



**Addis Ababa University School of Commerce Masters in Project
Management /MAPM/ Extension Unit**

**Assessment of the Monitoring and Controlling Practices of
Programmes and Projects-**

The case of the African Union Commission

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DECLARATION

I, Dereje Chanie Mekonnen, declare that the study entitled “**Assessment of the Monitoring and Controlling Practices of Programmes and Projects-The case of the African Union Commission**” is the result of my own effort and study that all sources of materials used for the study have been acknowledged. I have conducted the study independently with the guidance and comments of the research advisor. This study has not been submitted for any degree in any university. It is conducted for the partial fulfilment of the Master of Arts Degree in Project Management.

Dereje Chanie Mekonnen

Date



LETTER OF CERTIFICATION

This is to certify that Dereje Chanie Mekonnen has conducted this project work entitled “**Assessment of the Monitoring and Controlling Practices of Programmes and Projects -The case of the African Union Commission**” is under my supervision. This project work is original and suitable for the submission in partial fulfilment of the requirement for the award of Master of Arts Degree in Project Management.

Teklegiorgis Assefa (Ass. Professor)

Signature and Date



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Contents

DECLARATION	iii
LETTER OF CERTIFICATION	iv
ACKNOWLEDGEMENT.....	v
List of Tables.....	viii
List of Figures.....	ix
List of Abbreviations	x
Abstract.....	xi
Chapter One: Introduction	1
1.1. Background of the Study	1
1.2. Background of the Organisation.....	2
1.3. Problem Statement.....	4
1.4. Research Questions.....	6
1.5. Objective of the Study	6
1.4.1. General Objective	6
1.6. Scope of the Study	7
1.7. Significance of the Study	7
1.8. Organisation of the Paper.....	8
Chapter Two: Literature Review	10
2.1. Theoretical Literature	10
2.1.1 Definitions and Key Terms.....	10
2.1.2. Monitoring.....	10
2.1.3. Purposes of Monitoring and Evaluation	11
2.1.4. Monitoring and Evaluation Systems.....	13
2.1.5. Ten Steps to a Results-Based Monitoring and Evaluation System.....	14
2.1.6. The 12 Components of a functional M&E system.....	17
2.1.7. Where should Monitoring & Evaluation Unit be located?	18
2.1.8. Monitoring and Evaluation Framework Approaches	21
2.1.8.1 Theory-based Monitoring & Evaluation.....	21
2.1.8.2. Logical framework Approach	22
2.1.8.3. Using the log frame for monitoring	24
2.2. Empirical Literature Review.....	25
Chapter Three: Research Methodology.....	26
3.1. Research Paradigm, Approach and Design.....	26

3.1.1. Research Approach.....	26
3.1.2. Research Design	28
3.2. Population and Sampling.....	28
3.3. Data Collection	29
3.4. Data Analysis.....	29
3.5. Scalability, Reliability and Validity.....	30
3.6. Ethical considerations	30
Chapter Four: Data Presentation, Analysis and Interpretation	31
4.1. Demographic Features	31
4.2. Practice of Monitoring & Controlling Functions in the AUC	33
Chapter Five:.....	44
5.1. Introduction	44
5.2. Summary of the Findings.....	44
5.3. Conclusions	46
5.4. Recommendations	47
5.6. Recommendation for Further Study.....	48
References.....	49
Annex-1 Questionnaire	51

List of Tables

- Table 1: Advantages & Disadvantages of positioning M & E Unit in different locations
- Table 2: Log frame Matrix
- Table 3: Gender of Respondents
- Table 4: Age of Respondents
- Table 5: Educational Qualifications of Respondents
- Table 6: Experience of Respondents in the AUC

List of Figures

- Figure 1: The 12 Components of Functional M & E System
- Figure 2: The Vertical Logic
- Figure 3: Log frame Framework
- Figure 4: Level of Practicing Monitoring & Controlling in AUC
- Figure 5: Benefits of Monitoring & Controlling to the AUC
- Figure 6: Challenges Related to Implementing Monitoring & Controlling in the AUC
- Figure 7: Functional Monitoring & Controlling Plan
- Figure 8: Fund for Monitoring & Controlling Function
- Figure 9: Means of Monitoring & Controlling Mechanism used by the Organisation
- Figure 10: Monitoring & Controlling Institution Support
- Figure 11: Location of Monitoring & Evaluation Unit in AUC
- Figure 12: Structures, Guidelines and Approaches for Reporting & Dissemination
- Figure 13: Indicator & Baseline Data
- Figure 14: Institutionalising the Baseline & Target Development in AUC
- Figure 15: Monitoring & Controlling Capacity and Capacity Building Plan

List of Abbreviations

AUC:	African Union Commission
AMERT:	African Monitoring Evaluation and Review Tool
IT:	Information Technology
IPs:	International Partners
LFA:	Logical Framework
MSs:	Member States
M & C:	Monitoring & Controlling
M & E:	Monitoring & Evaluation
NGOs:	Non-Governmental Organisations
FTYIP:	First Ten Years Implementation Plan
PME:	Planning, Monitoring and Evaluation
PRC:	Permanent Representatives Committee
RECs:	Regional Economic Communities
SPPMERM:	Strategic Policy Planning, Monitoring & Evaluation and Resource Mobilisation
SMART:	Specific, Measurable, Achievable, Realistic, Time bound
SAP:	Systems Applications and Products in Data Processing
UNFPA:	United Nations Fund for Population Activities
UNDP:	United Nations Development Programme
WB:	World Bank

Abstract

Monitoring and Controlling is an important function that enables organisations to track the progress of their programmes and/or projects and alerts them to take possible corrective action. For the Monitoring & controlling function to meet the intended objective/s, it requires an **institutionalised effective and efficient** monitoring and controlling system. The monitoring and controlling system should give real-time information to the stakeholders about the progress of the programmes and/or the projects for decision making. The system also enables the organisation to bring transparency and accountability for the resource sacrificed to implement the programmes and/or projects. This paper tries to assess the conditionality's that must be fulfilled for the monitoring and controlling function to bring the required benefits to the Africa Union Commission. It is against this background that, in this paper the weaknesses of the monitoring and controlling function in the African Union Commission identified to come up with the concrete recommendations. Best practices in the monitoring and controlling function from **six dimensions** were taken into consideration to compare it with the existing system and identify the weaknesses of the system in the commission. Recommendations are provided both from the monitoring & controlling **general framework** and from the **process** perspective.

Chapter One: Introduction

The African Union Commission's mandate is mainly to act as secretariat to the AU. This can be further split into two main functions which includes provide secretariat services to the AU and all its entities, and prepare continental policies and support their adoption by AU Member States (MS). This study assesses and reviews the Monitoring and Controlling practices of programmes and projects of the African Union Commission and identifies the strengths and weaknesses and puts forward the recommendations for improvement.

Chapter one of this paper is organised as follows: the background of the study, the background of the organisation, the problem statement/s, the general and specific objective/s of the research paper, and the significance of the study including its scope and the organisation of the paper.

1.1. Background of the Study

Monitoring is an internally driven process of regularly collecting data and analysing it for the sake of improving the efficiency of the project via controlling the progress (Crawford and Brye, 2003). Whilst, evaluation is a systematic and independent assessment of an ongoing or completed project regarding its implementation and achievements (Uitto, 2004). Monitoring and Evaluation are two separate but complementary processes (Gorgens and Kusek, 2009).

Monitoring and evaluation systems are sets of related components within a structure and serves to track the implementation and achievements of a project (SAMDI, 2007). The four interlinked sections in Monitoring & Evaluation systems includes: setting up of the M&E systems, implementation of the systems, project stakeholders involvement and Communication of the results (Guijt et al., 2002). In theory, "an ideal M&E systems should be independent enough to be externally credible and socially legitimate, but not so independent to lose its relevance" (Briceno, 2010). The recommendations

and lessons learned should therefore be able to influence policy making and brings sustainability overtime by being responsive stakeholders' needs.

Monitoring and evaluation theory and practices were introduced in the early 1980s as part of adopting of the results based management practices under the umbrella of new public management. In coping with internal and external demands for greater transparency and accountability and with the intension of improving service delivery to enhance sensible use of tax payers' money and to meet the demands for results of the citizens, it was used by governmental and the non-governmental organisations across the world.(Jennings, 2000).

1.2. Background of the Organisation

The African Union Commission serves as a secretariat to the African Union. It has twenty-four Departments and eight autonomous units. The Departments and autonomous units plans, designs and implements different projects in the process of meeting their organisational mandates. The recent initiative of Agenda 2063 is recent initiative of the AU and it is a 50-year ambitious planning horizon which rigorous enough to predict with a model that far in the future due to the uninterrupted and complex changes (political, social, cultural, economic and technological) in the world. However, "planning 50-year ahead, allows the union to dream, think creatively, and sometimes crazy...to see the commission to leapfrog beyond the immediate challenges."

The African Union member states adopted Agenda 2063, The Africa We Want, as the blueprint for 50-year of continental socio-economic and political transformation. The first step towards the realisation of the vision for 2063 is the first 10-year implementation plan (FTYIP) and was prepared for member states adoption and integration to their national visions and strategies. This First Ten Years Implementation Plan was adopted by member states, Regional Economic Communities and African Union organs and was asked to integrate the results framework and institutional responsibilities, including monitoring and evaluation (M&E) plan into their national strategies and planning systems.

As part of meeting this vision the African Union member States are committed to have an effective and efficient secretariat (the African Union Commission) within which programmes and projects at continental and regional level are coordinated and commission level projects are properly implemented and reported.

The African Union Commission coordinates the Monitoring and Evaluation functions of the different programmes and projects through the Planning Monitoring and Evaluation Division located under the Strategic Policy Planning, Monitoring & Evaluation and Resource Mobilisation Directorate. The Directorate coordinates this function through the Planning and Monitoring and Evaluation experts assigned to assist the different Departments and it has the following mandates:

- Coordinate the planning functions for the commission's programmes and projects,
- **Design monitoring and evaluation procedures for programme implementation and assessment; Monitor implementations as implemented by the different implementing Departments, Regional Economic communities(RECs) and organs,**
- Compile the performance reports (both mid-term and annual) and report back to the stakeholders including the Member States and International partners,
- Provide new policy recommendations expected to improve the performance of the commission's mandate for the management's considerations and decision,
- Mobilise resources required to implement the African Union programmes and/or projects,
- Coordinating the domestication of Agenda 2063 into the Member States National Plans and its implementation in its capacity as the Agenda 2063 secretariat
- Provide knowledge management services by creating, acquiring storing and disseminating knowledge.

The location of the monitoring and evaluation function is a subject of debate in the commission for which the further study has been enhanced to identify the possible areas of locating this function. Some says the function should be separated from the planning functions of the organisation and others say the current position is the right position for the location of the Monitoring and Evaluation function. The commission an in-house developed tool called the African Monitoring Evaluation Review Tool (AMERT) that is used to do the Monitoring & Evaluation Plan of all Departments, to allocate resources and to collect reports from the implementing Departments.

1.3. Problem Statement

Project Monitoring and Evaluation is one of the critical elements of the project management cycle. Internationally progressive projects hinge their success on continuous or routine process of data collection to measure extent of performance against target and goals. Controlled, Monitoring and evaluation significantly improves project performance. Poor project performance attributes to limitations in application of monitoring and evaluation as a component of project management cycle. Project donors, beneficiaries and stakeholders demand for evidence of project performance against targets.

The African Union Commission's mandate is mainly to act as secretariat to the AU. This can be further split into two main functions which includes provide secretariat services to the AU and all its entities, and prepare continental policies and support their adoption by AU Member States (MS) Article 3 of the Statutes of the Commission of the African Union ASS/AU/2(I). The African Union Commission strives to improve service delivery and foster accountability in the process of meeting the visions put forward in the Agenda 2063. In order to be able to account for efforts made to make the Agenda 2063 vision a reality, it has to improve the service delivery capability and to demonstrate achievements; the commission has developed a union wide Monitoring and Evaluation Framework. The framework is evolving from a means to account for money spent to undertake activities and for outputs

directly under the control of the union into one that allows for assessing the union's contribution to the development results; and the impact it makes on African people's lives. This results-based approach aims to support the commissions in accounting for its spending and achievements and to make well-informed strategic decisions based on what is known about what works and what does not, hence relating to evidence-based decision-making. The improvement of Monitoring and Controlling (M&C) in the union does not only require high level management support, but also requires the financial means for strengthening or cementing the building blocks of the Monitoring & Controlling system.

In the process of meeting the vision of the union, the African Union Commission is mandated to Coordinate and monitor the implementation of the decisions of other organs of the Union in close collaboration with the Permanent Representatives Committee (PRC) and report regularly to the Executive Council. To this effect, the African Union Member States and International Partners year-after-year are injecting their tax payers' money to the African Union Commission programmes and projects with the hope to create an effective and efficient secretariat that can meet the mandates. However, every year the stakeholders are boldly expressing their disappointment for the poor achievements, the poor quality programmes and projects design & implementation and for the poor quality of implementation reports. The Member States and international partners claimed that the programmes, projects are not clearly showing the planned achievements and the reports don't confirm the results that the commission achieved. The Member States and International Partners proposed to boost accountability for the funds that they committed for the commission from their tax payer citizens. In doing so, the member states and International partners have shown their commitment to enhance the Monitoring and Evaluation system of the commission through identifying the strengths and gap/s of the existing Monitoring and Evaluation system of the African Union.

The purpose of this paper is therefore to assess the monitoring and controlling practices of AUC's programmes and projects with the aim to identify gap/s

and provide recommendation/s to enable further improvement which can ultimately contribute to the effectiveness and efficiency of Programmes and projects formulation and implementation in the commission and to enhance the commission's ability to achieve better.

1.4. Research Questions

This project systematically tries to answer the following research questions:

1. What are the components of a good monitoring & controlling system?
2. What are the weaknesses of the Monitoring & controlling system in the African Union Commission?
3. Is there relevant institutional set up that enables stakeholders' involvement in the organisation?
4. Is there institutional mechanism that consistently enables the organisation disseminate Monitoring & controlling results in the African Union Commission?

1.5. Objective of the Study

This study has the following general and specific objectives:

1.4.1. General Objective

The general objective of this paper is to undertake diagnostic review of the existing Monitoring and Controlling system of the African Union Commission, identify the strengths and gaps and to rectify the gaps through proper recommendations on the areas for future improvement.

1.4.2. Specific Objectives:

The specific objectives of the study covers the current Monitoring & controlling practices both from the fundamental monitoring & controlling building blocks perspective and from the Monitoring & Controlling Processes perspective. In general, the paper has the following specific objectives:

- To assess how the **components** of good Monitoring & Controlling practises has appropriately set in the AUC

- To assess how properly are the Monitoring & Controlling system has been **implemented**
- To diagnose how well are **stakeholders involved** in the Monitoring & Controlling process
- To diagnose the extent to which Monitoring & Controlling results are **communicated**

1.6. Scope of the Study

Despite the fact that the recently developed Monitoring & Evaluation framework document is for the AU wide including the regional Economic Communities (RECs), AU organs and individual Member States, this diagnostic review only focuses on the African Union Commission (the secretariat for the African Union). The paper only diagnoses the gaps in the existing Monitoring and Controlling system of the African Union Commission Departments and autonomous units. The evaluation part of the component won't be a subject of diagnosis for this study. The key staff including the Project managers, senior officers and other relevant individual working for the different projects in the 24 Departments and autonomous units of the African Union Commission will be involved for data collection.

1.7. Significance of the Study

This African Union Commission may be the primary beneficiary from the findings of this research as M & E has just been given due emphasis by the Member States and international partners and these major stakeholders seek to see the tangible achievements from the commission and seek accountability for the money they spent on the commission. The commission has also been embarked to improve the M&E systems to meet the expectations of the member states including other stakeholders, as well as provide valuable information for decision-making regarding future interventions. The study may inform policies directions towards setting up of monitoring and evaluation systems, and show how M&E can be used as a

powerful management tool to improve the way organizations and stakeholders can achieve greater accountability and transparency.

The commission may use the findings of the study to improve projects planning, implementation, and management. It might enable the project managers and other staff to understand and appreciate the ever-changing environment. It may further give a deeper insight to those who gets involved with M & E to effectively implement the required processes.

The academicians, policy planners, and researchers might also benefit by getting practical areas of improvements for their Monitoring & Evaluation unit. Overall, the study recommendations might improve effectiveness of monitoring and evaluation in projects and provide comprehensive guidance on how to set up and implement a monitoring and evaluation system by avoiding the pitfalls that may lead to its failure. The study also identified areas related to M&C field that might require more research, hence a basis for further research.

1.8. Organisation of the Paper

The paper is organised in five chapters including:

Chapter one: details an introduction part, which contains background of the study, background of the organisation, statement of the problem, the general and specific objectives of the study, significance of the study, limitation and significance of the study.

Chapter two: gives the theoretical literature and empirical review aspect of this section of the paper.

Chapter three: provides the methodology used by this paper including the research approach & design, the population and sample details the data collection and analysis methods employed by the paper.

Chapter four: presents the data analysis, data presentation and interpretation part of the paper, and

Chapter five: presents the summary of the findings, the conclusions and recommendations part of the paper.

Chapter Two: Literature Review

2.1. Theoretical Literature

2.1.1 Definitions and Key Terms

Monitoring: Monitoring is a systematic and continuous collection of data on identified indicators to inform management and the main stakeholders on the extent of progress and achievements of an ongoing program or project (Guijt, 2008)

Evaluation: is the systematic and objective assessment of an ongoing or completed operation, programme or policy, its design, implementation and results. Evaluations should provide credible and useful information to enable the incorporation of lessons learned into the decision making process (Jaszczolt, 2009).

Accountability: Is action for persons/individuals or organizations to account for its activities accept responsibility and disclose the results transparently.

Transparency: Means working in such a way that it is easy for others to see what actions are performed.

Decision making: Is the study of identifying and choosing alternatives based on the values and preferences of the decision making.

2.1.2. Monitoring

McCoy et al. (2005) defines monitoring as the routine activity tracking of the key milestones of project performance via the results chain through data collection analysis, regular reporting and surveillance. It determines if the inputs, activities and outputs are resulting based on the plan. Inputs are resources used on implement the project. Budgets are used to track the project financial performance and it is analysed by comparing planned expenditure against actual. Planned schedule be compared with the actual to know the deviation in the execution of the project.

Crawford and Bryce (2003) define monitoring as an internally driven ongoing process of collecting and analysing data for the sake of controlling the efficiency of the project progress. The authors define efficiency as an efficient conversion of inputs to outputs i.e. within budget and schedule and wise use of the resources. It emphasizes that monitoring is geared mainly to project control and it is in agreement with the operational definition of monitoring. The operational definition of monitoring states that monitoring serves mainly for project control made by the project manager which is taking corrective action and making decisions regarding the project.

Uitto (2004) defines monitoring as a continuous activity with the primary objective of providing the project management and major stakeholders with advance indication of the project progress performance in the achievement of the results.

UNFPA (2004) defines monitoring as a process of continuously tracking performance against the plan by collecting and analysing data about the project. It identifies project strength and weaknesses in the project processes that transform inputs into immediate results. The result of the monitoring performance information enhances decision making during implementation and for future learning.

In summary all definitions by the authors have highlighted that there is an element in the monitoring process for data collection and analysis to control the project progress.

2.1.3. Purposes of Monitoring and Evaluation

Monitoring and evaluation has a variety of purposes. The orientation for each monitoring and evaluation is determined by the purpose for which it is used. In general, monitoring & controlling has the following main purposes:

I. Support Management Decision-Making Process

The monitoring and evaluation system provides evidence for managers to assist the managerial decision making processes. The appropriateness of the quality of the

monitoring & evaluation information that feeds into existing managerial processes should be carefully reflected. The monitoring & evaluation information supplements and complements management, but it can never replace good management practices.

Decisions on programme design and implementation, choices between alternative strategies of achieving the same objective, policy decisions, and resource allocation are some elements of value by monitoring & evaluation. The presentation and the accuracy of information are critical elements for supporting management in their decision-making processes.

II. Organisational learning

Monitoring & evaluation results help to create knowledge in the organisations but it is a challenging process as translating result into “learnings” are sophisticated for organisations.

Monitoring & evaluation can be used as a research tool to explore the best programme design to sort out societal problems, and the associated reason and identify the best programme design and operational processes that create the best value for money. Monitoring & evaluation provides the analysis and evidence for the trade-offs between alternative strategies. The information gathered should be analysed and translated into action-oriented reports to assist the decision-making. It focuses on the causes of problems rather than the manifestation of problems. Learning has been described as “a continuous dynamic process of investigation where the key elements are experience, knowledge, access and relevance. It requires a culture of inquiry and investigation, rather than one of response and reporting”. M&E produces new knowledge. “Knowledge management means capturing findings, institutionalising learning, and organising the wealth of information produced continually by the M&E system”.

III. Accountability

In general, programme/project implementers’ should be accountable for resources sacrificed during implementation and if they have achieved the purposes for which the resources have been voted and that they have gone about their duties with a high degree of integrity.

Monitoring & evaluation provides structured and formalised information to allow scrutiny of public service activities at all levels.

This implies that monitoring & evaluation is similar to “policing”. However, monitoring & evaluation should not only be done for the purpose of accountability, as it may be the cause for suspicion and a culture of fear. When dealing with public funds accountability is critically important.

IV. Soliciting support for programmes

The evaluation of the findings from programme implementation is a success; it is easier to gather support for the programme, including continued or increased budgetary allocations for the programme or political support when important policy decisions affecting the programme must be made.

V. Supporting advocacy

The result of monitoring & evaluation may initiate the continuation, adjustment or termination of the programme and/or the project. In this sense, monitoring & evaluation plays a vital advocacy role through providing means for supporting or refuting arguments, clarifying issues, promoting understanding of the aims and underlying logic of policies, documenting programme implementation and thereby creating an institutional memory, and involving more people in the design and execution of the programme.

VI. Promoting transparency

The results of monitoring & evaluation will be made available to the broader stakeholders and then it promotes transparency, and through this facilitates decision-making and accountability. Monitoring & evaluation requires the willingness to be subjected to scrutiny, as findings may be published and made available to the public.

2.1.4. Monitoring and Evaluation Systems

Monitoring and Evaluation is a combination of two different and complementary processes (Gorgens and Kusek, 2009). It is a process of systematically collecting and analysing data in an ongoing project and comparing of the project outcome or impact against the project or program plans (Hunter, 2009). Similarly, Monitoring &

Evaluation system, is a set of related components within a structure that provide a common purpose of tracking implementation results of a project or program in organizations (Samdi, 2007). Monitoring and evaluation is therefore an integrated system of reflection and communication that support program implementation.

Monitoring & Evaluation system is a combination of four interlinked sections (Guijt et al., 2002) that includes:

- Setting up of the M&E system,
- Implementation of the M&E system,
- Involvement of the program stakeholders, and
- Communication of the M&E results.

In principle, an ideal M&E system should be independent for it to be credible and lawful, but should not lose its relevance' (Briceno, 2010). It should therefore be able to influence policy making from recommendations of lessons learned as well as be sustainable overtime for it to be responsive to the needs of the stakeholders at organisation at large.

2.1.5. Ten Steps to a Results-Based Monitoring and Evaluation System

The building blocks of results based M&E system that responds to the results in an organization's strategy has 10-step process (Kusek and Rist 2004).The steps are summarized below.

- **Step One**: The capacity and willingness of the organisation and its development partners to create a results-based monitoring & evaluation system is done by conducting a readiness assessment. The existence of champions in the organisation, the obstacles of building a system, the owner of the system and who will be the resistors to the system are the issues that the assessment addresses.
- **Step Two**: The required higher level result (outcome) should be agreed to identify the key requirements of developing strategic outcomes that then focus and drive the resource allocation and activities of the organisation and its development partners to develop the monitoring and evaluation. These

outcomes should be derived from the strategic priorities (goals) of the organisation.

- **Step Three**: The key achievement for the outcome can be done by developing outcome indicators to Monitor. The core activity in developing monitoring & evaluation system is development of indicator. This initiates the subsequent data collection, analysis, and reporting requirements. Both the political and methodological issues in creating credible and appropriate indicators should not be underestimated.
- **Step Four**: The current status with respect to the selected indicator is done by gathering baseline data and is the first step for the measurement of progress towards outcomes. Collecting baseline data amounts to taking the priori measurements of the indicators.
- **Step Five**: Setting Realistic Targets based on what have been planned recognizes that most outcomes are long-term, complex, and not quickly achieved. An interim targets is then required to specify the progress made towards the targeted outcome together with the time frame and the required level of resource. To measure the results against the targets direct and/or proxy indicators can be used for either the quantitative and qualitative data or both.
- **Step Six**: Set up institutions to measure results by developing data collection, analysis, and reporting guidelines; by designating responsibility relationships for the activities; by establishing quality control procedures; by establishing timelines and costs; by defining the roles and responsibilities of the organisation, other stakeholders; and by establishing information analysis & dissemination guidelines for the transparency. The challenges of ownership, management, maintenance, and credibility should be reflected in the construction of monitoring & evaluation system.

- **Step Seven:** The contributions that evaluation studies and analyses in assessing the results and the movement towards outcomes depend on the evaluative Information generated to support decision making. Analysis of program theory, outcome and impact evaluations, assessments of the evaluability, process evaluations and evaluation syntheses are the 5 strategies that can be used in evaluating a results-based monitoring & evaluation system.
- **Step Eight:** Analysing the findings of the monitoring & evaluation report is an important step in the process of determining the focus of the findings, the format to be used and the interval of reporting. Since this step focuses on the methodological dimensions of collecting, measuring, and preparing analyses and reports, it addresses the existing capacity of generating information.
- **Step Nine:** The essence of the findings of the monitoring & evaluation system is not simply to generate results-based information but to get timely information for appropriate users in the system that can take the information into account in the management of the organization. In this step the roles of the development partners and civil society to strength accountability, transparency, and resource allocation procedures by using the information is addressed.
- **Step Ten:** The durability and efficacy of the system allows the sustainability of the monitoring & evaluation system within an organisation. There are six key criteria to be met for the construction of a sustainable system including: demand, structure, trustworthy and credible information, accountability, incentives, and capacity. All these dimensions require constant attention over time to ensure the viability of the system. It has to be noted that, there is no convention required to build the monitoring & evaluation system has to follow all the above 10 steps. However, ensuring that key strategies and activities are recognized, logically clustered together, and then done in an appropriate sequence is highly mandatory.

2.1.6. The 12 Components of a functional M&E system

Marelize Görgens and Jody Zall Kusek(2009) identified twelve components of a functioning Monitoring & Evaluation system in an organisation and grouped into three broad categories. These categories include:

1. People, Partnerships and Planning
2. Collecting, Capturing and verifying data
3. Using data for decision-making

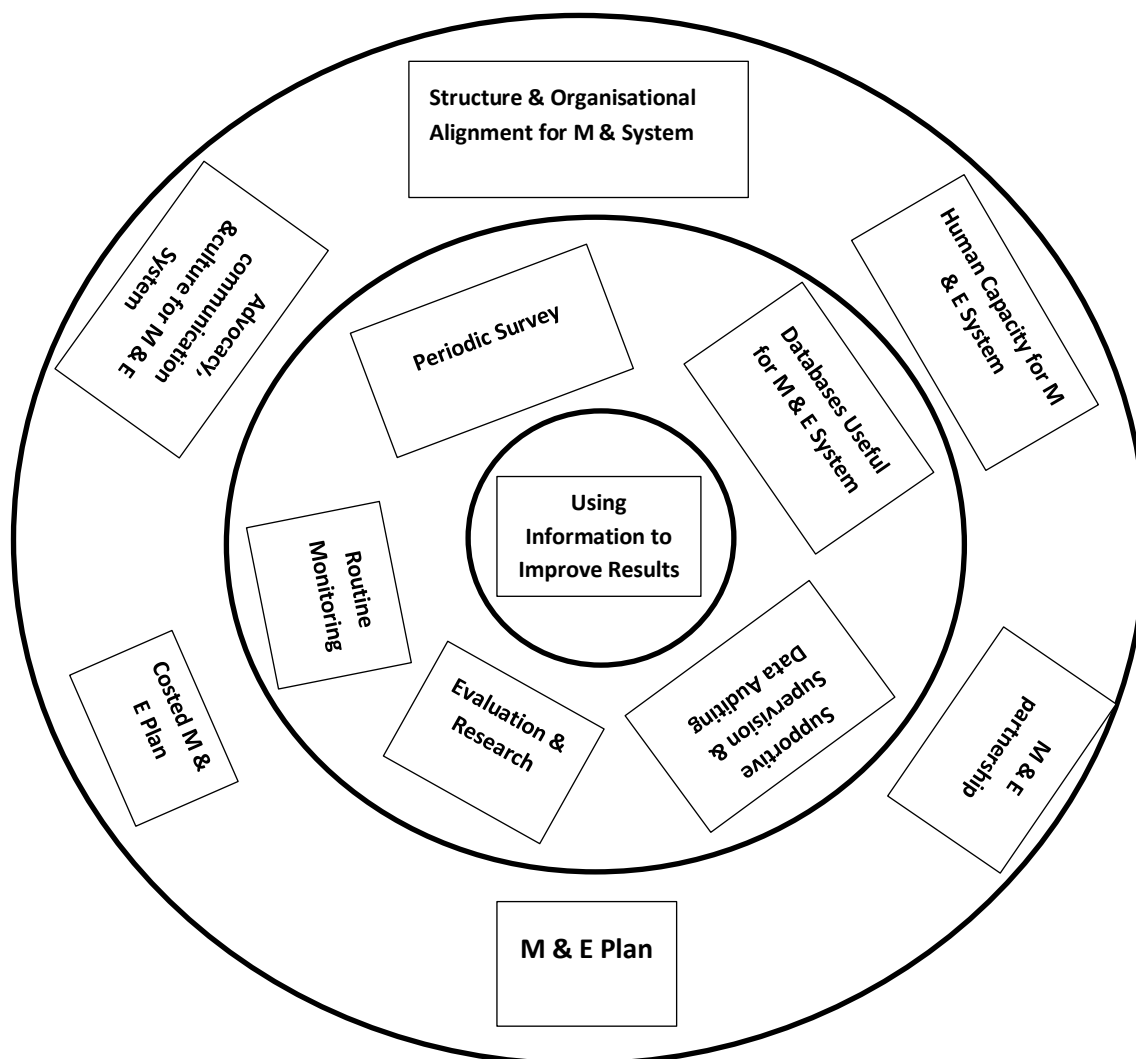
Figure 1 below illustrates the inter-dependence between the 12 components and the three rings of monitoring & evaluation system that are intersecting and interlocking parts of an integral whole system.

The reason behind developing monitoring & evaluation systems is to provide information and use it to improve our projects, policies, and programs. The inner component in figure 1 shows the central purpose of the monitoring & evaluation system i.e. analysing data to create information and disseminate to inform and empower decision making at all levels.

The middle ring shows the five linked components related to data management processes that involve collection, capturing, and confirmation of all types of monitoring & evaluation data (a fuel for an engine in a monitoring & evaluation system). Perfect enabling environment (the outer ring of components), in a monitoring & evaluation system cannot be used to manage for results unless data are generated (middle ring).

The outer ring consists of six linked components related to people, partnerships, and planning that support data production and data the enabling environment for M&E to function.

Figure 1: The 12 Components of Functional M & E System



Source: Making Monitoring and Evaluation Systems Work, A Capacity Development Toolkit by Marelize Görgens and Jody Zall Kusek

2.1.7. Where should Monitoring & Evaluation Unit be located?

There are varieties of views by different literature as to where the monitoring & evaluation system unit within the organization is located. Undoubtedly, the monitoring & evaluation function, the planning and budget functions must work collaboratively. Some organizations locate the monitoring & evaluation function separately from the planning and budgeting function and others locate with the budgeting and/or planning function.

The mandate of the monitoring & evaluation function also determines the location of the monitoring & evaluation unit. If the mandate of the unit is primarily for

accountability, the best place for the unit may be separate from the primary organization. Naidoo (2011) noted the more the location of the monitoring & evaluation function is associated with the unit with a significant power for decision-making, it is more likely to be taken seriously. He further explained that M&E managers should bolster credibility for the unit to be seen as having adding value. This implies the capacity of the monitoring team must be enhanced and strengthened for it to have more power that increases its effectiveness. Besides the power of monitoring & evaluation teams, other factors like frequency & scope monitoring to identify changes, number of individuals monitoring project schedule, and extent of monitoring to detect cost over runs are required.(Ling et' al, 2009).

An alternative to locate the monitoring & evaluation unit is either independently or as part of a planning or programming division. Both have their own advantages and disadvantages. But there is no one correct option rather it is important to balance all factors that affect the dynamics in the organization should be taken into consideration before a deciding the placement of the monitoring & evaluation unit.

The following may help to decide where to place the monitoring & evaluation unit in an organization:

- The organisation's monitoring & evaluation previous experiences,
- The organization's culture and leadership styles (dramatic, suspicious, detached, depressive, compulsive)?
- The people currently handling the monitoring & evaluation function in the organisation,
- The culture of the organisation for the information-sharing role and if priority have been given to M&E,
- The major internal challenges facing the monitoring & evaluation unit,
- The major decisions that the monitoring & evaluation unit wants to make,
- The future intentions of the organization on monitoring & evaluation information sharing,

M & E Unit	Advantages	Disadvantages
Within the planning unit	<ul style="list-style-type: none"> • M&E functions better linked to policy and planning processes • Synergy in Joint Annual Program Reviews • Opportunities for M&E to be mainstreamed 	<ul style="list-style-type: none"> • Poor authority, autonomy and power • High bureaucratic processes • Managed by technically skilled manager in M&E • Reduced advocacy
Standalone unit	<ul style="list-style-type: none"> • More autonomy, authority and power • Faster decision making • Less bureaucratic procedures 	<ul style="list-style-type: none"> • M&E not mainstreamed within organization or within planning processes • M&E may be reflected as a policing function by staff • M&E results and processes may not be well understood by staff • Distinction or complement between M&E and program management/ coordination not well understood or implemented
Subcontracted out	<ul style="list-style-type: none"> • M&E activities can have strong results focus: no performance, no pay • Salary scales not bound by public service; can contract higher expertise • Performance-based contract should generate high level of performance 	<ul style="list-style-type: none"> • Less flexible • M&E is seen as practically an outsourced function • Higher cost of M&E • M&E not mainstreamed in organization's functions • Representation of the organization in meetings or making decisions on its behalf

Table 1: Advantages & Disadvantages of positioning M & E Unit in different locations

2.1.8. Monitoring and Evaluation Framework Approaches

There are two frameworks in the approaches to monitoring and evaluation including: theory based framework and logical framework

2.1.8.1 Theory-based Monitoring & Evaluation

This framework doesn't assume simple linear cause-and effect relationships (Davidson, 2000), rather it assumes an in-depth understanding of the workings of a program or project. Systems approach is applied in this approach where the success of an intervention is the result of many factors including the environmental factors & their interaction, and then it can be decided the steps that should be monitored as the program develops, to see how well they are accepted. This allows the identification of critical success factors. When the data show these factors have not been achieved, the possible conclusion is that the program is not going to be successful in achieving its objectives (Uitto, 2004).

Rogers et al., as cited by Uitto (2000) identifies the following advantages of the theory based framework to monitoring and evaluation:

- a) It can be able to attribute project outcomes to specific projects or activities:
- b) It can be able to identify unforeseen and an unanticipated programme or project consequences.

Theory based evaluations enables the evaluator to articulate the reason for the programme is working and how it is working (Weiss, 2003: and Birkmayer and Weiss, 2000). It is the most widely used approach. Originally, It was used as a planning tool for by the United States military, then it was adapted by the National Space Agency (NASA) before being used by USAID for development projects over thirty years ago. It was then adopted by European development organizations in the 1980s and by the end of the 1990s the LFA (or an adapted form of it) had become the standard approach required by many donors for grant applications (Aune, 2000: Reidar, 2003: and Kaplan and Garent, 2005).

2.1.8.2. Logical framework Approach

The logical framework approach (LFA) has become the key management tool of planning for the development and aid interventions for the last twenty years. The African Union Commission uses the logical framework approach in planning designing and aiding monitoring and evaluation of their projects. Despite the wide requirement by NGOs for adoption of LFA to aid planning, management and the monitoring and evaluation amongst the partners, it is unclear how skilled these NGOs are in the use of this logframe. The inability to effectively use the Logframe means that the NGOs cannot get the optimum benefit out of it. The 5x4 matrix of the logframe work approach indicates the relationship between inputs, activities, outputs, outcomes and impact of the project and the underlying assumptions (Crawford and Bryce, 2003). Figure 2 illustrates shows the structure for logical thinking in project design, implementation and monitoring and evaluation. It makes the project logic explicitly shows the project logic and it provides the means for a thorough analysis of the needs of project stakeholders and it links project objectives, strategies, inputs, and activities outputs and outcomes to the specified needs (NORAD, 1995). The logical framework approach also helps to clarify objectives of any project, program, or policy. It aids in the identification of the expected causal link in the following results chain: inputs, processes, outputs outcomes, and impact. It leads to the identification of performance indicators at each stage in this chain, as well as risks which might impede the attainment of the objectives. The approach is also a vehicle for engaging partners in clarifying objectives and designing activities. During implementation the Log Frame that results from the logical framework approach serves as a useful tool to review progress and take corrective action.

Despite the existence of numerous adoptions to the logical framework, its fundamental structure and functionality is always the same. The vertical axis presents the logical hierarchy of results and assumptions based on cause and effect relationship or “vertical logic” of the project. The horizontal axis of the matrix can be verified at each level in the vertical logic and is known as the “horizontal logic” of the project (Crawford and Bryce, 2003).

As illustrated in Figure 2: If the inputs are available and the related assumptions hold then the activities can be conducted effectively. Given that the activities are conducted and the activity output assumptions hold, then desired project outputs will be attained. If the project outputs are produced and the output outcome assumptions hold, then the outcomes should be realized. If the outcomes are realized and the outcome goal assumptions hold then the goal is likely to be attained.

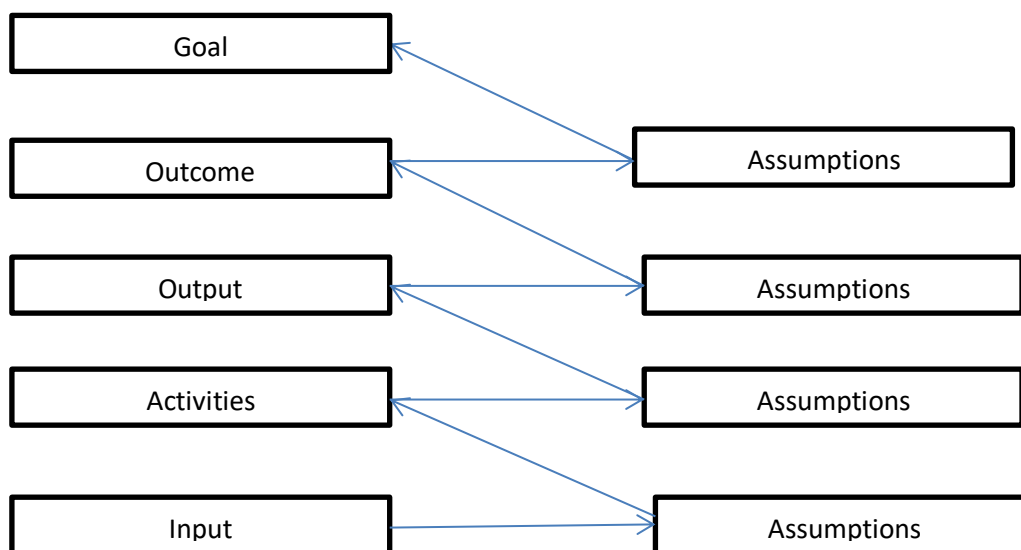


Figure 2: The Vertical Logic

The objectively verifiable indicators and means of verifying the objectives (Table 2) comprise the horizontal logic and the second column requires the identification of measurable indicators for assessment of progress towards the goal.

Results Hierarchy	OVI	MoVs	Risks/Assumptions
Impact			
Outcome			
Output			
Activity			
Inputs/cost	Pre-conditions		

Table 2: Log frame Matrix

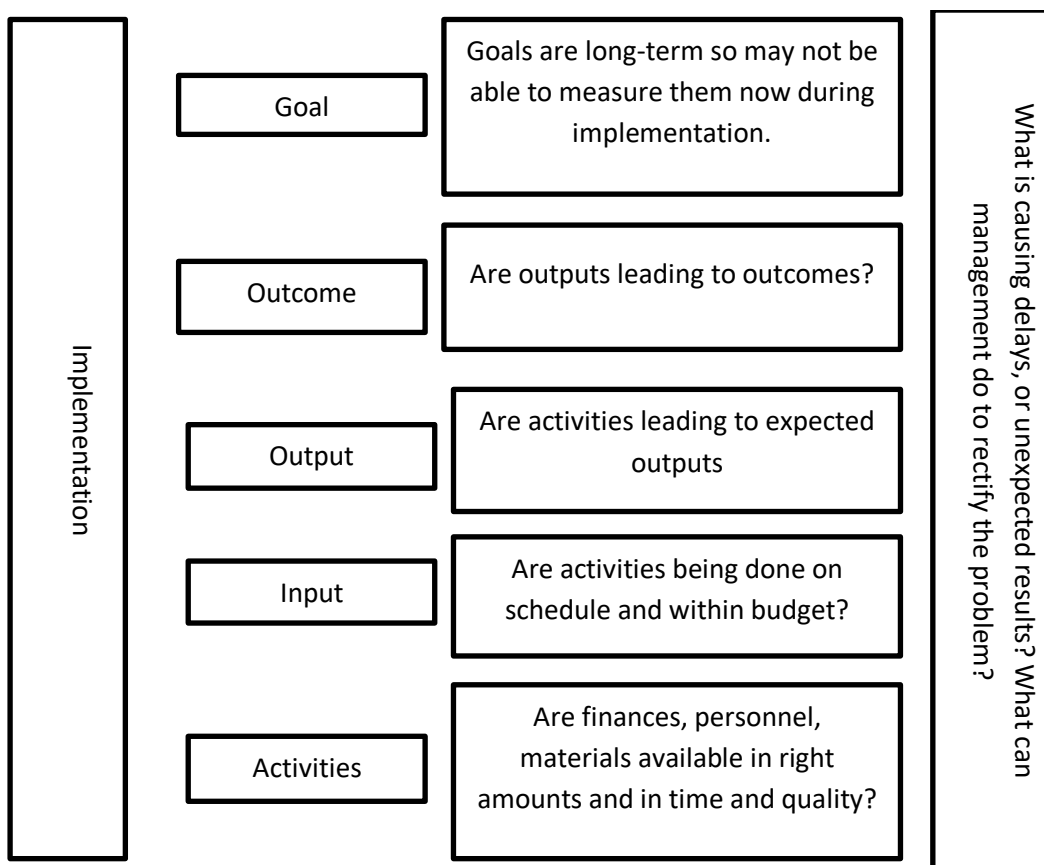
Indicators are quantitative or qualitative measures that can be used describe states and changes in them over a period time (Uitto 2004). They are used to measure

progress with respect to inputs, activities, outputs, outcomes and impacts for the development projects, programs and/or intervention. Indicators can be used to track achievement of targets by comparing it with the baseline that the project plans to improve. Managers use indicators to track progress towards intended results and subsequently to take corrective actions to improve project performance (World Bank, 2004). Indicators can also help alert managers regarding the deviations or problems that should be corrected.

2.1.8.3. Using the log frame for monitoring

Based on the framework adapted from International Federation of Red Cross (IFRC), different monitoring questions are asked at different levels of the project log frame (IFRC, 2001).

Figure 3: Log frame Framework



Source: IFRC 2001

2.2. Empirical Literature Review

Naidoo (2011) concluded that for the monitoring & evaluation system unit to be effective, the function should be located in a unit that has the power to make decision in the organisation. Besides, he mentioned the unit manager should develop trust, confidence and credibility by the beneficiaries for value additions for the success of the organisation to guarantee the continuation of the unit. This implies that the monitoring team needs to be capacitated for it to have more power that can increase its effectiveness. Besides, the number of staff involved in the monitoring & evaluation tasks, the frequency their monitoring missions held and the amount of budget allocated for the monitoring functions has contributions in strengthening the M&E teams, (Ling et' al, 2009).

Magondu (2013) explained that in a functional organisation, financial accessibility is the main resource as compared to other resources including the human resource. He mentioned that finances are required to set up the M & E unit and enough number of skilled staff capacity for to effectively implement and sustain the monitoring and evaluation system. Therefore, the staffs have to be equipped with the relevant skills for performance and success.

The data systems and information systems are also part of the project structural capacity essential for monitoring and evaluation exercise (Hassan, 2013). An effective monitoring and evaluation is a major contributor to project success and hence the use of technology to compliment the efforts of the M&E team will strengthen it; which will in turn lead to value addition by the team.

Managing Stakeholders, teamwork amongst members and monitoring the progress of the project work are some key processes used to manage the project work (Georgieva & Allan, 2008). A good monitoring team is the one that has good stakeholders' representation. Likewise, M&E team which embraces teamwork is a sign of strength and an ingredient for better project performance.

Chapter Three: Research Methodology

3.1. Research Paradigm, Approach and Design

In order to achieve the desired objective of this project paper, the following research approach and research design are used:

3.1.1. Research Approach

This paper tries to undertake diagnostic review of the existing monitoring & controlling function of the African Union Commission using the six broad Monitoring and Evaluation dimensions in order to arrive at the conclusion. The dimensions are basic conditionality's to the functional monitoring and controlling practices. The six dimensions include:

- I. **The existence of policy to support the Monitoring & Controlling system:** At an institutional level, essential capacity relates to ensuring appropriate and clear mandates, and a strategy to ensure they relate or integrate with each other. It also refers to the enabling policy and legislative environment, including those relating to data management. Within the organisations, technical capacity includes the now widely available ICT monitoring tools and data-management systems, including analytical and reporting tools
- II. **Monitoring and data-generating mechanisms and capability:** The form and character of routine data collection mechanisms and tools must be examined on a fit-for-purpose basis. This feature and function is integral to implementation would normally be executed by the same players and stakeholders tasked with implementation.

Monitoring capability to collect data will have to be adopted over extended periods. A starting point is focusing on data that is relevant to establishing baselines. This mostly includes surveys at appropriate intervals and observations, which relate to the tracking of a defined parameter.

Monitoring and data-generating capabilities should include:

- Data-auditing capability, such as verifying the information to ensure that it is reliable, valid and genuine; and
- Inherent capacity to undertake policy research and analysis, including historical and foresight. This is a critical as it informs evaluation, as well as designs new policies and programmes.

- III. **Organisational structures with clear M&E functions:** Effective implementation of the M&E requires that there is a focal point unit with a main purpose of providing institutional coordination of all the M&E functions at all the levels,
- IV. **Rallying institutional (human, organisational & system) capacity for Monitoring & Controlling:** Effectiveness of Monitoring & Controlling implementation requires that adequate numbers and competencies, or experienced staff is assigned to the Monitoring & controlling system. Monitoring & controlling is a multi-disciplinary field, and therefore, requires planning competencies, statistics and knowledge of the concerned thematic issues,
- V. **Partnerships and alliances for planning, coordinating and managing the Monitoring & controlling system:** A prerequisite for successful implementation of the M&E system will be relevant and purpose-built Monitoring & controlling partnerships and alliances. The participation of non-governmental actors in the process, and
- VI. **The use of Monitoring & Controlling reports for decision making:** as this is the ultimate objective of Monitoring programmes/projects, the diagnosis will be made to confirm if the organisation uses monitoring reports for decision making purpose.

3.1.2. Research Design

The study employed tabular and graphic presentations of the data and the results obtained are not interpreted cardinally but used only to draw a picture of comparative strengths and weaknesses of the monitoring and controlling system in the organisation Vis a Vis the standard monitoring and controlling functions. This research totally focuses on the qualitative discussion of the findings so as to draw conclusions and put forward recommendation/s expected to enhance the effectiveness and efficiency of the M & E system of the organisation.

3.2. Population and Sampling

The target population for this study was 86 which includes Senior M & E officers, Senior Programme officers, programme officers and policy officers working for the different Departments and autonomous Divisions programmes and/or projects. Modified stratified sampling method was used to selecting the sample. The population was grouped by the position and the function that they have in the organisation before selection. The desired sample size was 38 (44% of the population) comprising two respondents from each Department and autonomous unit that have more than four big programmes/projects and one respondent from Departments and autonomous units that have less than four big projects. Some Departments with no big programmes/projects were not included in the sample. However, only 32 respondents representing; 37% of the target population and 84.2% the desired sample size, were responded to the questionnaire which is expected to adequately represent the population and support the findings. Out of the total thirty-two, twenty-three (23) responded with the online tool and nine (9) responded using a hard copy. Fourteen (14) respondents were further investigated using telephone interview to provide further feedback on some of their responses and Ms team meeting were held with 2(two) respondents.

3.3. Data Collection

The study is based upon a combination of primary and secondary data sources. Literatures were reviewed regarding the subject with the aim to learn about Monitoring & Controlling practices adopted in different governmental and non-governmental organisations. The information gathered from the review was used to develop interview by involving three experts to corroborate the variables identified from literature. The experts selected are officers directly involving in the Monitoring & Controlling practices in the organisation.

Subsequently, the questionnaire has been prepared using an online data gathering tool and circulated both online and in hard copy to 38 respondents working in the African Union Commission and who are directly involved in the monitoring and controlling practices of the commission's programmes and projects. In addition to the questionnaire to improve the reliability of the data telephone interview, interview using an online meeting platform including Ms. Teams were made with the respondents to investigate further on their responses and to seek clarifications on their responses. At times, the existing documents in the African Union Commission were further reviewed for validity of the responses.

Besides, secondary data was collected from secondary sources using desk reviewing of Project Proposals (Log-Frame) available from the African Monitoring & Evaluation Review Tool (AMERT), Annual and Mid- term Implementation reports, Mid-term programme/project evaluation reports, Member States and other policy organs decisions, policy documents of the commission on Monitoring & Evaluation systems, International Partners roles and approaches in Monitoring & Evaluation and other academic literatures to supplement the analysis from the primary data collected via interview and questionnaire.

3.4. Data Analysis

Visual summarized data presentation was used to present the data including pie chart, horizontal & vertical bar graphs and other tabular presentations in analysing the data. Qualitative discussions of the findings were employed in this research in order to draw conclusions and put forward recommendation/s. The data obtained are

not interpreted cardinally but used only to draw a picture of comparative strengths and weaknesses in the Monitoring & controlling system of the organisation.

3.5. Scalability, Reliability and Validity

The researcher has utilised different methods to ensure the reliability of the collected data including:

- Apart from using the questionnaire, telephone interview and Ms team meeting to investigate respondents were used and further document review was held,
- Selected respondents directly working in the African Union Programmes and/or projects who have the knowledge on the Monitoring & Controlling practices in the commission to get consistent responses.

To ensure the validity of this research, the researcher tried to make proper alignment of the objectives of the research and the research methodology. The questionnaire was designed taking the objectives of the research in to consideration.

3.6. Ethical considerations

The purpose of this study was explained to the respondents at the very beginning to build their level of confidence and give appropriate and exhaustive response on time. All respondents participated voluntarily in the survey. The respondents' privacy was assured of their responses and was kept confidential at all levels of the study.

Chapter Four: Data Presentation, Analysis and Interpretation

This chapter presents the raw data collected from the respondents and tabular, pie chart and bar graph presentation was used to analyse the data.

4.1. Demographic Features

The summarised version showing the demographic characteristics of the respondents are given as follows:

Table 3: Gender of Respondents:

Sex	Frequency	Percentage
male	17	53
Female	15	47
	32	100

Source; Survey April 2020

Table 3 above shows 53% of the respondents are male and 47% are female showing that there is almost balanced representation between female and male respondents. All except only one female respondent gave response to the questionnaire and five male respondents didn't give response.

Table 4: Age of Respondents:

Age Category	Frequency	Percentage
18-24	0	0
25-34	4	12.5
35-54	24	75
55+	4	12.5
	32	100

Source: Survey April 2020

The age category table indicates that 75% of the total respondents are under the age category of 35 and 54 and equal proportions (12.5%) of respondents are under the age category of 25-34 and 55+ indicating that the higher proportion of respondents are under the same maturity level. The fact that more than 87% of the respondents are older than 34 years old informs that the selected target groups are experienced enough to give appropriate response to the questionnaires using their rich experience.

Table 5: Educational Qualifications of Respondents

Education	Frequency	Percentage
Secondary	0	0
Diploma	0	0
Degree	4	12.5
Masters	28	87.5
PhD	0	0
	32	

Source: Survey April 2020

As indicated in the table 5 above, all respondents have first degree and above of which 12.5% has first degree and 87.5% have MA. Since the respondents are selected from individuals working in the different programmes/projects that are being held in the African Union Commission, and they have above first Degree educational qualification, it somehow guarantees the quality of the data for the reliability to make valuable conclusions and recommendations.

Table 6: Experience of Respondents in the AUC

Experience (Years)	Number	Proportion
<=1		0
1-3	1	6
4-6	4	12
7-9	2	7
>=9	24	75
	32	

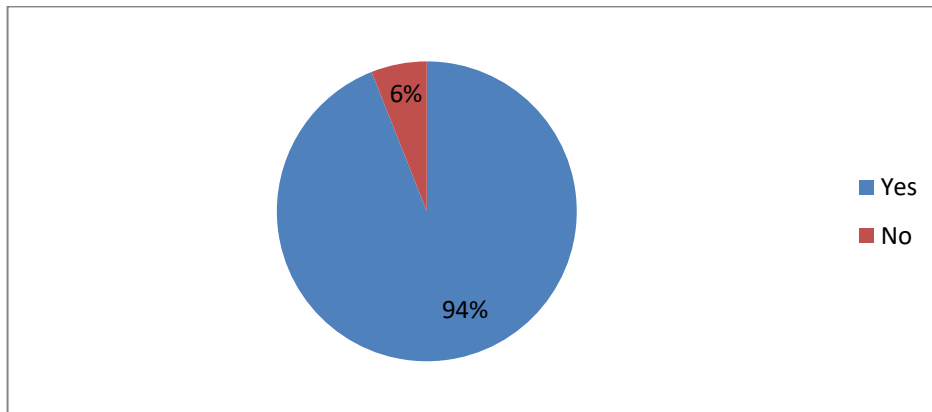
Source: Survey April 2020

As indicated in the table 6 above, 75% of the respondents have more than nine years of experience working in the AUC's programmes and/or projects. All the respondents have had experiences working for the African Union Commission. It implies that all respondents know the strengths and weaknesses of the Monitoring and controlling practices of the organisation. These are the very good reason to conclude about the validity & reliability of the data collected for making conclusions and recommendations on the Monitoring & Controlling functions of the organisation.

4.2. Practice of Monitoring & Controlling Functions in the AUC

This part of the analysis is meant to compare findings of the monitoring and controlling practices of the African Union Commission with the best practices both from at the framework and process perspective.

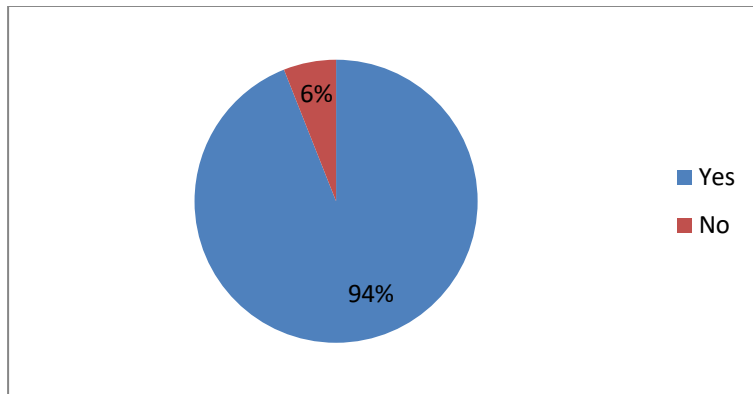
Figure 4: Level of Practicing Monitoring & Controlling in AUC



Source; Survey April 2020

As indicated in the pie chart above, 81% of the respondents believe that there is an element of Monitoring & Controlling Practises in the African Union Commission, 13% of the respondents believe that there is little action with respect to the Monitoring & Controlling practices in the commission and only 6% of the respondents believe that the Monitoring & Controlling system in the commission is largely developed. However, none of the respondents believes that there is a sustainable Monitoring & Evaluation practises in the commission. It implies that at least there is some level of Monitoring & Controlling practice currently in use by the organisation, but for sure it is not very well advanced and it needs improvement to provide the full expected benefits of the Monitoring & Controlling system.

Figure 5: Benefits of Monitoring & Controlling to the AUC

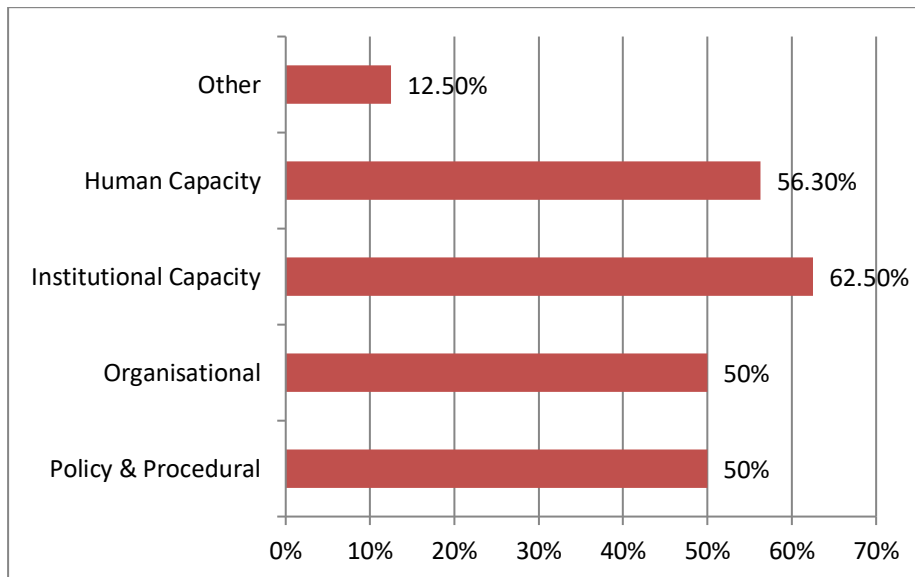


Source; Survey April 2020

Figure 5 indicates that 94% of the respondents have the conviction that the African Union Commission will be benefitted from having well-developed Monitoring & Controlling system. They believe that Monitoring & Controlling is beneficial to the African Union Commission for the following reasons:

- it helps to track the progress of programmes &/or projects,
- It brings accountability, motivate employees to deliver in their mandates and improves quality reporting,
- “Without monitoring and controlling, non-implementation will be taken for granted, hence waste of resources which lead to inefficient and ineffective organization”,
- It improves programme implementation and brings good governance,
- It facilitates fair resources allocations and supports for the prudent use of scarce resources,

Figure 6: Challenges Related to Implementing Monitoring & Controlling in the AUC

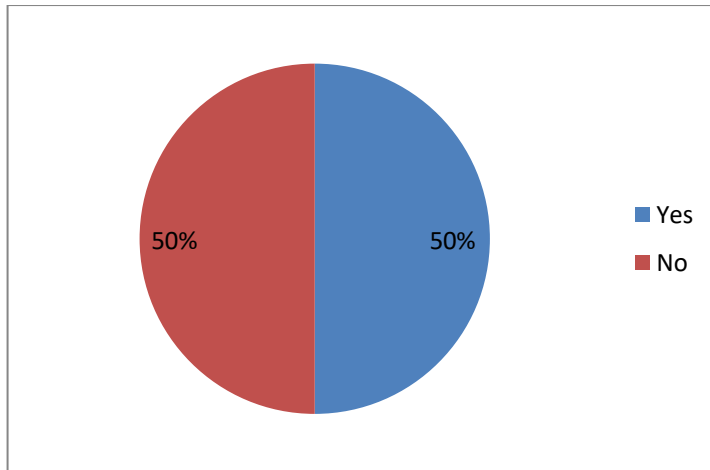


Source; Survey April 2020

The horizontal Bar graph in figure 6 above shows, 62.5% of the total respondents believe that there is an institutional capacity challenge in the AUC that prohibits the implementation of the Monitoring & Evaluation functions, 56.3% of the total respondents also believe that there is human resource capacity constraint and 50% of the total respondents believe that there are organisational, policy & procedural challenges. 12.5% of the total respondents believe that there are additional challenges which includes organisational culture, lack of impunity, leadership weakness and lack of management commitments. All respondent agrees that there are some sorts of challenges in the implementation of Monitoring & Controlling Practices in the African Union Commission. The challenges range from policy & Procedural to Capacity (human, institutional & organisational). The organisational culture, leadership commitment and weakness contribute to the low level of practice of Monitoring & Controlling function in the organisation. This indicates that if the organisation has to deliver the mandates, there exist areas of improvement in its Monitoring & Controlling system. Further analysis suggests that there are only two senior monitoring & evaluation experts located in the unit i.e. responsible to coordinate this function. Besides, the African Monitoring Evaluating & Review Tool (AMERT) used by the organisation to monitor & control programme and project

performances has capacity constraint and is not in harmony with the SAP system (tool to control financial execution)

Figure 7: Functional Monitoring & Controlling Plan

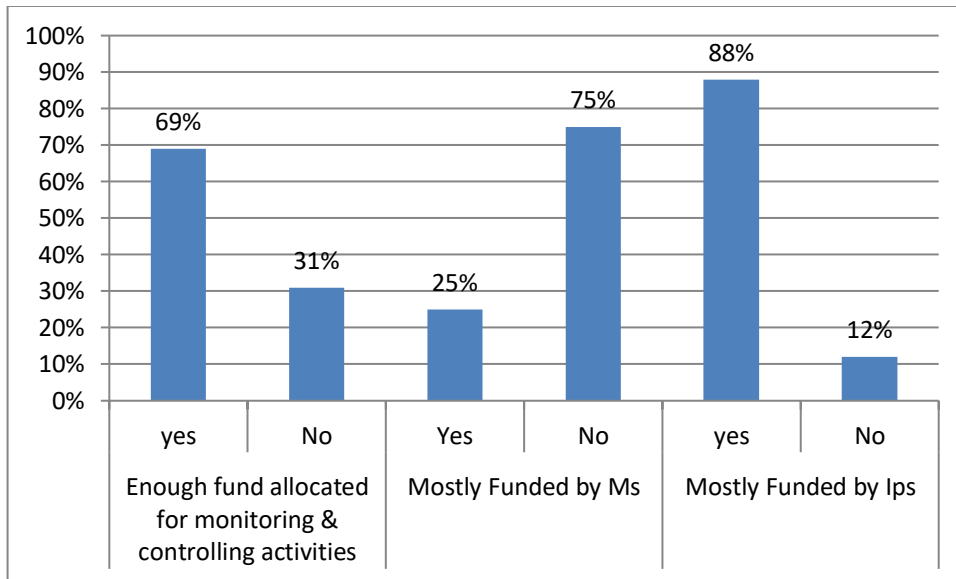


Source; Survey April 2020

The respondents have equally shared of the view that the African Union Commission has functional monitoring & controlling plan. It implies that not all respondents have equal knowledge about the existence of Monitoring & Controlling plan in the commission as the planning process might not have been participatory. Those who claimed yes believed that the plan is used only for compliance purpose rather than for control. They claim there is an IT platform called AMERT to feed the Monitoring & Controlling plan into for all the programmes and projects so that all Departments could comply. Some claimed that, the organisation has the monitoring & controlling plan at a framework level, but they claimed it didn't come to operational level.

The respondents who claimed "no" to this question cited the poor quality reports presented year after year to policy organs. Given the inability to meet the desired target, some respondents don't want to believe that the existence of Monitoring & Controlling plan.

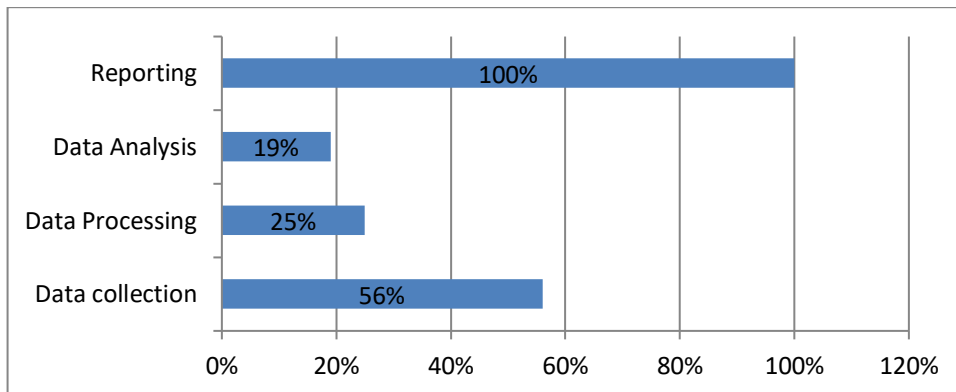
Figure 8: Fund for Monitoring & Controlling Function



Source; Survey April 2020

The figure 8 above shows, 69% of the respondents reacted that there is enough fund allocated to the Monitoring & Controlling functions in the organisation and 88% responded that the fund allocated to this function is financed by the International Partners and only 25% admitted the Monitoring & Controlling fund is financed by Member States. This implies that the Monitoring & Controlling practise has been given due emphasis by the international partners as they are the ones to cover the lion’s share of the budget. Whereas; the Member States, who are owners of the organisation have less commitment in bringing accountability to the funds allocated for the different programmes and projects in the AUC. It also shows that the sustainability of the existing Monitoring & controlling system is at stake. This may be the area of weakness that needs to be ascertained.

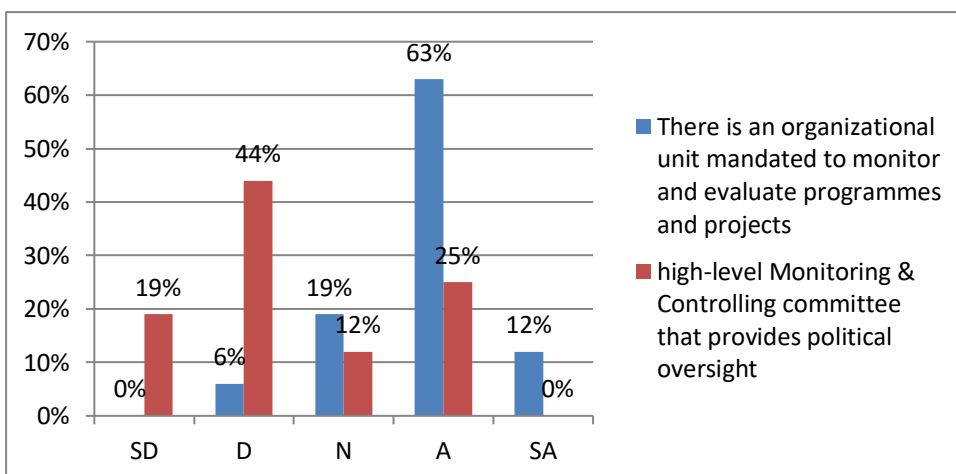
Figure 9: Means of Monitoring & Controlling Mechanism used by the Organisation



Source; Survey April 2020

Figure 9 above shows, all respondents have agreed that monitoring and controlling is done via reporting. Very few of the respondents(44%) believe that their exists data processing and data analysis in the process of monitoring & controlling AUC’s programmes and projects and 56% believes that there is an element of data collection. This confirms the respondents’ previous assertion that the monitoring & controlling in the AUC is done only for compliance purpose and not control.

Figure 10: Monitoring & Controlling Institution Support

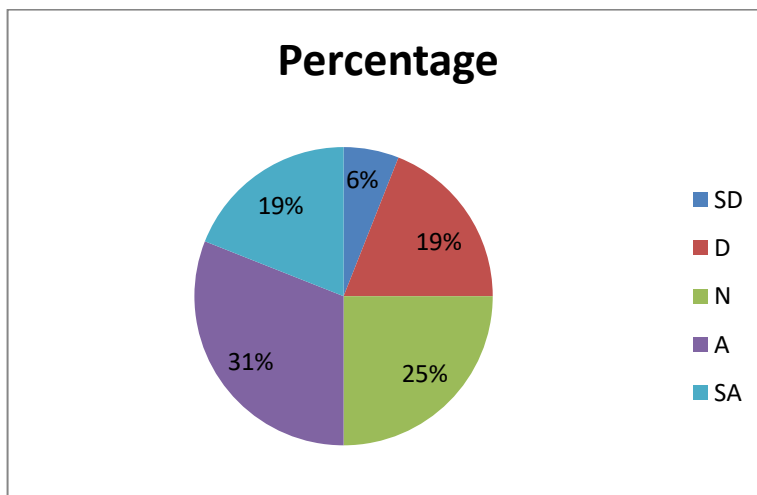


Source; Survey April 2020

Figure 10 above shows, 74% of the respondents agree that there exists a separate mandated unit responsible for the Monitoring & Controlling functions of AUC programmes and Projects. In the follow-up question, the respondents agreed that

majority of the staff (63%) assigned to the unit knows about the roles and responsibilities assigned to staff/units. However, they claim that the key staff are not clear on the relevance of Monitoring & Controlling in the implementation of the program as they gave different view for the supplementary question on the objective of the Monitoring & controlling function. On the other hand, the majority of respondents (63%) disagree about the existence of political oversight body for this function. Yet the unit which has political oversight is important to give power to the unit responsible to undertake the Monitoring & Controlling function in the organisation.

Figure 11: Location of Monitoring & Evaluation Unit in AUC



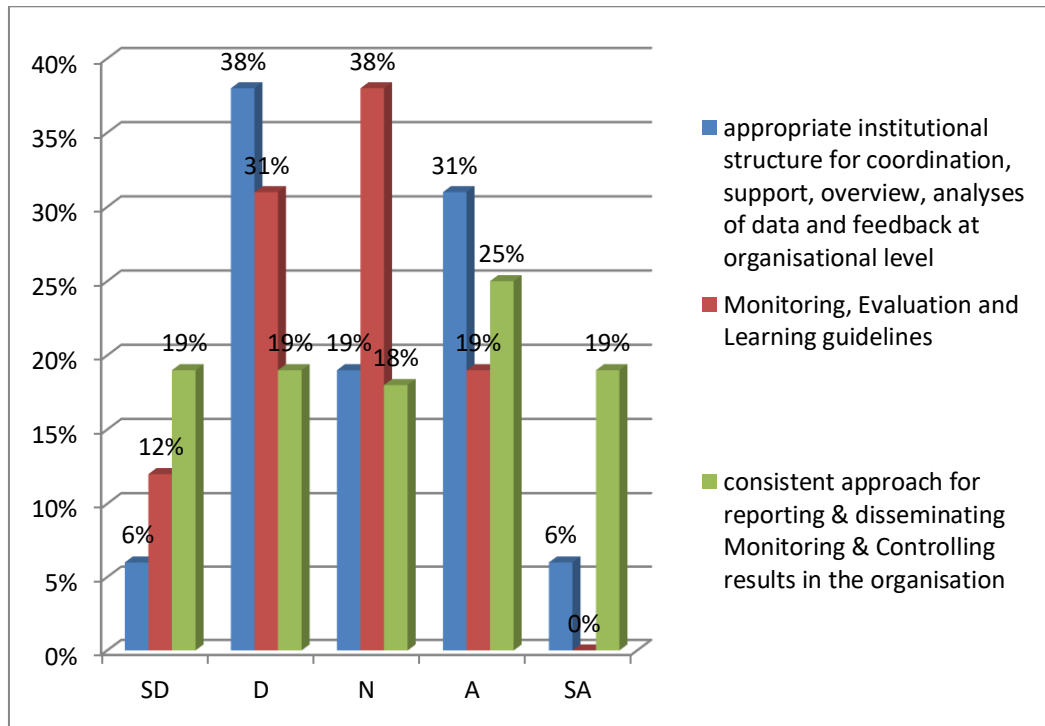
Source; Survey April 2020

Figure 11 above shows, there is no consensus among the respondents as to where the location of the Monitoring & Evaluation unit in the African Union Commission. About 50% agreed that the current location is the appropriate location for this function quoting that the planning function should be located together with Monitoring & Controlling function for the sake of creating synergy. However 25% of the respondents disagree regarding the current location for the following reasons:

- The planning unit and monitoring & controlling unit should be separately located for the sake of check and balance,
- The unit should be directly placed under the Chairperson where it can get power to engage Departments to enforce them to comply on the requirements of the Monitoring & Controlling functions.

Further investigation of respondents suggested that the fact that 25% of the respondents stand neutral is for the reason that this has a bit of political nature in the organisation, otherwise they agree that it shouldn't be in the current location.

Figure 12: Structures, Guidelines and Approaches for Reporting & Dissemination



Source; Survey April 2020

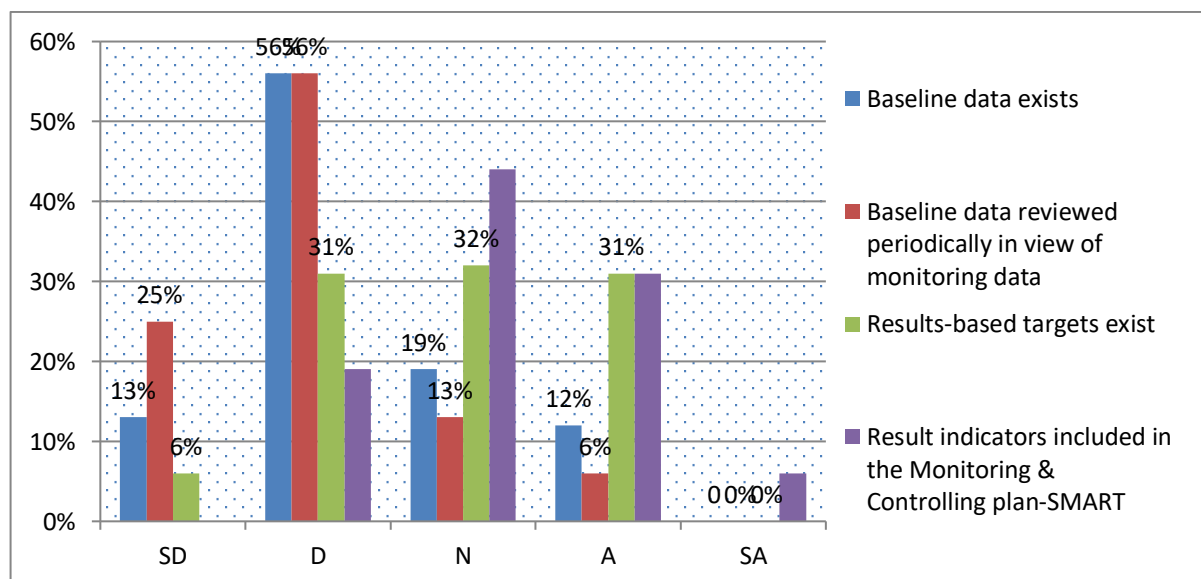
Figure 9 above depicts, 44% agree or strongly agree that there is an appropriate institutional structure for coordination, support, overview, analyses of data and feedback at organisational level and 37% disagree, 19% kept neutral on the existence of the structure in the organisation. This supports that there exists the Monitoring & controlling unit in the organisation with not operational consistently across the organisation.

43% of the respondents disagree or strongly disagree that there is no monitoring, evaluation and learning guideline in the commission, while only 19% agree that there is guideline for this function. However, the further investigation evidenced that there is no guideline document from the records as revealed by the respondents, except the document i.e. currently at the draft stage.

About 44% of the respondents believe that there is consistent approach for reporting & disseminating Monitoring & Controlling results in the organisation, while 37% disagree and 18% are kept neutral. Further investigation through interview confirmed that, the approach for reporting & dissemination of monitoring results have been harmonised across the AUC since 2018 but this some Departments are not complying.

The existence of appropriate institutional structure for coordination, support, overview, analyses of data and feedback at organisational level; monitoring, evaluation and learning guideline and consistent approach for reporting & disseminating results are key results of an institutionalised Monitoring & Evaluation system. The result indicates that there is gap in the institutionalisation of the Monitoring & Evaluation system in the African Union Commission.

Figure 13: Indicator & Baseline Data

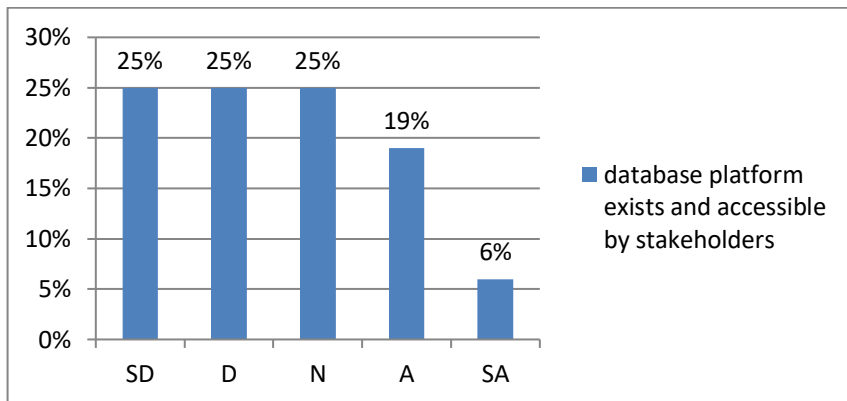


Source; Survey April 2020

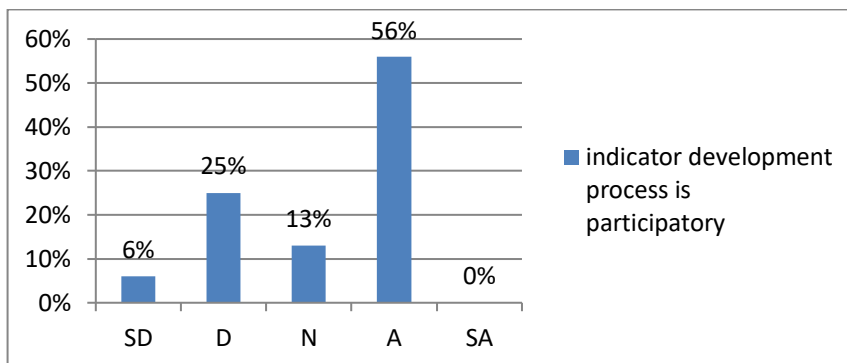
Fig 13 indicates that 69% of the respondents disagree or strongly disagree on the existence of baseline data for the indicators and 37% agree or strongly agree that these baseline data is not reviewed periodically and 32% kept neutral. Besides, 81% agree or strongly agree that the indicators in the Monitoring & Controlling plan don't meet the SMART criteria.

There are also respondents who believe the existence of SMART indicators and periodically reviewed baseline data in their respective programmes/projects. Follow-up interviews and review of the Log frames in the AMERT system indicates that there are inconsistencies between and among the different Departments for having SMART indicators and collecting and reviewing baseline data.

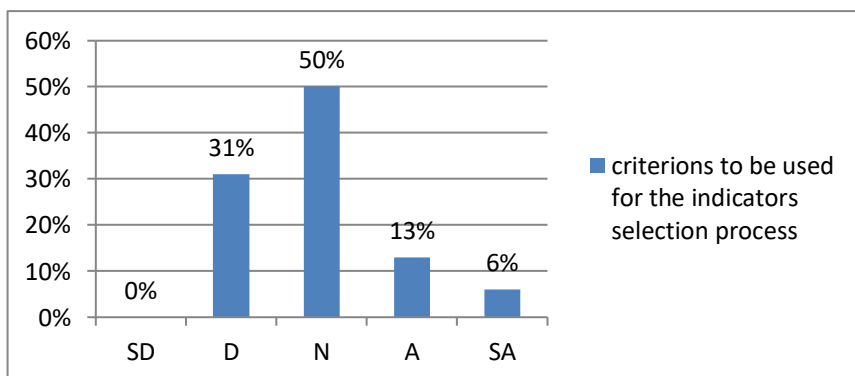
Figure 14: Institutionalising the Baseline & Target Development in AUC



Source; Survey April 2020



Source; Survey April 2020

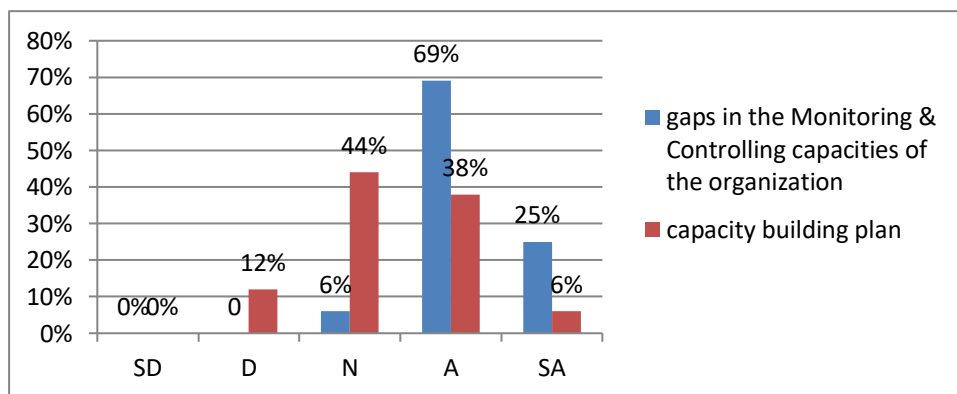


Source; Survey April 2020

The above three tables shows the respondents view for institutionalising the indicator development processes, criteria for selecting indicators and a platform for baseline data accessible to all stakeholders. In general, 50% of the respondents agree and Strongly agree that there is no database platform accessible by all stakeholders and 25% are neutral to this question. 56% of the respondents agree that the indicator development process is participatory and more that 25% disagree and 13% are kept neutral. For the availability of criterion used for the indicator selection process the majority i.e. 50% are neutral and 31% disagree.

The inconsistency in the responses indicates that the African Union Commission is way behind in institutionalising the indicator development processes, setting up criteria for selecting indicators and a platform for the stakeholders to access the baseline data as these are components of a vibrant Monitoring & Controlling system.

Figure 15: Monitoring & Controlling Capacity and Capacity Building Plan



Source; Survey April 2020

Figure 15 above shows, 94% of the respondents agree that there are capacity gaps in the Monitoring & Controlling Practices of the African Union Commission and 44% of the respondents don't know if there is capacity building plan in the organisation and 25% don't agree with on the availability of the plan itself. This indicates that despite there exists capacity gaps in the organisation, there is no capacity building plan put in place by the organisation to solve the capacity gap. This put the Stakeholders' commitment to create accountable organisation at stake.

Chapter Five: Summary, Conclusions and Recommendations

5.1. Introduction

As indicated in the first chapter the general objective of this paper is has the objective of undertaking diagnostic review of the existing Monitoring and Controlling system of the African Union Commission, identify the strengths and gaps and to rectify the gaps through proper recommendations on the areas for future improvement. This paper tried to assess the existing Monitoring & Controlling practices of the African Union Commission through questionnaire administered through online platform (Ms Form) and paper prints. Telephone interviews and other online meeting tools including MS team meetings were used in the course of collecting data and seeking clarifications for some responses. Besides, to solidify and rectify the responses received from the respondents, physical documents were reviewed and incorporated in the analysis. Based on the analysis provided, the following summary of the findings, conclusions and recommendations were provided.

5.2. Summary of the Findings

The demographic findings tells us that qualified and experienced with high institutional memory in the monitoring & controlling practices of the African Union Commission were included in the sample.

With respect to the practice of monitoring & controlling in the commission the majority of the respondents agree that there are some elements of the monitoring & controlling function being used in the commission but the function is done for the sake of compliance not for controlling purpose. Obviously, there are challenges in implementing the monitoring and evaluation functions in the commission ranging from lack of policies and procedure to capacity challenges including human, organisational and system capacities. The Commission uses the logical framework approach in monitoring & controlling their programmes and projects as implemented by the Departments. The organisational culture, lack of power, lack of commitment by the leadership and the major stakeholders, fear of reprisal are part

of the challenges that the organisation is facing in properly implementing the monitoring & evaluation functions in the organisation.

The existing monitoring & controlling system isn't consistently guided and supported by policies & procedures and the monitoring & controlling plan which ultimately led the commission to have poor quality reports and poor achievements. This also results in the lack of clarity about the output and outcomes achieved by implementing the programmes and projects. This analysis is lamented by the fact that only reporting has been given due emphasis as a means of monitoring & controlling whereas others including data collection, data processing and data analysis have given less weight in undertaking the M & C function.

The monitoring and controlling function in the organisation is well financed by international partners but owners of the organisations (MSs) are very lenient to finance this function contrary to their commitment to strengthen this unit and bring accountability in the organisation. Stakeholders' participation in the monitoring & controlling practices of the organisation has paramount importance as it creates sense of ownership towards the successful implementation of the programmes and projects. However, the research indicates that the current system doesn't have institutional platform used to involve stakeholders' and there is no consistent approach used to report and disseminate information in the organisation.

There exists an organisational unit (Planning, Monitoring and Evaluation Division) under the Strategic Policy, Planning, Monitoring and Evaluation and Resource Mobilisation Department mandated to undertake the monitoring and controlling functions of the programmes and projects undertaken in the organisation. There are technical officers assigned to this Division but with very vague role and mandate attached to them. However, the current location of the unit has been contested as this won't bring check and balance in the operation of the organisation. Since the SPPMERM Department has equal status with other Departments in the organisation, it can't enforce the function as it lacks the power to do so. Besides, there are no enough experts assigned to this unit and the AMERT system used by the unit to assist the monitoring & controlling function isn't well developed and isn't in harmony with the SAP system used by the Finance Department to control financial execution by programmes and projects.

It is pity that the organisation doesn't have capacity building plan when in fact there are capacity gaps in the unit responsible for the monitoring & controlling functions of the organisation.

Since the organisation is using logical framework approach to undertake the monitoring & controlling function, there exists baseline data and results based targets for most of the indicators, but the baseline data has less tendency of being reviewed. This has inconsistently applied across the different Departments in the organisation.

The organisation has not gone far to Institutionalise this by creating high-level Monitoring & Controlling technical committee that provides technical & political oversight and gives power to the function, by creating a database platform i.e. shared by all the stakeholders and by having Monitoring, Evaluation and Learning guidelines.

The organisation don't have appropriate institutional structure for coordination, support, overview, analyses of data and feedback at organisational level and it doesn't have consistent approach for reporting & disseminating Monitoring & Controlling results to the stakeholders.

5.3. Conclusions

Generally, the findings showed that the monitoring and controlling function had been applied to some extent in the organisation. The Monitoring & controlling of programmes and projects implemented by the organisation has been conducted through the mandated Planning, Monitoring & Evaluation (PME) Division located under the Strategic Policy Planning, Monitoring & Evaluation and Resource Mobilisation Department with limited staff and system capacity. The unit uses a tool called the African Monitoring Evaluation & Review Tool (AMERT) to supplement its function but this system isn't in harmony with the SAP system that controls the financial executions. However, the organisation is lacking appropriate & well-coordinated policies and procedures that can support the monitoring and evaluation functions in the organisation. The organisation is currently developing the monitoring and evaluation guideline. There is no technical oversight body which controls the task of the monitoring & controlling unit.

The organisation uses the results based Log frame tool to support the monitoring and evaluation functions in which the indicators and their related baseline, target data and the means of verifications included. However, these are not consistently applied by all Departments to monitor programmes and projects under their supervision. There is no institutional mechanism that enables stakeholders to consistently get organisational data and get involved in the development of indicators. The stakeholders are not consistently getting monitoring and controlling results as there is no appropriate mechanism to do so.

5.4. Recommendations

Based on the findings of this research, the following recommendations are given which and if implemented expected to strengthen the Monitoring and Controlling functions so that it serves the required purpose:

- With respect to the **building blocks** of the Monitoring & Controlling System:
 - Capacitate the current Monitoring & Controlling Unit through:
 - ✓ Staffing the unit with appropriate and experienced experts,
 - ✓ Develop holistic capacity development plan that focuses on both technical skills & the managerial aspect of the M & C function,
 - ✓ Developing the IT platform that is currently in use and harmonise it with the SAP system,
 - ✓ Developing and operationalising the Monitoring and Controlling Policies, procedures and guideline,
 - Separate the Monitoring & Controlling function from the planning function and locate it in a place where it can get the power to consistently enforce the monitoring & controlling policies and procedures and support it by establishing high level technical & political oversight committee,
- With respect to the Monitoring & evaluation **Process** Perspective:

- Institutionalise and follow consistent approach for data collection, data review and data sharing practices
- Develop and institutionalise a platform for consistent participation of the stakeholders in the Monitoring & controlling process and dissemination of reports.

5.6. Recommendation for Further Study

This study can help the current initiative undertaken by the African Union Commission of improving the monitoring and evaluation system of the organisation, if deeper diagnostic survey is made by incorporating the **evaluation** aspect as this research didn't cover the evaluation aspect of the function.

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Annex-1 Questionnaire

My name is Dereje Chanie, a student in Addis Ababa University School of Commerce pursuing my Masters of Arts Degree in Project Management. I am kindly requesting you to spare a few minutes of your precious time to fill this questionnaire. I appreciate your effort to fill the questionnaire accurately and exhaustively. The research is solely for academic purposes. You are assured that the information given shall be treated with utmost confidentiality.

* Required

Demographics

1. Gender of the respondent *

- A. Male
- B. Female

2. What is your age? *

- A. 18-24
- B. 25-34
- C. 35-54
- D. 55+

3. What is your level of education? *

- A. Secondary
- B. Diploma
- C. Degree
- D. Masters
- E. Phd

4. How long have you worked in AUC? *

- A. Less than 1 Year
- B. 1-3 Years
- C. 4-6 Years
- D. 7-9 Years
- E. 9 Years & above

Practice of Monitoring & Controlling

5. What do you think is the level of practicing Monitoring & Controlling in AUC? *
- A. Little action
 - B. Elements Exist
 - C. Largely Developed
 - D. Sustainable
6. Do you find Monitoring & Controlling beneficial to your organisation? *
- A. Yes
 - B. No
7. If your answer is yes, how is it beneficial?
8. What challenges does your organisation encounter in implementing Monitoring & Controlling? *Check all that apply.
- A. Policy & Procedural
 - B. Organisational
 - C. Institutional Capacity
 - D. Human Capacity
 - E. Other
9. If other, please describe here
10. Does your organisation have a functional Monitoring & Controlling plan? *
- A. Yes
 - B. No
11. If yes, to what extent has the organisation succeeded in implementing the plan?
12. If No, How do you know that the organisation is making achievement or not?

13. Are enough funds allocated for monitoring & controlling activities? *

- A. Yes
- B. No

14. Monitoring & Evaluation activities are mostly funded by Member States *

- A. True
- B. False

15. Monitoring & Evaluation activities are mostly funded by International Partners *

- A. True
- B. False

16. How is monitoring & Controlling done in your organisation? Multiple answers possible *

- A. Data collection
- B. Data Processing
- C. Data Analysis
- D. Reporting

17. Which Monitoring & Controlling methodologies does your organization currently use when Monitoring programmes/projects? multiple answer possible *

- A. Log frame approach
- B. Theory of Change approach
- C. Outcome mapping
- D. Organisation change checklist

18. There is an organizational unit mandated (through formal process) to monitor and evaluate programmes and projects *

- A. Strongly disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly agree

19. Monitoring & Controlling roles and responsibilities explicitly assigned to staff/units *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree

E. Strongly Agree

20. The key technical officers are clear on the relevance of Monitoring & Controlling in the implementation of the program *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

21. The objective of the Monitoring & Controlling system in AUC is to promote accountability and/or learning *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

22. The objective of Monitoring & controlling in AUC is to track project/programme's progress in order to make informed decisions about the project/programme implementation; *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

23. The objective of Monitoring & Controlling is to comply with MS and international partners reporting requirements at the project/ programme level *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

24. The Monitoring & Controlling unit is appropriately located in the AUC *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

25. If your answer to the above question is disagree/strongly disagree, where do you think is that it be placed and why?

26. There are gaps in the Monitoring & Controlling capacities of the organization *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

27. There is a capacity building plan in place to enhance Monitoring & Controlling capacities in the organisation *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

28. There are criteria to be used for the indicators selection process *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

29. The indicator development process is participatory *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

30. Result indicators are included in the Monitoring & Controlling plan *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

31. Result indicators included in the Monitoring & Controlling plan meets the SMART criterion *

- A. Strongly Disagree
- B. Disagree

- C. Neutral
- D. Agree
- E. Strongly Agree

32. Baseline data exists for all indicators *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

33. Baseline data reviewed periodically in view of monitoring data *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

34. Results-based targets exist to all the indicators *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

35. A database platform exists and accessible by stakeholders *

- A. Strongly disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly agree

36. There is a functioning high-level Monitoring & Controlling committee that provides political oversight *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree
- E. Strongly Agree

37. Your organization has Monitoring, Evaluation and Learning guidelines *

- A. Strongly Disagree
- B. Disagree
- C. Neutral
- D. Agree

E. Strongly Agree

38. There is an appropriate institutional structure for coordination, support, overview, analyses of data and feedback at organisational level *

A. Strongly Disagree

B. Disagree

C. Neutral

D. Agree

E. Strongly Agree

39. There is consistent approach for reporting & disseminating Monitoring & Controlling results in the organisation *

A. Strongly Disagree

B. Disagree

C. Neutral

D. Agree

E. Strongly Agree