

As all these documents are developed to monitor projects, proper reporting for all of them is developed by the team.

- a) **Project Reporting Template** – In the Agricultural Transformation Agency several hierarchal reporting is followed for all projects and programs. Reporting templates are adjusted based on the period of the reporting, the nature of the project and the stakeholder that the report is written for. Project reports are sent to the transformation council, the ministry offices, the regional government offices, donors, internal senior management,

line management and internal control teams like Performance Management Unit within ATA. The below template is used to frame the major updates sent to the different stakeholders weekly, monthly, quarterly, bi-annually and annually. This template is also used to frame project status updates.

Sub-Deliverable Code	Sub-Deliverable Title	Sub-Deliverable Owner	ATA Counterpart	Overall Progress
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Image 4.8: Project reporting template

- b) **Project Milestone Tracking** – The agricultural Transformation Agency has an online platform where reports are encoded periodically to make information of project status available to internal as well as external stakeholders. This online system is called Milestone Tracking System. The below template is used uniformly in the online milestone tracking portal for all projects.

**Sub - Deliverable**

Project Name– Input sales system		
Quarter x Milestone y		Status <span>xx%</span>
Progress on milestone during this month -		Next steps/planned activities for next month
Challenges	Asks to MoA/ATA management	

Image 4.9: Project online milestone tracking template

- c) **Project Quarterly Supervision** – Most projects in ATA have quarterly supervisions done every three months. The purpose of these project supervisions is identifying project statuses; provide directions on faced challenges and designing ways forward to faced problems. All these supervisions are followed by a feedback meeting with regional and federal stakeholders.
- d) **Project Annual Monitoring** – All ATA projects are supposed to do project monitoring visits to project sites and develop a monitoring report to show annual project status and

solve challenges faced with the projects. These project monitoring visits help the projects draw out learnings of the project to provide support for project success. Project monitoring is done with the involvement of all relevant internal as well as external stakeholders even small holder farmers at this stage.

- e) **Budget Reporting** – Budget plans dictate budget reporting in ATA. The purpose of budget reporting is to understand where the project stands regarding budget spending and utilization. This could be an indication of project performance of lagging of activities therefore is used as one of the tools for project monitoring.

#### **4.3.4. Project Monitoring Activities in Input Voucher System project**

The Input Voucher Project is one of ATA’s mega projects affecting more than 8 million small-holder farming households in Ethiopia. This project has been rated to have high level of success year-to-year when timeliness, quality and cost effectiveness is considered. The below documents are among the few developed by the project team to facilitate effective and regular project monitoring.

##### **a) *Project planning document***

The below image illustrates how project planning documents is summarized for presentation. Project planning for IVS project includes all relevant parts of the implementation.

**Deliverable 2: Develop, design and launch innovative pilots to address immediate bottlenecks in the rural finance sector (1/8)**

Sub-deliverables	Estimated budget		Source of budget
2.1. Increase smallholder farmers' access to input credit through the implementation and scale up of the input voucher sales system (IVS)	10 million ETB/ 477 thousand USD		OCP/DANIDA/CIDA
<b>2009 Target</b>	Scale-up IVS to 2.8 million smallholder farmers in the four regions of Amhara, Tigray, SNNP and Oromia		

Task	Q1	Q2	Q3	Q4
Scale up the manual input voucher system in Amhara	1 Supervision and follow up field visit conducted	MLE assessment done and MLE workshop conducted for 70 IVS implementing woredas in East Amhara	Intensive ToT conducted for 100 zonal experts	1 Supervision and follow up field visit conducted
Scale up the manual input voucher system in Tigray	1 Supervision and follow up field visit conducted	MLE assessment done and MLE workshop conducted for 23 IVS implementing woredas	<ul style="list-style-type: none"> <li>Kick off workshop conducted for 11 scale up woredas</li> <li>Intensive ToT conducted for 10 zonal experts and 80 woredas experts</li> </ul>	3 Supervision and follow up field visits conducted
Scale up the manual input voucher system in SNNP	1 Supervision and follow up field visit conducted	MLE assessment done and MLE workshop conducted for 40 IVS implementing woredas	<ul style="list-style-type: none"> <li>Kick off workshop conducted for 55 scale up woredas</li> <li>Intensive ToT conducted for 100 zonal experts</li> </ul>	3 Supervision and follow up field visits conducted
Scale up the manual input voucher system in Oromia	1 Supervision and follow up field visit conducted	MLE assessment done and MLE workshop conducted for 6 IVS implementing pilot woredas	<ul style="list-style-type: none"> <li>Kick off workshop conducted for 60 scale up woredas</li> <li>Intensive ToT conducted for 100 zonal experts</li> </ul>	3 Supervision and follow up field visits conducted

Image 4.10: IVS project planning template

As can be seen from the above table, the IVS project has detailed planning for the whole project timeline, for the year and specific quarters. According to the project implementers, it was said that this planning is used for monitoring the project success at all stages of the project.

b) *Logical Framework* – The Log Frame of the project has been done at the beginning of the project and includes all relevant parts of the project.

<b>Goal: To increase access to rural finance by smallholder farmers</b>			
<b>Objectives</b>	Objective 1: Increase access to input credit and financial service outreach to small holder farmers in Amhara, Tigray, Oromia and SNNP regions		Objective 2: Save time of SHF during input transaction at RFIs
<b>Primary Outcomes</b>	Outcome 1: Input voucher system scaled up to _____woredas	Outcome 2: Timely loan repayment to relieve regional government budget	Outcome 3: Farmers' time saved and process made efficient
<b>Intermediate Outcomes</b>	1.1. Scale-up woredas' service provision improved	2.1: Timely loan repayment to relieve regional government budget 2.2: Timely deposit of cash in banks and proper way to track it	3.1: Farmers' time saved and process made efficient
<b>Outputs</b>	1.1.1 Scale-up woredas having access to new technology to provide services	2.1.1. Cash tracking system in place	3.1.1. Farmer having access to time saving technology to buy input in cash and in credit
<b>Activities</b>	1.1.1.1 Roll out designed system in scale-up woredas	2.1.1.1. Track the implementation of IVS to facilitate transparent finance management and timely cash deposit Agreements	3.1.1.1. Design and implement system to save transaction time by farmers
<b>Cross-Cutting Outcomes</b>	4:Strengthened capacity for rural financial institutions and smallholder farmers	5:Increased women participation in input purchase	
<b>Intermediate Outcomes</b>	4.1 Overall capacity of RFIs built	5.1. Increased number of female farmers buying input with the system	
<b>Outputs</b>	4.1.1. Service gets provided by trained employees	5.1.1. Female farmers in scale-up woredas having better access to input purchase	
<b>Activities</b>	4.1.1.1. Trained employees of RFIs and Cooperatives to implement the system	5.1.1.1. System designed in a way that addresses women's' needs	

Table 4.3: IVS Logical Framework

The logical framework of the IVS project has aided the project monitoring activities in tracking implementation. Since the project was made trackable, it was easy to do monitoring using activities, inputs, outputs, outcomes and objectives of the project.

- c) **Project Monitoring Plan** – The project monitoring plan has been done by the project team in perspectives of baseline survey, result progress monitoring, mid-term evaluation (internal) and learning event organization.

**Project name: IVS**

Core MLE Activities	Total Budget (ETB)	Implementation schedule					Responsible/potential partner (if identified)
		Year 1	Year 2	Year 3	Year 4	Year 5	
<b>Baseline survey</b>							
<b>Result progress monitoring</b>	3,572,113	√	√	√	√	√	BMGF/CIDA, DANIDA, DFID, RNE
<b>Mid-term evaluation</b>	10,971,808	√	√	√	√	√	BMGF/CIDA, DANIDA, DFID, RNE
<b>Learning events/platforms</b>	20,645,750	√	√	√	√	√	BMGF/CIDA, DANIDA, DFID, RNE
<b>Final Evaluation</b>							
<b>Project impact evaluation</b>							

Table 4.4: IVS M & E Planning

As can be seen from the above table, the project has planned to do monitoring activities proactively. Not just planned but assigned enough budget to do monitoring throughout the years. According to the respondents, having this dedicated budget helped the implementation of monitoring activities.

d) *Results measurement Framework*

Result	Indicator	Indicator Type	Baseline value	Target				
				Y 1	Y 2	Y 3	Y 4	Y 5
Increase smallholder farmers' access to input credit through the Implementation and scale up of the Input voucher sales system (IVS)	Quantity of input purchased by smallholder farmers (quintals) through manual IVS	Scaling-up	1,048,477	2,200,000	4,400,000	7,700,000	11,000,000	11,200,000
	Number of male and female smallholder farmer accessing input credit through manual IVS (20% FHHs; 23% Tigray, 18% Amhara, 17% Oromia, 21% SNNP)	Scaling-up	285,345	350,000	950,000	2,000,000	3,300,000	3,700,000
	Number of mobile phones distributed to agents	Introduction / promotion of innovative concepts / approaches	102	170	1,000	3,000	6,000	5,110
	Number of transaction done by e-voucher system	Scaling-up	10,000	40,000	250,000	1,000,000	2,500,000	3,700,000
	Number of male and female adults trained on financial literacy (20% FHHs; 23% Tigray, 18% Amhara, 17% Oromia, 21% SNNP and 30% married women)	Capacity building	N/A	350,000	950,000	2,000,000	3,300,000	3,700,000
	Number of FIs experts trained on ToT	Capacity building	-	164	670	570	350	-
	Number of media used to reach smallholder farmers in disseminating financial literacy messages	Introduction / promotion of innovative concepts / approaches	4	3	3	3	3	3

Table 4.5: IVS RFW

The IVS project has developed Results framework in detail. All relevant results have been identified and assigned targets and indicators throughout the lifetime of the project. The IVS project team has used this RFW to monitor status of achievement and report on it. All respondents agree that the RFW made the implementation of monitoring activities focused enough to have good results in implementation.

- e) ***Project budget planning*** – the project budget planning has been done for the overall project at the beginning and adjustments are made every year. Budget planning follows the template ATA provides for all teams from the central finance team.

#### **4.3.5. Monitoring tools in project implementation success**

The IVS project has project planning document developed at the beginning of the project. This document has served as a baseline for every activity done and monitored throughout the lifetime of the project. According to the respondents, this document has been useful in achieving proper project monitoring of critical success factors.

The second relevant documents have been the logical framework. This document has served as one of the most relevant documents to do project monitoring. The fact that this document exists for this reason has made the project's success become true.

The document that has stakeholder analysis has also existed from the start and has been used by project implementers in achieving implementation targets that are based on other peoples' perspectives. According to the respondents, this document has helped them in identify relevant stakeholders and know how to manage them.

It is obvious that budget is used to track progress in projects. If project is underspent, it might be an indication that the project activities are lagging. If the project is overspent, it shows a red flag on unplanned costs. According to the team members that responded to the interview, all agreed that this has helped them in managing their project activities in the past.

Project timeline (Gantt chart) has been developed for the project and activities get tracked based on this document. Most respondents agree that this has been helpful in managing their project and achieve success, however, was not so helpful for Oromia region implementation teams.

As mentioned above, risk management tool was developed by the project team at the start of the project and has been used ever since, especially when project monitoring activities are done. All of the team members agree that this has been useful to manage project and achieve success.

#### **4.3.6. Other issues affecting project success in relation to project monitoring**

Top management support has been identified as one of the things that have been said to have an impact on project success monitoring. This has been reflected greatly in the implementation of the IVS project.

Not only top management support, but also donor support has been identified as one of the things that had an impact on project success monitoring.

Support of project for crosscutting issues such as gender, climate and youth mainstreaming has been identified as one of the major things determining project success. These items have been considered when implementing the project. Monitoring of these issues has been done due to request from donors and government counterparts, however, were useful to achieve project success.

Stakeholder support was said to exist in all areas except in Oromia region, especially, at the start of the project. This has been one of the things that were deemed relevant by implementers.

Adherence of government policy directions has been said to exist by all project staff and was rated as one of the major things that led to the achievement of the project success.

The project also was deemed to adhere to organizational mission, vision and goals. The mission, vision and goals were the main things navigating project activity implementation, therefore, helped in achieving properly monitored project success.

## **Chapter 5: Summary of Findings, Conclusion and Recommendation**

### **5.1. Summary of Findings**

Notice must be taken of the fact that these findings are specific to this study. They may confirm or reject findings in similar studies in existing literature. In generalizing the findings of this study, care must be taken since different organizations may yield different results. Therefore, these results are expected to truly reflect that of the studied organization only.

As per the assessment done, IVS project's success is mainly due to proper, regular and timely project monitoring. The project monitoring has been done accordingly to pre-set targets with different aspects/phases of the project. Critical success factors have been identified for four major phases of the project and all were subject to measurement when undertaking project monitoring activities.

The fact that to management support is there to do project monitoring at all stages it made it easier to achieve intended results. This project has been implemented in a unique way from the organization. Even though ATA puts in place project monitoring and evaluation requirements, most project teams do not implement them as much as required. However, the IVS project team made sure this is a different story here and it paid off well. The regular project monitoring done and timely feedback provided enabled the project's success in the short as well as the long run.

### **5.2. Conclusion**

Based on interviews conducted and documents reviewed, it can be concluded that the IVS project is rated as successful when measured against consistently achieving time, cost and quality targets set monthly, quarterly, annually and generally as a project. Even though most project activities are done, some are pending in Oromia regional implementation.

Even though IVS project has been deemed a success, there are still missing activities that are pending to say everything is going to be finished 100% perfectly.

To mention of few;

- When regional implementations are considered, it can be seen that Oromia's implementation is late

- There are issues with top management support in Oromia region due to newly appointed government officials. This issue has been improving from the start of the project, however, it is still difficult to say everything is done well
- Project audit plan is non-existent
- There is no plan by the project team to facilitate external evaluation of the project

If all the above concerns could be addressed, most pending issues will be resolved. The ‘How’ of this is illustrated below in the recommendation part.

### 5.3. Recommendation

From the above stated findings and conclusions, it is recommended that

- At the project initiation and planning stages
  - Not much could be done here to change things, however, learning should be taken out from the IVS project in two aspects. One, proper planning leads to effective monitoring that would result in project success. Two, even after proper planning is done by the project team, somethings may still go wrong depending on the context. Therefore, ATA projects must be able to learn how to accommodate planning of project monitoring in to their implementation and prepare for unforeseen circumstances and allocate contingency resources to handle that
- At the project execution stage
  - To still be able to go on with the high performance of project activities, the IVS team should focus on monitoring the activities in Oromia region and following-up closely of the critical success factors. This way the complete implementation will be successful at the end of the project period
  - In relation to the Oromia implementation, a close follow-up should be on stakeholder coordination and management. As most of the stakeholders are government officials, they need to be closely monitored and managed. To achieve project success, it would be great if stakeholder involvement could be better in Oromia region. Since there has been high turnover of stakeholders, the same approach that was used for other regions may not be effective. To be effective in

this region, a more frequent, systematic and need-based approach of monitoring this critical success factor must be put in place.

- At the project closure stage
  - At the closing period of the project, two documents must be properly developed. The audit report and external evaluation report. These reports are very important to the project and the organization. For the project team, it will help measure overall achievement against target put at the beginning of the project. For the organization, these reports are documentations of what has been done by the project, what challenges were faced and what lessons can be drawn out of the implementation of the project so the information could be used in new or on-going projects.
  - The organization should be thinking about doing an impact evaluation at the end of the project to measure real changes that have been made to affect outcomes and impacts planned in the logical framework. If a project implements all planned activities but fails to achieve the final result, it means the project has failed generally. It would be great if this could be facilitated by the organization.
- Generally
  - ATA should uniformly implement project monitoring activities. This could ideally be done by the newly established Performance Management Unit by mainstreaming project monitoring requirements throughout the organization's departments. Since learning can be drawn out of this project that monitoring of critical success factors efficiently, effectively and timely lead to project success and achievement of desired outcomes

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## Annex

### Annex A: Letter to Respondents

**Date: May 2018**

**Address:** \_\_\_\_\_

#### **REF: REQUEST TO CARRY OUT RESEARCH**

Dear Respondent,

I am a post graduate student of Addis Ababa University School of Commerce pursuing a programme leading to Master of Arts degree in project management. As part of the course I am expected to conduct a research on influence of monitoring and evaluation tools on project completion.

This is to request you to participate in the exercise as a respondent.

The information provided for this research will be purely for academic purposes and the recommendation made will be important to your project, and the organization as a whole. The information provided will be treated with utmost confidentiality.

Yours faithfully

Melat Mebratu Gebeyehu

## Annex B: Checklists

**1: Available**

**2: Not Available**

Project stages	Check list	Rating Scale	
		1	2
<b>In puts</b>	Site plan		
	Availability of Project plan,		
	Availability of Logical framework (indicators of goals, inputs, outputs, outcomes & activities).		
	Availability of Logical framework matrix,		
	Availability of Monitoring & Evaluation plan,		
	Availability of Gantt chart, (time schedule vs stages of implementation)		
	Availability of management chart		
	Availability of Time schedule		
	Availability of Stakeholders analysis		
	Tendering process		
	Bill of quantities (if necessary)		
	Contracting process		
<b>Out put</b>	Completion Time schedule		
	Adherence to operation schedule		
	stakeholders involvement		
	Monitoring & Evaluation reports		
	Audit reports		
	Architecture services (if necessary)		
	Clerk of works services		
	Existence of project tender committee		
	Quantity survey		
Engineering services			
<b>Outcome</b>	Operationalization of the Completed Project		
	Sustainability of the completed project		
	Future development plans		

## Annex C: Interview questions and talking points

### Qualitative Interview Induction

**Length:** 30 – 40 minutes

**Primary goal:** To get the real perspectives of stakeholders in the IVS project implementation regarding the project success and the contribution of regular project and monitoring it had on its success.

### Verbal Consent

1. Would like to participate in this interview?  
 Verbal consent was obtained from participant  
 Verbal consent was NOT obtained from participant

### Background Information

#### Overview

Invite interviewee to briefly tell me about him/herself: General information of background... Mainly focusing on educational background and work experience

What is your educational level?

Diploma                       Bachelor's Degree                       Master's Degree                       PHD or more

How many years of experience do you have? \_\_\_\_\_

How long have you been working for this organization? \_\_\_\_\_

How long have you been working on this project? \_\_\_\_\_

#### General Information

Project description / type e.g. dormitory, health clinic, offices.	Approximate cost for the Project	Location of the Project	Designation of the respondent

**Project specific questions** – Please rate the below questions 1 to 5 (1 being the lowest and 5 being the highest). The rating should happen considering the level of existence of the parameters and the level of impact those parameters had on project critical success factor monitoring

***Project Initiation/ Definition***

<b>No.</b>	<b>Question</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1	Contractor requirement and conditions					
2	Definition of logical framework for project implementation achievement					
3	Stakeholder definition and analysis					
4	Clear Project Management Objectives					
5	Top Management Support in project definition					
6	Allocation of adequate project resources					
7	Critical success factor definition					

***Project planning***

<b>No.</b>	<b>Question</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1	Inclusion of budget needed for project monitoring in the project plan					
2	Reflection of monitoring in project plan					
3	Involvement of stakeholders in project planning					
4	Usage of logical framework in project plan					
5	Inclusion of contingencies in the budget					
6	Audit planning					
7	Project Management Objectives aligned with planning					
8	Top Management Support in project plan					
9	Competency of project team					
10	Realistic cost and time estimates					
11	Activity based project resource planning					
12	Planning of project monitoring					
13	Project risk analysis					

***Project Execution***

<b>No.</b>	<b>Question</b>	<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>
1	Adherence to time schedule					
2	Quality of project implementation					
3	Involvement of stakeholders in project implementation					
4	Contractor involvement as a stakeholder					
5	Assessment of the expected output or the logical framework					
6	Evaluation of logical framework matrix in relation to project planning					
7	Application of log frame matrix in relation to project planning					
8	Conformity of budget to project plan					
9	Timely flow of funds					
10	Adherence to the budget					
11	Actual expenditure vs. plan					
12	Project Management Objectives aligned with planning					
13	Top Management Support in project execution					
14	Availability of information/ communication					
15	Problem solving abilities					
16	Quality of project implementation					
17	Project risk analysis output utilization in implementation					
18	External project monitoring and evaluation					

**Project Closure**

No.	Question	1	2	3	4	5
1	Application of monitoring reports in relation to project completion					
2	Involvement of stakeholders in readiness for handover of project to convert to program					
3	Audit reports					
4	Project ownership by stakeholders for handover readiness					
5	Sustainability of completed project					

**By ticking in the space provide indicate the extent to which you feel the following aspects of the Project implementation influence your respective Project monitoring and successful project completion.**

1. In your opinion how do you rate extent of utilization of the following Monitoring tools in project implementation success?

5 – Very high    4 – high    3 - Not sure    2 - Low    1 - Very low

	1	2	3	4	5
Project Plan					
Logical Framework					
Stakeholder Analysis					
Budget					
Project timeline (Gantt Chart)					
Project risk management tool					

2. In your opinion how do you rate the extent of the following variables existed in the implementation of the project

	1	2	3	4	5
Top management support					
Donor support					
Support of project for crosscutting issues (gender, climate, youth mainstreaming..)					
Stakeholder support					
Adherence of government policy directions (Federal and regional)					
Adherence of organizational mission, vision and goals					

3. Approximate the extent to which level of the project success has been influenced by the Monitoring tools indicated below.

	1	2	3	4	5
Project Plan					
Logical Framework					
Stakeholder Analysis					
Budget					
Project timeline (Gantt Chart)					
Project risk management tool					

4. Approximate the extent to which level of the project success has been influenced by the monitoring tools indicated below

	1	2	3	4	5
Top management support					
Donor support					
Support of project for crosscutting issues (gender, climate, youth mainstreaming..)					
Stakeholder support					
Adherence of government policy directions (Federal and regional)					
Adherence of organizational mission, vision and goals					

### **General questions during scheduled interviews**

1. What do you think about the influence of applying Monitoring tools on project implementation and completion?
2. What were the regular monitoring activities done by the project team and how did it affect project success?
3. What are the challenges during project implementation monitoring
4. Do you think the project would have been successful if less project monitoring activities were done?