DETERMINANTS OF MONITORING AND EVALUATION SYSTEM PERFORMANCE IN TRÓCAIRE FUNDED NON-GOVERNMENTAL ORGANISATIONS IN UGANDA.

BY

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DECLARATION

I, **STEVEN OCHOLA**, declare that this dissertation is a result of my original work except in cases where other scholars have been cited. This work has never been submitted to any other university or institution for any award.

Signed: ………………………………..

Date: ………………………………..

APPROVAL

We certify that **STEVEN OCHOLA** wrote this dissertation under our supervision. This dissertation has been submitted with our approval as the supervisors.

Signed

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MR. ANACLET NAMANYA

Date ………………………….

Signed

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MR. ADRIAN BEINEBYABO

Date………………………….

DEDICATION

This work is dedicated to my family; Veronica Achen, Susan Okello, Pauline Okello, Regina Okello and Boniface Onekalit who played instrumental roles in supporting my education through primary, ordinary level, High school and university.

ACKNOWLEDGEMENT

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

ABBREVIATIONS AND ACRONYMS

CLEAR – Centres for Learning on Evaluation and Results

FAO – Food and Agricultural Organisation

IDP – Internally Displaced Persons

IFAD – International Fund for Agricultural Development

IFRC – International Federation of Red Cross and Red Crescent societies

INTRAC – International NGO Training and Research Centre

M&E – Monitoring and Evaluation

MAP – Multi Country AIDS Programme

MOU – Memorandum of Understanding

NAC – National AIDs Council

NGO – Non Governmental Organisation

NORAD – Norwegian Agency for Development

SPSS – Statistical Product and Service Solutions

UMI – Uganda Management Institute

ABSTRACT

The study examined the relationship between Determinants and M&E system performance in Trociare funded NGOs in Uganda. Three specific objectives guided the study; (i) To investigate the relationship between human capacity and performance of M&E systems, (ii) To assess the relationship between M&E framework and performance of M&E systems. (iii) To examine the relationship between budgetary allocation and performance of M&E systems. A cross-sectional survey research design employing mixed methods of data collection was used to answers the research questions. A sample of 88 respondents drawn from a population of 90 employees from 10 NGOs was used to collect the data with a response rate of 90.91%. Simple random and purposive sampling techniques were used to select the sample units. Findings indicate that Human capacity was found to explain 35% (Adjusted R square = 0.353) of the variability in M&E system performance and with a strong positive correlation value (r=0.631). The M&E framework was found to explain 27% (Adjusted R square =0.272) of the variability observed in the M&E system performance and with a moderate positive relationship (r=0.539). Budget allocation was found to explain only 9% (Adjusted R square = 0.098) of the variability observed in M&E system performance with a low positive correlation value(r=0.349).

It was concluded that the constructs (human capacity, M&E framework and budget allocation) are found to explain the variability in M&E system performance but at different magnitudes. The findings support systems theory. It is recommended that (i) A human capacity Development plan for M&E should be developed, costed and implemented. (ii) Management needs to ensure that all data collected are used in the organization to inform learning, planning and accountability

CHAPTER ONE

INTRODUCTION

1.1 Introduction

The study examined the determinants of monitoring and evaluation (M&E) system performance in Trócaire funded Non-Governmental Organizations (NGOs) implementing a livelihood programme in Uganda. The independent variable was Determinants while Performance of M&E systems constituted the Dependent Variable. Determinants were measured through the dimensions of; M&E framework, human capacity and budgetary allocation.

Performance on the other hand, was measured in form of; utilization of M&E information, sustainability of the M&E system and quality of M&E information.

This chapter presents; introduction, background to the study, statement of the problem, purpose of the study, objectives of the study, research questions, conceptual framework of the study, hypotheses, scope of the study, significance, justification, operational definitions and concepts.

1.2 Background to the study

1.2.1 Historical background

The significance of M&E in project management has a long historical root, which according to Cameron (1992) was conceived after registered failure in the public sector dating as far back as 1950s. Furthermore, after the 1950s, challenges in M&E continued to be registered as reported by Cameron (1992) who in addition observed an under performance in a World bank multi-year, multi activity project in which failure in the implementation process was believed to be the leading cause.

From an African perspective, however, United Nations Economic Commission for Africa (2013) found that various development projects and programmes implemented in Africa are faced with challenges from the design to the operational stages, with weaknesses in monitoring and evaluation being cited as the major setback. In support of this, Mackay (2006) asserts that although range of performance information is collected through sector ministries in African countries, the quality of data is repeatedly poor.

Weaknesses in M&E system performance have not only been cited in public services sectors but also in the NGO sector as supported by findings from a series of studies conducted in 2000 by IFAD where several livelihood projects with monitoring systems were discovered as unable to provide relevant, timely and good quality information about the projects.

Furthermore, an evaluation of NGOs funded by Norwegian Agency for Development Cooperation (Norad) in East Africa in 2011, pointed out that one of the key conclusions of the study was that most projects lacked the data and information required to be able to measure changes in indicators for key results accurately (Ternstrom Consulting AB, 2011: xvii,50-66 and 76-7).

In Uganda incidences of poor quality data, missing data, inaccurate or outdated information, poor value for money of public services as observed by Hauge (2003) all pointed to weaknesses in public M&E systems. Additionally the World Bank Operations Evaluations Department (2001) observed that monitoring and evaluation in Uganda was majorly focused on compliance with government requirements and regulations rather than end-results of policy, program and project efforts.

Literature suggests that even in instances where monitoring and evaluation is well understood such as in the Latin America and Caribbean regions, M&E systems have been noted as not fully functional as a management and budget tool (World Bank, 2005). This is a situation that the World Bank Operations Evaluation Department (1999) also holds true for developing countries.

1.2.2 Theoretical background

The theoretical basis of this study was derived from systems theory of organizations which dates back to the ideas of Barnard (1938), who described all organizations as cooperative systems. The father of general systems theory who is considered to be Ludwig Von Bertalanffy propagated Barnard's idea further in 1969 and described a system as an orderly grouping of separate but interdependent components for the purpose of attaining some predetermined objective (Chadan, 2008; Ivancevich, Donnelly and Gibson, 2003). The study was therefore guided by systems theory because the delivery of a result which according to this study-a performing M&E systems relies upon how well separate dimensions of the independent variable play out-individually as supported by the work of Gorgens and Kusek (2009) on the 12 components of a functional M&E system, however, for this study the relationship between individual components of the system was not examined.

1.2.3 Conceptual background

According to Gorgens and Kusek (2009) there are 12 components of a functional monitoring and evaluation system, it was from this work piece that the following constructs were adapted and modified to examine the determinants of M&E system performance of Trócaire funded NGOs in Uganda viz; M&E framework, human capacity, and budgetary allocation. Gorgens and Kusek (2009) also noted that although the 12 components were initially designed for national health

programmes, the approach has general applicability hence its adaption in this study involving a community livelihood support programme.

Constructs of M&E system performance were adapted and modified from the work of Mackay (2007) to whom a successful M&E system is characterized by the following; utilization of M&E information, sustainability of M&E system and good quality M&E information. The indicators for the constructs of independent variable and the dependent variable are reflected in the conceptual framework in Figure 1.

1.2.4 Contextual background

Trócaire is an Irish based donor agency operating in Uganda whose vision is to realize a just world (http://www.trocaire.org/whatwedo/who-we-are accessed 5th June, 2014). Trócaire's livelihood programme aims at rebuilding livelihoods of targeted households in post-conflict communities in North, East and West Nile Uganda by supporting returning to pre-displacement homes to re-establish an asset and income base and to protect access to productive resources, especially land. The priority is put on food production because the war decimated animal stock in the region, disrupted food production rendering households to be dependent on food relief from government and Non-Governmental Organizations NGOs (Trócaire mid-term review Report, 2014).

Trócaire livelihood program is organized around three outcome areas namely a) Land tenure security is promoted and conflicts regarding land prevented or resolved peacefully; b) Land management systems and institutions are functioning well and providing good quality services; and c) Land productivity is increased and the food security situation and income are improved for the targeted households (Trócaire mid-term review Report, 2014).

Trócaire's Northern Uganda Livelihoods Programme (NULP) is being implemented in partnership with the following organizations; Soroti Catholic Diocese Development Organization (SOCADIDO), Youth Movers Uganda (YOMU), Land and Equity Movement Uganda (LEMU), Uganda Land Alliance (ULA), Facilitation for Peace and Development (FAPAD), Acholi Religious Leaders Peace Initiative (ARLIPI) and African Community Development Network (ACODEN), Justice and Peace Commission - Gulu Archdiocese (JPC), cooperazione e sviluppo (CESVI) and Volunteer Efforts for Development Concerns (VEDCO). The above NGOs established monitoring and evaluation systems on the 5th of October, 2012 upon consenting to the terms and conditions of the grant agreement (Trócaire Midterm Review Report, 2013).

1.3 Problem Statement

An observation of M&E system performance of 10 grantees (NGOs) of Trócaire implementing a livelihood support programme in the greater northern Uganda, showed that for over 14 months (November 2012 –January 2014), there was consistent lack of and inadequate data on project performance indicators (Trócaire Programme Progress Report, 2014).

Furthermore, monthly reports compiled by grantees also revealed a common lack of control of scope creep - a situation where activities outside the agreed work plans are implemented over those agreed upon in the signed grant agreement (Trócaire, 2013). This was observed throughout the period November 2012-January 2014 despite the fact that Trócaire convened three M&E technical support workshops. In addition to providing four individual grantee technical support visits during this period.

If this problem is not investigated, the NGOs (SOCADIDO, YOMU, LEMU, ULA, ARLPI, JPC, CESVI, VEDCO, ACODEN and FAPAD) risk losing further funding opportunities from the

current donor, in addition the NGOs will not be able to cause the desired changes in the lives of the targeted programme beneficiaries.

This study therefore examined the determinants of M&E system performance in NGOs being funded by Trócaire implementing a community livelihood support programme in Uganda in the greater northern Uganda (Acholi, Lango, Teso and Karamoja sub regions).

1.4 Purpose of the study

The purpose of the study was to examine the determinants of M&E systems performance of Trócaire funded NGOs in Uganda.

1.5 Specific Objectives

i. To investigate the relationship between human capacity and performance of M&E systems in Trócaire funded NGOs in Uganda.

ii. To assess the relationship between M&E framework and performance of M&E systems in Trócaire funded NGOs in Uganda.

iii. To examine the relationship between budgetary allocation and performance of M&E systems in Trócaire funded NGOs in Uganda.

1.6 Research Questions

i. What is the relationship between Human capacity and performance of M&E systems in Trócaire funded NGOs in Uganda?

ii. What is the relationship between M&E framework and performance of M&E systems in Trócaire funded NGOs in Uganda?

iii. How does budgetary allocation relate to the performance of M&E systems in Trócaire funded NGOs in Uganda?

1.7 Hypotheses

i.   There is a significant relationship between Human capacity and M&E systems performance (H_1)

ii.   There is a significant relationship between M&E framework and M&E systems performance (H_2)

iii. There is a significant relationship between Budgetary allocation and M&E systems performance (H_3)

1.8 Conceptual framework

The framework below is a depiction of how the Independent variable was construed to relate to the Dependent variable. The Independent variable being Determinants and the Dependent variable as Performance of M&E systems.
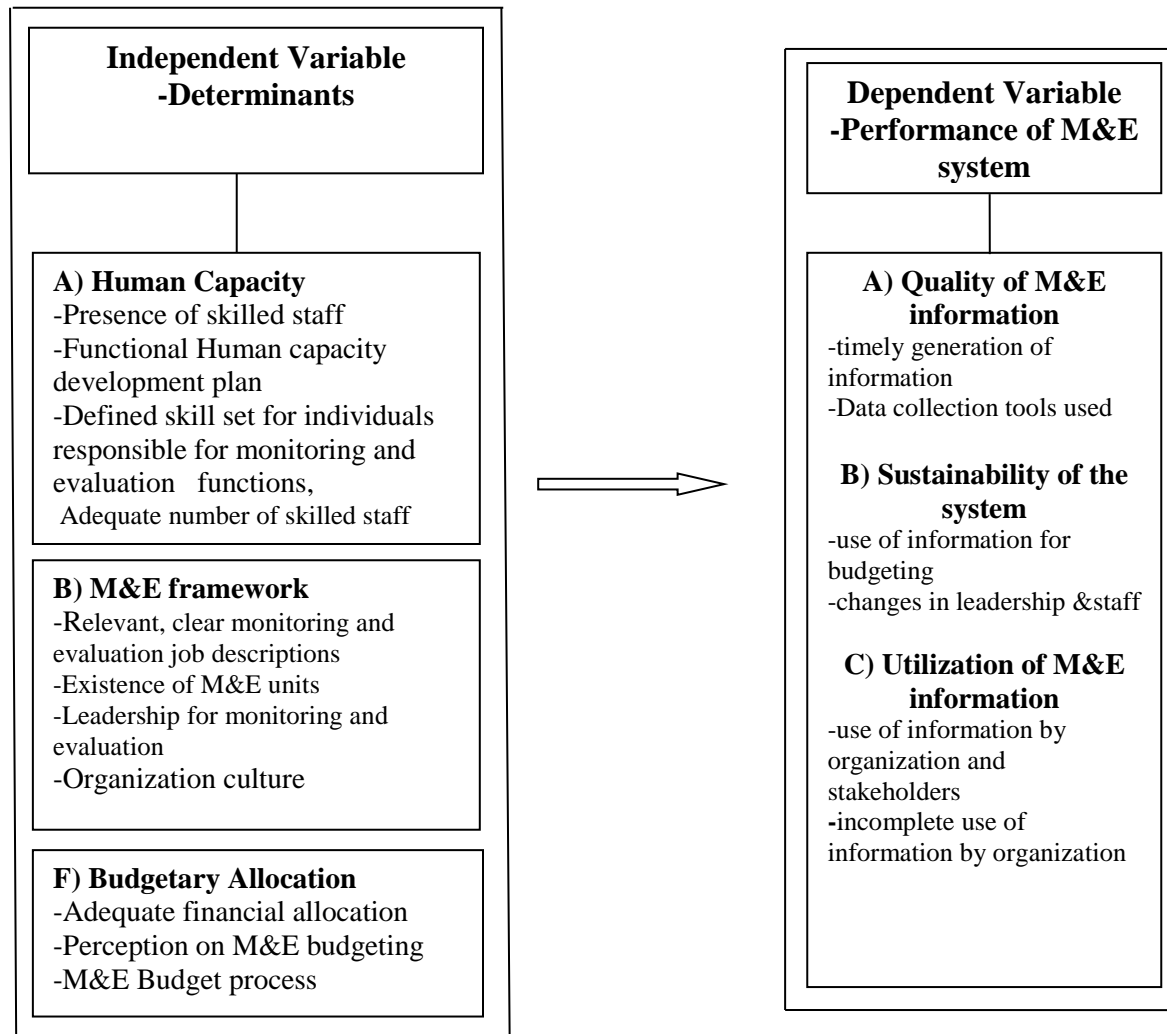
Figure 1: Conceptual framework showing the relationship between M&E system performance and its determinants.
Source: Adapted and modified from the work of Gorgens and Kusek (2009) and Mackay (2007).

The conceptual framework in Figure 1 shows how determinants were conceived to affect performance of M&E systems. Human capacity indicated by presence of skilled staff, functional Human capacity development plan, defined skill set for individuals responsible for monitoring and evaluation functions and adequate number of skilled staff was conceived to relate to the

M&E system performance in Trócaire funded NGOs which in turn was indicated by Quality of M&E information (timely generation of information and data collection tools used), sustainability of the M&E system (use of information for budgeting and Changes in leadership and staff), and utilization of M&E information (use of information by organization and stakeholders and incomplete use of information by organization).

M&E framework represented by relevant, clear monitoring and evaluation job descriptions, existence of M&E units, leadership for monitoring and evaluation, organization culture was conceived to relate to the M&E system performance in Trócaire funded NGOs which in turn was indicated by Quality of M&E information (timely generation of information and data collection tools used), sustainability of the M&E system (use of information for budgeting and Changes in leadership and staff), and utilization of M&E information (use of information by organization and stakeholders and incomplete use of information by organization).

Furthermore, budget allocation for M&E represented by adequate financial allocation, perception on M&E budgeting and M&E Budget process was conceived to relate to the M&E system performance in Trócaire funded NGOs which in turn was represented by Quality of M&E information (timely generation of information and data collection tools used), sustainability of the M&E system (use of information for budgeting and Changes in leadership and staff), and utilization of M&E information (use of information by organization and stakeholders and incomplete use of information by organization).

This study conceptualized that budget allocation for M&E has a greater effect on the M&E system performance in the NGOs in comparison with M&E framework and human capacity for M&E.

1.9 Significance of the study

  i.   The findings of the study are expected to not only influence monitoring and evaluation practices of Trócaire partners but have industry-wide influence in Uganda and beyond regarding M&E practice, by demonstrating the effect of determinants conceived in Figure 1 on the performance of monitoring and evaluation systems.

 ii.   The study will be used as reference material by other researchers and practitioners. Furthermore, it is hoped that the study will reveal other areas of inquiries with potential to contribute to knowledge generation for recommendable monitoring and evaluation practices.

iii.   From the study, it is also expected that Trócaire and other donor agencies will use the findings from this study to commit more resources in the form of monitoring and evaluation technical support and finances to grantees towards strengthening results-based monitoring and evaluation practice for enhanced accountability, learning and decision-making.

1.10 Justification of the study

Trócaire is funding 10 local NGOs based in the following sub regions of Uganda; Acholi, Lango, Teso and Karamoja that are implementing a community livelihood support programme for an initial period of two years 2012-2014 (Trócaire MOU, 2012). Only 14 months of the programme had been completed (Trócaire midterm Review Report, 2014) and no previous study on the identified problem had been conducted since the start of the funding period. Therefore this study seeks to find out the relationship between determinants and M&E systems performance in Trócaire funded NGOs in Uganda in order to provide actionable recommendations that will strengthen M&E as management tool in the NGOs.

In addition, literature reviewed identified that a similar investigation had not been pursued in Uganda; therefore this study is intended to fill this void in the body of knowledge.

The study was further justified by the growing pressures on governments and organizations to be more responsive to demands of internal and external stakeholders for good governance, accountability, transparency and greater development effectiveness due to the advent of globalization as pointed out by Gorgens and Kusek (2009).

Last but not least, the study is based in Trócaire because of the accessibility of the 10 NGOs that are implementing the community livelihood support programme to the researcher. The researcher currently works in Lango sub region from which the following sub regions in which the 10 NGOs are operational can be accessed, that is Acholi, Lango, Teso and Karamoja.

1.11 Scope of the study

1.11.1 Content scope

This study focused on assessing how the independent variable (Determinants) relates to the dependent variable- performance of M&E systems. Constructs of the independent variable included; M&E framework, human capacity, and budgetary allocation. In addition, constructs of M&E system performance as the dependent variable were; utilization of M&E information, quality of M&E information and M&E sustainability. The indicators of each of the above constructs for the independent variable and dependent variable are reflected in the conceptual framework (Figure 1).

1.11.2 Time scope

Although Trócaire funding to the 10 NGOs is meant to run for two years, 2012-2014 (Trócaire MOU, 2012) the research covered only 14 months of the programme completed, that was November 2012 –January 2014. It was not feasible to collect data on the un-implemented period of the programme life.

1.11.3 Geographical Scope

The study was conducted within 10 Trócaire funded NGOs (SOCADIDO, YOMU, LEMU, ULA, ARLPI, JPC, CESVI, VEDCO, ACODEN and FAPAD) operational in the following sub regions of Uganda; Acholi, Lango, Teso and Karamoja where the Trócaire funded livelihood programme was being implemented.

1.12 Operational Definitions

Monitoring referred to continuous, systematic process in which the 10 NGOs collect data on agreed indicators to assess achievements and progress towards set targets for the life of the programme. The indicators include; process indicators, output indicators and outcome indicators.

Evaluation was meant by a systematic and objective assessment of the worth of planned, ongoing and completed interventions under the programme. This is meant to focus on relevance, effectiveness, efficiency, sustainability and impact of the interventions under the community livelihood support programme.

Monitoring and evaluation system referred to a set of organized structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enable the 10 NGOs to carry out their monitoring and evaluation activities.

Quality: Was regarded as a measure of meeting needs and expectations that conform to M&E industry standards

Sustainability: The potential of M&E systems to continue to function despite any changes in administration or top organization officials and produce benefits which are valued by its beneficiaries and itself in the long run.

NGOs: Were defined as non-profit entities organized at local, national and international levels, operating independent of governmental influence.

CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction

This chapter is structured as follows; introduction, theoretical review, thematic review of literature and summary of literature reviewed. This study was conducted because of the consistent failure of 10 Trócaire funded NGOs in Uganda to produce data on indicators of performance and adequately compile reports on ongoing interventions (Trócaire Programme Progress Report, 2014; Trócaire Programme Mid-term Review Report, 2013), all which point to weaknesses in monitoring and evaluation systems in place as implied by Gorgens and Kusek (2009) who described one of the functions of monitoring and evaluations systems as a corrective mechanism in an organization.

Literature for this study was drawn from conference proceedings, Research papers on country M&E case studies, academic reviews, Evaluation Reports and numerous websites for donors (such as the World Bank), Governments and evaluation associations. After carrying out a theoretical review upon which the independent variable was construed to relate to the dependent variable, a further review of the existing literature was done on a thematic basis (objective by objective).

2.2 Theoretical Review

This study was guided by systems theory which also formed the foundation of the work of Gorgens and Kusek (2009, p.7). This concept is widely described by various scholars. Chester.I. Bernard as cited in Chadan (2008) considered all organizations as cooperative systems. In

support of the works of Chester .I. Bernard, Ackoff (1981) adds that a system is a set of two or more interrelated elements with the following properties;

1. Each element has an effect on the functioning of the whole

2. Each element is affected by at least one other element in the system

Ludwig Von Bertalanffy who is considered to be father of general systems theory defined a system as an orderly grouping of separate but interdependent components for the purpose of attaining some predetermined objectives (Chadan, 2008). For purposes of this study, however, due to time and cost constraints, only the relationship between individual constructs of the independent variable on the dependent variable was studied. How, individual constructs of the independent variable relate to each other to affect the dependent variable was not examined. Gorgens and Kusek (2009, p.8) assumed that the independent variables provide the enabling environment for M&E to function.

Additionally, although systems theory suggests that the overall performance of an organization is influenced by the functioning of the system elements, theory of performance as posited by Elger (2011) in the context of this study was found to complement systems theory. According to Elger (2011), the performance of an individual or organization is also influenced by levels of knowledge, levels of skills, context of performance, personal factors, fixed factors and levels of identity which may affect the functioning of each element of a system, hence overall performance.

Furthermore the works of Goldratt in the 1980s on the theory of constraints as cited by the Institute of Management Accountants -IMA (1999), suggests that the performance of any system is determined by how well existing constraints within the system are managed. The same source of literature stresses the need to effectively manage the capacity and capability of the constraints

in order to improve the performance of organizations. The independent variables constituted the constraints that affect system performance in the context of this study.

2.3 Conceptual Review

2.3.1 Human Capacity and the performance of monitoring and evaluation systems

In the views of Semister (2009) knowledge of the general structure of the M&E system such as its purpose and where within the structure staff should be involved is adequate for them contribute meaningfully to the performance of the system.

Contrary to this school of thought, however, are specific human capacity areas provided in a M&E manual for the Indian Council for Agricultural Research (2007) and Kelly and Magongo (2004) where staff should ably demonstrate competences, that is (a) ability to successfully construct indicators, (b) ability to collect, analyze and report performance data in relation to indicators baseline and use the resulting information effectively for the system to work properly. Both views were however, unable to provide statistical backing to illustrate how these human capacities relate to M&E system performance.

Furthermore, although Mackay (2010) does not highlight any general or specific human capacities required for the monitoring and evaluation   system to work effectively as provided by Semister (2009) and the Indian Council for Agricultural Research (2007), the need for training in broad-sets of monitoring and evaluation   tools, methods, approaches and concepts are recommended. Because the human capacities are broadly stated, it makes its application to address challenges in M&E system impractical.

The significance of human capacity in M&E is further stressed by the Indian Council for agricultural Research (2007) which suggests that a M&E capacity enhancement plan should include; (a) the identified skill gap, target persons in central and sub-units of organizations, implementing agencies and beneficiaries, (c) timeline for needed skills and (d) appropriate training times, trainers and costs. However, it's also worth noting that having a well detailed capacity enhancement plan for M&E in place is one thing and its actual implementation is another.

According to Centres for Learning on Evaluation and Results -CLEAR (2013) in a case of Benin, staff capacity building in M&E was for purposes of enabling staff to easily adopt new tools. However, tools adoption for M&E is only one facet amongst many others that are required for an effective M&E system.

A further observation by CLEAR (2013) on Benin M&E,was that there were employees who had basic M&E trainings, a view shared by Hermann (1987) but whose knowledge were not regularly updated. Absence of regular M&E knowledge updates of employees with only basic training means they will not be able to smoothly partake of M&E roles and responsibilities which affects the M&E system.

In a context of Women empowerment work, Batliwala and Pittman (2010) advanced that in most cases, it is the monitoring and evaluation specialists or other experts, rather than women's rights activists, who have developed many of the tools. Outsourcing tools development not only undermines the sustainability of the M&E system but also the quality of data collected.

Capacity according to Kusek and Rist (2004) among demand, structure, trustworthy and credible information, accountability and incentives is regarded as crucial to the sustainability of

monitoring and evaluation   systems. In this context, however, what entails capacity for effective

M&E system performance is not described.

Although what defines skilled personnel for effective M&E   system performance is not stated,

Gorgens and Kusek (2009) observed that the system cannot function without skilled people who

effectively execute the monitoring and evaluation   tasks for which they are responsible, a focus

on human capacity for monitoring and evaluation   will improve the quality of monitoring and

evaluation   system.

In emphasis of the importance of having skilled M&E personnel in an organization, a workshop

participant was quoted, "No skilled people, no monitoring and evaluation   system" (Gorgens &

Kusek, 2009, p. 94).

2.3.2 M&E framework and the performance of monitoring and evaluation systems

2.3.2.1 Organizational alignment

The inclusion of M&E roles and responsibilities to all staff in the organization is viewed as

central to the performance M&E functions as employees are more likely to fulfill tasks they are

formally assigned and for which their performance is clearly rewarded (Gorgens &Kusek, 2009;

CARE, 2012 & IFRC, 2011).

Contrary to the above school of thought is a suggestion by FAO (1985) that although staff

involvement in monitoring and evaluation is important especially at the design stage so that the

system is kept simple and cheap, and able to collect only relevant information to ensure its

operational use, it is argued further that staff often complain of the heavy burden incurred by

getting involved in monitoring and evaluation duties which adversely affect their normal project

duties, as supported by World bank (2010) in a publication which stated that employee behavior

towards monitoring and evaluation processes is a function of their attitude towards monitoring and evaluation .

Therefore, this perception of involvement in monitoring and evaluation would affect the performance of monitoring and evaluation systems.

The performance of M&E systems is also influenced by being linked with other information systems both within and outside of the organization. In support of this Simister (2009) and The Programme for strengthening of Regional Capacity for Monitoring and Evaluation of Rural Poverty Alleviation in Latin America and the Caribbean-PREVAL (2005) both underscore the importance of linkages of the M&E system with other information systems because of the advantage of avoiding over burdening of the M&E system for information needs for use internal and external of the organization that can be provided by other systems. However, for this linkage to fully support the M&E system, they must in turn be well designed, funded and overseen by technically competent personnel.

In accordance with the Indian Council for Agricultural Research (2007) the performance of M&E systems is influenced by ensuring that M&E is institutionalized within an organization as this will also further supports the sustainability of the system. This Literature however, does not provide the means of institutionalizing M&E within an organization.

Culture according to Gorgens and Kusek (2009) has the potential of affecting the functionality of the M&E system-both negatively and positively. From a negative angle, however, Pfeifer and Mark (2011) in a case of the M&E of the United States of America Government observed that M&E was perceived as punitive rather than constructive, while according to PREVAL (2005) M&E is seen as an imposed on process in the organization. A similar observation was revealed

in the works of Batliwala and Pittman (2010) in which one was quoted, "There is no monitoring and evaluation culture in women's groups so much that most are, in fact doing it to satisfy donor requirements rather than to interrogate their work and re-tool their strategies". In light of this, the role played by organization leaderships is unknown in response to the concerns of organization culture on M&E system performance.

According to a related study conducted by Ramothamo (2013) on 6 HIV/AIDS donor funded projects, he found that 50% of the projects did not have monitoring and evaluation policies in place while only 40% use manual to guide their monitoring and evaluation activities. Ramothamo's work was however based on HIV/AIDS funded projects in South Africa, while this study focuses on a livelihood programme being implemented in Uganda.

2.3.2.2 Organizational structure
M&E system failure is influenced by excessive devolution of M&E functions by management to an external entity especially with limited or no stakeholder participation (PREVAL, 2005). Outsourcing of M&E duties should however, be restricted to evaluations and baselines where objectivity is sought, but day to day M&E duties should be the sole responsibility of the project team for ownership of the M&E system.

The significance of having a separate M&E unit in the organization in enhancing M&E system performance is appreciated by FAO (1985) and Pfeiffer and Mark (2011).However, FAO (1985) adds further that having a separate M&E unit provides an additional advantage of relieving employees from engaging in M&E activities and thus concentrate on their core tasks. However, relieving of employees from the M&E processes may affect the ownership of the system and utilization of the resulting information. Additionally, there is no guarantee that

existence of a separate M&E unit is the same as independence of the unit from influence by the management of the organization.

The Indian council for Agricultural Research (2007) suggests otherwise that having centralized monitoring and evaluation units should be restricted for complex projects only such as Agriculture Research and Extension projects like National Agriculture Innovation project although complex is undefined, therefore non- complex projects can establish monitoring and evaluation units that are integrated into Project implementation Unit or just shared monitoring and evaluation tasks among the implementing partners and primary stakeholders.

Monitoring and evaluation system is unlikely to be effective if the senior management of an organization is not supportive of the system (INTRAC, 2011; Hatry, 2010; Pfeiffer & Mark, 2011; Mackay, 2010 & Simister, 2009). Simister (2009) builds on further that not involving the senior management would easily allow them undermine the system, conversely, with full support of senior management, the effectiveness of a monitoring and evaluation system can greatly be enhanced. This support is only feasible however, if the senior management are knowledgeable of basic M&E or acknowledge M&E as an important management tool.

The performance of the M&E system as examined by INTRAC (2011) and Deprez (2008) is affected by a presence of a practice of project/programme planning. INTRAC (2011) adds further that it is much harder to have good M&E systems in place if there is no prior planning or if prior planning is poorly conducted. The M&E system should, however, also in addition support the planning process through provision of empirical evidence to inform decision making.

2.3.5 Budgetary Allocation and the performance of monitoring and evaluation systems

One of the problems that effective M & E faces is disproportionate budgetary allocation and its prioritization in most organizations. As supported by Herman (1987), Elkins (2006) and Bamberger (2010) who observed that more often than not, M&E is allocated insufficient funding which ultimately affects the functionality of M&E system. CARE (2012) further adds that M&E budgets usually only cater for the cost of baselines and evaluations through external consultancies and having nothing for day to day monitoring and learning.

Inept budget processes also affects M&E performance. This is confirmed by the works of Bamberger (2010) who asserts that unless specific and adequate budget line items for M&E are approved in a case of government set ups, M&E system performance will be compromised.

Negative attitudes towards allocating funds for M&E affects M&E system performance. Alex and Byerlee (2000) allude that because the system should be comprehensive, well planned and funded, it may reduce available funding for programme implementation.

According to the literature, there is no consensus of a single cost value for what is considered adequate for M&E in the non-state organizations. This is reflected in these various stand points; 10% of program value for multi-country AIDS programs (MAP) for long term M&E systems by UNAIDS(2002), 2-15% of all cost according to IFAD(2002) for rural projects, 3%-10% by the International Federation of the Red cross (2011).

However, for a case of the Uganda government there was single definite values for M&E operations. As supported by Delta Partnership (2014) which asserted that all Ministries, Departments and Agencies of government should plan and budget for monitoring, and in effect should allocate 3% of its non-wage recurrent budget for monitoring, while 2% of project budget

values must be allocated for monitoring. Additionally, for projects whose values are 5 billion and above, 3% of the project value must be allocated for baselines, mid-term reviews and evaluations.

2.3.7 Summary of the Literature Review

From the literature reviewed, it was clear that monitoring and evaluation manuals majorly written by international NGOs provided a wealth of information on how the constructs of the independent variable affect the dependent variable. The shortfall with this source of literature is that the information documented in the manuals are not birthed using scientific research processes and are predominantly qualitative.

There was also a wealth of literature from the World Bank experiences in monitoring and evaluation, however, this experience was more inclined to government monitoring and evaluation systems.

CHAPTER THREE

METHODOLOGY

3.1 Introduction

This chapter provides a detailed description of the Research Design, Study population, Determination of sample size, sampling techniques and procedures, Data collection methods, Data collection instruments, validity and reliability, procedure of data collection, data analysis, measurements of variables and ethical considerations.

3.2 Research Design

A cross-sectional survey research design employing mixed methods study was used to conduct this inquiry. Because the NGOs were implementing an ongoing community livelihood support programme, a cross sectional survey design was applicable as supported by Amin (2005) who recognizes that cross sectional survey can be employed to gather data from a sample of a population at a particular time.

Additionally, in support of the mix methods choice, Creswell (2003) observed that all methods of inquiry have limitations and therefore biases inherent in any single method could neutralize biases from other methods. Jack (as cited in Creswell, 2003) adds further that triangulating data sources also acts as a means of seeking convergence between different methods of conducting an inquiry. The use of mix methods ensures that results from one method can help develop or inform the other method (Adato, 2011; Green, Caracelli & Graham 1989).

3.3 Study population

The study population was composed of 90 staff across 10 NGOs who were actively involved in the planning, implementation and reporting in the livelihood support programme activities and

therefore better placed to provide required data for the research. It was therefore from this population that the sample for the study was drawn.

The 10 NGOs were being funded by Trócaire (an Irish donor institution), under a Community livelihood support programme that was being implemented in the Greater Northern Uganda (Lango, Acholi, Teso and Karamoja sub regions).

3.4 Sample size determination

Sample size was determined using the Krejcie and Morgan table (1970) as shown in Annex 1 per population category considered for the study.

Table 1: Distribution of sample size among population categories

	Population Category	Population	Distribution of sample size among population categories	Sample selection method
1	LEMU	10	10	Purposive sampling
2	ULA	6	6	Purposive sampling
3	VEDCO	4	4	Purposive sampling
4	CESVI	5	5	Purposive sampling
5	FAPAD	16	14	Simple random sampling
6	SOCADIDO	10	10	Purposive sampling
7	YOMU	9	9	Purposive sampling
8	ARLPI	10	10	Purposive sampling
9	ACODEN	10	10	Purposive sampling
10	JPC	10	10	Purposive sampling
	Total	90	88	

Source: Staff numbers obtained from employee Records from each NGO (2014)

3.5 Sampling Techniques and Procedures

The sample units for the study were selected through the use of simple random sampling and purposive sampling techniques. Where the use of simple random sampling was supported by the work of Gorgens and Kusek (2009) who asserted that once the population of the study is known, then the appropriate probability sampling technique should be simple random sampling

technique. Kothari (2004) referred to this sampling technique as a type where each item in the population has an equal chance of inclusion in the sample.

For the organization (FAPAD) with a population of 16, numeric numbers were assigned to all staff that make up the population at the organization level. The numbering took the form; 1, 2, 3, 4…….

After that was complete, then using Microsoft excel function below was employed to select the sample units;

=randbetween (x, y), where x denotes the lowest number assigned to a staff name e.g.1, and y denotes the highest number assigned to a staff name.

Random numbers were generated between x and y corresponding to staff names, until the required number of staff for FAPAD included in the sample was realized (Table 1).

Purposive sampling on the other hand was used to select the respondents from population categories with a population less or equal to 10. These comprised of only staff engaged in planning, implementation and reporting under the community sustainable livelihood programme in the organizations.

3.6 Data collection methods

3.6.1 Qualitative data

Qualitative data was collected using personal interviews using a series of questions to guide the interaction, yet also allowing for new questions to arise as a result of the discussions as supported by Kidder and Fine (1987).

Document Analysis was also used to gather qualitative data. This involved providing information through careful study of written documents (Amin, 2005). Although this method provides an

opportunity to assess organizations internal information collection and storage, it is limited by what information is available and accessible (IFAD, 2002).

3.6.2 Quantitative data

Quantitative data on the other hand was collected through Questionnaire survey in a structured way using a questionnaire. According to IFAD (2002), this often allows for statistical analysis.

3.7 Data collection instruments

Personal interview guide, document review guide and survey/questionnaires were employed to collect data for the study.

3.7.1 Personal interview guide

The personal interview guide was developed to probe the effect of the constructs of the independent variables on the dependent variable. This was because quantitative data is only descriptive, the inclusion of qualitative data was to provide further explanations to what was presented by quantitative data. This was planned to be conducted with 15 respondents.

3.7.2 Document Review checklist.

This was conducted with 5 NGOs purposively sampled. The check list was comprised of a listing of key organizational documents that relate to the human capacity, M&E framework and budget allocation for the independent variable and quality of M&E information, M&E system sustainability and utilization of M&E information (Annex 4).

3.7.3 Questionnaire

Quantitative data was collected using a questionnaire built on five likert scale developed by Rensis Likert in 1931(Annex 2).

The Likert scale took the form;

1. Strongly Disagree

2. Disagree

3. Neutral

4. Agree

5. Strongly Agree

A weakness pointed by Gorgens and Kusek (2009) over this scale is that respondents tend to choose the middle opinion more often. In order to tackle this weakness, the study ensured that the purpose of the inquiry was provided to the respondents and a further assurance of anonymity. This was administered to 73 respondents.

Table 2: Distribution of the sample for data collection

	Population Category	Sample size selected	Sample for questionnaire	Sample for personal interview
1	LEMU	10	8	2
2	ULA	6	5	1
3	VEDCO	4	4	1
4	CESVI	5	4	1
5	FAPAD	14	12	1
6	SOCADIDO	10	8	2
7	YOMU	9	8	1
8	ARLPI	10	8	2
9	ACODEN	10	8	2
10	JPC	10	8	2
	Total	88	**73**	**15**

Source: Adopted from the sample selection Table 1

3.9 Data quality control (validity and reliability of Results)

3.9.1 Validity

In this study face validity and content validity index were used to determine the validity of the data collection instruments. Amin (2005) described validity as the appropriateness of the

research instrument, to yield findings that are in agreement with theoretical or conceptual values. This view is shared by Joppe as cited in Golafshani (2003) whose work was based on qualitative research. Face validity for the questionnaire survey, document review checklist and personal interview guide was established through review of the instrument by subject specialists and two research supervisors.

In addition to the face validity, the questionnaire survey tool was subjected to a further content validity assessment (resulting data was planned to support statistical data analysis) with a resulting value of 0.975. This value was acceptable according to Amin (2005) who recommends values between 0.5-1.00 for content validity. Computation is shown below;

Coefficient of validity (CV_i) = <u>Number of items regarded relevant by findings</u>

<div align="center">Total number of items</div>

Coefficient of validity (CV_i) = 39 ÷ 40

<div align="center">= 0.975</div>

Formula was adapted from the work of Amin (2005) in which resulting coefficient of validity values between 0.5-1.00 are regarded as acceptable.

3.9.2 Reliability

A test and re-test method of addressing reliability of data was employed. The survey questionnaire instrument was administered twice to 10 selected individuals who were not part of the sample. This helped minimize random errors, hence increase reliability of the data collected. In accordance to the work of Amin (2005), there are four common approaches through which reliability is computed; split-half reliability, Kuder-Richardson, the method of rational equivalence and the cronbach's coefficient alpha. This study adopted the cronbach's coefficient alpha as supported by Amin (2005) who proposed its use for non-dichotomous responses such as

the likert scales (employed in the questionnaire survey tool) to measure the independent and dependent variables.

It was noted in this study that though the value of alpha is partially dependent on the number of items under the likert scale, the number of items under likert scale also has diminishing returns on the value of alpha (Gliem & Gliem, 2003). The questionnaire survey tool was therefore constructed with 40 likert scale items.

Statistical Product and Service Solutions (SPSS), a computer based statistical program was used to compute the cronbach's coefficient alpha, whose value was found to be 0.856 (Table 3). The acceptance of this value was informed by the work of Mugenda and Mugenda (2005) and Gliem and Gliem (2003) who recommend values of coefficient of alpha of 0.8 and above. The acceptance of the computed cronbach's alpha was further supported by Nunnally and Bernstein (1994) and George and Mallery (2003) who recommend Cronbach's alpha values of 0.7 and above.

Table 3: Reliability Statistics

Construct	Cronbach's Alpha	Number of items	Items
Human capacity	0.848	10	HC1,HC2,HC3,HC4,HC5,HC6,HC7,HC8,HC9,HC10
M&E framework	0.864	10	M1,M2,M3,M4,M5,M6,M7,M8,M9,M10
Budget allocation	0.810	8	B1,B2,B3,B4,B5,B6,B7,B8
M&E system performance	0.812	12	P1,P2,P3,P4,P5,P6,P7,P8,P9,P10,P11,P12
Overall Reliability	0.856	40	

Source: Primary Data

The internal reliability testing above (Table 3), shows that the survey is generalizable and can produce similar results with populations. This is because the constructs each scored a Cronbach's Alpha value greater than 0.8.

Furthermore, detailed reliability results shown in Annex 5 reveal that deletion of item "data inspection is rarely conducted" from the overall scale, would lower the cronbach's alpha to 0.844, while deletion of "lump sum figure of funding is allocated for M&E" from the overall scale, would increase the cronbach's alpha to 0.861. Values which are well above the recommendation of 0.8 by Mugenda & Mugenda, (2005) and Gliem & Gliem, (2003). This therefore demonstrates that the findings are reliable.

3.10 Procedure of Data Collection

Upon approval of the proposal by Uganda Management Institute (UMI), the researcher obtained a cover introductory letter from Uganda Management Institute (UMI) School of Management Sciences that enabled individual NGO management to approve the research exercise.

Prior to the administration of any of the data collection instruments the respondents were provided with the purpose of the study so that they could choose to participate or not in the study. The respondents were also assured that the information collected would be accorded utmost confidence. This decision was informed by an online survey conducted by Dommeyer et al. (2002) with students, which revealed that anonymity of the responses boosted response rates.

3.11 Data Analysis

3.11.1 Quantitative data

Quantitative data was analyzed using descriptive statistics; percentages and frequencies, measures of central tendency- means and measure of dispersion-standard deviation.

Spearman's correlation was used to measure the degree and direction of linear relationships between the variables (Amin, 2005).

Test for statistical significance was conducted using a non-parametric method referred to as spearman's rank correlation (Kothari, 2004, p.71). This was conducted for measurements under ordinal scale as supported by Daniel (1990, pp. 358-364) and Amin (2005, p.384).

Simple regression analysis was conducted to establish the causal effect of the independent variable on the dependent variable.

3.11.2 Qualitative data

Qualitative data analysis was conducted on the raw data by reading repetitively through notes taken during the personal interviews and notes made by respondents in the semi-structured questionnaire and mapping out the patterns in the notes using observed themes that was used to provide answers to the research questions. The work of Powell and Renner (2003) complements the identification of themes further by adding that the number of counts of themes under each research question is indicative of relative importance.

Reliability of Qualitative Data analysis process

Intra coder Kappa statistic value of 0.9 was computed using EZ- Text (a computer program developed by Centre of Disease Control) that provided reliability of the coding process of qualitative data. This was close to the ideal value of 1.00 recommended by Carey et al. (2008).

3.12 Measurement of variables (Quantitative studies)

The measurement of variables in the study was considered at two scales; **Nomina**l and **Ordinal** scales.

In accordance to Kothari (2004, p.71), nominal scale indicates no order or distance relationship and has no arithmetic origin. It simply describes differences between things by assigning them into categories.

Ordinal scale on the other hand places events in order though with no attempt to make intervals of the scale equal in terms of some rule. It is thus a statement of 'greater than' or 'less than' without our being able to state how much greater or less (Kothari, 2004, p.71).

3.13 Ethical Consideration

Informed by the work of FHI (as cited in Gorgens & Kusek, 2009), the following basic ethical protocols and principles were adhered to in the study.

i. An understanding of why the research was being carried out, the possible positive outcomes associated with the research and the possible negative outcomes associated with the research was made clear to the respondents.

ii. Respondents were made aware that they were free to withdraw from the research at any point during the research.

iii. Responses were strictly confidential, data was aggregated with no name identifiers and was not attributed to any particular individual.

iv. The data collection tools contained a statement requesting for consent from the respondents to participate in the research.

In order to guarantee confidentially of the respondents, the study adopted suggestions of Feber et al (1980:7) as cited in Gorgens and Kusek (2009, p.297) viz;

i. Only coded numbers were used to refer to a respondent on a questionnaire/interview guide and codes kept separate from the data.

ii. No names and addresses of research respondents were given to anybody outside the research initiative.

iii. Names and addresses of research respondents omitted from computer analysis.

PRESENTATION, ANALYSIS AND INTERPRETATION OF FINDINGS

4.1 Introduction

This chapter presents the response rates for the data collection instruments used, background characteristics of respondents and outputs of data analysis processed from qualitative and quantitative data together with the interpretations. Results were presented for each study objective.

4.2 Response Rate

The response rate was computed to demonstrate the adequacy of data available to conduct analysis from which conclusions and recommendations were to be made. Results are shown in Tale 4.

Table 4: Response rate

Item	Data collection instruments	Number of respondents approached	Number of respondents that responded	Response Rate (%)
1	Personal interview guide	15	10	67.00
2	Questionnaire	73	70	95.89
3	Total	88	80	90.91

Source: Study Data collection instruments

Questionnaires that were administered to collect quantitative data registered a response rate of 95.89 % (70 out of 73) while from personal interviews a response rate of 67.00% was registered. The overall response rate was 90.91% which is well above what is recommended by Amin (2005) of 70% that is believed to be representative of the survey population.

4.3 Background characteristics of respondents

Data was collected on the gender of respondents, duration of work with current employer and academic qualifications because these in the context of the study, were believed to be related to the quality of responses provided by the respondents.

4.3.1 Gender

The study generated data on gender of the respondents, this was meant to address any possibility

of divergence in opinions between male and female respondents regarding the constructs of the

study.

Table 5: Gender of respondents

Gender	Frequency	Percent
Male	41	58.6
Female	29	41.4
Total	70	100.0

Source: Primary data

The table 5 above shows that both male and female employees of the NGOs participated in the

research. Males made up 58.6% and females 41.4% of the total respondents.

4.3.2 Duration of work with current employer

The duration respondents had spent with current employer was included as an indicator of the

knowledgeability of the respondents with the M&E operations in the NGOs. The findings were

presented in Table 6.

Table 6: Respondents duration of work with current employer

Duration of work with current employer	Frequency	Percent
Less than one year	14	20.0
1-2 years	28	40.0
3-4 years	22	31.4
5-6 years	4	5.7
7 years and above	2	2.9
Total	70	100.0

Source: Primary data

Table 6 above indicates that data was collected from the following categories of employees in

regard to duration of work with current employer; 20% had spent less than a year, 40% 1-2

years, 31.4% 3-4 years, 5.7% 5-6 years and 2.9% 7 years and above. The majority had therefore

spent 1-2 years (40%) and 3-4 years (31%) with the NGOs studied. This therefore implied that the employees were knowledgeable of the M&E practices in the NGOs, hence were in position to provide the necessary data for the study.

4.3.3 Academic Qualifications of respondents
Data was collected on respondents' academic qualifications as a measure of respondents' ability to comprehend and respond appropriately to the data collection instruments which were constructed in English language. Results are shown in Figure 2.
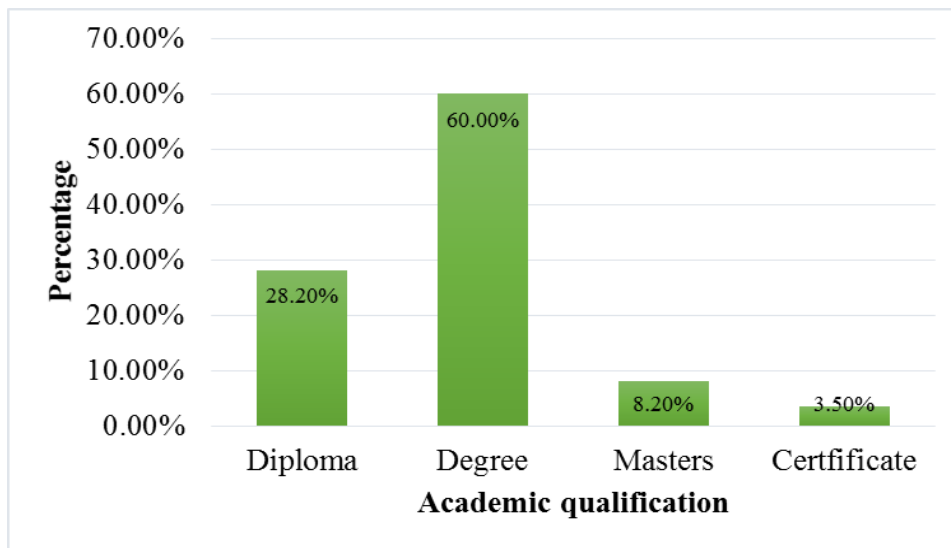
Figure 2: Academic qualifications of respondents
  Source: Primary data

The findings in Figure 2 reveal that 28% of the respondents possessed a diploma, 60% degrees, 8.2% Masters' degree and 3.5% possessed certificate qualifications. This shows that the majority of the respondents had attained a reasonable level of education (as expressed by 60% of the respondents with Degree qualification and 28% with Diploma). It was assumed therefore that they were able to not only read and write, but were also able to understand the self-administered questionnaires formulated in English used to capture quantitative data.

4.4 Empirical findings on objective one: To investigate the relationship between human capacity and performance of M&E systems in Trócaire funded NGOs in Uganda.

Data was collected on assertions of human capacity for M&E from the respondents, the summative scores were used to perform correlational and regression analysis between human capacity and performance of M&E systems. Descriptive findings are shown in Table 7.

Table 7: Frequency and Percentage distribution of respondents' opinions on M&E Human capacity

Human Capacity						
	M&E Human capacity	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
HC1	Few staff can develop and use project indicators in the organization	14(20%)	22(31.4%)	10(14.3)	18(25.7%)	6(8.6)
HC2	There is need to improve skills in developing data collection tools in the organization	28(40%)	37(52.9%)	3(4.3%)	0(0.00%)	2(2.9)
HC3	Training of Staff in M&E are ad hocly organized in the organization	17(24.3%)	24(34.3%)	11(15.7%)	11(15.7%)	7(10%)
HC4	Internal trainings at the work place in M&E are rarely conducted	22(31.4%)	30(42.9%)	8(11.4%)	8(11.4%)	2(2.9%)
HC5	M&E data collection in the organization is mainly done by staff	30(42.9%)	33(47.1%)	6(8.6%)	1(1.4%)	0(0.00%)
HC6	Data analysis is one area of improvement in the organization	55(78.6%)	10(14.3%)	4(5.7%)	0(0.00%)	1(1.4%)
HC7	The purpose M&E in the organization is known by few staff in the organization	13(18.6%)	9(12.9%)	5(7.1%)	15(21.4%)	28(40%)
HC8	The roles and responsibilities of stakeholders in M&E are not clear in the organization	23(32.9%)	13(18.6%)	6(8.6%)	11(15.7%)	17(24.3%)
HC9	A human capacity development plan in M&E needs to be put in place in the organization	44(62.9%)	19(27.1%)	5(7.1%)	0(0.00%)	2(2.9%)
HC10	There is need for formally trained personnel in M&E in the organization	51(72.9%)	15(21.4%)	1(1.4%)	0(0.00%)	3(4.3%)

Source: Primary data

4.4.1 Development and utilization of indicators in the organizations

The development and use of indicators in the organizations is an indication of the ability of the NGOs to plan relevant project/programme performance data collection to support decision-making processes.

It was found that there was a low capacity within respondents to develop and use project indicators as signified by 14(20%) and 22(31.4%) respondents who strongly agreed and agreed respectively to the assertion that few staff can develop and use project indicators in the organization. In support of this quantitative findings, results from the personal interviews demonstrate that only a few heads of department possessed the skills to develop and use project indicators, while lower level staff in the organizations lacked this skill set. This implies that there are incidences of lack of data and if available, the data is of low quality and does not warrant use. This may be attributed to a lack of or infrequent staff needs-based M&E trainings in the NGOs. Low capacity to develop and use indicators is indicative of the ability of the NGOs to collect data that is relevant if any. 18 (25.7%) and six (8.6%) respondents disagreed and strongly disagreed with the same assertion, an indication of a perceived existence of this capacity in a few of the organizations. 10 respondents representing 14.3% were undecided over the assertion.

4.4.2 Skills for developing data collection tools in the organizations

It was found out as shown in table 7 that there was a dire need to improve skills in developing data collection tools in the organizations as conveyed by 28(40%) and 37(52.9%) respondents who strongly agreed and agreed respectively to the assertion that there is need to improve skills in developing data collection tools in the organization. Results of personal interviews in support, adds that only a few staff had the ability to develop data collection tools especially heads of department. One respondent was quoted,

Most of the tools in place were developed by a consultant who is no longer with us and that's why most staff do not know how the tools were developed.

This suggests that data collection of performance indicators for projects/programmes are seldom done.

Absence of functional M&E human capacity development plans developed in close consultation with employees may explain this observation. However, only two respondents represented by 2.9% strongly believed to possess the skills to develop data collection tools, while three respondents representing 4.3% were unable to provide an opinion on the assertion.

4.4.3 Planning for M&E capacity building

It is shown in the Table 7 above that the majority of the respondents did not believe that there were planned staff M&E trainings in the organizations as suggested by 17(24.3%) and 24(34.3%) respondents who strongly agreed and agreed with the assertion that training of Staff in M&E are ad hocly organized in the organization.

Additionally during a personal interview, one respondent put it that;

Usually we are suddenly informed to block off some days in our calendars for such trainings, which disrupts our planned field activities.

An indication that trainings are conducted without prior consultation of staff who supposed to be required to apply the skills and knowledge acquired in the execution of their contractual obligations.

On the other hand, 11(15.7%) and seven (10%) respondents, however, believed that there were planned M&E trainings in their organizations. 11 respondents representing (15.7%) were, however, not decided about the assertion.

4.4.4 Frequency of internal trainings in M&E

It was revealed that internal trainings in M&E by the organizations were rarely conducted as demonstrated by 22 respondents representing 41.4% that strongly agreed with the assertion that internal trainings at the work place in M&E are rarely conducted, and substantiated by 30 respondents representing 42.9% who also agreed with the assertion.

Personal interviews similarly revealed that internal trainings were rarely conducted. One respondent was quoted;

> *In the last 12 months, we have only had one training which was for 3 days only, furthermore it was the consultant who decided on the training topics, so staff forgot easily since they were not applying the skills they were trained in.*

However, eight respondents representing 11.4% disagreed, a further meagre 2 respondents representing 2.9% strongly disagreed with the assertion. Eight respondents representing 11.4% on the other hand did not express their opinion on this assertion.

4.4.5 M&E data collection

According to the Table 7 above regarding the assertion that M&E data collection in the organization is mainly done by staff, 30 respondents representing 42.9% strongly agreed with the assertion and 33 respondents representing 37.1% agreed with the statement suggestive of limited roles played by external project stakeholders. Views expressed in the personal interviews indicate that M&E data collection was primarily conducted by staff, who do not have the skills to develop data collection tools. However, it was reported by one of the personal interview respondents that in some instances grass root based community structures participated data collection (though were constrained by stationery).

Only one respondents representing 1.4% disagreed with the statement and indication of a shared practice of M&E data collection with project/programme stakeholders. six respondents representing 8.6% did not express their view on this assertion.

4.4.6 M&E data analysis

Data was collected on this skill set to demonstrate the capacity of the organizations to transform data into useful information to facilitate decision-making, progress improvement, learning and accountability.

Results in Table 7 above shows that the majority of the respondents were in agreement with the assertion that data analysis is one area of improvement in the organization, as depicted by 55 respondents representing 78.6% who strongly agreed, and yet another 10 respondents representing 14.3% agreed. It was also a common pattern during the personal interviews that the majority of the staff were unable to conduct qualitative and quantitative data analysis, although a few departmental heads could attempt to. This is symbolic of the volume of unprocessed data available in the organizations. Only one respondent representing 1.4% disagreed with the assertion, while a further four respondents representing 5.7% did not provide their view on the assertion.

4.4.7 Staff awareness of M&E purpose in the organizations

Findings from Table 7 above show that although 28 respondents representing 40% strongly disagreed with the statement that the purpose of M&E in the organization is known by few staff in the organization, a further 15 respondents representing 21.4% also disagreed with the same statement . One respondent during a personal interview was quoted;

We know why we should monitor or evaluate our work, although sometimes staff say they are going to do monitoring and yet go to the field without any monitoring tools, and therefore come back without any evidence.

This implies that majority of the respondents are knowledgeable of the purpose of M&E in their organizations, this may be explained by the donor terms and conditions regarding M&E upon commitment to provide funding for projects/programme.

On the other hand 13 respondents representing 18.6% strongly agreed with the statement and nine respondents representing 12.9% were in agreement with the statement which indicated that few staff from the organizations had not observed the value addition of M&E to the organizations. Absence of skilled and fully supported M&E personnel may account for this observation. Five respondents representing 7.1%, however, did not provide their opinion on the assertion.

4.4.8 Stakeholder roles and responsibilities in M&E

23 respondents representing 32.9% strongly agreed with the assertion that the roles and responsibilities of stakeholders in M&E are not clear in the organization and 13 respondents representing 18.6% agreed to the same assertion.

There was also common sentiment during the personal interviews that stakeholders who were highly placed such as government officials were consulted for their inputs during development of working documents such as strategic plans and proposals although no significant roles were played thereafter in the M&E processes.

The M&E framework if developed in isolation of the stakeholders and not implemented, may result in this blurriness observed in roles and responsibilities of stakeholders in M&E. Although,

six respondents representing 8.6% were neutral, 11respondnets representing 15.7% and 17 respondents representing 24.3% disagreed and strongly disagreed respectively with the assertion.

4.4.9 M&E human capacity development plans

The was a general lack of human capacity development plans in M&E across the organizations as reflected by 44 respondents representing (62.9%) who strongly agreed with the assertion that a human capacity development plan in M&E needs to be put in place in the organization, this was complemented by 19 respondents representing (27.1%) who agreed with the same assertion. Personal interviews and Documents reviewed conducted also revealed the absence of M&E human capacity development plans in the organizations, which may be attributed to lack of skilled M&E personnel in the organizations.

However, only two respondents representing 2.9% strongly disagreed with the assertion, suggestive of presence of M&E Human capacity development plans in a few of the organizations. Five respondents representing 7.1% were neutral over the assertion.

4.4.10 Presence of formally trained personnel in M&E in the organizations

51 respondents representing 72.9% strongly agreed with the assertion that there was need for formally trained personnel in M&E in the organization as complemented by an additional 15 respondents representing 21.4% that were in agreement the assertion.

In all the 10 personal interviews conducted, respondents expressed the need to have formally trained M&E staff in the originations to support M&E functions. A case in point was the statement captured during a personal interview session,

> *There is no specific person currently in charge of M&E, the one we have now is just acting and not qualified.*

Absence of M&E policy or culture for M&E and budget constraints may be contributing factors for this observation. Only, two respondents representing 4.3% believed that there was a formally trained M&E person in their organization. One respondent representing 1.4% did not provide their view on the assertion.

Table 8: Descriptive statistics for Human capacity

	N	Mean	Std. Deviation
Few staff can develop and use indicators	70	2.71	1.287
Need to improve skills in developing data collection tools	70	1.70	.688
M&E training ad hocly organized	70	2.53	1.293
Internal trainings are rarely conducted	70	2.11	1.071
M&E data collection mainly done by staff	70	1.69	.692
Data analysis is one area of improvement	70	1.31	.713
Purpose of M&E in the organization is known by few staff	70	3.51	1.567
Roles and responsibilities of stakeholders in M&E are not clear	70	2.80	1.621
A human capacity development plan in M&E needs to be put in place	70	1.53	.863
There is need for formally trained personnel in M&E	70	1.41	.893

Source: Primary Data

According to Table 8 above respondents generally expressed the need for human capacity development for M&E in the organizations, as shown by the mean values and standard deviation values. The lowest mean value for the statements being 1.31 and highest being 3.51.

4.4.11 Hypothesis Testing (H$_1$): There is a relationship between Human capacity and the performance of M&E systems

Below (Table 9&10) is a presentation using Spearman's correlation illustrate the strength of the relationship between human capacity for M&E and the performance of M&E systems, and a regression analysis to establish the level variability observed in M&E system performance that is attributed to human capacity for M&E.

Table 9: Correlation matrix between Human capacity and the performance of M&E systems

			Human Capacity	M&E system performance
Spearman's rho	Human Capacity	Correlation Coefficient	1.000	.631**
		Sig. (2-tailed)	.	.000
		N	70	70
	M&E system performance	Correlation Coefficient	.631**	1.000
		Sig. (2-tailed)	.000	.
		N	70	70

**. Correlation is significant at the 0.01 level (2-tailed).

Source: Primary data

The results in Table 9 shows that the correlation between Human capacity and M&E system performance was significant at 1% level of significance since the p-value $(0.000) < 0.01$.

The correlation coefficient (0.631) shows that there was a strong positive correlation between Human capacity for M&E and M&E system performance.

Table 10: Regression analysis between Human capacity and M&E system performance

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.602ᵃ	.362	.353	6.06602	.362	38.617	1	68	.000

a. Predictors: (Constant), Human
Source: Primary data

The Adjusted R square value of 0.353 indicates that nearly 35% of the total variability in the response variable (M&E system performance) is accounted for by the predictor variable (Human capacity. In addition since the value of Adjusted R square is larger than zero and p-value (0.000)

for the F-statistic is less than 0.05 level of significance, the null hypothesis is rejected. The research hypothesis that there is a significant relationship between human capacity and M&E system performance was accepted.

4.5 Empirical findings on objective two: To assess the relationship between M&E framework and performance of M&E systems in Trócaire funded NGOs in Uganda.

Summary descriptive statistics show the distribution of respondents' opinions about the assertions on M&E framework that relate to performance of M&E systems.

Table 11: Frequency and Percentage distribution of respondents' opinions on M&E framework

M&E Framework						
M&E framework Assertions		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
M1	M&E roles and responsibilities are rarely assigned to each staff in the job descriptions	16(22.9%)	25(35.7%)	5(7.1%)	19(27.1%)	5(7.1%)
M2	Staff engagement in M&E activities affect how they perform their normal duties	11(15.7%)	22(31.4%)	6(8.6%)	23(32.9%)	8(11.4%)
M3	Departmental participation in M&E is optional in the organization	8(11.4%)	11(15.7%)	9(12.9%)	33(47.1%)	9(12.9%)
M4	M&E is an optional process in the organization	2(2.9%)	7(10%)	8(11.4%)	35(50%)	18(25.7%)
M5	There is no functional M&E policy for the organization	12(17.1%)	9(12.9%)	4(5.7%)	32(45.7%)	13(18.6%)
M6	There is no functional M&E manual in the organization	14(20%)	14(20%)	8(11.4%)	27(38.6%)	7(10%)
M7	There is no separate M&E unit in the organization	18(25.7%)	18(25.7%)	2(2.9%)	23(32.9%)	9(12.9%)
M8	There is need for more support for M&E from the leadership of the organization.	28(40%)	33(47%)	7(10%)	0(0.00%)	2(2.9%)
M9	Planning for M&E is usually done after proposals have been funded in the organization	11(15.7%)	22(31.4%)	12(17.1%)	13(18.6%)	12(17.1%)
M10	M&E is donor driven in the organization.	20(28.6%)	20(28.6%)	5(7.1%)	18(25.7%)	7(10%)

Source: Primary data

4.5.1 Inclusion of M&E roles and responsibilities in staff job descriptions

According to Table 11 above, it was a common observation that M&E roles and responsibilities were rarely included in staff job descriptions as evidenced by 16(22.9%) and 25(35.7%) respondents who strongly agreed and agreed respectively to the assertion that M&E roles and responsibilities are rarely assigned to each staff in the job descriptions.

There was also a shared perspective during the personal interviews that staff job descriptions were very clear on what roles staff should play in implementing project activities in specific locations, but not regarding M&E.

This may be attributed to a conviction that M&E roles must be exclusively performed by M&E personnel. 19 respondents representing 27.1% on the other hand disagreed with the assertion as well as five respondents representing 7.1% who strongly disagreed. Five respondents representing 7.1% did not provide their view on this assertion.

4.5.2 Institutionalization of M&E

Table 11 above shows that there was negative attitude from respondents towards M&E amongst the respondents as reflected by 11 respondents representing 15.7% that strongly agreed with the assertion that Staff engagement in M&E activities affect how they perform their normal duties. A further 22 respondents representing 31.4% also agreed to the assertion.

In support of the descriptive statistics, it was observed during personal interviews that there was lack of a streamlined approach of operationalizing M&E in the organizations. One respondent was quoted,

> *Staff see M&E as a different activity that should be scheduled for specific days e.g. if its*
>
> *data collection, then no other activity should be done that day except data collection.*

Staff unawareness of the link between M&E, project/program planning and implementation may explain the negative attitude towards M&E. 6 respondents representing 8.6% were neutral over this assertion.

However, there was a demonstration of positive attitude towards M&E by respondents as indicated by 23 respondents representing 32.9% that disagreed to the assertion and eight respondents representing 11.4% who strongly disagreed.

4.5.3 Departmental participation of organizations in M&E

33 respondents representing 47.1% disagreed with the assertion that departmental participation in M&E is optional in the organization and so did a further nine respondents representing 12.9% who strongly disagreed with the assertion, implying existence of a perceived value of M&E by few respondents. However, eight respondents representing 11.4% strongly agreed with the assertion and 11 respondents representing 15.7% who agreed, showed less appreciation of M&E as a management tool. A respondent during a personal interview complemented this further by stating; "At departmental level, it is not a must, it is done at free will though it should be a must." A further nine respondents representing 12.9% did not provide their opinion on this assertion.

4.5.4 Value accorded to M&E

M&E was majorly seen as mandatory process by most respondents as reflected by 35 respondents representing 50% who disagreed with the assertion that M&E is an optional process in the organization, a further 18 respondents representing 25.7% strongly disagreed with the same assertion.

However, nine respondents representing 10% and two respondents representing 2.9% agreed and strongly agreed respectively with the same assertion. eight respondents representing 11.4%

were undecided. Indicative of a lack of value for M&E by few respondents. In support of this a personal interviewee mentioned that;

> *Although staff are reluctant, management staff at times conduct monitoring visits in the field, even the board members carry out monitoring visits in the field at least thrice a year.*

4.5.5 Presence of M&E policy

This section provides results relating to the availability of M&E policies in the organizations. The M&E policy provides the practice direction in regards to M&E operations at the organizational level.

By and large there was a belief of presence of M&E policies as expressed by 32 respondent representing 45.7% that disagreed with the assertion that there is no functional M&E policy for the organization, while a further 13 respondents representing 18.6% strongly disagreed with the assertion. On the other side of the coin, nine respondents representing 12.9% agreed with the assertion while 12 respondents representing 17.1% strongly agreed with the assertion. 10 of the personal interview respondents mentioned that there was no M&E policy at the work place which is in support of the assertion. A further four respondents representing 5.7% were neutral over the assertion.

4.5.6 Functionality of M&E manual

The study results show that 14 respondents representing 20% strongly agreed with the assertion that there is no functional M&E manual in the organization, additionally 14 respondents representing 20% agreed with the same assertion. This is supported by results from document reviews and personal interviews conducted which also did not record any presence of M&E manual.

However, 27 respondents representing 38.6% disagreed with the assertion and further seven respondents representing 10% strongly disagreed with the same assertion. 8 respondents representing 11.4% remained neutral over this assertion.

4.5.7 M&E units in the originations

There was a common lack of a separate M&E Unit in the organizations as reflected by the opinions of 18 respondents representing 25.7% who strongly agreed with the assertion that there is there is no separate M&E unit in the organization as supported by a further 18 respondents representing 25.7% who agreed with the same assertion.

This was also evident in the organograms of six organizations reviewed, in support of this, a respondent during a personal interview put it that; "We need an independent and separate M&E unit in the organization."

However, there were also expressed incidences of presence of separate M&E units in the organizations as indicated by 23 respondents representing 32.9% who disagreed with the same assertion and nine respondents representing 12.9% who also strongly disagreed. Two respondents representing 2.9% were neutral over this assertion.

4.5.8 Support towards M&E

M&E processes should be supported more in the organizations as expressed by 28 respondents representing 40% who strongly agreed with the assertion that there is need for more support for M&E from the leadership of the organization and complemented by a further 33 respondents representing 47% who also agreed with the same assertion. One respondent during a personal interview stated;

There is need for more support for M&E from the leadership since staff are reluctant about engaging in M&E.

This may be attributed to a presence of greater emphasis on activity implementation by management and less of M&E.

Only two respondents representing 2.9% did not recognize the need of more support for M&E from the leaderships of the organizations while seven respondents representing 10% did not provide their opinion about the assertion.

4.5.9 Planning for M&E

It is revealed as common practice within the organizations to plan for M&E after proposals have been funded as expressed by 11 respondents representing 15.7% who strongly agreed with the assertion that planning for M&E is usually done after proposals have been funded in the organization, as also supported by a further 22 respondents representing 31.4% who agreed with the assertion.

Prior planning for M&E is also reportedly done by some organizations as stated 13(18.6%) and 12(17.1%) who disagreed and strongly disagreed with the same assertion. It was also evident in the documents reviewed that planning for M&E was done during proposal write up, as was reflected in six proposals document reviewed though stated broadly. One respondent was quoted; "It is always stated how the different stakeholders will be involved in M&E e.g. the board members, Government and volunteers, but the stakeholders usually do not do any M&E tasks during the life of the project." Prior planning for M&E may be influenced by donors as may be included in the funding application templates.

4.5.10 Donor influence in M&E

Findings in Table 11 indicate that M&E was primarily influenced by donors in the organizations as expressed by 20(28.6%) respondents who strongly agreed with the assertion that M&E is donor driven in the organization and also further supported by an additional 20(28.6%) respondents who agreed with the same assertion. This was further supported by findings from personal interviews which revealed that donors mainly influence M&E in the organizations because it is usually stated as one of the terms and conditions for funding of projects/programmes.

M&E was also reported as initiatives of the organizations as shown by 18(25.7%) and seven (10%) respondents who disagreed and strongly disagreed with the same assertion. However, five (7.1%) respondents were neutral.

Table 12: Descriptive statistics for M&E framework

	N	Mean	Std. Deviation
M&E roles and responsibilities rarely assigned to each staff	70	2.60	1.301
staff engagements in M&E activities affects their normal duties	70	2.93	1.322
Departmental participation in M&E is optional	70	3.34	1.226
M&E process is an optional process in the organization	70	3.86	1.011
No functional M&E policy in the organization	70	3.36	1.384
No functional M&E manual in the organization	70	2.99	1.346
No separate M&E unit in the organization	70	2.81	1.458
Need for more support from leadership on M&E	70	1.76	.751
Planning for M&E done after proposals have been funded	70	2.90	1.353
M&E is donor driven in the organization	70	2.60	1.398

Source: Primary Data

Table 12 above showed that for statements about M&E framework with mean values between 1.76 and 2.99, the respondents expressed need for positive change while statements with mean values of 3.34 and 3.86 showed that respondents were majorly undecided about their opinion.

4.5.11 Hypothesis Testing (H$_2$): There is a relationship between M&E framework and the performance of M&E systems.

Below (Table 13& 14) is a presentation using Spearman's correlation illustrate the strength of the relationship between M&E framework and the performance of M&E systems, and a regression analysis to establish the level variability observed in M&E system performance that is attributed to M&E framework.

Table 13: Correlation matrix between M&E framework and the performance of M&E systems

			M&E Framework	M&E system performance
Spearman's rho	M&E Framework	Correlation Coefficient	1.000	.539[**]
		Sig. (2-tailed)	.	.000
		N	70	70
	M&E system performance	Correlation Coefficient	.539[**]	1.000
		Sig. (2-tailed)	.000	.
		N	70	70

**. Correlation is significant at the 0.01 level (2-tailed).
 Source: Primary data

The Table 13 above reveals that the correlation between M&E framework and M&E system was significant at 1% level of significance since the p-value (0.000) < 0.05.

The correlation coefficient (0.539) shows that there was a moderate positive correlation between M&E framework and M&E system performance.

Table 14: Regression analysis between M&E framework and M&E system performance

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.531[a]	.282	.272	6.43455	.282	26.754	1	68	.000

a. Predictors: (Constant), Framework

Source: Primary data

The Adjusted R square value of 0.272 indicates that nearly 27% of the total variability in the response variable (M&E system performance) is accounted for by the predictor variable (M&E framework). Therefore with the Adjusted R square value greater than zero (0) coupled with p (0.00) <0.05 for the F-statistic, the null hypothesis is rejected. The researched hypothesis that there was a significant relationship between M&E framework and M&E system performance is supported.

4.6 Empirical findings on objective three: To examine the relationship between budgetary allocation for M&E and performance of M&E systems in Trócaire funded NGOs in Uganda

Summary descriptive statistics on assertions of budgetary allocation relating to performance of M&E systems are presented below.

Table 15: Frequency and Percentage distribution of respondents' opinions on Budget allocation

	Budgetary allocation					
	Budgetary allocation	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
B1	Funding for Monitoring activities is inadequate in the organization	18(25.7%)	28(40%)	13(18.6%)	9(12.9%)	2(2.9%)
B2	Funding for conducting evaluations is inadequate in organization	17(24.3%)	26(37.1%)	10(14.3%)	14(20%)	3(4.3%)
B3	Funding M&E activities wastes money for program work	1(1.4%)	4(5.7%)	3(4.3%)	29(41.4%)	33(47.1%)
B4	Funds for M&E are mainly drawn from other activity lines in the budget in the organization	14(20%)	18(25.7%)	11(15.7%)	16(22.9%)	11(15.7%)
B5	A separate M&E budget is required in the organization	28(40%)	30(42.9%)	7(10%)	5(7.1%)	0(0.00%)
B6	A lump sum figure of funding is allocated for M&E in the organization	8(11.4%)	14(20%)	17(24.3%)	21(30%)	10(14.3%)
B7	Some staff participate in budgeting for M&E in the organization	11(15.7%)	30(42.9%)	12(17.1%)	11(15.7%)	6(8.6%)
B8	Donors fund all M&E activities in the organization	13(18.6%)	28(40%)	11(15.7%)	12(17.1%)	6(8.6%)

Source: Primary data

4.6.1 Funding for conducting monitoring activities

Insufficient funds are allocated for monitoring activities across the organization as indicated in the Table 15 above by 28(40%) respondents who agreed to the assertion that funding for Monitoring activities is inadequate in the organization, as well as a further 18(25.7%)

respondents who strongly agreed to the same assertion. Views expressed during the personal interviews were also indicative of limited funding for monitoring as further stated that;

> *M&E is about fault finding, therefore staff don't like it much.*

This observation may be explained by a lack of costing for monitoring in any existing M&E policies.

Although, nine (12.9%) and two (2.9%) respondents disagreed and strongly disagreed with the same assertion, implying availability of ample funds for monitoring activities in the organizations. However, 13(18.6%) respondents were neutral.

4.6.2 Funding for conducting evaluations

According to the Table 15 above, insufficient funds were allocated for evaluations as for monitoring activities. This was expressed by 17(24.3%) and 26(37.1%) respondents who strongly agreed and agreed respectively to the assertion that funding for conducting evaluations is inadequate in organization. This observation may be explained by a lack of costing for evaluations in any existing M&E policies.

However, 14(20%) and three (4.3%) disagreed and strongly disagreed with the same assertion implying available of adequate funds for conducting evaluations. A further 10(14.3%) respondents were neutral about the assertion.

4.6.3 Perceptions of staff regarding funding M&E

Most of the respondents demonstrated a positive attitude towards M&E, as indicated in the Table 15 above that only one (1.4%) and four (5.7%) strongly agreed and agreed respectively to the assertion that funding M&E activities wastes money for program work. And the majority 29(41.4%) and 33(47.1%) disagreed and strongly disagreed respectively to the same assertion.

4.6.4 Sources of funding for M&E

Results show that 14(20%) respondents strongly agreed to the assertion that funds for M&E are mainly drawn from other activity lines in the budget in the organization and further 18(25.7%) respondents also agreed. However, 16(22.9%) and 11(15.7%) disagreed and strongly disagreed with the same assertion indicating presence of separate lines for M&E in the budget.

4.6.5 M&E budget

There was a common agreement with the assertion that a separate M&E budget is required in the organization as reflected 28(40%) and 30(42.9%) respondents that strongly agreed and agreed respectively with the assertion. However, five (7.1%) respondents did not see the need having separate M&E budgets in the organizations, but instead as pointed out in a personal interview that the budget line for M&E should be increased.

4.6.6 Budget approach for M&E

The study findings in Table 15 show that eight (11.4%) and 14(20%) respondents strongly agreed and agreed respectively with the assertion that a lump sum figure of funding is allocated for M&E in the organization, implying lack of separate M&E lines in the budget. One respondent of a personal interview stated;

>   *A lump sum figure is always set for M&E, which may appear much but yet when broken down to specific M&E line items, it cannot do anything.*

However, 21(30%) and 10(14.3%) disagreed and strongly disagreed with the same assertion indicating a presence of separate lines for M&E in the budgets of the organizations in the study.

4.6.7 Staff participation in budgeting of M&E

It is observed from the Table 15 above that not all staff participate in the budget process for M&E as expressed by 11(15.7%) and 30(42.9%) respondents that strongly agreed and agreed with the assertion that some staff participate in budgeting for M&E in the organization. In backing this opinion, a respondent during a personal interview was quoted;

> *It is the management that budgets for M&E, staff are only involved in budgeting for other activities of the project.*

Staff involvement in M&E budgeting was also reported present by the opinions of 11(15.7%) and six (8.6%) respondents who disagreed and strongly disagreed with the assertion.

4.6.8 M&E Donor interest

Generally donors fund most of the M&E functions in the organizations as revealed by 13(18.6%) and 28(40%) respondents that strongly agreed and agreed with the assertion that donors fund all M&E activities in the organization, as supported by views of respondents in personal interviews. 12(17.1%) and six (8.6%) respondents differed with the assertion implying that some organizations have alternative sources of M&E activities.

Table 16: Descriptive statistics for budgetary allocation

	N	Mean	Std. Deviation
Funding for monitoring is inadequate	70	2.27	1.076
Funding for conducting evaluations is inadequate	70	2.43	1.187
Funding M&E activities wastes money for program work	70	4.27	.900
Funds for M&E are drawn mainly drawn from other activity lines in the budget	70	2.89	1.389
A separate M&E budget is required in the organization	70	1.84	.879
lump sum figure of funding is allocated for M&E	70	3.16	1.235
Some staff participate in budgeting for M&E in the organization	70	2.59	1.186
Donors fund all M&E activities in the organization	70	2.57	1.223

Source: Primary Data

Table 16 above reflects that statements with mean values between 1.84 and 2.89, respondents felt unsatisfied with how they stand in the organizations while for the statement about "lump sum figure of funding is allocated for M&E", respondents were undecided in opinion. However, for "Funding M&E activities wastes money for program work", respondents expressed a strong positive attitude about expenditure on M&E activities in the organizations.

4.6.9 Hypothesis Testing (H₃): There is a relationship between Budget allocation and the performance of M&E systems

Below (Table 17&18) is a presentation using Spearman's correlation illustrate the strength of the relationship between budget allocation for M&E and the performance of M&E systems, and a regression analysis to establish the level variability observed in M&E system performance that is attributed to budget allocation for M&E.

Table 17: Correlation matrix between Budget allocation and the performance of M&E systems

			Budget Allocation	M&E system performance
Spearman's rho	Budget Allocation	Correlation Coefficient	1.000	.349**
		Sig. (2-tailed)	.	.003
		N	70	70
	M&E system performance	Correlation Coefficient	.349**	1.000
		Sig. (2-tailed)	.003	.
		N	70	70

**. Correlation is significant at the 0.01 level (2-tailed).

Source: Primary data

The Table 17 above indicated that the correlation between M&E framework and M&E system was significant at 1% level of significance since the p-value (0.003) < 0.01, therefore, the null hypothesis was rejected (there is no relationship between budget allocation and M&E system performance) and a conclusion made that there was significant correlation between M&E Budget allocation and M&E system performance.

The correlation coefficient (0.349) showed that there was a weak positive correlation between M&E Budget allocation and M&E system performance.

Table 18: Regression analysis between Budget allocation for M&E and M&E system performance

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.334ᵃ	.111	.098	7.15979	.111	8.530	1	68	.005

a. Predictors: (Constant), Budget
Source: Primary data

The Adjusted R square value of 0.098 indicates that nearly 9% of the total variability in the response variable (M&E system performance) is accounted for by the predictor variable (Budget allocation for M&E). Since the Adjusted R square is larger than zero (0) and the p (0.005) <0.05

for the F-statistic, the null hypothesis is rejected. In conclusion therefore, there was a significant relationship between budget allocation for M&E and M&E system performance.

Table 19: Regression analysis between the determinants (human capacity, M&E framework and budget allocation) and M&E system performance

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.647ᵃ	.418	.392	5.88104	.418	15.810	3	66	.000

a. Predictors: (Constant), Framework, Budget, Human

Source: Primary data

The Adjusted R square value of 0.392 indicates that nearly 39% of the total variability in the response variable (M&E system performance) is accounted for by the predictor variable (Human capacity, M&E Framework and Budget allocation for M&E). This indicates that there are other factors at play influencing M&E system performance in SOCADIDO, YOMU, LEMU, ULA, ARLPI, JPC, CESVI, VEDCO, ACODEN and FAPAD.

4.7 Empirical findings on Performance of M&E system

Table 20: Frequency and Percentage distribution of respondents' opinions on performance of M&E system

Performance of M&E system						
Quality of M&E information		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
P1	Data collection tools used in the organization need improvement	25(35.7%)	38(54.3%)	4(5.7%)	3(4.3%)	0(0.00%)
P2	Generation of M&E information in the organization takes time	16(22.9%)	30(42.9%)	10(14.3%)	13(18.6%)	1(1.4%)
P3	Data inspecting is rarely conducted in the organization	16(22.9%)	18(25.7%)	13(18.6%)	19(27.1%)	4(5.7%)
P4	Supportive M&E supervision is rarely conducted in the organization	17(24.3%)	23(32.9%)	10(14.3%)	18(25.7%)	2(2.9%)
Sustainability of M&E system		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
P5	M&E functions are affected by changes in organizational leadership in the organization	13(18.6%)	17(24.3%)	13(18.6%)	22(31.4%)	5(7.1%)
P6	Changes in or absence of key M&E staff affect M&E functions in the organization	26(37.1%)	29(41.4%)	5(7.1%)	9(12.9%)	1(1.4%)
P7	M&E information is rarely used in budgeting in the organization	10(14.3%)	15(21.4%)	15(21.4%)	27(38.6%)	3(4.3%)
P8	The organization rarely takes part in external M&E networks	14(20%)	18(25.7%)	15(21.4%)	19(27.1%)	4(5.7%)
Utilization of M&E information		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
P9	M&E findings are mainly used within the organization	10(14.3%)	34(48.6%)	6(8.6%)	14(20%)	6(8.6%)
P10	Some M&E data and information always remains un-used in the organization.	8(11.4%)	30(42.9%)	12(17.1%)	16(22.9%)	4(5.7%)
P11	Most of the time only staff are involved in determining what information is need from M&E processes.	11(15.7%)	25(35.7%)	9(12.9%)	21(30%)	4(5.7%)
P12	The same M&E information is disseminated to all stakeholders	6(8.6%)	38(54.3%)	12(17(.1%)	8(11.4%)	6(8.6%)

Source: Primary data

4.7.1 Quality of M&E information

Data collected on quality on M&E of information was based on M&E data collection tools used in the organizations, time lag to produce M&E information, data quality assurance checks and M&E supportive supervision.

4.7.1.1 M&E data collection tools used in the organizations

There was a high need to improve data collection tools used by organizations as demonstrated by 25(35.7%) and 38(54.3%) respondents who strongly agreed and agreed respectively to the assertion that data collection tools used in the organization need improvement. In light of this, during a personal interview one respondent stated;

> There is need to improve the data collection tools because the ones in place do not capture all that needs to be collected and others just confuse the staff.

Furthermore a few data collection tools reviewed were observed to bear double edged questions (not specific). Although four (5.7%) respondents were neutral, only three (4.3%) respondents did not see the need to improve the existing data collection tools in their organizations.

4.7.1.2 Time lag to produce M&E information

Results show that 16(22.9%) and 30(42.9%) respondents strongly agreed and agreed respectively with the assertion that generation of M&E information in the organization takes time, implying incidences of delays in the generation of M&E information within the organizations. Personal interviews also revealed that there was a delay in M&E information generation in some organizations. However, 13(18.6%) and one (1.4%) respondents disagreed and strongly disagreed respectively to the same assertion.

4.7.1.3 Data quality assurance checks

Checks for data quality assurance are rarely conducted in the organizations as evidenced by 16(22.9%) and 18(25.7%) respondents who strongly agreed and agreed respectively to the assertion that data inspecting is rarely conducted in the organization as indicated in the Table 20 above. In addition, personal interviews also showed that data quality checks were not done in the organizations, as proven by data gaps in the databases reviewed. Although, 13 respondents representing 18.6% were neutral, 19(27.1%) and four (5.7%) respondents disagreed and strongly disagreed respectively to the assertion, an indication of a practice of data quality checks a few of the organizations.

4.7.1.4 M&E supportive supervision

There was limited M&E supportive supervision in the organizations as expressed by 17(24.3%) and 23(32.9%) who strongly agreed and agreed respectively to the assertion that Supportive M&E supervision is rarely conducted in the organization. This was also mirrored in opinions of the respondents during personal interviews. However, 18(25.7%) and two (2.9%) respondents disagreed and strongly disagreed respectively to the same assertion, implying existence of frequent M&E support.

4.7.2 Sustainability of M&E systems

Data collected on sustainability of M&E system was based on effect of changes in organizational leadership on M&E system, changes in or absence of key M&E staff, utilization of M&E information in budgeting process and Participation in external M&E networks.

4.7.2.1 Effect of changes in organizational leadership on M&E system

It was discovered that M&E systems of a few of the organizations in the study were easily destabilized by changes in organizational leaderships as conveyed by 13(18.6%) and 17(24.3%) respondents who strongly agreed and agreed respectively to the assertion that M&E functions are affected by changes in organizational leadership in the organization. 22(31.4%) and five (7.1%) respondents disagreed and strongly disagreed with the same assertion indicative of presence of M&E systems within the study organizations that not affected by changes in organizational leaderships.

4.7.2.2 Changes in or absence of key M&E staff

It was observed that M&E processes were very vulnerable to changes in or absence of key M&E staff in the organizations as indicated by 26(37.1%) and 29(41.4%) respondents who strongly agreed and agreed respectively to the assertion that Changes in or absence of key M&E staff affect M&E functions in the organization. In support of this opinion, one respondent during a personal interview stated;

> *We used to have an expert in M&E who used to push staff to engage in M&E activities, but when she left everything has almost come to a standstill.*

On the other hand also, nine (12.9%) and one (1.4%) respondents disagreed and strongly disagreed respectively to the same assertion, implying probable existence of shared M&E roles in few of the organizations.

4.7.2.3 Utilization of M&E information in budgeting process

There was a reported low use of M&E information in the budgeting processes in the organizations pointed out by 10(14.3%) and 15(21.4%) respondents who strongly agreed and

agreed respectively to the assertion that M&E information is rarely used in budgeting in the organization. In line with this, a personal interview a respondent was quoted;

> *We do not know if M&E information is used in budgeting process because it's the top management that does the budgeting, lower level staff are only involved in developing activities.*

27(38.6%) and three (4.3%) respondents disagreed and strongly disagreed with the same assertion an indication of incidences of use of M&E information in the budgeting processes in a few of the organizations.

4.7.2.4 Participation in external M&E networks

There was limited M&E learning in a few of the organizations as expressed by 14(20%) and 18(25.7%) respondents who strongly agreed and agreed respectively to the assertion that the organization rarely takes part in external M&E networks. 19(27.1%) and four (5.7%) respondents disagreed and strongly disagreed with the assertion, implying active participation in external M&E networks. In addition, personal interviews also revealed there was participation in external M&E networks, but only for projects being implemented in a consortium.

4.7.3 Utilization of M&E information
Data collected on the utilization of M&E information was based on M&E information sharing, availability of Un-used data, stakeholder participation in M&E processes and reports shared with stakeholders

4.7.3.1 M&E information sharing

According to the Table 20 above, sharing of M&E information with other stakeholders was not a common observation as indicated by 10(14.3%) and 34(48.6%) respondents who strongly agreed and agreed respectively with the assertion that M&E findings are mainly used within the

organization. However, 14(20%) and six (8.6%) respondents disagreed and strongly disagreed respectively with the same assertion indicating presence of a practice of information sharing with stakeholders, although all stakeholders receive the same information according to a personal interview.

4.7.3.2 Availability of Un-used data

Reportedly there was a high incidence of data redundancy among the organizations of the study as mirrored by eight (11.4%) and 30(42.9%) respondents who strongly agreed and agreed respectively to the assertion that some M&E data and information always remains un-used in the organization. In support of this view, one respondent of a personal interview mentioned;

> *Not all data is used because sometimes the data assumed, coupled with challenges of inability of doing data analysis.*

On the other hand, 16(22.9%)and four (5.7%)respondents disagreed and strongly disagreed with the same assertion, which showed complete use of all M&E data collected in some of the organizations.

4.7.3.3 Stakeholder participation in M&E processes

There was presence of restricted participation of stakeholders in the M&E processes as expressed by 11(15.7%) and 25(35.7%) respondents who strongly agreed and agreed respectively to the assertion that Most of the time only staff are involved in determining what information is needed from M&E processes. However, according to 21(30%) and four (5.7%) respondents that disagreed and strongly disagreed respectively to the same assertion, indicated active participation of stakeholders in the M&E processes of a few of the organizations.

4.7.3.4 Reports shared with stakeholders

The findings in Table 20 above show that there was majorly no differentiation in the kinds of reports shared with stakeholders as indicated by six (8.6%) and 38(54.3%) respondents who strongly agreed and agreed respectively to the assertion that the same M&E information is disseminated to all stakeholders. Documents reviewed also showed a general lack of M&E frameworks which shows what kinds of information should be disseminated to a particular stakeholder. There was also incidences where eight (11.4%) and six (8.6%) respondents disagreed and strongly disagreed with.

Table 21: Descriptive statistics for Performance of M&E system constructs

	N	Mean	Std. Deviation
Data collection tools used in the organization need improvement	70	1.79	.740
Generation of M&E information in the organization takes time	70	2.33	1.073
Data inspection is rarely conducted in the organization	70	2.67	1.259
Supportive M&E supervision is rarely conducted	70	2.50	1.201
M&E functions are affected by changes in organizational leadership	70	2.84	1.258
Changes in or absence of key M&E staff affect M&E functions	70	2.00	1.049
M&E information is rarely used in budgeting	70	2.97	1.167
The organization rarely takes part in external M&E networks	70	2.73	1.227
M&E findings are mainly used in the organization	70	2.60	1.209
Some M&E data and information always remains unused	70	2.69	1.123
Most of the time only staff involved in what M&E information is needed from M&E processes	70	2.74	1.212
The same M&E information is disseminated to all stakeholders	70	2.57	1.084

Source: Primary Data

The Table 21 above showed that in regards to performance of M&E system, respondents generally were dissatisfied with the status quo for the system performance. This was expressed by mean values between 1.79 and 2.97.

CHAPTER FIVE

SUMMARY, DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction

This chapter presents the following sections; summary of the study findings, discussions showing how the findings support or contradict existing literature, conclusions, recommendations and areas of further research.

5.2 Summary of the study findings

5.2.1 Objective One: To investigate the relationship between human capacity and performance of M&E systems in Trócaire funded NGOs in Uganda.

The study reveals that there was a strong positive correlation (0.631) between human capacity and the performance of M&E systems in the organizations at 1% level of significance since the p-value (0.000) < 0.01. Additionally, the Adjusted R square from regression analysis indicates that 35% of total variability in the performance of M&E systems is explained by human capacity. Therefore, with the Adjusted R value greater than zero and p-value (0.000) < 0.05 for the F-statistic, the research hypothesis - H_1 (there is a relationship between human capacity and M&E system performance) was accepted.

Results from personal interviews and document reviews additionally show that gaps were identified in the following areas relating to human capacity; Development and utilization of indicators in the organizations, Skills for developing data collection tools in the organizations, Planning for M&E capacity building, Frequency of internal training in M&E, M&E data collection, M&E data analysis, Staff awareness of M&E purpose in the organizations, Stakeholder roles and responsibilities in M&E, M&E human capacity development plans, Presence of formally trained personnel in M&E in the organizations

5.2.2   Objective Two: To assess the relationship between M&E framework and performance of M&E systems in Trócaire funded NGOs in Uganda.

According to the regression analysis M&E framework explains 27% (Adjusted R square value of .272) of the variability observed in the M&E system performance, although correlation values showed only a moderate positive correlation (0.539 computed at 1% level of significance) between M&E framework and M&E system performance.

The research hypothesis – H_2 (there is a relationship between M&E framework and M&E system performance) was thus accepted because the Adjusted square value is greater than zero and p-value (0.000) < 0.05 for the F-statistic.

Personal interviews and document reviews conducted reveal that there was a general lack of M&E manuals within the organizations, in addition, independent M&E units were nonexistent.

Job descriptions reviewed also pointed out that no M&E roles were mentioned in non M&E personnel in the organizations. Furthermore, a need to institutionalize M&E was also observed because during the personal interviews respondents stated that M&E in the organizations was regarded as independent functions within the organizations.

In regard to planning for M&E, approved proposals documents reviewed showed that M&E is planned for during proposal development but plans to roll out the M&E activities are not implemented as stipulated in the proposal documents.

5.2.3 Objective Three: To examine the relationship between budgetary allocation and performance of M&E systems in Trócaire funded NGOs in Uganda.

Budget allocation was found to have a weak positive correlation (0.349) to M&E system performance, although the spearman's rho was significant with a p-value 0.003 < 0.01 at 1% level of significance. Regression analysis suggests, however, that budget allocations explains by 9% (Adjusted R square value of 0.098) the variability observed in M&E system performance.

The research hypothesis $-H_3$ (there is a relationship between budgetary allocation and performance of M&E systems) was accepted though with a low Adjusted R square value (0.098). The acceptance of the research hypothesis is further supported by the findings which shows that the P-value (0.005) < 0.05 for the F-statistic.

Interactions with respondents during personal interviews produced a pattern showing that respondents were not knowledgeable of operations in the finance section of the organizations, therefore were unable to respond appropriately during the personal interviews to questions regarding M&E budget allocation. In spite of this, respondents during the personal interviews made the following observations; M&E activities are always given lump sum figures which often are not sufficient when activity costed, there is also negative attitude towards M&E because its viewed as a fault finding function and lower level staff do not participate in the developing of M&E budgets, it is role often reserved for top management.

In conclusion therefore, human capacity accounts for the major variability observed in M&E system performance in the organizations. However, a regression analysis using human capacity, M&E framework and budgetary allocation for M&E as predictors, shows that the these three

dimensions of determinants (the independent variable) explain 39% (Adjusted R square value of 0.392) of the variability observed in M&E systems performance (the Dependent Variable).

5.3 Discussions

5.3.1 Human capacity and M&E system performance

It was found out in the study that human capacity explains 35% of the variability in M&E systems performance in the organizations involved in the study according to regression analysis between human capacity and M&E system performance. This means that there are other factors that are responsible for influencing the performance of M&E systems. The additional contributing factors include M&E framework, which was found to explain 27% of the variations and budget allocation explained 9%. Other variables may also include the organizational structure which deals with the chain of command in the organizations, level of understanding of scope of work in the grant agreements by the organizations and age of the organizations (it is assumed that the age of the organizations influences the quality of tasks performed).

The findings were thus in agreement with Kelly and Magongo (2004) and Gorgens and Kusek (2009) who asserted that human capacity plays a vital role in the performance of M&E system. Furthermore, the results provide statistics in support of qualitative submissions of the Indian Council for Agricultural Research (2007) and Kelly and Magongo (2004) who stated that M&E system performance is affected by the ability of staff to construct indicators which 14 respondents representing 20% and 22 respondents representing 31.4% strongly agreed and agreed respectively support.

Capacity gaps in M&E data collection, M&E data analysis, human capacity development plans, made up for key human capacity areas of growth that were discovered to affect M&E system performance. This supports the work of Nabris (2002) who asserts that once M&E is conducted

72

by untrained and inexperienced people in the organization, it is bound to be time consuming, costly and generated results may be impractical and unusable. It also substantiates the work of Mackay (2010) who was unable to provide specific human capacity areas that affect M&E system performance, but was cognizant of the role of human capacity in the performance of M&E systems.

The findings support the work of Semister (2009) who posited that the performance of M&E system is influenced by staff knowledge of the overall purpose of M&E. 15 respondents representing 21.4% and 28 respondents representing 40% strongly agreed and agreed respectively to this view.

Although the work of CLEAR (2013) was based on the State of Benin, the findings support the idea that absence of regular M&E knowledge updates affects M&E system performance.22 respondents representing 31.4% and 30 respondents representing strongly agreed and agreed respectively with the assertion that internal trainings in M&E were rarely conducted.

Findings on the need for skilled personnel for effective M&E system performance supports views of Gorgens and Kusek (2009) and Kusek and Rist (2004). 51 respondents representing 72.9% and 15 respondents representing 21.4% strongly agree and agree respectively with the same idea that skilled personnel are required for effective M&E system performance. However, 3 respondents representing 4.3% strongly disagreed with the idea.

5.3.2 M&E framework and M&E system performance

According to regression analysis, M&E framework explains 27% of the variability observed in M&E system performance. This also shows that there are other factors at play that contribute to the explanation of the observed performance in the M&E systems in the organizations. Additional variables may include human capacity which explained 35% of the variability in

M&E system performance and budget allocation for M&E at 9%. Organizational structure which deals with the chain of command in the organizations, level of understanding of scope of work in the grant agreements by the organizations and age of the organizations (it is assumed that the age of the organizations influences the quality of tasks performed) may also attribute to M&E system performance.

Incidences of lack of separate M&E units in the organizations (as reported by 25.7 % of the respondents) of the respondents affects the performance of M&E system due to lack of ability to make independent and informed decisions. This was echoed in the work of FAO (1985) who asserted that having separate M&E units can improve M&E performance because of professional competence and efficiency, in addition that it allows other staff to concentrate on their core functions. As supported by the works of Pfeiffer and Mark (2011). Findings were also found to diverge from this view point as reflected by 23 respondents representing 32.9% and nine respondents representing 12.9% who disagreed and strongly disagreed respectively with this opinion.

In regard to support towards M&E, it was evident that respondents felt that M&E performance would improve with support from the top management. This is because top management in organizations always are tasked to make decisions which affect entire systems in organizations. This is in agreement with INTRAC (2011), Hatry (2010) and Simister (2009) who posited that unless the top management of an organizations are involved in M&E system development, M&E system performance will be compromised. 28 respondents representing 40% and 33 respondents representing 47% strongly agreed and agreed respectively with this idea. Only two respondents representing 2.9% did not believe support from top management for M&E was a necessity.

The inclusion of M&E roles and responsibilities in staff job descriptions was found to be a rare practice which supports the argument of FAO (1985) that inclusion of M&E roles and responsibilities in staff job descriptions is viewed as a burden by staff. 16 respondents representing 22.9% and 25 respondents representing 35.7% strongly agreed and agreed respectively to the idea that M&E roles and responsibilities are rarely included in staff job descriptions. This, however, contradicts views of Gorgens and Kusek (2009), CARE (2012) and IFRC (2011) who advocate for inclusion of M&E roles and responsibilities in staff job descriptions for effective M&E system performance.

Although eight respondents representing 11.4% and 11 respondents representing 15.7% strongly agreed and agreed respectively to the statement that departmental participation in M&E is optional, the majority represented by 47.1% and 12.9% disagreed and strongly disagreed with the same. The disagreement supports views of Simister (2009) and PREVAL (2005) who underscored the importance of other departments in an organization to participate in M&E.

5.3.3 Budget allocation and M&E system performance

Regression analysis suggests that budget allocation for M&E was found to explain only 9% of the variability in M&E system performance and with a weak positive correlation (between budget allocation for M&E and M&E system performance. This was inevitable since all respondents were revealed not to play roles in planning finance department functions. The low variability (9%) also portrays that other factors in the organization must be influencing the performance of M&E systems. These factors may include human capacity to conduct M&E which was discovered to explain 35% of the variability observed in M&E system performance and M&E framework explaining by 27%. Other factors outside the scope of this study that may explain the observed performance in M&E system include organizational structure which deals with the chain of command in the organizations, level of understanding of scope of work in the

grant agreements by the organizations and age of the organizations (it is assumed that the age of the organizations influences the quality of tasks performed).

Inadequate funding for monitoring and evaluation will determine how rigorous and thorough monitoring and evaluation functions are conducted. This is supported by Herman (1987) who alluded that inadequate funding for M&E units is not uncommon which consequently affects the functionality of M&E systems. CARE (2012) adds further that for value chain projects, funding is usually narrowed down to baseline studies and external evaluations, thus leaving huge budget gaps for conducting routine monitoring and learning.

The average funding for M&E was found to be 2% among the organizations, which falls short of the 10% recommendation by the world bank for Long term M&E systems (UNAIDS, 2012), 5%-10% of Namibia HIV/AIDS budget for M&E (Lafond, Baughman & Walker, 2007), 5% of Uganda Public sector M&E systems for projects (Delta Partnership, 2014) and 3%-10% of International Federation of the Red Cross (2011), but is within range, though on the low side according to IFAD (2002) which recommends a range of 2%-15% of all costs from the perspective of rural development projects. The low budget allocation therefore means that M&E system performance will be compromised due to competing demands in M&E system administration.

5.4 Conclusions

5.4.1 Human capacity and M&E system performance

The study found out that there was a strong positive correlation between human capacity and M&E system performance, as supported by regression analysis that suggests that human capacity is responsible for explaining the observed variation in M&E system by 35%. The research

hypothesis – H_1 (there is a relationship between human capacity and M&E system performance) was accepted.

Data analysis was found to be the most required human capacity for M&E in the organizations.

5.4.2 M&E framework and M&E system performance

A moderate positive correlation was found between M&E framework and M&E system performance. Regression analysis suggests that in M&E system performance was explained by M&E framework by 27%. The research hypothesis-H_2 (there is a relationship between M&E framework and M&E system performance) was accepted.

The need for more M&E support from the top leadership of the organizations was found to be most critical M&E framework element, followed by donor pressure as the main driver for M&E in the organizations.

5.4.3 Budget allocation and M&E system performance

Although there was a weak positive correlation between budget allocation and M&E system performance, the research hypothesis – H_3 was accepted (There is a relationship between budget allocation and M&E system performance. Regression analysis shows that budget allocation explains 9% of the variation in M&E system performance.

Therefore, the findings fully support the theory upon which the study was based – systems theory. The rejections of the null hypotheses indicates that there is a relationship between human capacity, M&E framework and Budget allocation and M&E system performance.

A call for separate M&E budgets was the primary element of budget allocation for M&E in the organizations for improvements in M&E system performance.

5.5 Recommendations

5.5.1 Human capacity and M&E system performance

    i.   The management team of the NGOs through the human resource department should recruit, induct and orient M&E personnel for instances where this is lacking to support M&E planning and implementation.

   ii.   The management team of the NGOs in collaboration with staff should develop and implement a staff capacity development plan for M&E in order to support continued M&E capacity building.

  iii.   Management of the NGOs with support from external M&E expertise should revise all project/programme indicators, data collection tools in order to have or improve on the quality of data collected

  iv.   Staff should be trained to conduct data analysis since they are part of the data collection mechanism with support from M&E experts in order to reduce delays in data analysis.

   v.   There should be routine supervisory M&E support visits to field offices for M&E troubleshooting and mentorship by trained M&E personnel.

5.5.2 M&E framework and M&E system performance

  i.   An independent M&E unit should be created with support from top management with sufficient supportive budgets, 5%-10% of the project/programme total budget. In cases where the units already exist, concern should be accorded to the available running budget for M&E activities.

 ii.   M&E system development should be conducted under the leadership of top management in a participatory manner involving staff and other stakeholders. Current M&E systems should be participatory reviewed to get all staff and stakeholders on the same page. This will ensure ownership of the system.

iii.   Management through the M&E point persons should establish deliberate efforts to ensure that all stakeholders actively participate in M&E activities in order to improve on the quality of M&E and promote utilization of M&E information.

iv.   M&E policy and M&E manuals should be drafted, reviewed, approved and implemented under the supervision of management in the NGOs.

v.   Baseline studies should be conducted to enable management measure change with support from an external consultant under the supervision of management in the NGOs.

vi.   Management needs to ensure that all data collected are used in the organization to inform learning, planning and accountability.

vii.   Management team of the NGOs should liaise with the human resource department to ensure that M&E Roles and responsibilities are clearly included in staff job description in order to institutionalize M&E as a management tool.

5.5.3 Budget allocation and M&E system performance

i.   Management of the NGOs should institute a budget policy which emphasizes the need for M&E budget process to be participatory (bottom – top) to include all concerns of the team.

ii.   A budget figure of 5%-10% should be provided for M&E activities with support from top management through the finance department.

iii.   The management team of the NGOs through the finance department should enforce a budgetary practice in which budgets for M&E are developed at the activity level in order to apportion adequate funds for M&E.

5.6 Limitations of the study

There was limited knowledge amongst the employees regarding M&E operational budgets hence they could not richly provide data on M&E budget using the self -administered questionnaires. However, personal interviews was used to further engage the respondents in

more in-depth discussions regarding the M&E budget through probes to reveal data that was not captured using the questionnaire.

5.7 Contribution of the study

According to the existing literature that was reviewed human capacity for M&E, M&E framework and budget allocation for M&E were simply stated qualitatively to relate to the performance of M&E system. Through this study, however, quantitative evidence has been uncovered by means of descriptive statistics, correlation coefficients and regressional analysis to demonstrate the extent to which human capacity, M&E framework and budget allocation for M&E can affect M&E system performance in the NGO sector. It was found that human capacity for M&E instead had a far greater effect on the M&E system performance in the NGOs opposed to budget allocation for M&E that was conceptualized in the study.

5.8 Areas for further research

In addition, further research may be conducted to ascertain how the other components of a functional M&E system recommended by Gorgens and Kusek (2009) relates to the performance of M&E systems.

Further research may also be conducted basing on an open system theory in which the intervening or extraneous variables are factored into the conceptual framework to explain the dependent variable.

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ANNEX 1: KREJCIE AND MORGAN TABLE (1970)

Table for Determining Sample Size from a Given Population

N	S	N	S	N	S
10	10	220	140	1200	291
15	14	230	144	1300	297
20	19	240	148	1400	302
25	24	250	152	1500	306
30	28	260	155	1600	310
35	32	270	159	1700	313
40	36	280	162	1800	317
45	40	290	165	1900	320
50	44	300	169	2000	322
55	48	320	175	2200	327
60	52	340	181	2400	331
65	56	360	186	2600	335
70	59	380	191	2800	338
75	63	400	196	3000	341
80	66	420	201	3500	346
85	70	440	205	4000	351
90	73	460	210	4500	354
95	76	480	214	5000	357
100	80	500	217	6000	361
110	86	550	226	7000	364
120	92	600	234	8000	367
130	97	650	242	9000	368
140	103	700	248	10000	370
150	108	750	254	15000	375
160	113	800	260	20000	377
170	118	850	265	30000	379
180	123	900	269	40000	380
190	127	950	274	50000	381
200	132	1000	278	75000	382
210	136	1100	285	1000000	384

Note.—*N* is population size.

S is sample size.

ANNEX 2: QUESTIONNAIRE

Introduction and purpose of data collection

My name is **Steven Ochola**, a student at Uganda Management Institute pursuing a Masters in Management studies. The data being collected is to be used solely for answering academic research questions of my research project. The study shall ensure that respondents remain anonymous, for this reason therefore it is hoped that respondents will participate freely in this academic research exercise.

Respondent characteristics

1. Gender of respondent

Male ☐   Female ☐

2. Duration of work with the current employer

☐ Less than one year   5-6 years

                                                    ☐

☐   1-2 years   ☐   7 years and above

☐ 3-4 years

3. What qualifications do you have (**Tick all that apply**)?

☐   Diploma   ☐   Masters

☐   Degree   ☐   Other (specify)…………………………

4. For this section below, please respond to the statements under sections A – D by marking (**X**) under the appropriate response. Statements may be rated as; strongly disagree, disagree, neutral, agree and strongly agree.

A	Human Capacity	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
HC1	Few staff can develop and use project indicators in the organization					
HC2	There is need to improve skills in developing data collection tools in the organization					
HC3	Training of Staff in M&E are ad hocly organized in the organization					
HC4	Internal trainings at the work place in M&E are rarely conducted					
HC5	M&E data collection in the organization is mainly done by staff					
HC6	Data analysis is one area of improvement in the organization					
HC7	The purpose M&E in the organization is known by few staff in the organization					
HC8	The roles and responsibilities of stakeholders in M&E are not clear in the organization					
HC9	A human capacity development plan in M&E needs to be put in place in the organization					
HC10	There is need for formally trained personnel in M&E in the organization					
B	M&E framework	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
M1	M&E roles and responsibilities are rarely assigned to each staff in the job descriptions					
M2	Staff engagement in M&E activities affect how they perform their normal duties					
M3	Departmental participation in M&E is optional in the organization					
M4	M&E is an optional process in the organization					
M5	There is **no** functional M&E policy for the organization					
M6	There is **no** functional M&E manual in the organization					
M7	There is **no** separate M&E unit in the organization					
M8	There is need for more support for M&E from the leadership of the organization.					
M9	Planning for M&E is usually done after proposals have been funded in the organization					

ii

		Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
M10	M&E is donor driven in the organization.					
C	**Budgetary allocation**	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
B1	Funding for Monitoring activities is inadequate in the organization					
B2	Funding for conducting evaluations is inadequate in organization					
B3	Funding M&E activities wastes money for program work					
B4	Funds for M&E are mainly drawn from other activity lines in the budget in the organization					
B5	A separate M&E budget is required in the organization					
B6	A lump sum figure of funding is allocated for M&E in the organization					
B7	Some staff participate in budgeting for M&E in the organization					
B8	Donors fund all M&E activities in the organization					
D	**Performance of monitoring and evaluation system**	**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
Quality of M&E information						
P1	Data collection tools used in the organization need improvement					
P2	Generation of M&E information in the organization takes time					
P3	Data inspecting is rarely conducted in the organization					
P4	Supportive M&E supervision is rarely conducted in the organization					
Sustainability of M&E system		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
P5	M&E functions are affected by changes in organizational leadership in the organization					
P6	Changes in or absence of key M&E staff affect M&E functions in the organization					
P7	M&E information is rarely used in budgeting in the organization					
P8	The organization rarely takes part in external M&E networks					
Utilization of M&E information		**Strongly Agree**	**Agree**	**Neutral**	**Disagree**	**Strongly Disagree**
P9	M&E findings are mainly used within the organization					
P10	Some M&E data and information always remains un-used in the organization.					
P11	Most of the time only staff are involved in determining what information is need from M&E processes.					

P12	The same M&E information is disseminated to all stakeholders					

5. What suggestions do you propose for improving the M&E function in your organization?

……

……

……

……

ANNEX 3: PERSONAL –INTERVIEW GUIDE

Introduction and purpose of data collection

My name is **Steven Ochola**, a student at Uganda Management Institute pursuing a Masters in Management studies. The data being collected is to be used solely for answering academic research questions of my research project. The study shall ensure that respondents remain anonymous, for this reason therefore it is hoped that respondents will participate freely in this academic research exercise.

A. **M&E framework**
   Are M&E roles and responsibilities included in job descriptions of all staff? What attitudes do staff have in engaging in M&E activities?
   What M&E guiding documents exist in the organization? Probe for existing M&E policies, M&E manuals.
   What roles are played by other stakeholders in M&E? What is the main role of the M&E unit?

B. **Human capacity for M&E**
   Does your organization have adequate, skilled human resources for your M&E system? Please describe
   Who is responsible for defining and ensuring adequate M&E human capacity within your organization?
   What capacities does your organization have for M&E (If Any?)
   Which ones do you consider critical for the performance any M&E function? (Why??)
   How has this capacity supported institutional M&E functions?
   How is technical support for M&E managed in your organization?

C. **Budgetary allocation for M&E**
   How do you rate funding for M&E activities in your organization?
   Give reason for answer
   How is budgeting for M&E conducted in the organization? Who participate?
   What is the source of funding for M&E in the organization?

D. **Performance of M&E system**
   What value is the M&E information to the organization and stakeholders? How are stakeholders using M&E information disseminated to them?
   How do you rate the reliability of your M&E information? Explain
   How sustainable are your M&E practices?

ANNEX 4: DOCUMENT REVIEW CHECKLIST

M&E framework			
item	**Title of document**	**Issues looked for**	**Remark**
1	Staff capacity development	Capacity assessments, planned trainings, completed trainings	
2	M&E Policy	Presence of, clarity of document	
3	M&E Manual	Presence of, clarity of document	
4	Strategic plan	Organogram- citing M&E	
Human capacity			
item	**Title of document**	**Issues looked for**	**Remark**
1	M&E training reports	Content of training	
2	Strategic plan	Number of M&E staff, M&E unit	
Budgetary allocation			
item	Title of document	Issues looked for	Remark
1	Proposals	M&E funding	

Performance of M&E system

item	**Title of document**	**Issues looked for**	**Remark**
1	M&E plan	Methods of data collection, quality of data collection tools	
2	M&E reports	Reporting frequencies, source of data in reports, recommendations	
3	M&E databases	Presence of, and completeness,	

ANNEX 5: ITEM –TOTAL STATISTICS

Item-Total Statistics

	Scale Mean if Item Deleted	Scale Variance if Item Deleted	Corrected Item-Total Correlation	Squared Multiple Correlation	Cronbach's Alpha if Item Deleted
M&E roles and responsibilities rarely assigned to each staff	100.30	311.807	.408	.747	.851
staff engagements in M&E activities affects their normal duties	99.97	327.680	.059	.712	.860
Departmental participation in M&E is optional	99.56	320.801	.226	.705	.856
M&E process is an optional process in the organisation	99.04	328.418	.076	.655	.858
No functional M&E policy in the organisation	99.54	300.571	.620	.828	.845
No functional M&E manual in the organisation	99.91	307.152	.493	.797	.849
No separate M&E unit in the organisation	100.09	303.355	.527	.763	.848
Need for more support from leadership on M&E	101.14	320.298	.423	.714	.852
Planning for M&E done after proposals have been funded	100.00	314.290	.336	.603	.853
M&E is donor driven in the organisation	100.30	306.561	.485	.705	.849
Few staff can develop and use indicators	100.19	305.545	.556	.755	.848
Need to improve skills in developing data collection tools	101.20	321.699	.408	.683	.853
M&E training ad hocly organised	100.37	314.121	.359	.802	.852
Internal trainings are rarely conducted	100.79	315.243	.417	.821	.851

i

M&E data collection mainly done by staff	101.21	331.359	.016	.613	.858
Data analysis is one area of improvement	101.59	330.101	.063	.544	.857
Purpose of M&E in the organisation is known by few staff	99.39	313.545	.293	.652	.855
Roles and responsibilities of stakeholders in M&E are not clear	100.10	302.497	.481	.694	.849
A human capacity development plan in M&E needs to be put in place	101.37	322.701	.283	.726	.854
There is need for formally trained personnel in M&E	101.49	323.036	.262	.801	.855
Funding for monitoring is inadequate	100.63	322.295	.227	.623	.855
Funding for conducting evaluations is inadequate	100.47	320.340	.247	.622	.855
Funding M&E activities wastes money for program work	98.63	333.425	-.061	.500	.860
Funds for M&E are drawn mainly drawn from other activity lines in the budget	100.01	313.319	.346	.666	.853
A separate M&E budget is required in the organisation	101.06	321.388	.320	.646	.854
lump sum figure of funding is allocated for M&E	99.74	331.672	-.021	.661	.861
Some staff participate in budgeting for M&E in the organisation	100.31	327.088	.087	.513	.859
Donors fund all M&E activities in the organisation	100.33	319.702	.252	.715	.855

Data collection tools used in the organisation need improvement	101.11	319.784	.450	.568	.852
Generation of M&E information in the organisation takes time	100.57	307.437	.628	.818	.847
Data inspection is rarely conducetd in the organisation	100.23	300.730	.685	.765	.844
Supportive M&E supervision is rarely conducted	100.40	307.896	.543	.626	.848
M&E functions are affected by changes in organisational leadership	100.06	309.214	.484	.676	.849
Changes in or absence of key M&E staff affect M&E fucntions	100.90	314.091	.458	.619	.851
M&E information is rarely used in budgetin	99.93	306.560	.595	.757	.847
The organisation rarely takes part in external M&E networks	100.17	315.593	.347	.768	.853
M&E findings are mainly used in the organsation	100.30	333.314	-.058	.611	.862
Some M&E data and information always remains unused	100.21	312.432	.467	.774	.850
Most of the time only staff involved in what M&Einformation is needed from M&E processes	100.16	311.845	.442	.691	.851
The same M&E information is disseminated to all stakeholders	100.33	330.948	.003	.626	.860

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Your Ref:

Our Ref: G/35   07 November 2014

Mr. Steven Ochola
12/MMSMGT/29/081

Dear Mr. Ochola,

FIELD RESEARCH

Following a successful defense of your proposal before a panel of Masters Defense Committee and the inclusion of suggested comments, I wish to recommend you to proceed for fieldwork.

Please note that the previous chapters 1, 2 and 3 will need to be continuously improved and updated as you progress in your research work.

Wishing you the best in the field.

Yours sincerely,

Stella Kyohairwe (PhD)
Ag. Head, Dept. of Political and Administrative Science