



**Development Bank of Southern Africa –  
Operations Evaluation Unit  
African Development Bank – Operations  
Evaluation Department  
World Bank – Operations Evaluation Department**



**Monitoring and Evaluation Capacity  
Development in Africa**

Selected Proceedings from a Seminar  
and Workshop organized by the  
Development Bank of Southern Africa,  
the African Development Bank and the World Bank

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**OEU**





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The Johannesburg Workshop and Seminar was attended by delegates from Cameroon, Ghana, Kenya, Mozambique, Niger, Rwanda, Senegal, South Africa, Tanzania, Uganda and Zambia. The delegates represented national governments, non-governmental organizations, the National Evaluation Associations of Kenya, Niger and Rwanda, African universities, research institutions and the private sector. Also present were participants from the Development Bank of Southern Africa and multilateral and bilateral donor agencies (World Bank, African Development Bank, United Nations Children’s Fund, International Developmental Research Center, Australian Agency for International Development, United Nations Agency for International Development, United Nations Development Programme, Norway and the Netherlands).

The sponsors for the workshop and seminar were the Operations Evaluation Department of the African Development Bank Group (African Development Institute), the Operations Evaluation Department of the World Bank Group, the Development Bank of Southern Africa, the Eastern and Southern Africa Regional Office of the United Nations Children’s Fund, the International Development Research Centre (Canada), and the Swiss Agency for Development Cooperation.

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# FOREWORD

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The importance of the monitoring and evaluation (M&E) function within public administration has been magnified by the growing voice of civil society, which has brought the issues of good governance and more effective public administration to the fore. The global trend towards more accountable, responsive and efficient government has bolstered the appeal for M&E capacity development, which has been the central focus of efforts to improve governance in the context of a comprehensive development framework. Evaluation has become increasingly important in Africa owing to stagnant and negative economic growth rates, concerns related to governance and doubts about the efficacy of development assistance.

The Johannesburg Workshop and Seminar was a follow-up to a regional conference held in Abidjan in November 1998, which brought together teams from 12 African countries and 21 international development assistance agencies. The workshop and seminar presented a good opportunity for fostering networking among M&E practitioners and for sharing knowledge on M&E in the context of improved governance, accountability and effective development delivery and results.

Suggestions from participants for institutional support at the continental level, and more training in evaluation designs, methodologies and practices formed the backbone of every action of M&E capacity strengthening. It was also suggested that various databases, including one that would list evaluators (practitioners, consultants, officials in charge of M&E, a body of inspectors and auditors, and private sector firms), be established to form the African Evaluation Association (AfrEA). A database for lessons learned and good practices in M&E was also proposed.

In September 1999, the inaugural conference of the AfrEA in Nairobi was convened by the United Nations Children's Fund (UNICEF) with the assistance of the Kenya Evaluation Association, the Kenyan Graduate Mobilization Program, African Development Bank, CARE, Catholic Relief Services, Family Health International, United Nations Development Program and United Nations Habitat. Financial support was received from the African Development Bank, Danish International Development Agency, International Development Research Center (Canada), the Norwegian Ministry of Foreign Affairs and UNICEF. The conference was attended by over 300 evaluators from 35 countries. The AfrEA committed itself to developing indigenous evaluation capacity by providing high-level training throughout Africa by means of national professional associations that will conduct peer-to-peer training. In a longer-term framework, it is expected that these associations will collaborate with their governments to create national evaluation policies.

The Johannesburg Workshop was organized amidst increasing calls for, and expectations of, improved governance and greater accountability, which would lead to more

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efficient and effective development delivery and results. The objective was to promote the demand side of M&E by addressing both existing and potential evaluation clients and users, while building professional evaluation capacity on the supply side through skills training and institutional development of local and regional professional bodies and networks.

In order to sustain the momentum generated from the Abidjan Seminar and Nairobi Conference, the Johannesburg Workshop was organized with the following objectives in mind:

- To create the demand and capability for M&E in the context of good governance and accountability for better results by:
  - supporting the development of M&E policy at the national level;
  - promoting awareness of, and demand for, the M&E of development outcomes and impacts; and
  - building the infrastructure and capacity to meet increased expectations for M&E
- To familiarize the participants with the development, requirements and uses of M&E systems
- To design and conduct cost-effective evaluations of human development issues, gender, human rights, governance and corruption, environment and infrastructure through new approaches, including participatory methods and local knowledge sharing and learning
- To build national professional M&E service providers and interest groups, through practitioner associations and networks committed to best-practice goals
- To develop a collaborative strategy and infrastructure for a pan-African M&E network, particularly for reviewing good standard evaluation practices for adoption in Africa

The Johannesburg Workshop and Seminar brought together an array of diverse individuals from many countries: senior government officials, heads of national evaluation associations, academics and some representatives from non-governmental organizations to discuss common M&E capacity development issues, and to debate and share their diverse perspectives. This has fostered closer understanding, the forging of professional links and appreciation of each others' viewpoints.

It is hoped that the selected proceedings and discussions presented in this report will encourage commitment to utilizing systematic M&E for good governance in Africa. All stakeholders should be increasingly mobilized by a better understanding of the importance of, and necessity for, developing the M&E function in Africa.

# ABBREVIATIONS AND ACRONYMS

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AEA	American Evaluation Association
AfDB	African Development Bank
AfrEA	African Evaluation Association
AIDS	Acquired Immune Deficiency Syndrome
ASERNI	Association d'Etude et de Mise en valeur des Ressources Naturelles et des Institutions
ASIP	Agricultural Sector Investment Program
CDF	Comprehensive Development Framework
CEPEX	Central Projects and External Finance Bureau (Rwanda)
CERMES	Centre de Recherche Maladies Tropicales
CES	Canadian Evaluation Society
C-MIP	Consolidated Municipal Infrastructure Program
DAC	Development Assistance Committee (OECD)
DAC	District Agricultural Committee
DACO	District Agricultural Coordinator
DBSA	Development Bank of Southern Africa
DLA	Department of Land Affairs (South Africa)
ECD	Evaluation Capacity Development
EMIP	Extension to the Municipal Infrastructure Program
ERP	Economic Recovery Program (Ghana)
GDP	Gross Domestic Product
GIMPA	Ghana Institute of Management and Public Administration
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit
HIPC	Highly Indebted Poor Countries
HIV	Human Immunodeficiency Virus
IDASA	Institute for Democracy in South Africa
IDEAS	International Development Evaluation Association
IDP	Integrated Development Planning
IDRC	International Development Research Center
IEIS	Impact Evaluation of Individual Subprograms
INESOR	Institute of Economic and Social Research
INR	Institute of Natural Resources
M&E	Monitoring and Evaluation
MAFF	Ministry of Agriculture, Food and Fisheries (Zambia)
MIP	Municipal Infrastructure Program
MIS	Management Information System

NIRP	National Institutional Renewal Program
NGO	Non-governmental Organization
OECD	Organization for Economic Cooperation and Development
OED	Operations Evaluation Department
PES	Program Evaluation Standard
PPME	Policy Planning, Monitoring and Evaluation
PRSP	Poverty Reduction Strategy Paper
PSMRP	Public Sector Management Reform Program (Ghana)
PUMA	Public Sector Management Group
PUSERMOS	Public Sector Reinvention and Modernization Strategy (Ghana)
RAP	Resettlement Action Plan
ReNSE	Réseau Nigérien de Suivi et Evaluation (Niger)
RMC	Regional Member Country
SADB	Southern African Democracy Barometer
SADC	Southern African Development Community
SADEX	Sadiola Exploration
SEMCO	Senior Economics and Marketing Coordinator (Zambia)
SEMOS	Société d'Exploitation des Mines d'Or de Sadiola
SIGNER	Système d'Information Géographique du Niger
SNV	Stichting Nederlandse Vruwillingers
SPA	Sector Performance Analysis
SQÉP	La Société Québécoise d'Evaluation de Programme (Canada)
UNDP	United Nations Development Program
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNICEF	United Nations Children's Fund
UNICEF-ESARO	United Nations Children's Fund, Eastern and Southern Africa Regional Office

# EXECUTIVE SUMMARY

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## **Reflections after Johannesburg – evaluation capacity development from an African perspective**

One of the conclusions reached in the recent report *Can Africa claim the 21st century?* (World Bank, 2000) is that improved governance is one of the most basic requirements for faster development in Africa. The report argues for improved management, better distribution of economic resources, stronger institutions and programs that make it possible to make governments accountable to their citizens. The report states optimistically that development efforts are starting to move in this direction, with greater involvement in and more emphasis on results.

The same optimism was visible throughout the Johannesburg Workshop and Seminar on Evaluation Capacity Development (ECD). This was truly an African event, focusing on African experiences and grounded in African ownership. In many ways, the workshop and seminar provided an answer to increasing calls for improved governance and more accountability. ECD could be a way of attaining more efficient and effective development delivery and results.

## **Building on experiences from previous events**

The workshop and seminar, whose purpose was to promote both the demand and supply aspects of monitoring and evaluation (M&E), was built on previous ECD events in Africa, in particular the 1998 conference in Abidjan and the 1999 meeting in Nairobi.

The 1998 Abidjan conference brought together teams of senior officials from 12 African countries and 21 international development assistance agencies. Participants acknowledged that M&E capacity development in Africa is an integral part of a more extensive initiative for good governance and effective public resources management. Participants' suggestions for institutional support at the continental level, and more training in evaluation designs, methodologies and practices, are fundamental to all efforts to strengthen M&E capacity. Participants proposed establishing various databases, including one of evaluators (practitioners, consultants, officials in charge of M&E, bodies of inspectors and auditors, and private sector firms) who would form the African Evaluation Association (AfrEA). Another suggested a database for collecting lessons learned and examples of good practice in M&E.

The Inaugural Conference of the African Evaluation Association was held in Nairobi in 1999. Over 300 evaluators from 35 countries attended. The AfrEA committed itself to developing indigenous evaluation capacity by providing high-level training throughout Africa and establishing national associations that would conduct peer training. In the

longer term, it is expected that these national professional associations will collaborate with their governments to form national evaluation policies.

## **Johannesburg 2000 Workshop and Seminar**

The main objectives of the Johannesburg 2000 Workshop and Seminar were to:

- Define the requirements and capabilities of M&E in the context of good governance and accountability for better results
- Familiarize the participants with the development, requirements and uses of M&E systems
- Present ways of designing and conducting cost-effective evaluations of issues such as human development, gender, human rights, governance and corruption, environment and infrastructure, through new approaches including participation and the sharing of local knowledge
- Build professional teams using national M&E associations and networks
- Develop a collaborative strategy and infrastructure for a pan-African M&E network, which could review and evaluate sound practices with a view to adopting them in Africa

The event, hosted by the Development Bank of Southern Africa (DBSA), brought together 56 participants from 11 sub-Saharan countries (Cameroon, Ghana, Kenya, Mozambique, Niger, Rwanda, Senegal, South Africa, Tanzania, Uganda and Zambia) representing national governments, non-governmental organizations, universities, research institutions and the private sector, and 32 participants from multilateral and bilateral donor agencies – the World Bank, African Development Bank (AfDB), United Nations Children’s Fund (UNICEF), International Development Research Center (IDRC), Australian Agency for International Development (AusAID), United States Agency for International Development (USAID), United Nations Development Program (UNDP), Norway and the Netherlands. A task force from AfDB, DBSA, the Eastern and Southern Africa Regional Office of UNICEF and the World Bank organized the conference, and acted as facilitators and resource persons, together with a small number of donor representatives.

A number of topics were highlighted through 45 conference papers and multiple discussions during the four-day event. A complete set of papers is available on the DBSA website at <http://www.dbsa.org/M&E/M&E.htm>. Topics include:

- Monitoring and evaluation and the development challenge in Africa
- Overview of ECD in selected African states to support the development of M&E and establish the demand and infrastructure for M&E
- Addressing ECD through new methodologies
- African sector experiences: case studies and implications for M&E

- Development of national evaluation associations and opportunities for international cooperation
- Looking to the future: national action plans for 2001
- The way forward

Participants displayed a sophisticated understanding of ECD issues, and all discussions demonstrated highly developed insights into the challenges Africa is facing in strengthening M&E. Some of the most important outcomes of the workshop and seminar were commitments to increase M&E capacity development efforts at the national level; the need for greater understanding between officials and civil society about their potential role in M&E; building an African M&E society; the importance of increased knowledge and understanding of specific M&E issues; evaluation, the Comprehensive Development Framework (CDF) and Highly Indebted Poor Countries (HIPC) initiative; and M&E and good governance.

### **Commitments to increase efforts at the national level**

Developing evaluation capacities at the national level is a multifaceted endeavor. It involves building up the supply side for evaluation, including teaching the necessary skills; developing and adapting appropriate technology and tools; and supporting the institutional framework. It also involves creating a demand for evaluation by raising awareness of why it is needed.

National evaluation systems need to be tailored to local conditions. It is not a case of “one-size-fits-all” and it is vital to resist importing other countries’ systems in an uncritical manner. It is particularly important to develop appropriate sets of performance indicators for local conditions, rather than taking a short cut and using some from international donor agencies. Indicators are underpinned by certain values and norms, and need to reflect those of the country in question.

The necessity to move from a technical approach to a strategic approach was underlined, for instance: “I think we have mystified for too long this fundamental managerial and political activity with too much discussion around methods and techniques, instead of starting off with the bigger, more strategic issues. We have developed a complex technical language around the area, which serves as a barrier to popularizing the activity and getting it institutionalized in our respective countries.”

The shortage of appropriate skills creates many restrictions in Africa. Often public services are not able to compete with the local and global labor markets to retain such rare skills. Bearing this in mind, participants met in their respective national groups to formulate national action plans for M&E capacity development. The action plans had clear outputs, and focused on what could be achieved within the next 12 months. The groups made commitments to follow up the plans on their return home. Delegates were encouraged to remain in contact and exchange information on their progress in implementing

their plans. In order to maintain the high momentum and commitment reached during the workshop and seminar, it was decided to provide a follow-up report on the implementation of each country's action plans.

Central themes in the action plans included:

- Distributing responsibilities among agencies and associations
- Emphasizing the need for training
- Highlighting the requirements for common M&E standards
- Underlining the power of networking among societies and associations
- Emphasizing the importance of employing existing capacities, and of relating M&E activities to existing public sector reforms and national strategies

The donor agencies committed themselves to support the strengthening of existing national evaluation associations and networks and the establishment of new ones. Training gaps would be addressed by offering scholarships and fellowships in M&E and other capacity-building programs, using local consultants whenever possible to develop databases of local consultants and to emphasize learning-oriented M&E. International initiatives such as HIPC, poverty reduction strategies and the CDF promoted by the World Bank provide golden opportunities to foster the development of M&E in Africa.

Preliminary thoughts on the International Development Evaluation Association (IDEAS), suggested by the UNDP and the World Bank, were introduced at the meeting. Such an association could be dedicated to broadening and enhancing M&E capacity in developing countries, through supply and exchange of knowledge, building networks and alliances, and strengthening existing capacity. There are many ways in which to achieve these goals, for example by scholarships, internships and exchange programs, a biannual conference, regional meetings and support for experimentation and research in M&E.

## **Building an African monitoring and evaluation society**

Although national participants emphasized how important it was to strengthen national evaluation associations first, there was general support for the concept of an African Evaluation Association. As one of the presenters put it: "We shall need an African Evaluation Association that will be a repository of our successes and our lessons. We shall need the Association to lobby for action on issues affecting the continent as a whole, and to sound the wishes of the majority. We shall need an African Evaluation Association that will be independent of, but sensitive to, governments, multinationals and non-governmental organizations. Finally, we need an African Evaluation Association that will promote evaluation for public good."

The objectives of the Association are to:

- Provide a forum for information exchange
- Provide an inter-African link between new and established evaluation networks

- Support capacity-developing efforts for African evaluators
- Provide a base association for “internally displaced” practicing evaluators
- Support the development of new evaluation networks throughout Africa
- Channel human and financial resources to the right places when it has the capacity to do so

### **Increased knowledge and understanding of specific M&E issues**

Several issues were addressed, particularly poverty and gender, human rights, democratization and equity, public service performance and development projects, infrastructure, urban development and environment.

In order to facilitate the transfer of evaluation methods to the area of poverty relief, it is necessary to provide professional comprehensive assessments of trends in the development of social programs that involve poverty relief. A set of professional criteria for determining the worth of social programs would play an important role in upgrading the practice of evaluation and the effectiveness of the programs. To improve decision-making, there is a need for public policy leading to good governance. This will create an environment for evaluation processes that are both feasible and realistic. Implementing such processes requires sound policy and a supporting infrastructure. Context variables, which include culture, gender and politics, have had great influence on evaluation and should be taken into consideration.

Any evaluation entails three fundamental aspects: the identification of the object of evaluation along with all related dimensions of value; the evaluation of the various components of the object; and the formulation of an overall judgment. In essence, social evaluation involves a comparison of social states in terms of individual advantages and social progress. A social state may be characterized by the distribution of living conditions, including the underlying social arrangements. In this context, the fitness of a social arrangement may be judged on the basis of the quality of life it supports. Two objects of evaluation need to be considered: living standards and the underlying social arrangements.

### **Evaluation, CDF and HIPC**

The Comprehensive Development Framework (CDF) represents an evolution of the role of donors, governments, civil society and the private sector. From this perspective, development is about empowering people to take charge of their lives, and poverty is due to the lack of basic individual and social rights that allow people to lead the kind of lives they value. This view is articulated in the CDF in the principles of country ownership, comprehensiveness, coherence, focus on outcomes, and long-term perspective. This approach stresses that behavior is at the heart of development.

Preparation of a Poverty Reduction Strategy Paper (PRSP) is a requirement for countries applying for debt relief under the Highly Indebted Poor Countries (HIPC) initiative.

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About 41 countries are covered by this initiative, of which 33 are in sub-Saharan Africa. There is particular emphasis on developing a comprehensive poverty reduction strategy, which is prepared by each government with support from the World Bank, the International Monetary Fund, and others. The PRSP should be prepared in accordance with CDF principles and be country-driven, with broad participation by civil society, key donors and regional development banks. Strategies should be linked to international development goals, with measurable indicators and progress.

With both the CDF and PRSPs, the emphasis on results provides an environment in which M&E has a potentially central role to play. The legitimate role of civil society in contributing to the poverty reduction strategy and to assessments of government performance is stressed.

Poverty-focused evaluation requires answers to two questions: What are the right things to evaluate? And, what is the right way to evaluate them? There is an intimate relationship between evaluation and development, as the very definition of development is based on an evaluative judgment. The concept of development includes promoting a certain quality of life, and social evaluation is concerned with the consequences of public action. Evaluation should focus on both outcomes, in terms of the standard of living (health, education, income, etc.), with particular attention being paid to the deprived, and the social arrangements that create it.

If behavior is at the heart of development, then evaluation methodology should pay particular attention to the socio-economic incentives that motivate people and the governance structure that constrains their actions. Based on principles such as country ownership, coherence, comprehensiveness and a long-term perspective, the CDF calls for a “contextual” approach to social evaluation, where both the object of evaluation and the evaluation function must be placed within their respective contexts. This has basic methodological and institutional implications: the specification of the counterfactual hinges on the understanding of the interaction between the object of evaluation and its environment; the M&E function should be an integral part of the development process; and evaluation should be participatory, to ensure the relevance of the underlying value judgments.

## **M&E and good governance**

M&E uses a range of tools to address performance measurement, including ongoing performance monitoring, ongoing, real-time evaluation (at the project, program, sector or country level) supporting continuous learning, *ex post* evaluation, performance audits and financial audits.

M&E can support sound governance in several ways. First, the information it produces can be important for government decision-making and the setting of priorities, particularly in the budgetary process. Second, M&E assists managers by revealing the performance of ongoing activities at the project or sector levels, producing valuable informa-

tion for planning new activities. Thus, M&E is a management tool that promotes future learning and improvement; that is, management based on results. Similarly, M&E information can be used to assess the performance of organizations and institutional reform processes. Third, M&E contributes to mechanisms that hold managers and governments accountable for their performance.

An accountability framework provides a critical link between good governance and M&E. Governments and citizens gain valuable information on the effectiveness, efficiency and quality of governmental programs. It provides a basis for making public servants accountable to their administrative superiors, political representatives and the public, and provides the information needed to evaluate the performance of political leaders. It also gives both the opportunity and the incentive, for public servants and politicians alike, to take part in continuous learning. M&E is thus an element of the broader governance framework.

Over the last few years, governance has emerged from relative obscurity to rise to the top of Africa's development policy agenda. This is largely because of the rapidly changing political landscape in Africa. After years marked by authoritarian regimes and often political and economic disasters, most countries have, since the start of the 1990s, held multi-party elections, with average voter turnouts exceeding 76 percent. However, while sustained progress has been made in some countries, the record is uneven in most, and in a few countries there is a veritable crisis of governance.

Another salient factor in Africa is the interplay between economic reforms and political developments. There has been growing recognition that weaknesses in governance are limiting the payoffs from economic reform. Countries experiencing reforms that are more advanced may well have become more liberal, but now they need farther-reaching reforms to provide a stronger institutional basis for market-driven growth, and to ensure that citizens can participate widely in the development processes that affect them. A second group of countries is seemingly slower to adopt or sustain "good" policies, for reasons that essentially reflect weaknesses in governance. A third group comprises countries faced with a breakdown of the state itself; governance issues loom large in their struggle for development.

Reliable performance information and evaluation findings support sound public sector management in at least three areas:

- As an aid to sound management within government ministries and agencies – the learning function of M&E
- To enlighten and support Cabinet or government decision-making by providing information on the likely benefits and costs of alternative policies, programs and projects
- To provide the evidence necessary for the accountability of governments to civil society, Parliament, the private sector and donors, and to underpin accountability

relationships within the government (between sector ministries and the Ministry of Finance, for example, and between officials and the elected government)

It is important to understand emerging opportunities and trends in the broad context of governance. These developments shape the overall debate and climate for change within the development community. By understanding this overall climate we can better understand and predict the pressures on and opportunities for M&E that individual countries will face.

There is also a need to analyze the national environment, which provides the context within which M&E must operate. Put differently, it would be a mistake to attempt to apply a “blueprint” approach to governance in each and every country. A key lesson to be learned from past governance efforts and capacity-development work is the necessity of tailoring work to a country’s particular circumstances. However, this is a two-way street. No country is an island, and the lessons learned from development in other countries and the emerging priorities across the African continent will be likely to play a strong role in the expectations for – and the expectations placed on – any individual state in the region.

In the same way, efforts should be made to strengthen national ECD according to the circumstances of the country concerned. This is, of course, true of any type of national capacity development, but there are specific considerations that need to be addressed when preparing an ECD strategy and action plan for each country. In particular, it is important to undertake a detailed diagnosis of the country’s circumstances, in order to identify clearly and realistically the opportunities and constraints that exist.

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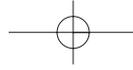
### Websites

<http://www.dbsa.org/M&E/M&E.htm>

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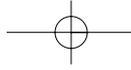
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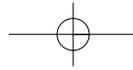
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# Monitoring and evaluation and the development challenge in Africa







# 1

## Welcome address

MAKI MANDELA<sup>1</sup>

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### Introduction

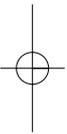
Mr Chairperson, the Honorable Minister Ms Fraser-Moleketi, distinguished guests, ladies and gentlemen, welcome to the Regional Seminar on Monitoring and Evaluation Capacity Development in Africa. In particular, I would like to welcome our special guest, the Honorable Ms Geraldine Fraser-Moleketi, the Minister of Public Service and Administration in the government of South Africa. I would also like to welcome our friends from the World Bank's Operations Evaluation Department, and the African Development Bank, who with the Development Bank of Southern Africa (DBSA), are sponsoring this important workshop.

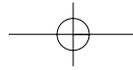
Mr Tladi Ditshego, the Manager of the Operations Evaluation Unit, will have more to say about the program and what we hope to achieve in the next three days. For my part, I would like to say that the topic of this seminar is one that is close to my heart. The process of monitoring and evaluation (M&E) is critical in our development work. If we are to be effective in alleviating poverty and improving access to the resources and services necessary for all people to participate in our nation's development, then we must continually learn from each other and learn from our successes and failures. We must ensure that we are at all times accountable to our primary stakeholders, the communities with whom we are working in development.

It is for these reasons that effective M&E frameworks have to be in place in our institutions to ensure that our objectives are met. In this endeavor, I hope this workshop moves us a long way towards having a home-grown African approach to M&E.

### Historical overview of the DBSA

As we are meeting in the beautiful surroundings of the DBSA, I would like to tell you a little about the DBSA's history and how we have grown from nothing to strengthening M&E in our project work.





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MAKI MANDELA

The DBSA had its origins in the former apartheid regime and was set up in 1983 by the apartheid government to provide financial support to the so-called bantustans within South Africa. Its purpose was to finance infrastructure development in these bantustans, as a way of perpetuating the myth that they were in some way independent states. Following the end of apartheid and the democratic elections in 1994, the DBSA, like other public and private institutions throughout the country, started a long process of transforming itself.

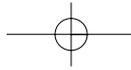
The DBSA has followed an active program to make itself relevant to the new South Africa and to address the inequities of the past. However, more than merely making itself relevant, it has played a central role in the provision of services to our previously disadvantaged communities throughout the country. It is also a central player in the Southern African Development Community (SADC) region, fostering growth and development among our neighbors. I will speak briefly about each of those roles and, finally, about how the DBSA has integrated an M&E framework in its work.

Since the new political dispensation, the DBSA has experienced phenomenal growth and is now a respected player in the development efforts of the country and the region. For example, in the two years before the transformation, the DBSA's loan portfolio was a little over R3 billion. In the two years since transformation, this portfolio grew to R26 billion. This represents a sixfold increase, of which only around 30 percent was the DBSA's own funds. These figures highlight two fundamental changes that occurred and were revolutionary in themselves. The first is that there was an aggressive push by the DBSA to make more resources available to its clients. The second, which is probably more important, is that the DBSA was effective in mobilizing other capital sources and so gained considerable leverage. In a sense, the DBSA is acting as a broker, and through its high-quality appraisal and M&E processes has gained the support of other financial institutions that are willing to enter into partnership agreements in co-financing the DBSA's portfolio of loans.

## **DBSA clientele**

The DBSA lends mainly to local authorities, to enable them to take a more proactive role in their own communities and to be central in overcoming the maldistribution of public services and resources, such as water and electricity, which existed in the past. At the end of the apartheid years, 60 percent of the population was without the basic services of reticulated water and electricity. In the past five years, this has been turned around to the point that 60 percent of the population now has these services.

The new local government authorities have played a central role in rebuilding the country, and the DBSA's partnership with them has been integral to this process. In the last year, some 60,000 jobs were created by the DBSA's loans, and infrastructure services were delivered to over 600,000 households: these included 224,000 connections to water, 579,000 to sanitation facilities and 25,000 to electricity. The DBSA contributed 18 per-



cent to the total South African investment in electricity, gas, water and sanitation. In short, the DBSA has played a central role in the South African government's poverty eradication program.

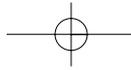
An example of the important partnerships the DBSA has with local government authorities in South Africa is the following: In the mid-1990s, the local government structure of South Africa was transformed to make it more democratic and more equitable in its delivery of services. However, a mere transformation of the elected structures is certainly not enough; reports show that local governments do not have the basic structures to collect revenue and provide services on the scale required. The DBSA has a direct role in rectifying this situation. A particular priority is to strengthen the capacity of local government authorities to provide services, especially through involving more effective service providers, raising their political accountability, sensitizing them to the needs of their communities, and building their financial management capacity. This enables them to manage their different revenue streams effectively, thus widening the scope of service delivery. This includes their ability to borrow on a sustainable basis.

While most private investors consider municipal lending as a high-risk proposition, in many ways municipal lending is the "bread and butter" of the DBSA's work, and experience has shown that we can make it succeed. The DBSA does this by using targeted development finance to mitigate the risks and by offering technical support to its clients. The DBSA adds value to municipal lending by optimizing the development impact of infrastructure projects and promoting best practice. The loan conditions and project interventions facilitate broader access to services, stimulate productive economic activity and enhance job creation. Enhancing the financial sustainability of the local government sector enhances the bankability of the sector and therefore reduces the drain on the public purse. The DBSA particularly targets those municipalities with limited access to funding or those whose investment focus is on marginalized communities or economic development. Since 1994, the number of local government authorities the DBSA has collaborated with has increased from 139 to over 400.

Let me give one example of what this means to households in the areas to which we are providing support. Barberton is a town in the Mpumalanga province with 36,000 inhabitants. The DBSA supported an urban infrastructure project there with three elements – the upgrading of roads and stormwater management, the electrification of households and the provision of street lights and other social infrastructure.

This partnership benefited the community in a number of ways. First of all, it provided jobs, mainly to women, and encouraged local contractors to be part of the work and so enhance their skills as small businesspeople. The street lights reduced crime, and the visible delivery of services increased the rate of payments of rates and for services to the point that it is now between 93 and 98 percent, which is a phenomenal achievement. These changes have meant that the local council is able to devote its resources to enhance other features of the urban landscape, such as reclaiming wasteland. The offi-





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cials with the council have made it clear to us that without the DBSA's concessionary financing, many of the projects that have been completed on time and within budget would have been impossible.

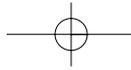
There are many other examples. The benefits of our partnership with local governments are, however, not purely economic; they are also social. Because people participate in the development work, social tensions are often eased, and the communities' appreciation of their local councils means that they are more active in their work and have a much stronger sense of civic pride.

Apart from its work with infrastructure in South Africa, the DBSA is very active in the neighboring countries of the region. In 1999, close to one quarter of the DBSA's loans were to other SADC countries, mainly Botswana, Lesotho, Malawi, Mozambique and Swaziland. New partnerships totaling over R700 million have already been developed with Namibia, Tanzania and Zambia. These loans are typically for larger economic infrastructure projects.

One example is the Mozal aluminum smelter project in the Beluluane Industrial Park near Maputo in Mozambique. This project of US\$1.34 billion is expected to produce 250,000 tonnes of aluminum per year, a figure which can be doubled over time. This project will be an engine for economic growth in southern Africa. It is expected to contribute more than 7 percent to Mozambique's gross domestic product and create over 3000 jobs in the smelter and in support industries. While the DBSA's contribution has been just over 5 percent of the total capital, it has been significant in gaining leverage in this important development. The DBSA, together with the International Finance Corporation, has taken a particular interest in the environmental and social issues associated with the project. This involved a state-of-the-art environmental management plan, a comprehensive resettlement action plan, and the provision of on-site health services.

One of the reasons for the very rapid growth in the work of the DBSA and the targeting of projects with a high development impact has been the development of best management practices in the DBSA's work. This has involved higher productivity of DBSA staff in loan management, much better targeting, a balanced portfolio and risk management strategy and a high level of technical support, to ensure the sustainability of the work and, consequently, a very high rate of repayment of the DBSA's loans.

How has the DBSA been able to make such a dramatic turnaround? The answer lies in some fundamental changes in its management systems, in the management of risk and in the appraisal and M&E of our projects. One important change has been the establishment of the Operations Evaluation Unit, which was started in 1996 with the specific purpose of supporting evaluation work in the DBSA and also participating in setting standards for the DBSA in program management. The Unit has grown to seven staff members with a wide range of skills who support the development of quality evaluation standards.



## WELCOME ADDRESS

Some of the important work they have carried out includes the development of a database for the DBSA and a program of evaluation to ensure that quality standards are met, including monitoring standards. Their latest activity is to facilitate the progressive implementation of logical framework analysis. This is not only a design and appraisal tool, but also a management tool for monitoring the progress of projects, testing changes in the assumptions and conditions that prevailed at the time of project inception, and assessing how the project should be adjusted to meet those changes. In other words, logical framework analysis recognizes that flexibility and adaptability in project management are critical success factors, together with accountability at all levels.

Since the introduction of the Unit, the staff has played an important part in changing not only the DBSA's practices but also, more importantly, its culture, so that it is becoming a learning culture committed to excellence in its work. By appropriate mentoring of quality program management practices, including M&E, and input into policy, the Unit has assisted in the transformation of DBSA staff, who now strive to achieve quality results and have a commitment to meeting the DBSA's goals.

I cannot stress enough how important this sharper focus on program management, and within that a strong M&E focus, has been to the DBSA's operations. The DBSA is undergoing rapid change that calls for a much greater level of accountability at all levels: to our shareholder, the government; to our co-financing partners; to our policies, in order to achieve development impact and support the government's goal of poverty alleviation; to our clients, the local government authorities and other institutions; and not least, to the communities themselves, the users of the infrastructure we are financing.

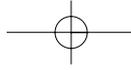
With these multiple levels of accountability, we cannot now merely provide finance and wash our hands of any further responsibility. We are required to become partners in the projects, and that means not micromanaging the day-to-day work but instead being "in the loop" when changes in conditions occur and changes in the projects are required. The only way we can be in that loop is to be involved in the M&E of our work and to expect the very highest standards of program management.

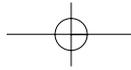
It is for this reason that this seminar is important for us at the DBSA, and we are very proud to be sponsoring and hosting it. We have guests here from our friends at the World Bank, the African Development Bank in which South Africa is proud to be a shareholder, and the International Development Evaluation Association. They will introduce to us what they see as best-practice standards and give us the opportunity to debate what is required in our own contexts and to achieve our own goals in standards for M&E.

I hope you have some very stimulating sessions and vigorous debates, and come up with many practical ideas that we can adopt or adapt for our work here at the DBSA.

I wish you well in your deliberations. Thank you.







# 2

## Opening statement

GERALDINE FRASER-MOLEKETI<sup>1</sup>

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### Introduction

Development challenges in countries south of the Sahara are many and varied. I do not necessarily think that the development challenges in southern Africa, or for that matter South Africa, are fundamentally different from the remainder of the subcontinent – it may only be a matter of degree and emphasis that sets us apart. Our meeting today coincides with the workshop of the International Monetary Fund. While I have not received all the documents presented, there are discussions on involving four banks, and Africa is excluded from the list.

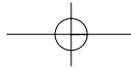
At the very core of the development challenges for governments sits the issue of how to match the unlimited and growing needs and demands of the people with a resource base that is clearly inadequate. When the challenge is phrased like this, the answer is obviously that one cannot. However, if we phrase the challenge differently, looking at how best to use the available resource base, and how best to develop and extend it in order to maximize the satisfaction of needs and demands, we can show progress.

I will attempt to demonstrate how monitoring and evaluation (M&E) can be applied to this challenge. It is only once we understand clearly what adds and what subtracts value in achieving our developmental goals, that we can start taking corrective action and improve our decision-making. This process of understanding the value of something is what the entire field of evaluation is all about.

I will close by drawing on some international lessons and voicing some of the challenges that we are facing on the southern African subcontinent to institutionalize and mainstream these activities better. I trust that throughout the seminar some of these challenges will be debated, and maybe this group will move closer to reaching some solutions on the matter.

<sup>1</sup> Minister of Public Service and Administration, South Africa.





## 2

GERALDINE FRASER-MOLEKETI

## Good governance

All governments are struggling with the eternal question of the best match between needs and resource allocation. This is, after all, what political decision-making is all about. The dominant paradigms in governance, democratic government and public management agree on a set of fundamental building blocks that has to be in place in order to achieve “good governance” and “good government” – “good” meaning here the most efficient, most effective and most sustainable achievement of the public good. These building blocks include:

- Improved governance, including better participation and more inclusive decision-making processes
- More meaningful and ongoing accountability to all stakeholders and interest groups
- More responsive, efficient and effective development delivery

On closer inspection, we can distil the essence of good governance down to two objectives. The first is about encouraging greater transparency, accountability and administrative efficiency; the second is concerned with democracy, human rights and participation.

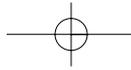
At the very heart of all this are the issues of data, information and knowledge and how we process and use them in the interests of better decision-making that will serve the needs of our people. This is what M&E is all about. African countries need to join hands to identify workable solutions for M&E. Throughout the world there is a clear understanding of the need for strong, efficient governance. We need to work towards achieving the correct size of public service and strive to be efficient.

In brief, and whether we agree with it or not, the trend internationally is towards reduced government size, reduced taxation, reduced deficits, and reduced fund transfers from the rich to the poor. Because of this, evaluation takes on greater public importance as the need grows to measure policy and program cost-effectiveness. The need for strong governance in which M&E clearly plays an important role is also acknowledged.

The World Bank sets great store by the potential support of evaluation capacity for governance, institutional development and public sector reform. They claim that it contributes to:

- Improved budgetary and financial management systems and financial reporting
- Clarifying intergovernmental fiscal relations, and the extent to which they encompass a focus on government performance
- Strengthening accountability institutions and audit organizations
- Responsible commercialization and private sector delivery of historically public services
- Setting explicit customer service standards for service delivery agencies and monitoring the extent to which these are achieved





- Civil service reform, which includes devolution to managers of increased levels of responsibility and autonomy
- Civil service reform, which focuses on personnel performance, management and appraisal, recognizing that individual performance is reflected to some extent in project and program performance
- Improving the quality of civil service policy advice
- Broadening the opportunity for participation and giving “voice” to civil society, drawing on the views and expectations of ordinary citizens concerning the performance of government activities
- Assisting anticorruption efforts through improved financial management systems, timely performance reporting, strengthening watchdog agencies, and greater transparency in policy-making and implementation

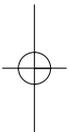
### **International lessons in developing evaluation capacity**

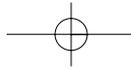
Research has shown that the most important obstacles to institutionalizing evaluation systems in developing countries are the following:

- Poor demand for M&E information and lack of ownership by decision-makers and senior public managers of the idea and system
- Shortage of related skills, including evaluation, accounting and auditing skills
- Poor quality of financial and other performance information, and weak to non-existent accounting and auditing standards and systems
- A chasm between mechanisms for evaluation feedback and the actual decision-making processes
- Compromised sustainability, largely owing to insufficient resource commitment

A short-term and skimpy perspective on evaluation systems is a recipe for failure as far as evaluation goes. There is obviously also a fear that M&E information could be used for mobilization. This is understandable, but it will not prevent evaluations from taking place and information becoming available in a modern democracy. It is in the interest of every society to educate the users of information to be both clever and careful in their user practices. Any form of power – and information in knowledge organizations and societies constitutes political currency and power – goes hand in hand with responsibility. Therefore, the right to power includes the responsibility of using it in a constructive and ethical manner.

The shortage of appropriate skills is another serious limiting factor in the African context. Often the public services in general are not able to compete with the local and global labour markets to retain scarce skills. Although donor countries and international donors do contribute significantly to enhancing human resource capacity, the empowerment of the local population through the import of expatriate expertise has been shown





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GERALDINE FRASER-MOLEKETI

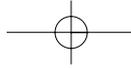
to be suboptimal. There is also a tendency in the international donor community to lure away many of the local population who show an aptitude for evaluation and auditing, with better job prospects and conditions of service. We need to be aware of this.

From consideration of some of the obstacles to instituting evaluation capacity, we now turn to the key facilitating factors. Decision-makers in any country who are considering institutionalizing evaluation capacity should be convinced that the benefits of an evaluation system outstrip its costs. Evaluation systems imposed from the outside are not sustainable. Clearly identified champions, both politically and administratively, are an absolute requirement. Often such champions are to be found at the apex of the government – the President's offices, Cabinet offices, treasuries, planning offices and those agencies charged with the responsibility of overall public management. A network of supporters in line departments and at different levels of government also helps enormously.

An explicit, high-profile evaluation policy and strategy gives guidance and contributes to synchronizing all players and resources. Such a strategy can indicate an incremental, sequenced approach to developing national evaluation capacity, which will allow a country with limited capacity to show progress in the right direction, without having to solve all problems at once. This is how many developing countries, including Chile, have managed. Although the tendency is to move away from just looking at output M&E, it is likely that incremental systems may start with these, and only add quality, sustainability, efficiency, effectiveness and impact considerations at a later stage.

National evaluation systems need to be tailored to local conditions. It is not a case of "one-size-fits-all" and one should resist importing other countries' systems in an uncritical manner. It is particularly important to develop appropriate sets of performance indicators, rather than taking a short cut and borrowing some from international donor agencies. Indicators are underpinned by certain values and norms, and need to reflect those of the country for which they are intended.

This brings me to the issue of "incentives", which are much debated by the evaluation fraternity. What is the real purpose of M&E – a slap on the wrist or a helping hand? Clearly, M&E can do both. Should the emphasis be on controlling, discipline and punishment, or should it be to aid development, overcome problems, identify risk and assist in averting that risk? Countries that are successful in implementing national evaluation capacity get the balance between these two right. They understand how different line managers experience the potential threat that goes with M&E and are likely to respond to it. The general direction is to shift to the more developmental role in cases where it is believed that performance is reasonably good and the organization is able to work and to improve in a developmental fashion. However, where performance is poor and corruption is a problem, the emphasis is much more on the controlling, accounting side. Many countries also start with those who buy voluntarily into the system, rather than trying to force everybody to participate from the start.

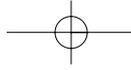


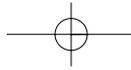
## Conclusion

You will have noticed that I did not touch on much of the methodological debate in the evaluation field. I have done this deliberately, as the actual management and underlying politics of evaluation are far more important. I think for too long we have mystified this fundamental managerial and political activity with too much discussion of methods and techniques, instead of starting with the bigger, more strategic issues. We have developed a complex technical language around the area, which serves as a barrier to popularizing the activity and getting it institutionalized in our respective countries.

In my view, M&E is so fundamental to taking on the development challenge of our beautiful continent that we cannot allow any cosmetic matters to distract us from getting it institutionalized and working as well as possible and as soon as possible. Therefore, I hope that a forum like this will cut to the chase, and that in your deliberations over the next couple of days, you will actually find a way to collectively and separately advance this important activity – even against heavy odds in African societies.







# 3

## Opening statement

TLADI DITSHEGO<sup>1</sup>

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### Introduction

Mr Chairperson, the Honorable Minister Geraldine Fraser-Moleketi, distinguished guests, ladies and gentlemen: Let me begin by expressing my sincere gratitude and appreciation to the Honorable Minister, Geraldine Fraser-Moleketi, for having graced this occasion with a challenging and inspiring speech. It raises a number of important issues, which need to be kept in mind during our deliberations over the next three days. I would also like to join Dr Maki Mandela in welcoming you all to this important workshop and seminar on monitoring and evaluation (M&E) capacity development in Africa. In particular, I would like to welcome our friends from the World Bank, the African Development Bank (AfDB) and the International Development Evaluation Association (IDEAS) who have acted as facilitators for the workshop that has just ended.

Having dealt with the formalities, I would like to introduce you to the substance of our deliberations for the next three days; but first, let me give you some background to this workshop and seminar.

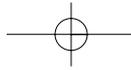
### Historical overview and current situation

This is the third in a series of seminars. The first two were in May 1990 and November 1998 in Abidjan, Côte d'Ivoire, and there the first tentative steps were taken towards the development of a coherent continent-wide approach to M&E within development institutions in Africa. The view emerged that there should not be an externally imposed model for M&E, but rather one that has emerged organically from Africa and the experience of Africans.

These first steps were formalized and given an institutional base through the development of the African Evaluation Association, which held its inaugural meeting in Nairobi one year ago. The Nairobi meeting rapidly advanced the agenda for M&E across the continent and substantially broadened the scope and interest of this work. At the Abidjan meeting of 1998, there were representatives from 12 countries. In Nairobi in 1999, that

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TLADI DITSHEGO

had grown to 35 countries. These representatives committed themselves not only to a continent-wide professional association, but also to the formation of national associations. The purpose of these associations is to foster the skills of their members through both formal and peer training. The long-term vision is to provide input and support for national governments in the development of national evaluation policies, which are an important component of effective, efficient and transparent national development programs.

The first step in this process was a seminar and training workshop for the newly formed national associations to discuss their problems and prospects and decide how they should network. The second objective was to have a concrete training program for evaluation specialists, which is why we are here today.

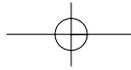
Over the next three days, we aim to increase the profile of M&E by highlighting its importance in governance and accountability, which are now catchphrases for Africa at the start of the new millennium. We will highlight the importance of good M&E practice to the various development institutions in our home countries, and provide skills training that will lead to the institutional development of those regional and local professional bodies and networks represented here.

We will hear one another's experiences and consider cases from Ghana, Kenya, Niger, Rwanda and Uganda, as well as our experiences here in South Africa. There are also speakers from institutions such as the AfDB and our good friends from abroad including the World Bank and IDEAS. The workshop many of you attended over the past day and a half was part of this process of knowledge-sharing and learning, as well as being a sort of appetizer before the main course of the seminar. The purpose of the workshop was not only to increase the skills of the participants, but also to start fleshing out an M&E strategy and action plan for Africa.

A small task team, made up of the conference organizers and the African Evaluation Association (AfrEA), will listen carefully to your views throughout the seminar and will present specific ideas to you at the end of the seminar. There are useful discussion pieces for you to consider, particularly those by Kate Spring and James Mugaja, which can be found in the folder of papers you have been given. In the various group discussions, please vigorously put your views on how we should proceed, as we want this to be an African initiative rather than one that could be seen as coming from outside.

## Goals and objectives of the seminar

What are monitoring and evaluation? And what is the difference between the two? We could all answer both questions about these two essential steps to achieving development goals. Monitoring assesses our progress against our program objectives, and evaluation builds on the monitoring work to look at the real changes that we have made, whether the outcomes we planned for have occurred, and whether we have made an impact. That



is, have we made real changes in peoples' lives, through either the provision of services or the creation of service institutions.

The themes of this seminar are central to sustainable human development, good governance and poverty reduction. We hear a great deal about good governance in the development debates of our countries and we all see it a little differently in each of our national contexts. However, the core of good governance is transparency and accountability, and the promotion of systems and institutions that support and nurture those principles. Good M&E practice is central to these principles. The theme of poverty sometimes overwhelms us here in Africa, but it is something on which we must focus, and M&E strategies, tools and techniques have to serve that focus. That is, they should contribute to effective program management and program outcomes that reduce poverty in Africa.

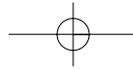
Within the broader theme of poverty are the issues of gender, human rights, democratization and equity, the subject of tomorrow afternoon's sessions. In terms of numbers, women are the backbone of Africa, yet too often they are excluded from centers of power, are unheard in the development debate and are invisible in development programs. I would like to throw out a challenge to you all: as M&E practitioners, are we being fair to the women of Africa in how we assess the gender outcomes and impacts of our work? There are opportunities in the two sessions tomorrow to evaluate poverty and gender in our development work.

Outsiders, especially those in the developed world, see Africa as a basket case because of its underdevelopment and associated problems such as poverty and poor or inadequate infrastructure. The continent is also seen as a place where no accountability exists. We know that this is untrue, but it is not to answer the critics that the themes of human rights, democratization and equity have been included. They are included not because Africans do not understand their importance or are lagging behind in some way, but because there is no point at which one can say we have got it right, and because they are the essential qualities of human development. M&E outcomes and the impact of programs in these areas present a challenge to practitioners.

The final theme is the software and hardware for achieving the development objectives of poverty alleviation and the achievement of equality in justice, gender and human rights. These are the instruments of government, local infrastructure and the preservation of our natural resources and the environment. All are important in addressing the problems we are experiencing on our continent.

Public service performance is about how we, the bureaucrats, are doing our jobs and whether we are accountable to our employers, the government, and more importantly, to the community as a whole, the people who choose the government. When we create infrastructure, whether it is a suburban road, a school crossing or a large hydroelectric dam, the same issues arise. Is the infrastructure sustainable, is it suitable, and will it serve the community and empower them rather than impoverish them? Will the natural envi-





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ronment be affected to the extent that future generations will have to bear the consequences?

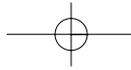
All of which brings us back to the theme of M&E, the purpose of our seminar. Over the next two days, we will examine how we can use M&E frameworks and techniques from our own African perspectives to help us achieve some of the development goals in those broad thematic areas outlined above. We will look in some detail at how we can build on the tools that international good practice has provided for us, give them an African focus, and adapt them to our own situations.

### **Policy issues, implications and governance**

The first session provides an overview of policy challenges. The first paper, by Mr Abdalla Hamdok of the AfDB, will look at the AfDB's governance and anticorruption policy; the second, by Dr Essama-Nssah of the World Bank, will stress the linkages of poverty reduction strategies and the comprehensive development framework. Touching on M&E tools and methodologies, Tim Marchant (also from the World Bank), will present new trends of evaluation in public policy reform and governance, emphasizing the World Bank's own requirements and those of M&E systems. Finally, Dr Karen Odhiambo from the AfrEA will provide an assessment of professional challenges to practitioners of M&E and integrated development programs, and the impact of these on poverty alleviation and sustainable development in Africa.

Tomorrow morning, continuing the theme of good global practice and touching on the difficult issues of monitoring and evaluating programs in both social development and public sector reform, are two presentations from the World Bank by Tim Marchant and Keith Mackay. Terry Smutylo from Canada and Malcolm McCarthy from South Africa will add their perspectives. Social development and public sector development are two broad areas for which half a day does not seem enough. However, as both areas are very high priorities for development in Africa and many delegates here probably have very strong views on how such programs should be implemented, any discussion on how they might be monitored and evaluated should generate some lively debate.

Tomorrow afternoon's program is very practical and will examine specific cases from Ghana, Kenya, Niger, Rwanda, South Africa and Uganda. This should be very interesting; each case presents unique views of how programs are monitored and evaluated, as each country has its own social, political and historical context in which M&E of important social and public sector reforms is being carried out. These papers will focus on how evaluation capacity-building programs apply not only to governments in the area of social and economic development, but also to a range of stakeholders including civil society actors, non-governmental organizations (NGOs) and donors. One of the big challenges for us in evaluation capacity-building is how to coordinate M&E approaches among a wide diversity of players in the economic and social development of our countries.



## Group discussions

After looking at issues on a macro- and then a national scale, we then narrow the discussion to how to use M&E tools in a number of sectors. Case studies from specific countries are presented to highlight particular tools and methodologies used in evaluation, as well as the specific issues that are emerging. These will be run as a series of parallel sessions, most of which will be repeated in the afternoon, to give everyone the opportunity to participate in two different sessions that are of personal interest.

The sessions to be repeated in the afternoon will deal with:

- Poverty and gender
- Public service performance and development projects
- Infrastructure, urban development and the environment

In addition, there will be a session in the morning dealing with human rights, democratization and equity, and one in the afternoon on M&E, reconstruction and development in Africa.

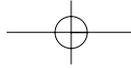
The approach in these smaller group discussions will not only be to look at the tools and methodologies used to monitor and evaluate programs in each of the sectors, but more importantly, to look at the lessons learnt in the M&E processes. From this should emerge some ideas to bring back to the plenary on how evaluation capacity could be strengthened, not only within government but also in civil society, NGOs, the private sector and other stakeholders.

## The way forward

We will attempt to bring the outcomes of our discussions together and develop a collaborative strategy and infrastructure with which to build an African M&E network. This important session will attempt to bring the diversity of approaches, issues and lessons of a wide range of players into a common framework that all of us can take forward. Presentations from IDEAS and the Eastern and Southern Africa Regional Office of the United Nations Children's Fund (UNICEF) on other networking and capacity-building initiatives around M&E will start the ball rolling and will be followed by a presentation by the task team on the way forward.

The task team has listened carefully to the views and ideas expressed in the workshop and will continue in this role over the next couple of days. With the assistance of some external resource people, they will present firm proposals on how to carry the excellent work of the AfrEA forward. These will be very practical and will focus on building the capacity of the Association and its members. Finally, Dr Ian Goldin, the Chief Executive of the Development Bank of Southern Africa, will close the workshop. Dr Goldin has just returned from the annual meeting of the International Monetary Fund and the World Bank held in Prague.





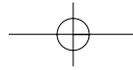
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In conclusion, thank you all for coming, some of you from very far away. Our thanks also to our distinguished guests from the World Bank, UNICEF, IDEAS and the AfDB, who have provided valuable resources, fresh ideas and approaches, and who have hopefully provoked lively debate on M&E best practice here in Africa.

We have set ourselves a large and very ambitious goal – to improve M&E practice in Africa and place it on a new footing. Hopefully, we can find ways to coordinate and even integrate our evaluation work. We must also consider how we can build capacity here in Africa, taking the best of what the world has to offer, but also drawing on our own practical experiences as Africans to build best practice for our own institutions. It is worth remembering that the best M&E practice is “bottom up”; that is, it draws on the experience of local communities and our own experiences. I hope we can bring these two strands together during the seminar and find a way to carry this important work forward.





# 4

## Good governance and the policy challenge: the African Development Bank perspective

ABDALLA A. HAMDOK<sup>1</sup>

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### Introduction

In the last several years, governance has emerged as one of the important factors on Africa's development policy agenda. Since the early 1990s, Africa has experienced major changes as the people of the continent began to demand participatory and democratic systems of governance. The role of governments in creating an enabling environment for their citizens, establishing law and order, managing the economy, building infrastructure, delivering essential services and protecting the vulnerable is critically important in Africa for peace, stability and economic prosperity. In fact, the need for capable, effective and efficient systems of governance has never been stronger than it is today, when the world is characterized by increased economic globalization and highly complex and competitive environments.

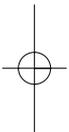
This background paper attempts to address the complex issue of governance on the continent, as good governance is a prerequisite for sustainable development.

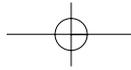
### Good governance and monitoring and evaluation

In the past decade, we have witnessed dramatic changes in the role that the public plays in decisions that affect their lives. There is now widespread recognition that participatory development is vital for achieving sustainable development. However, this type of development requires a more flexible and evolving process of planning for change, and poses new challenges for decision-makers and evaluators alike.

One of the greatest challenges is to build into this process mechanisms that allow for learning, correction and adjustment by all parties concerned. This requires the development of clear sets of objectives and indicators of success that promote accountability,

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transparency and participation, and that can be monitored and evaluated by relevant decision-makers at all levels. In order to improve the welfare of society, evaluation will need to contribute to the political decision-making processes that shape social actions.

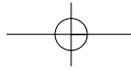
The link between good governance and monitoring and evaluation (M&E) is profound. An accountability framework can provide governments and citizens with valuable information on the effectiveness, efficiency and quality of government programs. It also provides a basis for making public servants accountable to their administrative superiors, political representatives, and the general public, and provides the information to evaluate the performance of political leaders. An accountability framework can be an opportunity and an incentive for continuous learning, for both public servants and politicians. M&E is thus an element of the broader governance framework.

### **Recent African governance experience**

In the last several years, governance has emerged from relative obscurity to become one of the priorities on Africa's development policy agenda. The first stimulus came from within Africa itself, where the political landscape has been changing rapidly. After years under authoritarian regimes, often marked by political and economic calamity, most countries have held multi-party elections since the start of the 1990s, with average voter turnout exceeding 76 percent (Chege, 1999). Another factor has been the interplay between economic reforms and political developments in Africa. There has been growing recognition that weaknesses in governance were limiting the payoffs of economic reform. Moreover, with the end of the Cold War, particularly after the fall of the Berlin Wall, major bilateral donors came out strongly in favor of accountable and transparent rule as a precondition for aid. Reduced geopolitical competition has left donors less inclined to support even "trusted allies" if they show evidence of poor governance.

In common with other countries, African states face growing pressure to decentralize and at the same time to adapt to emerging global governance structures. These extend beyond trade to encompass many areas, including intellectual property rights, investor protection, labour and environmental standards, and other areas formerly considered as entirely within the purview of national policy (World Bank, 1997). All of these factors increase the importance of sound governance.

The political achievements of the early 1990s were, for the most part, maintained and even consolidated as some countries, such as Ethiopia, Kenya, Malawi, Mali and South Africa, held multi-party elections, adopted new constitutions and legalized political opposition activities. Benin, Botswana, Mauritius, Morocco, Senegal, Tanzania and Tunisia continue to enjoy open, accountable and competitive multi-party democratic forms of government. As for human rights violations, countries such as Gambia, Malawi, Mozambique, Namibia, Nigeria and Uganda have demonstrated significant improvements, with the rule of law and civil liberties steadily gaining ground.



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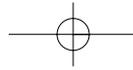
A closer look at the experience of individual countries reveals more diverse experiences than is commonly imagined. At the positive extreme, a small number of states like Botswana and Mauritius have demonstrated the capacity to build effective national governance institutions on the foundations of genuinely competitive democracy and the rule of law. Although Botswana's dominant party, the Botswana Democratic Party, has not been voted out of office since independence in 1965, it has given considerable freedom to the now-divided opposition parties, without jeopardizing the rule of law. Mauritius, with its heterogeneous ethnic groups (African, Creole, European, Hindu and Muslim), has defied the view that ethnolinguistic diversity is a threat to economic growth. This has been achieved through regular multi-party elections where competition cuts across the ethnic divide by means of a delicate balance of ethnic representation in the top levels of government, regardless of the victorious party. In South Africa, the linchpin of the 1994 transition was an ethnically inclusive Government of National Unity underpinned by the skilled leadership of Nelson Mandela (Chege, 1999).

At the opposite end of the spectrum are a distressing number of states which, by the 1990s, had disintegrated into protracted civil wars and lawlessness: these include Angola (1975 to the present), Burundi (1993 onwards), Democratic Republic of Congo (1997 onwards), Guinea-Bissau (1997-99), Liberia (1989-97), Sierra Leone (1992-2000), Somalia (since 1991) and Sudan (1983 onwards). In addition, large slices of other states bordering these countries have been overtaken by the state disintegration syndrome: Casamance in Senegal, north-east of Kenya, and northern Uganda. Their propensity for conflict mirrors a global pattern: 15 of the poorest 20 countries in the world have suffered significant periods of conflict since 1980, and more than half of all low-income countries have been involved in conflicts in that period. Africa is no exception: as of 1999, 20 percent of this continent's population lived in countries severely disrupted by wars or civil conflicts, and 90 percent of the casualties were civilians. There were over 3 million refugees and 16 million internally displaced persons, and an estimated 20 million landmines had been laid in Africa, including 9 million in Angola alone (World Bank, 2000).

Along with these political changes, many countries are critically rethinking such challenging issues as the appropriate role of the state, the need to promote the private sector and the important role of civil society in fostering and encouraging citizens' participation in the economy and policy-making. In acknowledging past errors, governments have started to address issues related to their size and role, and are determined to create and reorganize institutional structures and governance mechanisms. For years now, public discourse on governance has centered on deregulation, liberalization, downsizing and the creation of effective and efficient civil service institutions.

To address issues of corruption and raise professional ethics and principles in the public sector, governments have instigated reform measures, such as review and adjustment of compensation packages for employees, merit-based recruitment and promotion, establishment of public assistance and complaint services, and continuous technical and management training of staff. In addition to these efforts to establish an effective develop-





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mental state by reforming the public administration and management system, there is a parallel movement towards popular participation and the empowerment of civil society.

More than a decade of reform in Africa has fostered awareness among policy-makers of the virtues of increasing private sector participation in the economy, while reducing the role of the state in the productive sector. Many countries have moved away from centrally planned economies towards free-market economic systems, as in the case of Burkina Faso, Ethiopia, Ghana, Mozambique and Tanzania. Recognizing their vast potential, countries have adopted policies designed to expand and diversify private sector activities and to stimulate and sustain private investment, both domestic and foreign.

In an attempt to create a more market- and investor-friendly climate, countries have substantially changed their investment codes and established centers to promote, coordinate and support local and foreign investments. More and more large-scale state-owned enterprises are being privatized, and bankrupt parastatals and public enterprises are being restructured and liquidated (e.g. in Côte d'Ivoire, Ethiopia, Ghana, Mali, Tanzania, Zambia and Zimbabwe). While privatization is uneven across the continent as a whole, the move towards privatization has increased significantly.

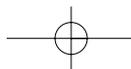
### The policy challenge

After almost two sluggish decades, Africa's economic and financial performance has improved in recent years in the context of structural adjustment programs. African countries are being encouraged to undertake second-generation reforms that involve reductions in unproductive government spending (such as prestige spending and military build-ups), privatization and/or restructuring of unprofitable government enterprises, civil service reforms, redirection of government spending towards basic health and education, and the creation of an enabling environment for the private sector. These reforms highlight the importance of greater accountability in government and corporate affairs, and the need to address corruption and cronyism.

Nevertheless, political governance institutions remain fragile in many African countries. The most feasible reforms of economic governance are therefore likely to be those that focus on participatory service delivery and increased transparency. Both these approaches aim to empower and enable citizens and their public counterparts to engage more directly with one another. Indeed, public sector management appears strongest in those African countries where press freedoms are most extensive. A strong emphasis on participatory service delivery and transparency is emerging as an excellent counterpart to democratic decentralization.

Good governance requires not only a baseline of consensus on the rules of game, but also credible mechanisms for monitoring and enforcing these rules. The evolving geopolitics of the 21st century may create opportunities for strengthening "third-party" monitoring and enforcement. Nowhere are the potential and challenge of a regional





approach to monitoring and enforcement more evident than in countries emerging from civil conflict. This raises the issue of the role of regional African organizations in conflict prevention and resolution. In addition, the problem of weapons flow in the sub-regions and its ramifications outside Africa need to be tackled, including binding international codes of conduct for arms exports. There is also the question of whether tighter international controls on the export of natural resource-based commodities can play a role in reducing the resources available to rebel movements. Developing a broader regional approach towards the nexus of conflict management and economic development will be a high priority for Africa and its development partners in the 21st century.

## **Policies and interventions to promote good governance**

Over the last few years, the African Development Bank (AfDB) Group has given due recognition to the issue of good governance, for two main reasons. First, from the broader perspective, good governance promotes accountability, transparency, the rule of law and participation, and is central to creating and sustaining an enabling environment for development. Second, from the AfDB's perspective, good governance is inextricably related to the efficacy of the AfDB's investment, and is in line with its vision for sustained African development.

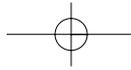
The following is a brief summary of the Bank Group Policy on Good Governance, which was adopted by the AfDB at the end of 1999. The policy reflects the views of representatives of Regional Member Countries (RMCs), non-governmental organizations, community-based organizations, civil society organizations and other development partners who participated in the workshop on good governance organized by the AfDB in March 1999. It also incorporates the suggestions and comments of board members, management and staff, made at various stages in the development of the policy.

## **Elements of good governance**

In operationalizing its agenda in the area of governance, the AfDB focuses on accountability, transparency, combating corruption, stakeholder participation, and legal and judicial reforms. However, the AfDB's interventions related to governance will depend on the individual country's circumstances and needs.

- **Accountability:** Operationalizing accountability involves public sector management, public enterprise management and reform, public financial management and civil service reform.
- **Transparency:** The AfDB will foster transparency through disclosure of information and public expenditure reviews, and help build capacity in public policy analysis and dissemination.
- **Combating corruption:** The AfDB's anticorruption efforts will focus on prevention and control of corruption relating to Bank-financed projects and programs; reduc-





tion of opportunities for rent-seeking and corrupt practices; consideration of initiatives taken to combat corruption, as a condition for the allocation of concessional resources; support for research on the nature, origin, development and impact of corruption on African societies; support for civil society capacity in investigating corruption matters; and sensitization of RMCs and assistance for those desirous of combating corruption.

- **Participation:** Bank interventions to enhance participation in RMCs will center on increased stakeholder participation in policy and project-cycle activities; expanded cooperation with civil society; support for economic cooperation and regional integration; support for decentralization through capacity-building at the various sub-national levels; and discussion of public and/or private sector interface in policy dialogue with RMCs.
- **Legal and judicial reform:** The AfDB regards the creation and maintenance of a predictable legal environment, with an objective, reliable and independent judiciary, as a pivotal component of good governance.

### **Instruments for enhanced governance**

The activities identified above will be pursued in collaboration with the Bretton Woods Institutions, other donors and international organizations, regional and specialized organizations, and bilateral agencies, through economic and sector work, policy dialogue, and lending and non-lending activities.

#### ***Economic and sector work***

The AfDB is well placed to raise and discuss the issues of good governance with its RMCs. Through policy dialogue, and in the context of economic and sector work and preparation of country strategy papers, the AfDB will continue to impress on member governments the importance of good governance for sustained development.

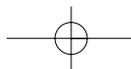
#### ***Advocacy role***

The activities identified to promote good governance will be pursued through a combination of advocacy, policy dialogue and consultation with RMCs. Therefore, the AfDB will continue to participate in and organize senior-level seminars, conferences and workshops.

#### ***Lending activities***

The AfDB has for some time now supported activities and programs that seek to improve governance. Such activities have, however, been largely designed as components of larger structural adjustment or sectoral adjustment operations. Although policy-based lending has started to address issues of governance more directly, projects that give mat-





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ters of governance their due priority and importance are still rare. To that effect, the AfDB's activities will aim at enhancing the effectiveness of public administration and development management. They will promote institutional support for capacity-building for policy analysis, oversight and audit functions, civil society organization and decentralization efforts in RMCs.

### ***Non-lending activities***

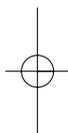
The emphasis of the AfDB's non-lending activities will be on the expansion of cooperation and collaboration with civil society organizations and other development partners by lending support and credibility to their advocacy role.

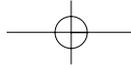
The effectiveness of the AfDB's activities in good governance will be ensured through policy harmonization and program coordination with partner institutions at the national, regional and continent-wide levels. Programming in this area will leverage the efforts of regional and international partners through existing coordination mechanisms, including donor Round Tables and country consultative meetings. The AfDB will collaborate with Bretton Woods Institutions and with specialized partner institutions in developing regionally relevant benchmarks, codes of conduct and indicators of good governance, to assist RMCs and improve priority-setting and activities in governance. These partner institutions include the Organization of African Unity, Economic Commission for Africa, World Bank, International Monetary Fund, Development Assistance Committee of the Organization for Economic Cooperation and Development, United Nations Development Program, and others.

### **Conclusion**

This paper has raised issues related to the policies of good governance adopted by international and regional development institutions such as the African Development Bank. It has argued that although good governance is now generally accepted as a necessary condition for sustained development and occupies center stage on Africa's development policy agenda, there are difficulties at the conceptual and operational level in devising interventions to support policies of good governance in African countries.

International development agencies should devise policies and programs to assist African countries in improving their systems of governance. Attempts to link governance to development, however, remain at the general aggregated level, which limits their usefulness in guiding policy and program interventions. Attempts to devise policies in support of good governance, such as those of the African Development Bank, are thus currently broadly defined. In order to use scarce resources effectively and efficiently in support of good governance, specific indicators of the linkages between good governance and sustained economic development are required. A major challenge facing international development institutions in the coming years is, therefore, the development of





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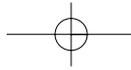
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such indicators to guide their interventions. This area could be addressed successfully by both M&E and good governance initiatives.

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# 5

## New dimensions of poverty-focused evaluation within a Comprehensive Development Framework

BONIFACE ESSAMA-NSSAH<sup>1</sup>

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### Introduction

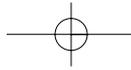
The World Bank Group has decided in recent years to embed its vision of a world without poverty in an approach known as the Comprehensive Development Framework (CDF). The CDF pilot countries are Bolivia, Côte d'Ivoire, the Dominican Republic, Eritrea, Ethiopia, Ghana, Jordan, the Kyrgyz Republic, Morocco, Romania, Uganda, Vietnam, and the West Bank and Gaza. Non-pilot countries such as El Salvador, Tanzania and Zambia are also implementing the CDF approach. Pilots are intended to provide an opportunity for learning, which entails formulating and disseminating lessons from experience. A report of May 2000 (see <http://www.worldbank.org/cdf>) notes that the pace and depth of progress have been uneven owing to unforeseen factors such as political conflict (Eritrea and Ethiopia) and changes in government or top political leadership (Côte d'Ivoire, Jordan and Morocco). In the Dominican Republic and the Kyrgyz Republic, the uncertainty associated with the run-up to national elections has affected the implementation of policies and programs.

The CDF requires development efforts to empower people to take charge of their destinies. From this perspective, the fundamental object of evaluation is the extent to which prevailing social arrangements promote, efficiently and equitably, individual and social capabilities for a better life.

This paper examines some implications of this view of development for poverty-focused evaluation. More specifically, the paper identifies and discusses the new challenges that the CDF poses to poverty-focused evaluation in the context of the new Poverty Reduction Strategy Paper (PRSP) program, which is expected to become a key instrument in a country's dialogue with its development partners. The PRSP is intended to enhance the poverty focus of all concessional lending by the World Bank and the International Monetary Fund. The program was launched in September 1999. The PRSP

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documents both the content and the process of the strategy prepared by a particular country according to the principles of the CDF. Thus, the CDF is the constitution that governs the PRSP process.

## **Development and poverty-focused evaluation**

The CDF's approach advocates the key principles of country ownership, comprehensiveness, coherence, focus on outcomes and long-term perspective. Within such a framework, what are the implications of the above vision of development for poverty-focused evaluation? To answer this question, we need to consider the basic structure of social evaluation and clarify the concept of poverty. This information is vital for the identification of the relevant objects and methods of evaluation.

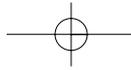
There is an intimate relationship between evaluation and development, as the very definition of development involves an evaluative judgment. The concept of development hinges on the notion that some things are worth promoting (Sen, 1989). This fact raises two important issues that have to be faced in social evaluation: the yardsticks accepted by different people can differ, and the process of transformation induced by development alters the valuations of the people involved. Sen (1989) refers to these two problems as value heterogeneity and value endogeneity, respectively. It is therefore necessary to determine the relative weights of different competing values in assessing individual advantages and social progress.

If development is about empowering people to take charge of their destinies (Wolfensohn, 1998), then poverty is the lack of basic capabilities to lead the kind of life one values (Sen, 1999). From this perspective, the identification of poverty should go beyond income levels, which is not to deny that inadequate income leads to capability deprivation. According to its proponents, the capability approach to poverty assessment enhances the understanding of the nature and causes of poverty by shifting the focus from means to legitimate ends.

Finally, there is a fundamental complementarity between individual agency and social arrangements, and an effective fight against poverty requires that individual freedom be seen as a social commitment (Sen, 1999). From this perspective, the fundamental object of evaluation is the extent to which prevailing social arrangements promote individual freedom.

## **Methodological issues**

Any evaluation entails three fundamental aspects: the identification of the object of evaluation along with its valuable dimensions; the valuation of the various components of the object; and the formulation of an overall judgment. In essence, social evaluation involves a comparison of social states in terms of individual advantages and social



progress. A social state may be characterized by the distribution of living conditions, including the underlying social arrangements. In this context, the fitness of a social arrangement may be judged on the basis of the quality of life it supports. In this section two objects of evaluation are considered: living standard outcomes and the underlying social arrangements. Some of the measurement issues emerging in poverty-focused evaluation, more specifically associated with the valuation of the various components of the living standard, are also discussed.

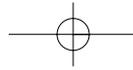
### Valuable dimensions of the living standard

The standard of living is the yardstick by which we measure the performance of a socio-economic system. The rewards that individuals get from their participation in society are reflected in their standard of living. Approaches to measuring living standards depend essentially on which personal features are deemed important in the assessment of well-being or the realization of any life plan.

Within the so-called “welfarist” approach, indicators of standard of living are based solely on individual preferences or utility. Given the fundamental economic assumption that consumers purchase the perceived best bundle of goods they can afford, the level of expenditure (or consumption) has emerged as a preferred indicator of the living standard within this approach. Strictly speaking, expenditure is a flow measure of economic welfare that ignores such items as non-market goods and non-material human conditions, whose value is not translated into consumption behavior. This measure also neglects life-cycle issues. If data are available only at the household level, it is necessary to normalize such data, taking into consideration household size and composition and differences in market constraints facing different households.

“Non-welfarist” approaches emphasize such things as primary goods, resources, opportunities for welfare, access to advantage and capabilities. Sen (1995a) argues against approaches based solely on the notion of income or one’s command of commodities (opulence). He suggests that the standard of living be thought of in terms of human functionings and capabilities. Functionings are the various living conditions achieved by an individual and represent the set of interrelated activities and states (“doings” and “beings”) that constitute an individual’s life. Capabilities refer to the ability to achieve functionings; that is, they define the freedom of choice or the opportunity set. Sen (1995a) contends that the value of the standard of living lies in the living itself. However, the application of the capability approach relies on the resources or commodities needed to attain those capabilities. These resources may vary in time and space according to prevailing social customs and cultural norms, which are in turn influenced by economic factors. A similar perspective is shared by Becker (1995), who concludes that a country’s standard of living is primarily determined by how well it succeeds in developing and utilizing the skills, knowledge, health and habits of its population. Indeed, both health and education have synergetic effects on well-being and the formation of human capital.





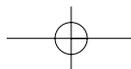
In the context of PRSP, the international development goals set for the year 2015 (relative to 1990) by the Development Assistance Committee of the Organization for Economic Cooperation and Development focus on the following dimensions of the living standard: income, health, education (with particular attention to gender equity) and environment. These goals are: to reduce by half the incidence of extreme income poverty (the proportion of people living on less than a dollar a day); to reduce infant and child mortality by two-thirds; to achieve universal enrolment in primary education; to eliminate gender disparity in education by 2005; and to implement national strategies in all countries by the year 2005 to reverse trends in loss of environmental resources by 2015.

### **Social arrangements**

Social arrangements constitute the medium of interaction among socio-economic agents and comprise both state and civil society institutions. Thus, it is clear that social arrangements are critical to the effectiveness of development efforts and should be one of the foci of social evaluation. They may be viewed as the “software” that runs the development process.

An important issue in this context relates to the distribution of roles between the public and the private sectors in the production and distribution of goods and services. The emerging consensus sees the government and markets as complements and not substitutes. Thus, the government is expected to play a significant role in the provision of infrastructure in the broadest sense of the term, including educational, technological, financial, physical, environmental and social (Stiglitz, 1997). In principle, the rationale for government action stems from market failure or equity considerations. Markets tend to fail in the presence of public goods (e.g. public health, defense), externalities (e.g. pollution or immunization), natural monopolies and asymmetric information.

There are two defining characteristics of a public good: its benefits are non-rival in the sense that consumption by one individual does not reduce the consumption opportunities available to others; and once the good is provided, those who did not contribute to the provision can ride free on the efforts of the providers. Thus, benefits from a public good are non-rival and non-excludable (Sandler, 1997). Club goods are those whose benefits are partially rival and can be excluded by charging a toll (e.g. to use a toll road or a park). In the case of club goods, rivalry is due to crowding. An externality is an interdependency among actors that is not taken into consideration by a market transaction. In other words, the actions of one party create a cost or benefit for another, and this cost or benefit is not accounted for by the market price. For example, a firm may cause pollution without necessarily facing the cost of dealing with it. An example of information asymmetry is the case where one party in a transaction has an informational advantage over the other; that is, the better-informed party knows something of value that the other party does not.



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When information is imperfect and markets are incomplete, the costs of acquiring information and establishing markets make it possible to identify interventions that could make some individuals better off without making anyone else worse off (Stiglitz, 1998a). In other words, the market mechanism does not lead to even a constrained Pareto optimum. Markets may be incomplete if consumers undervalue services, as is often the case with primary education and preventative health care.

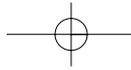
The above considerations suggest that the government has a special responsibility in creating the necessary institutional infrastructure for effective market operation. This should include at least effective laws and the legal institutions to enforce them. Such a legal system pertains to property rights, contract enforcement and the promotion of competition. Stiglitz (1998a) notes that the precise role of the government is bound to evolve over time, depending on the thinking of the time and technological changes. He cites the case of telecommunications and electricity, which used to be considered as natural monopolies in order to justify public provision. Now, owing to technological advances and the acceptance of complementarity between the public and the private sector, competition is viable in large segments of those markets subject to an appropriate regulatory structure. The challenge facing the policy-maker is, therefore, to design a regulatory structure that would promote competition where it is viable and prevent the abuse of a monopoly where competition is not possible.

The view that the role of the government should be considered as complementary to that of the private sector has implications for both the choice of the mode of intervention and the specification of a counterfactual for the *ex post* evaluation of a public intervention. There may very well be a strong rationale (such as imperfections of information or competition, or incomplete markets) for public intervention to alter access to a particular good or service; however, it does not necessarily follow that the government can provide the good efficiently and effectively (World Bank, 2000a). Just as markets can fail, so too can government. In fact, developing countries are characterized by pervasive market failure and pronounced government limitations.

Another valuation issue in this context relates to the cost of public funds. In principle, the cost of public intervention can be approximated by the additional fiscal burden imposed by the activity, assuming that consumers are charged the full amount they are willing to pay (Devarajan et al., 1997). The consumers' willingness to pay is an indicator for potential private intervention, and an assessment of this factor can help determine the volume of services the private sector would have provided, taking into account the profit motive.

The importance of macroeconomic stability for sustainable development requires fiscal balance. This view is compatible with the CDF's emphasis on a holistic approach to development. Thus, the government has to recoup the costs somehow, possibly through taxation.





Another important issue that ties up neatly with the CDF approach relates to fungibility. As noted by Haberger (1997), the issue of fungibility matters when one is concerned about evaluating a loan associated with a project from the point of view of the lending agency. The concern here is that borrowed funds would relax the government budget constraint to the extent that the government's own funds would end up financing bad projects or projects that are not even evaluated.

## Measurement issues

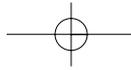
As one begins to conduct poverty-focused evaluation, a series of measurement issues begin to emerge. These issues include clarifying the object of measurement, developing appropriate instruments, and defining an efficient process for monitoring poverty.

### Object of measurement

The above dimensions of the living standard represent the basic set of outcomes that a poverty-focused development strategy has to seek. They are consistent not only with the fundamental vision of the CDF, but also with the three pillars of the *World Development Report 2000/2001* (World Bank, 2000b): opportunity, empowerment and security. However, the requirement of result orientation raises serious challenges to the assessment of outcomes for the purpose of impact evaluation, particularly in the areas of health, education and environment. This is not to say that the money-metric approach is without measurement problems of its own. In general, this approach requires information on prices and quantities, and as Sen (1995b) puts it, sometimes this information is hard to get and easy to hide.

Baird (1998) identifies some of the challenges that the above goals pose to the evaluation community. He points out the need to assess the feasibility of these global goals in the light of country-specific circumstances. He argues that current performance evaluation cannot rely on objectives that have been set for the next 10 to 20 years, and stresses the need for well-specified intermediate steps against which to measure progress. Identification of these steps requires a deep understanding of what needs to be done, when, how and by whom, in order to achieve those goals. Such an understanding provides a theory that links efforts to outcomes, a useful input in theory-based evaluation. Theory-based evaluation relies on the nature of the linkages among inputs and activities, and outcomes (Weiss, 1998).

Narayan et al. (2000) discuss some of these challenges in the education sector. They note that many poor people around the world would like to be literate, yet when they are asked about their priorities, schooling receives little mention. This observation suggests that poor people view education as an escape from poverty, only if it is of good quality and society offers opportunities for employment.



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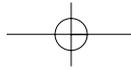
While recognizing the importance of health and education as key components of a country's standard of living, it should be noted that they are not easy to measure, particularly if one is interested in outcomes and impact. The field of education has traditionally focused on the numbers of schools, the numbers of teachers, student enrolment and repetition rates. At best, these statistics reveal the extent of educational opportunities. For an informative evaluation of individual advantage and social progress, it is necessary to measure the learning outcomes of education; that is, what it is that people learn given the educational opportunities available to them.

Learning involves knowledge, skills, critical thinking and values. The 1990 World Declaration on Education for All of the United Nations Educational, Scientific and Cultural Organization states: "Whether or not expanded educational opportunities will translate into meaningful development for an individual or for society depends ultimately on whether people actually learn as a result of those opportunities, in other words, whether they incorporate useful knowledge, reasoning ability, skills, and values" (see Greaney & Kellaghan, 1996). The performance of an education system is increasingly important in the face of globalization, which implies that the competitiveness of an economy hinges on the ability of workers and managers to cope with rapid movement of capital and rapid technological advances. A recent report by the Task Force on Higher Education and Society (World Bank, 2000c) concluded that, without more and better higher education, it would be increasingly hard for developing countries to benefit from the global knowledge-based economy.

National assessments based on representative samples of student populations are emerging as the preferred tool for the production of outcome indicators for educational systems. A national assessment collects three main categories of information: cognitive outcomes of instruction that reveal competence in subject matter, such as word knowledge and reading comprehension; affective outcomes, such as attitudes towards specific subjects, values and levels of interest; and contextual information on background variables pertaining to school and non-school factors that may contribute to student achievement. The third category of information may include such aspects as teacher qualifications and frequency of attendance at courses, class size, length of school day and school facilities. It allows an examination of interactions of inputs, processes and outputs, and an understanding of such interactions is crucial in policy-making (Greaney & Kellaghan, 1996).

Health status, the primary output of the health system, traditionally includes such dimensions as life expectancy, mortality, morbidity, nutritional status, management of fertility and disability. The concept of life expectancy is based on the notion of probability of death. The age and time-specific annual probability of death is the probability that an individual of a given age at a given time will die within a year. In a large population, this probability can be estimated *ex post* by the ratio of the number of deaths to the number of individuals of the given age group alive at the beginning of the year. Morbidity relates to conditions associated with illness. The number of people with a given disease at a given date represents the prevalence of that disease, while the rate of





infection of new individuals represents the incidence of the disease. Note that while death is a binary variable, morbidity is continuous and multidimensional, with both objective and subjective components. These attributes of morbidity make its quantification difficult (Jack, 1999).

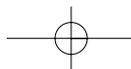
Yet health status is the result of a complex interaction between household behavior, household resources and the community's physical and social environment (World Bank, 2000a). In addition, health is of significance not only for the entire population, but also for all stages of life. Therefore, in assessing health outcomes, it is important to recognize the importance of non-health sector inputs, such as the role of infrastructure. A health assessment should be framed in terms of the life cycle, from pregnancy, through birth, infancy, childhood, the school years, adolescence, adulthood and ageing, including the reproductive period. An additional important fact to keep in mind is that outcome indicators tend to move slowly and the surveys that produce them are conducted only every few years. This underscores the need to devise short-term indicators that are compatible with the long-term objectives.

Consistent with the Rio Declaration, from the 1992 United Nations Conference on Environment and Development, the CDF also argues for the integration of environmental concerns into the design and implementation of development strategies. This perspective implies that national accounts, for instance, should take into consideration the interaction between socio-economic activities and the natural capital represented by the stock of such assets as soil, minerals, forests, water, wetlands and atmosphere. These are assets in the sense that they provide a stream of renewable and non-renewable goods and services.

Accounting for the environmental effects of development activities requires a sound understanding of ecological processes and their relationship with the socio-economic system. Current understanding of these phenomena is quite limited, which poses a serious challenge for evaluation.

Ongoing efforts to value environmental assets distinguish two broad categories of values, use and non-use values. Use values are based on the benefits that people derive from the utilization of the assets, for instance the productivity value of good soils, the health benefits of clean water, and the protection of watersheds by woodlands. In addition, some of these resources have option values based on potential future use. For example, current biodiversity has the potential to provide new medicine in the future. Non-use values relate to the intrinsic worth of the natural world beyond its value to human beings in terms of food, medicine, recreation, ecological services, and so on (Serageldin, 1995).

The above environmental considerations clearly reveal that gross domestic product is a distorted measure of socio-economic performance, to the extent that undesirable outputs such as pollution are overlooked and most environmental inputs tend to be implicitly valued at zero prices (Lutz, 1993). Thus, some scholars have argued for the develop-



ment of a measure of environmentally adjusted net domestic product, and one of environmentally adjusted net income. Further details of this accounting framework are discussed in Lutz (1993).

## Measurement instruments

In general, a household survey is the preferred instrument for measuring variables that are considered important for well-being. This approach is based on the use of a representative sample to infer attributes of a general population. Several important issues are associated with the design and implementation of household surveys: the reliability of the sampling method; the cost of the operation; irreversibility, stemming from the fact that it is difficult to change a survey's mode of operation or to use the associated data for purposes other than those imbedded in the original design; confidentiality of some private information; and the degree of comprehensiveness of the generated data set with respect to household characteristics and activities (Deaton, 1997).

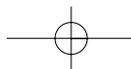
The discussion of measurement issues requires a broadening of the informational focus implied by the CDF perspective. It is well known that the money-metric approach to poverty analysis focuses more on quantitative data on material resources available to individuals or households. This approach fails to capture information on people's ability to transform means into valuable ends; it also fails to provide adequate information on the determinants of some observed outcomes. Thus, it is desirable to combine both the quantitative and qualitative approach to poverty analysis. Carvalho & White (1997) argue convincingly that such an integration may be done at three levels: integrating methodologies; conducting an integrated analysis, whereby the findings of one approach are compared with those of the other to confirm, refute, enrich or explain them; and merging the findings of the two approaches into an integrated set of policy recommendations.

The CDF has implications for the data collection process that go beyond the traditional quantitative versus qualitative debate. Of particular interest here, is the distinction made by Hentschel (1998) between contextual and non-contextual methods of data collection. Contextual methods attempt to capture human behavior within the social, cultural, economic and political environment of a locality, and data recorded by such methods may be quantitative or qualitative. Both the method and data type should be considered as a continuum, where a given investigation uses a more or less contextual approach and produces more or less quantitative data.

## Poverty monitoring

Any effort to measure the above-described components of the living standard should keep a constant focus on poverty. The strategic needs of poverty reduction require monitoring and analyzing the distribution of living conditions over relevant socio-economic groups, as well as changes in this distribution over time. Such changes may be due to some exogenous shock, or they may be a result of policy reform.





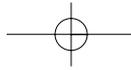
What then are the desirable properties of a poverty monitoring system? Simply speaking, a poverty monitoring system may be viewed as an input-output device. Human and non-human resources are mixed within an institutional framework to produce policy-relevant information on living conditions. Thus, the desirable properties of such a system may be studied in terms of these three dimensions – information, institutional structure and resource base. The discussion that follows focuses on the first dimension, namely information.

A good poverty monitoring system should produce information on the distribution of living standards that is policy-relevant, reliable and timely. The issue of reliability in measurement instruments has already been discussed, and many of the issues in that context also affect the timeliness of the output. Policy relevance has implications for the structure of the required data. In order to take effective action to reduce poverty, it is not enough to know where and when poverty is greatest; we also need to know why. This concern adds to the need for the monitoring system to produce integrated quantitative and qualitative information. This is the true meaning of an integrated survey.

A picture of the distribution of the living standard at one point in time provides not only a benchmark against which to assess future progress, but also a means of identifying target groups, commodities or activities that deserve special attention in the design and implementation of poverty alleviation policies. What then are the socio-economic groups that deserve special attention in such a context?

Traditional arguments for targeting are based on the notion of the cost-effectiveness of policy implementation. Such effectiveness is understood as a matter of maximizing the poverty alleviation benefits associated with an accurately targeted policy from a given “pot of resources” (Sen, 1995b). However, there are both direct and indirect costs associated with targeting. Such costs relate to the need to identify the poor and police the implementation of the program, and to the fact that a targeted policy may create incentives for beneficiaries and others to change their behavior. Thus, the more accurate the targeting, the costlier it is. In the search for characteristics by which to classify individuals or households, it is therefore recommended to give priority to those that may be difficult to adjust (e.g. gender and age), and to those that lead to the identification of broader groups (e.g. the region of residence).

In addition, children and women deserve special attention in the fight against poverty, because they tend to be among the most vulnerable groups. Investment in these groups also tends to have higher social returns than for other groups in society, as is the case with education and health. Furthermore, age and gender concerns have implications for the choice of the unit of observation. In the case of data collected by survey methods, the household is the standard unit of observation. If the well-being of women and children is an important social concern, then a good poverty monitoring system should provide information on the distribution of the living standard within the household.



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The geographical dimension of the data gathered is also important for decentralized planning. Regional disaggregation should therefore be consistent with the governance structure in place, and not necessarily with the ecological configuration of the country. The governance structure reveals the distribution of public decision power among various levels of government.

This brief discussion of the structure of requisite information suggests that it is desirable to have an integrated and comprehensive information set on the living standard of the population. The data set is integrated to the extent that it combines both qualitative and quantitative information on individuals and the community in which they live. It is comprehensive with respect to both the population and the dimensions of well-being that it covers. This is compatible with the holistic approach to development promoted by the CDF.

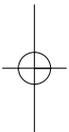
### **Accounting for heterogeneity and interactions**

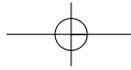
Evaluating public policy requires an assessment of the likely responses of the socio-economic system to the policy (Dasgupta, 2000). This is the basic idea behind the specification of the counterfactual, and highlights the fact that behavior is at the heart of the development process. Furthermore, the enactment of a policy involves a differential distribution of gains and losses among individuals or socio-economic groups with different preferences, values and needs. Thus, the response of individuals or groups to a policy depends on the incentive properties of such a policy; that is, the extent to which participants perceive that it is in their best interest to act according to the objective of the policy.

Social costs implied by informational and incentive distortions affect the behavior of participants in a social arrangement. Such costs have to be carefully assessed, along with political feasibility and acceptability, in the context of social evaluation. In addition, it is important to note that evaluation itself is an important institution that supports the process of learning and decision-making, and helps establish accountability (Stiglitz, 1998b). In the approach promoted by the CDF, the development impact of a project goes beyond the direct returns associated with it to include lessons from its success or failure. As an institution, evaluation is not immune to informational and incentive distortions, and these have to be taken into consideration when designing an evaluation strategy.

### **Value heterogeneity**

The judgment of the aggregate merit of a state of affairs is based explicitly or implicitly on a rule for combining the different valuable aspects involved. This step in the evaluative process requires aggregation over heterogeneous components of the living standard (income, health, education, etc.), and over diverse individuals and socio-economic





groups. This raises the fundamental issue of the weight to be attached to each element of the aggregate.

### **Dominance**

Once a set of significant components has been selected, such as the ones associated with the international development goals, the comparison of policy outcomes may be based on the relation of dominance. This is analogous to comparing social states on the basis of the Pareto criterion. According to this criterion, if a given state *a* provides more of a valued component than state *b*, and as much of all the components, then the dominance principle will rank *a* ahead of *b*. This idea is commonly used in the analysis of the distributional impact of a policy reform within the money-metric approach.

### **Efficiency and equity**

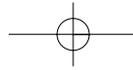
The enactment of a policy involves a differential distribution of gains and losses among individuals or socio-economic groups with different preferences, values and needs. Any such distribution is characterized by two parameters: the mean and the inequality. These two parameters relate to two fundamental concepts in socio-economic evaluation: efficiency and equity. Efficiency is based on the assumption that more of a good thing is preferred to less. It is important to pay attention to equity for the following reason, given by Aristotle: "It is when equal have or are assigned unequal shares, or people who are not equal, equal shares, that quarrels and complaints break out" (cited in Young, 1994: 64).

### **Conclusion**

This paper sought to identify and discuss the challenges that the CDF raises for poverty-focused evaluation in the context of the Poverty Reduction Strategy Initiative, by crossing the basic structure of social evaluation with the principles of CDF (which also govern the PRSP).

The CDF represents a natural evolution of the role of the World Bank Group, and is consistent with the current view of development that emphasizes individual agency in identifying valuable components of the living standard. From this perspective, development is about empowering people to take charge of their lives. This approach to development stresses that behavior is at the heart of development.

The implications for poverty-focused evaluation point to two basic evaluative questions: What are the right things to evaluate? And, what is the right way to evaluate them? Fundamentally, there is an intimate relationship between evaluation and development, as the definition of development is based on an evaluative judgment. Development includes aspects of the quality of life that are worth promoting, and social evaluation is concerned with the consequences of public action. In principle, the CDF must govern evaluation too. Evaluation should focus on both outcomes, in terms of valuable compo-




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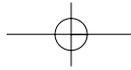
nents of the living standard (health, education, income, etc.), with particular attention paid to the deprived and the social arrangements that underpin them.

If behavior is at the heart of development, then evaluation methodology should pay particular attention to the socio-economic incentives that motivate people and the governance structure that constrains their actions. Based on principles such as country ownership, coherence, comprehensiveness and long-term perspective, the CDF calls for a “contextual” approach to social evaluation, where both the object of evaluation and the evaluation function must be placed within their respective contexts. This has key methodological and institutional implications: the specification of the counterfactual hinges on understanding the interaction between the object of evaluation and its environment; the monitoring and evaluation function should be an integral part of the development process; and evaluation should be participatory, to ensure the relevance of the underlying value judgments. These, along with the valuation and political difficulties discussed in this paper, are the challenges facing the evaluation community, and the development of evaluation capacity in developing countries.

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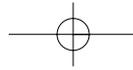


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## New evaluation trends in public policy reform and governance

KEITH MACKAY<sup>1</sup>

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### Introduction

This paper outlines a number of trends and recent developments in public policy reform and governance, and discusses their implications for efforts to strengthen African countries' monitoring and evaluation (M&E) functions. The focus is on efforts to strengthen the M&E functions of governments, but there are also many important implications for civil society and its many actual or potential roles in M&E.

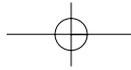
Three key themes are discussed. The first is the importance of understanding emerging opportunities and trends in the broad area of governance. These developments shape the overall debate and climate for change within the development community. By understanding this overall climate, we can better understand and predict the pressures and opportunities for M&E that individual countries will face.

Second is the need to analyze the environment of each country we work in. This provides the context and realities within which we must all operate. Put differently, it would be a mistake to apply some "blueprint" approach to governance in each and every country. A key lesson from past governance efforts and capacity-building work is the importance of tailoring the work to the circumstances prevailing in that country. This is a two-way street. No country is an island, and the lessons learned from development in other countries, and the emerging priorities across the African continent, are likely to play a strong role in the expectations of and for any state in the region.

The third theme is the need to tailor our efforts to strengthen national M&E functions – known as evaluation capacity development (ECD) – according to a country's particular circumstances. This is, of course, true of any type of national capacity-building, but specific considerations need to be addressed when preparing an ECD strategy and action plan for each country. In particular, it is important to diagnose the country's circum-

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stances in detail, to identify clearly and realistically the opportunities and constraints that exist.

## **New directions in public policy reform and governance**

One area in which many strands and priorities of public policy reform are converging is the emphasis on results, or the effectiveness of different types of development effort. There is now a much greater focus on finding out which types of government and donor intervention work well, which do not, and the reasons why. This can be understood more clearly when a number of separate but related areas of public policy reform and governance are examined.

### **Governance**

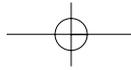
Throughout the 1990s, there was a growing emphasis on the general area of governance, and it became much more widely appreciated within the development community that the quality of a country's governance arrangements is a powerful determinant of development success (see, for example, World Bank, 1997). Governments play an important role in the delivery of goods and services to ordinary citizens, and in framing the environment in which the private sector and non-profit organizations operate. The qualitative nature of a government's activities – the quality of the goods and services that it provides, and the rules, regulations, laws, taxes and economic policies that it determines – are central to a country's economic and social health.

There is strong evidence to support the proposition that sound governance arrangements are crucial; conversely, there is clear evidence that significant weaknesses in governance can substantially undermine a country's development efforts (World Bank, 1997). In particular, the combination of sound economic policies and capable state institutions produces much faster economic development. All country assistance strategies that the World Bank prepares are now required to diagnose the state of governance in the country, as well as possible risks from corruption. These diagnoses also have a strong influence on the amount of concessional International Development Association financing available for eligible countries.

Among specialists in public sector management issues, there is a growing, though still imperfect, appreciation that the empirical dimension is important to their work. In other words, reliable performance information and evaluation findings support sound public sector management in at least three areas:

- As an aid to sound management within government ministries and agencies – the learning function of M&E
- To enlighten and support Cabinet or government decision-making by providing information on the likely benefits and costs of alternative policies, programs and projects





- To provide the evidence necessary for the accountability of governments to civil society, Parliament, the private sector and donors, and to underpin accountability relationships within the government (between sector ministries and the finance ministry, for example, and between officials and elected government)

## Corruption

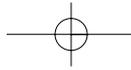
A related change in recent years has been an increasing willingness to discuss and address corruption publicly – it is generally no longer viewed as a taboo subject. Corruption within the government acts as a tax on development, is an impediment to the efficient operation of markets, and frustrates the development of a service-oriented culture within a country’s civil service. Concern with corruption often centers on the “leakage” of government or donor funds, concerns about aid effectiveness, and the accountability of governments to civil society, donors and the private sector.

Corruption can occur on a grand scale, involving large-scale leakage of government or donor funds, and at the petty level, such as payment of bribes by companies and ordinary citizens to gain access to government services or licenses. Addressing corruption effectively can prove difficult, but it can be reduced by greater transparency in government activities: tracking the flow of funds to particular sectors and projects, and ensuring that funds are spent in the manner intended, such as for the construction of roads, employment of health staff, purchase of textbooks, and so on. Performance indicators and other M&E tools provide information on government spending and what it achieves. This information can be used to identify discrepancies between amounts that are claimed to have been spent on particular projects and sectors, and what is actually achieved in terms of facilities constructed, services delivered and their impact.

For example, expenditure-tracking surveys have been conducted in Uganda for several years. These surveys trace what happens to government funds appropriated for schools and health clinics, and follow the flow of funds from the finance ministry to the head office of the sector ministries, down to their district offices, and then on to schools and health clinics. The World Bank conducted the first such study in 1996, with the support of the Ugandan government, the University of Makerere and a local consulting firm (World Bank, 1999). One of its findings was that while most medical supplies bought by the health ministry did reach health clinics, up to 70 percent of supplies and drugs were appropriated and sold by clinic staff, who had very low salaries.

There are several lessons from this example. One is that an in-depth survey can provide information and evidence where official data are weak. Another is that “hard data” are much more persuasive than anecdotal claims. Finally, most M&E tools can be used fairly readily in most developing countries, without any need for ongoing donor support or involvement. For example, in Uganda, a local consulting firm now undertakes expenditure-tracking surveys.





## Comprehensive Development Framework

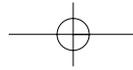
A third development has been the articulation of the Comprehensive Development Framework (CDF). The World Bank and a number of other donors advocate this set of principles as a good-practice, integrating approach to development. The key principles include:

- There is a need for national approaches to development to be comprehensive and holistic, encompassing all sectors of the economy and their interrelationships. Of particular relevance to M&E is the emphasis on good governance and clean government.
- The country should be in the driver's seat, having full ownership of the development strategy and giving direction to the development agenda, with the support of all other actors.
- There should be a partnership between the government, civil society, the private sector and donors. This approach is intended to ensure coordination and consistency in development efforts, and leads to more emphasis on sector-wide approaches and programmatic lending.
- There should be an emphasis on results; that is, on development outcomes, which are often framed in terms of the international development goals.

The results orientation of the CDF is particularly relevant to the focus of this seminar. It reflects the importance of articulating the country's development goals clearly and measuring the extent to which these goals are achieved; in other words, the country's actual performance. The measurement of this performance requires, at the very least, the availability of reliable national statistics on development, in areas such as poverty, health and education. In addition, the formulation of national development strategies requires a deep understanding of the extent, nature and causes of the development challenge, as well as of the relative contribution of the various development partners in achieving this performance. This requires the availability of a wider range of monitoring information and evaluation findings if it is to be done well.

## Highly Indebted Poor Countries initiative

For many of the poorest countries, debt relief is possible under the Highly Indebted Poor Countries (HIPC) initiative. About 41 countries are covered by this initiative, of which 33 are in sub-Saharan Africa. There is particular emphasis on developing a comprehensive poverty reduction strategy, which is prepared by each government with support from the World Bank, the International Monetary Fund and others. Moreover, preparation of a Poverty Reduction Strategy Paper (PRSP) is a requirement for countries to be eligible for debt relief under the HIPC initiative. The PRSP should be prepared in accordance with CDF principles and be country-driven, with broad participation by civil society, key donors and regional development banks. Strategies should be linked to international development goals, with measurable indicators and progress.



With both the CDF and PRSPs, the emphasis on results provides an environment in which M&E has a potentially central role to play. The emphasis on the legitimate role of civil society in contributing to the poverty reduction strategy also encourages the input of civil society into assessments of government performance, as discussed below.

## Voice

Donors are placing increasing emphasis on the importance of “voice” – the participation of civil society in dialogue and decision-making. Donor advocacy of voice as an important focus for governments and donors helps to both legitimize the participation of civil society and promote it. The emphasis on voice – via vehicles such as the CDF and PRSPs – partly reflects concerns about the performance of a number of governments, and civil society provides another potential source of pressure on governments to improve their performance.

Civil society can play an important role for M&E in at least four ways. First, it can present beneficiary views on government service delivery. Ordinary citizens are the ultimate beneficiaries of most government services, and their level of satisfaction (or dissatisfaction) with these services provides an important input into any evaluation of the government’s delivery. A number of African governments regularly conduct service delivery surveys, also known as beneficiary surveys (see, for example, Langseth et al., 1995).

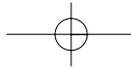
Second, it can produce analysis and reviews of government performance. A South African non-governmental organization (NGO), the Institute for Democracy in South Africa (IDASA), regularly conducts analyses of the government’s annual budget to identify the implications for particular groups in the community, such as children and women. IDASA also provides training and capacity-building support for a number of NGOs throughout sub-Saharan Africa to enable them to undertake such work in their own countries.

Another example of an NGO undertaking substantive reviews of government performance comes from Bangalore, India, where an NGO has conducted citizen surveys since 1993. The surveys focus on the services provided by the municipal government, such as water and electricity, garbage collection and hospitals. Ordinary citizens are asked about their level of satisfaction with these public services, which aspects are most or least satisfactory, whether government staff are helpful, and whether bribes have to be paid to officials to obtain these services. The results of the surveys have been widely published, with lively press coverage.

The surveys in Bangalore are undertaken for several reasons:

- To generate feedback from citizens on public services and to give each municipal agency an overall grade on its performance
- To identify which specific services are delivered well, or poorly
- To identify the breadth and depth of corruption, which is endemic in Bangalore





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- To encourage citizens to be more proactive
- To provide a diagnostic tool for the municipal departments so that their senior management can better understand their agencies' performance and identify aspects of the service where performance can be improved
- To provide an incentive for public agencies to be more client-oriented and transparent

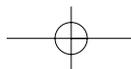
Similar citizen surveys have now been conducted for other cities in India, including Calcutta, Madras, Mumbai and Pune, and comparisons of a number of cities have been published.

The third way in which civil society can contribute to M&E is by providing independent scrutiny of monitoring information and evaluation findings that governments produce. A continuing challenge is to ensure that the M&E information prepared by sector ministries and other agencies is fully objective, independent and reliable. In some developed countries, governments insist that agencies that produce M&E information should be entirely separate from sector ministries; others set up evaluation units with independent reporting to ministry management; some set up more complex oversight arrangements involving a range of government stakeholders; and many rely on their national audit offices to review the M&E systems that sector ministries manage.

The publication and wide dissemination of monitoring information and evaluation reports are means of inviting critical comment from civil society groups, and from Parliament, on the veracity of the information provided. In Uganda, monthly transfers of government funds to schools are now reported in the press and on radio, and are displayed on public noticeboards in schools and district government centers. This step encourages a fuller flow of information to the ultimate beneficiaries of government services.

We have heard at this seminar that as many as 12 national evaluation associations exist or are being created in Africa. The development of stronger evaluation communities within African countries will encourage stronger feedback to governments on the quality of ministries' evaluation reports, especially if the trend towards greater transparency in government activities continues. Some governments have adopted freedom of information legislation, and this helps to encourage a climate of openness and information-sharing by the government's civil service.

Finally, civil society can play an important, and related, role as a user of M&E information. Such information is used in the budget analyses performed by IDASA and by an increasing number of other NGOs in sub-Saharan Africa. Most budget information that governments publish contains a great deal of technical terminology and jargon that are difficult to understand. Most of it is descriptive, with relatively little reported on the outputs, outcomes or impact of government activities. By digesting this information and making it more widely available to civil society, including the media, the budget analyses



prepared by NGOs can play a valuable role in ensuring budget transparency. This, in turn, should facilitate general understanding of budget priorities and make it easier for community groups and parliamentarians to engage in national debate on budget priorities.

### **Concern about aid effectiveness in Africa**

Another environmental factor influencing the debate about sound governance and M&E is the concern about aid effectiveness, especially in Africa. In a world of shrinking aid flows, there is a heightened emphasis on securing value for money from the aid contribution. This is closely related to the growing pressures for debt relief and for accountability.

### **Shift towards programmatic lending**

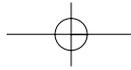
There is a growing shift from project-based lending towards programmatic lending that focuses on sectors. In Ghana, for example, there are regular joint government-donor reviews of the health sector that focus on policy priorities and sectoral performance. Some donor funds for this sector are pooled; this entails donors giving up the right to select which projects to finance, in exchange for having a voice in the process of developing sectoral strategy and the allocation of resources. In future, the World Bank's support to the health sector in Ghana will be closely linked to performance, specifically to progress in achieving sectoral development targets; some 20 performance indicators have been jointly agreed for the health sector. An interesting feature of the Ghanaian health sector reviews is the involvement of civil society, including members of the opposition political party.

The trend towards programmatic lending and the priority given to preparing PRSPs have resulted in a much sharper focus on sector performance. This is in terms of targets and the extent to which these are achieved, measured particularly by sectoral performance indicators. Sectoral performance indicators also have the potential to be used as "triggers" for donor funding. Performance indicators are therefore more than a technical issue; they might also become a political one. This could create difficulties for sector ministries and national statistical offices, which might perceive pressure to produce the "right" results. This again underlines the benefits of having independent judgments, from outside government, concerning the validity, objectivity and reliability of M&E findings.

The growing emphasis on a sectoral approach has implications for the types of M&E being conducted, especially those in which donors are heavily involved. Governments and donors are becoming increasingly aware of the need for sound national capacities to collect, analyze and disseminate statistics on sectoral performance.

A concern with overall sectoral performance in no way reduces the priority of local and community-based development efforts or the importance of ensuring adequate M&E of





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projects. However, it does imply a change of focus for donors and for the M&E activities in which they participate. A component of projects in the past, including investment projects, has often been the creation of project implementation units and efforts to build their M&E capacities. Unfortunately, the completion of the project typically means that the project implementation unit is disbanded, and the cadre of staff trained in M&E is often dispersed and may not continue with M&E work. This often means that M&E capacity-building efforts at the project level do not yield lasting benefits. In contrast, the increasing donor focus at the sector level can be expected to result in, among other things, an emphasis on strengthening the capacities of sector ministries, including their planning and M&E functions. Such capacity-building should be more readily sustainable.

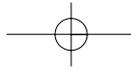
### Decentralization

Many developing countries are making efforts to decentralize government activities to regional and local levels. This trend reflects a number of factors, including concerns about the efficiency of central government ministries and agencies, and a desire to make central government more accountable to local communities and more responsive to the development challenges that they face. Decentralization can take a number of forms, depending on whether it simply creates central government units at the local level, or whether it extends to the devolution of decision-making powers – especially on spending – to regional or local levels (World Bank, 1997). In Africa, governments in countries such as Uganda are emphasizing the latter.

Decentralization offers a number of potential benefits, but it may also encounter various challenges. One issue is ensuring that effective arrangements are made to achieve full accountability at the regional or local levels. Particularly when decentralization involves transfers of funds from central government to regional and/or local government, greater accountability is often viewed as the quid pro quo for greater autonomy. This raises the issue of what information flows are needed from regional and/or local governments to both central government and local communities – it is therefore an issue of transparency. Intergovernmental transfers of resources are usually balanced by formal requirements to provide information on spending, services delivered and outputs provided by regional and/or local governments. In other words, ensuring the provision of M&E information is a higher priority, and this fosters closer scrutiny of government performance.

### Analyzing the environment of a country

Understanding the latest developments in governance reform in Africa and other regions helps us to understand the pressures and opportunities facing individual countries. In seeking to build M&E functions within a country, it is also particularly important to analyze the country environment; that is, the context and realities within which such



capacity-building takes place. This environment determines the types of M&E capacity development that are realistic to undertake.

A diagnostic guide has been prepared for analyzing the country environment and helping to identify the most feasible options for ECD. The guide also contains detailed checklists of issues that can be addressed when undertaking such a diagnosis (Mackay, 1999). A country diagnosis can be prepared by the government, donors, universities or others within the country. The diagnostic guide has been used in Ghana and Uganda, and will soon be used in Honduras and possibly other African countries. The anticipated results chain from these ECD efforts is shown in Figure 1.

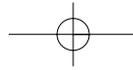
The guide has nine steps, which are outlined briefly below.

*Step 1:* Identify key ministries and stakeholders. These organizations are important to performance management within the government; they have a place in the government's resource allocation decisions, or in the ongoing management of sectors, programs and major projects, or in accountability relationships. They normally include the finance and planning ministries, the Office of the President or Vice-president or Prime Minister, the national audit office, Parliament, the major sector ministries, donors and major NGOs.

*Step 2:* Analyze the public sector environment, including incentives, ethics and the extent of corruption. This environment is a major determinant of the behavior of ministries, NGOs and individual civil servants. This assessment would encompass formal and informal norms of behavior and their enforcement; the extent of autonomy managers have; sanctions for poor performance, if any; the reputation of the civil service as regards competence, skills, capabilities and impartiality, and whether merit-based recruitment and promotion are the norm; wage disparities between the civil service and the private sector; the strength of accountability institutions; and the extent to which the voice of civil society is important. Many of these issues would need to be assessed very much on an impressionistic basis, relying on the judgments and experience of officials, academics, donor staff and NGO officials. This institutional assessment is designed to answer the questions: "Does a performance culture exist? If not, what are the obstacles to achieving it?"

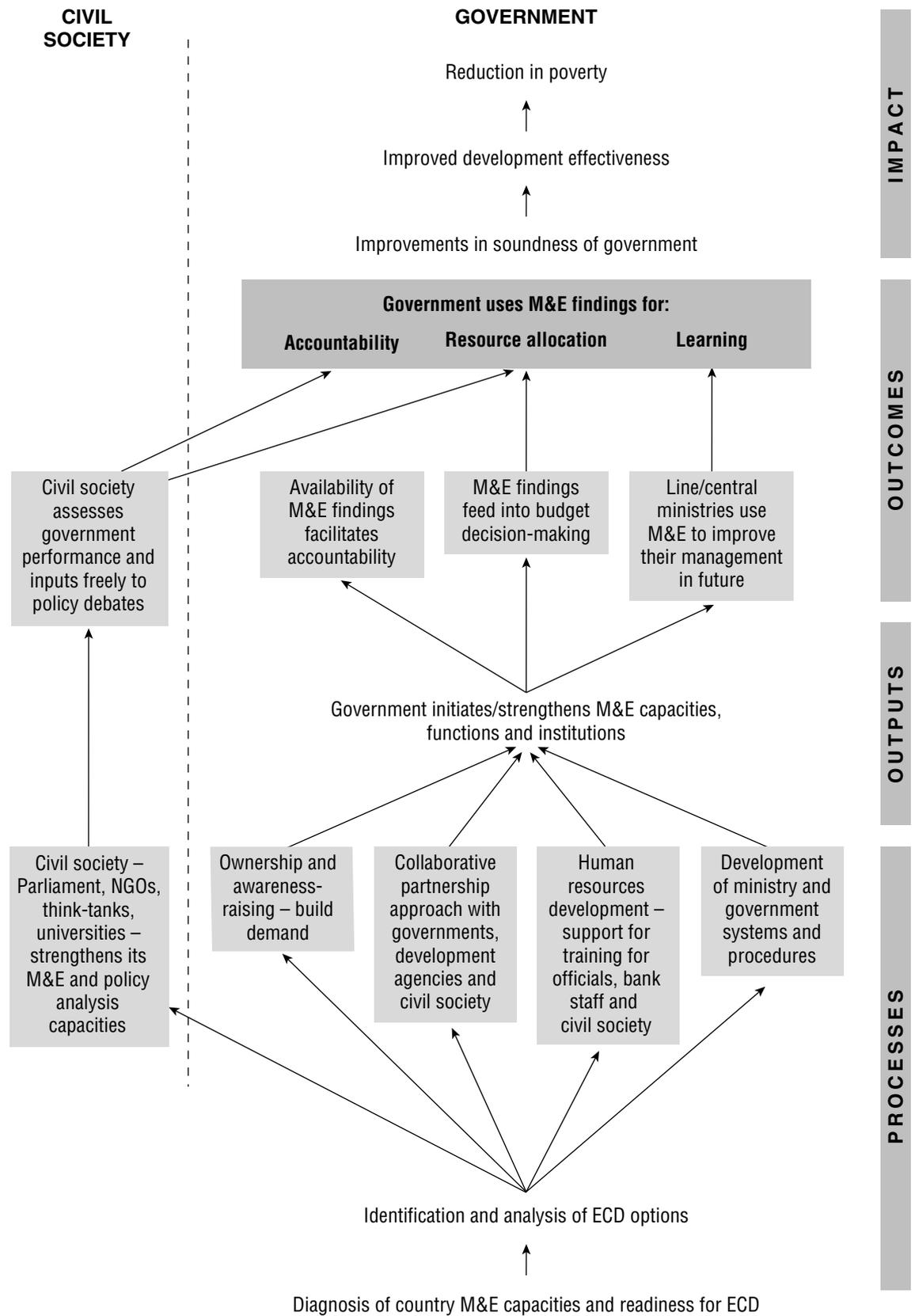
*Step 3:* Find out what influences government decision-making and line management. The public sector environment interacts with the formal, stated roles of individual ministries to help determine their actual roles and functions. The manner in which government systems and processes operate is also important. The budget system, for example, sends powerful signals to the finance and planning ministries, and to line ministries, concerning the types of information and analysis required to support the government's decision-making when national priorities are set each year. The preparation of national plans and poverty reduction strategies is similarly important. Some developed countries, such as Australia, refer to M&E findings to support budget decision-making. Almost all developed countries see M&E as an important tool for line management within individ-



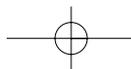


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**Figure 1:** Results chain for evaluation capacity development



ual ministries, and for ensuring sound accountability relationships between the government, Parliament and civil society (Mackay, 1998).

*Step 4:* Identify the influence of M&E on budget and line management decisions. This step assesses the extent to which demand already exists within the government for measuring the performance of its activities and using this information to best effect. M&E tools include project and program evaluation, performance audits, ongoing monitoring and performance indicators, service delivery surveys, sector reviews, expenditure-tracking surveys, and so on.

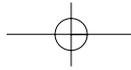
*Step 5:* Identify the M&E activities of government ministries and of NGOs. This indicates the extent of supply of M&E, including an assessment of processes and systems for making that information available; that is, the information infrastructure. This includes an assessment of the evaluation capabilities and activities of central and line ministries and other organizations, such as universities and research institutes.

*Step 6:* Identify the M&E activities and roles of donors in the country. Donors have a long history of evaluating the loans and grants they make, at the project, sector and country levels. For major projects, project implications units that have been set up for the duration of the project often undertake M&E. Donors have also helped to develop national or sectoral M&E capacities by means of technical assistance, sometimes as one component of a larger program of public sector reforms. The World Bank, for example, has provided such ECD assistance to a number of countries in the past, such as Argentina, China, Colombia, Indonesia and the Philippines. It is currently providing support for countries such as Bolivia, Ghana, Honduras, Poland and Uganda.

*Step 7:* Identify what major public sector initiatives or reforms are under way in the country, or are likely in the near future. This focuses on reforms that affect performance management and measurement, and identifies which of these might provide opportunities for pursuing ECD. This includes reforms in budgetary systems, such as output-oriented budgeting; intergovernmental fiscal relations, including decentralization; commercialization and private sector or NGO delivery of public services; performance agreements or contracts for senior officials; customer/client service standards; participation and the voice of civil society; anticorruption efforts; strengthening of accountability institutions; and capacity-building activities in areas such as the quality of civil service policy advice. If the government is also preparing a poverty reduction strategy, there is likely to be some demand for strengthened M&E functions in the future.

*Step 8:* Map opportunities for ECD. Based on the information and understanding gained in Steps 1 to 7, Step 8 should explicitly consider the strength of demand for and supply of M&E in the country. The ECD Diagnostic Guide mentioned earlier contains a menu of options for strengthening M&E under four possible scenarios: weak demand/weak supply; strong demand/weak supply; weak demand/strong supply; and strong demand/strong supply.





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**Step 9:** Prepare a realistic action plan. Based on the analysis of realities and opportunities in the country, this final step provides a concrete focus for future ECD efforts, however ambitious or modest they might be. An action plan provides a focus for debate and discussion within the country and with donors on how and where to build demand and consensus; how to broaden and deepen evaluation skills; whether to focus on ECD at the national level or only for specific sectors or major projects; what types of information infrastructure to strengthen; what types of support or other involvement to obtain from donors; and time-lines, sequencing and speed of implementation. Some of the main components of an action plan are: the role of M&E champions within the government; M&E functions within sector ministries; coordinating the roles of finance and planning ministries; strengthening the national statistics office; the involvement of civil society; training in M&E, including trainer-training; and support from donors.

The following section focuses on key demand and supply issues in developing an action plan.

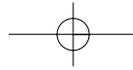
### **Tailoring ECD to country circumstances**

In strengthening M&E functions, it is important to beware of supply-driven approaches. Experience has shown that capacity-building efforts such as ECD should be firmly based on substantive country demand if they are to be sustainable. This is not to say that the existing level of demand should be accepted as a given or as an overriding constraint. Where demand is weak, there is scope for awareness-raising activities and education about what M&E has to offer.

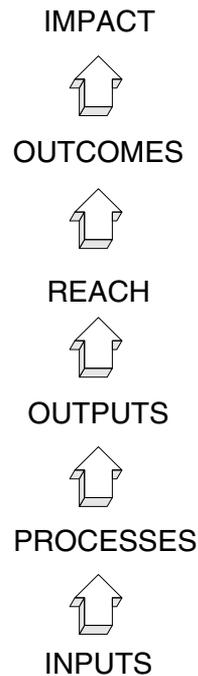
In thinking about ECD options, it helps to ask questions about the nature of demand:

- Is there demand for a stronger focus on M&E?
- Where is the demand coming from? It might be from one or two key ministers, from a group of influential senior officials, or from pressures from civil society.
- For what purposes is there demand for M&E? Examples are poverty-monitoring, budget decision-making, ministry management, service delivery, accountability, and so on. These purposes help to determine the types of M&E that should be developed.
- Is the demand likely to be sustained?
- How can demand be strengthened? Some options include persuasion, donor conditionalities, and civil society exerting pressure on the government (universities, NGOs, Parliament, etc.).

Another way of thinking about the nature of demand for M&E is to consider the “results chain” for any activity of the government or any development actor (see Figure 2). The greater emphasis on development impact ensures that all development actors remain tightly focused on poverty reduction. This focus needs to be complemented by an understanding of the efficiency and effectiveness of individual sectors, programs and



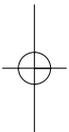
projects – measuring and evaluating their inputs, processes, outputs and outcomes. The performance of development activities at these levels helps to determine overall success in reducing poverty.

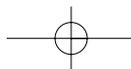


**Figure 2:** Results chain for development activities impact

There are many M&E tools and techniques for measuring the efficiency and effectiveness of development activities. Different tools can be used to provide M&E information at different points along the results chain. In considering these tools, it is useful to remember that governments have traditionally focused only on a narrow range of issues: inputs (budget spending), processes (such as procurement) and physical outputs. The list of tools and techniques includes:

- Performance indicators, concerning either government and donor activities, or the various dimensions of poverty (e.g. the international development goals)
- Logframe analysis
- Cost-benefit analysis
- Cost-effectiveness analysis
- Impact evaluation (also known as program evaluation)
- Process evaluation
- Financial audits
- Performance audits
- Service delivery surveys (also known as beneficiary surveys)
- Expenditure-tracking surveys
- Sector reviews





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ECD efforts can be focused on strengthening the supply of these tools if demand exists; if there are insufficient skills within the country; if financial resources are inadequate; or if the tools require types of data that are not readily available. The cost-effectiveness of each tool will depend on the circumstances and priorities of the particular country.

## Conclusion

It is becoming increasingly evident that a number of strands and priorities in public policy reform are converging. The emphasis on good governance and on public sector reform encompasses issues such as anticorruption efforts, the important role of civil society, and the preparation of poverty reduction strategies with their emphasis on results.

Governments and donors now appreciate more keenly the need for adequate information and sound analysis, and this is leading to a growing demand for M&E. This is true in a number of African countries, as evidenced by the keen interest in this seminar and the participation of many senior officials, heads of African evaluation associations, and donors. Collectively, we are rapidly gaining experience of different ways of strengthening M&E functions via targeted ECD action plans. Meetings such as this seminar provide an excellent opportunity for sharing experiences and finding opportunities for joint work in the future.

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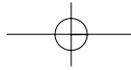
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# Key challenges for monitoring and evaluation practice in Africa

KAREN T. ODHIAMBO<sup>1</sup>

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## Introduction

The overall purpose of designing evaluation studies is to set up conditions and procedures for data collection that enable meaningful and accurate interpretations to be made about the phenomenon under consideration. Evaluators attempt to gather and organize information that will illuminate the options faced by societal decision-makers. However, because of evaluation research conducted on evaluation practices in Kenya, experience in east, central and southern Africa and local evaluation work, as well as the literature available on cross-cultural evaluation, I believe that suitable environments for evaluation do not yet exist and that this makes evaluation a sideline activity in Africa.

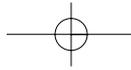
This paper aims to address the problem currently being experienced in Africa, of which criteria to use in determining change, the investigative process or methodology, and monitoring and evaluation (M&E) mechanisms. The paper will examine critical issues in the building of evaluation capacities in Africa and will put forward a set of recommendations for key stakeholders in M&E. It will also examine ways of using the relevant information to illuminate the evaluation, so that the progress of developmental trends can be assessed and program proposals, implementations, monitoring and renovation can be improved.

## Criteria for evaluating impact and determining trends

An issue in development programs is the extent to which criteria or standards for evaluating the success of these programs are applicable. There are many different criteria, but the literature lacks consensus on what development indicators should be. Although the North American and European literature offers a range of standards, these standards might need to be adjusted to reflect the reality of Africa.

In order to be able to determine trends in development, evaluations should be concerned with the basic principles of community development, including human solidari-





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ty, respect for the human person, continuing activism and community ideology. Evaluations help to determine the attitudes, feelings and values that arise as a result of program influence. To achieve and maintain this goal, the people need to be educated. Education enables people to integrate themselves into this complex world so that they can adapt to ever-changing situations and consciously plan and build their future. Thus, it provides them with the fundamental requirements for free and responsible participation in social life. Education in this sense is therefore directed at promoting adjustment and adaptation.

The key people in development are not only the politicians or the elite, but also the people for whom the program is intended. The psychological indication; that is, motivation or the lack of it, determines to what extent the programs are successful. Evaluations should therefore be concerned with the need for psychological preparation, which includes establishing the appropriate attitude towards the means of bringing about change. In Africa, the masses are still trying to fulfill basic physiological needs, making poverty eradication a virtually impossible task. In order to attain the higher level of motivation desired, basic levels of motivation should first be fulfilled.

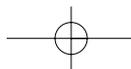
### **Appropriate evaluation methodology and approaches**

The commonest approaches to evaluations in Africa have been objectively oriented and basically quantitative – approaches that are more appropriate to donor information needs. There is increasing use of qualitative evaluations, but in most cases they are not systematically applied. Long-term engagements, such as those applied in critical inquiry to determine change, are seldom used because programs always have specified time limits and allocated funds. These limitations have implications for the accuracy of evaluations, in terms of intrinsic elements that determine the impact of motivation on people. These elements include principles and components of community development, such as the role of participation, thinking and reflecting in behavioral change; internal aspects of the individual that determine feelings, attitudes and values; processes of thinking and reflecting, and the self-concept.

These aspects are important indicators for development but have not yet been incorporated in a particular methodology. Once developed, such a methodology would go a long way towards collecting accurate information and enabling crucial decisions on poverty reduction to be made with greater accuracy.

### **Participation as an aspect of development**

Participation has become a key element of community development, as it involves individual and group participation in planning common goals and attaining them – for which a social network is necessary. Through these activities, people are able to participate in the decision-making process and become part of ongoing developmental activities.



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## KEY CHALLENGES FOR MONITORING AND EVALUATION PRACTICE IN AFRICA

Participation by the locals is acknowledged as an important aspect of community organization, although it is recognized that the community may sometimes be too large to achieve this easily. Nevertheless, the evaluation should ensure participation, which is defined as “organized efforts to increase control over resources, groups and movements”. It is classified under four headings: participation as a goal or a means; the scope of the arena in which participation takes place; the originating agent of the participation; and the moment at which participation is introduced.

### **Engendering evaluation processes and development**

The question of equal opportunities and gender has been a priority for the United Nations and the rest of the world, but African countries have yet to institutionalize gender policy in mainstream government planning. There is an urgent need for a gender-sensitive approach and methodology for African regional policies and their evaluation.

To address these concerns adequately, evaluation methodologies must ask whether their approach creates innovative tools for dialogue creation and negotiation. The approach chosen should strive to make women’s interests and participation visible, empowering them at both project and policy level, which in turn will facilitate the utilization and dissemination of evaluation results. This approach to evaluation contributes to the framing of research priorities and the posing of key evaluation questions that make the evaluation process gender-sensitive. It is therefore important to incorporate gender-responsive planning into development activities. There should be clearly defined ways to track the progress being made in increasing women’s access to and control over their destinies, which includes social, economic and political advancement. Although there have been attempts to do this in the developing countries, very little progress has been made in Africa. This trend needs to be reversed and should be given immediate attention.

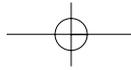
### **Utilization and dissemination of results**

Evaluations are undertaken with the intention of facilitating decision-making by showing how the program operates in practice and the reasons for the effects observed. The apparent non-use of evaluation findings is one of the most vexing problems of program evaluation in Africa and stems from the fact that evaluations are generally viewed with suspicion. Evaluation use encourages feedback, and should be optimized. The context in which evaluation exists should be carefully examined.

### **Recommendations**

The following recommendations are aimed at improving the implementation of evaluation capacity development in Africa:





- A more comprehensive approach is needed to determine development trends and poverty reduction. In-depth analysis should be used to set guidelines for determining criteria. A focus on the human elements of development should be the key.
- Both demand for and supply of evaluation should be revitalized.
- Gender-sensitive M&E should be built into all programs and should be part of the aid requirements.
- The process should be sustained for an adequate length of time and should be allowed to develop to its threshold so as to provide a firm foundation.
- An environment that facilitates incorporation of M&E into government systems through good governance, supporting infrastructure and appropriate technology is essential, and incentives to create this should be devised.
- The relationship between donor and beneficiary should be realigned.
- Support for the development of evaluation capacity-building in mainstream institutions and programs should be a priority.

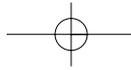
More specific recommendations for donors include the following:

- There is a need for funded in-country sensitization workshops and seminars for development partners and governments.
- There should be support for regional forums on and international participation in evaluation to increase experience and exposure.
- M&E should be a prerequisite for the granting of funding. Its nature should be specified, built in at the programming stage, and specific funds should be allocated to it.
- Guidelines should be developed on best practice; there should be a framework for indicators for M&E and management information systems; and personnel should be sensitized.
- A supportive environment should be encouraged through strategies of good governance and policy.
- Meaningful partnerships within countries, and alliances across Africa, should be institutionalized.
- There should be support for evaluation capacity-building by institutionalizing evaluation and training evaluators.
- Advisory departments should be created to facilitate the process directly.
- Research initiatives should be instituted and case studies designed to yield knowledge that could be incorporated into programs. This should be an ongoing process, as sources of information change over time. A regional center for evaluation studies and research could be set up.

More specific recommendations for countries are as follows:

- A policy on evaluation and its legislation should be enacted.



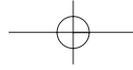


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KEY CHALLENGES FOR MONITORING AND EVALUATION PRACTICE IN AFRICA

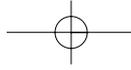
- A national forum on evaluation is necessary to activate and accelerate initiation of the evaluation process.
- An advice department for M&E, beyond that of the Auditor-General and Bureau of Statistics, is necessary.
- M&E mechanisms should be incorporated into the budget, administration, programs and projects.
- A portfolio evaluation plan with annual coverage that involves major program evaluation, and not just quantifiable information from the Bureau of Statistics, is needed.
- Local expertise and associations such as the proposed evaluation associations should be incorporated into evaluation.
- Management information system strategies should be devised for all projects and programs.
- Good governance should be promoted by identifying areas for restructuring and continuing to develop those already under way.
- A desirable infrastructure should be designed by users and producers.
- The capacity to apply technology should be developed.
- Meaningful partnerships are important and should involve development partners.
- There should be local forums to discuss evaluation and support international participation.

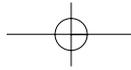




**Overview of evaluation  
capacity development in  
selected African states:  
its role in building demand  
and infrastructure for  
monitoring and evaluation**







# Sustainable monitoring and evaluation capacity development in Africa: the case of the monitoring and evaluation network in Niger

MARCO SEGONE<sup>1</sup>

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## Monitoring and evaluation capacity development in Niger

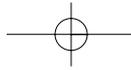
The Nigerien Monitoring and Evaluation Network (ReNSE – Réseau Nigérien de Suivi et Evaluation) was created in August 1999. Its creation was in response to two factors. At the local level, the growing demand for monitoring and evaluation (M&E) and the lack of an organized and coherent group of suppliers of M&E services reinforced the need for a sustainable local organization to coordinate, facilitate and advocate M&E culture and function. On the global level, Niger needed to fit into the African process of establishing national networks, and the global process of establishing a world M&E community, in order to benefit from and contribute to the exchange of experiences and competency at an international level.

ReNSE is an informal group of M&E professionals working in the government, in the United Nations system, in international and national non-governmental organizations (NGOs) and bilateral projects, at the university and as independent consultants. The members of ReNSE have adopted objectives, a plan of action and a calendar of events.

## Objectives

During the inaugural meeting of ReNSE in August 1999, participants adopted a number of objectives. The global objective of the Network is to support a national sustainable process of M&E capacity development through the implementation of a forum that will contribute to the definition of norms, methodologies and professional practices in Niger.





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Specific objectives include the following:

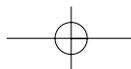
- Facilitate informal learning by sharing experiences and skills in the field of M&E
- Organize formal training sessions
- Facilitate information-sharing (meetings, training sessions, scholarships, grants, books and manuals, newsletters, international electronic networks, etc.)
- Bring purchasers and providers of M&E services together to promote a mutual understanding of evaluation needs
- Create and maintain a database of evaluators containing information on areas of expertise, experience and recent publications
- Facilitate the definition of professional norms and practices

## Strategies

The strategies below have been used to create and develop the ReNSE.

- **Inclusiveness and empowerment approach:** Meetings are open to every person and organization interested in M&E, regardless of their position, institutional association, seniority or experience. Every member is asked to contribute, on a voluntary basis, their time, competency and technical skills to the Network's activities. Internal working groups will be organized in the near future to widen the possibility of active participation in the ReNSE and to optimize the potential of each member.
- **Transparency:** The members make all major decisions during general meetings. A Coordination Committee was elected during the inaugural meeting. A website in English and French was created and is updated regularly to make all major decisions and activities related to ReNSE freely available.
- **Country-led and owned:** ReNSE is based in Niger and its objectives and activities are relevant to, and implemented in, that country. Most of the Network's members are Nigerien M&E specialists.
- **Broad representation:** One of the major benefits of ReNSE is its capacity to represent the perspectives, needs and priorities of different stakeholders. The Coordination Committee members were chosen to represent different categories connected to M&E, notably the government, the United Nations system, NGOs and bilateral projects, the university, and independent consultants.
- **Development of local capacities:** In Niger, there is excellent potential for developing local capacities. The ReNSE is built on local experience and knowledge, and its focus is on national M&E capacity development. At each bimonthly meeting, local institutions and/or specialists are invited to present their own experiences and systems. A database with the curricula vitae of national evaluators is being created and the network's website is hosting calls for African evaluators from development agencies.






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SUSTAINABLE MONITORING AND EVALUATION CAPACITY DEVELOPMENT IN AFRICA:  
THE CASE OF THE MONITORING AND EVALUATION NETWORK IN NIGER

- **Knowledge acquisition, construction and dissemination:** In order to share and disseminate technical knowledge efficiently, ReNSE organizes bimonthly meetings in which technical issues are presented and discussed. Moreover, on the website are almost 30 manuals, methodology documents and newsletters that can be downloaded free of charge, and several links to national M&E organizations and to the evaluation offices of several development agencies.
- **Coordination and networking:** The ReNSE facilitates the creation and development of contacts and relationships among different institutions, ministries and agencies. A list of the Network's members (complete with telephone number, e-mail and address) is updated every two months. Electronic mail is used to disseminate day-to-day messages.
- **Common understanding:** Evaluation, however it is modified for a given developing country, should have a clear set of concepts with which all can agree in principle. Achieving this should be considered an essential early step for an evaluation capacity development effort (Barbarie, 1998). For this reason, one of the ReNSE's first priorities was a meeting to discuss and reach consensus on clear terminology and a common understanding of M&E.

## **Strategic alliances and cooperative relationships**

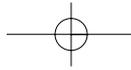
In order to strengthen its activities, the ReNSE is building new strategic alliances and cooperative relationships with other institutions in Niger and abroad, working in the area of M&E, such as national M&E networks, societies, universities, development agencies, ministries and NGOs.

To date, the Network has strategic alliances with the following institutions: United Nations Children Fund, Niger – Convener and Secretariat of the ReNSE; Institut de Recherche pour le Développement, Niger; Société Française d'Évaluation; Agence Intergouvernementale de la Francophonie, and the African Evaluation Association. The latter association invited one member of the ReNSE Coordination Committee to attend its annual conference in Kenya in 1999.

To date, the Network has cooperative relationships with the following institutions:

- Ministry of Planning, Government of Niger – host of the third ReNSE meeting
- Stichting Nederlandse Vruwillingers, Niger (Dutch Volunteers Association) – host of the fourth ReNSE meeting; presentation of the SNV monitoring system
- Ministry of Water Resources, Government of Niger – host of the fifth ReNSE meeting
- Système d'Information Géographique du Niger (Geographical Information System of Niger) – presentation of SIGNER
- GTZ, Niger (Deutsche Gesellschaft für Technische Zusammenarbeit) – presentation of software to decentralize the health information system





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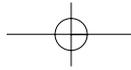
- Centre de Recherche Maladies Tropicales (CERMES), Niger – presentation of the Geographic Information System HealthMapper for the Dracunculiasis Eradication Program
- Agrhymet Niger – presentation of the Geographic Information System Ap3a (Projet Alert Précoce et Prévision des Productions Agricoles)
- American Evaluation Association, W.K. Kellogg Foundation, and Kluwer Academic Publishers – book donations

## Lessons learned and best practices

Even though the ReNSE has only been active for one year, important lessons have been learned.

- **Focus on technical issues and not on internal organizational issues:** M&E specialists are more interested in M&E capacity development than in internal organizational issues. The ReNSE was able to organize itself during the first two meetings with regard to the adoption of objectives, adoption of a plan of action and themes to be discussed at the next meetings, and election of the Coordination Committee. From the third meeting on, the core themes presented and discussed have been technical, and organizational issues have been kept to a minimum.
- **Keep the structure as light as possible:** The ReNSE is based on the voluntary work of members. For this reason, its structure has been kept simple. The secretariat is supported by UNICEF Niger.
- **The Coordination Committee has a central role:** The Coordination Committee is extremely important in ensuring the Network's function and development. It proposes new strategies and activities, facilitates their discussion and adoption, monitors their implementation, and reports to the general assemblies.
- **Be open and transparent:** The ReNSE is based on trust among its members and credibility among external institutions. To ensure a personal commitment to the Network's objectives and activities, every major decision is taken openly and transparently.
- **Keep focused on the openly discussed and adopted objectives:** Members are experts interested in M&E capacity development. In order to optimize the limited resources available and to keep interest high, the Coordination Committee ensures that the Network's activities are relevant to the adopted objectives.
- **Look for strategic alliances with similar institutions:** The ReNSE, being representative of different stakeholders, has a huge potential to advocate and mobilize strategic alliances in order to strengthen M&E in the country. The real added value of the Network is its capacity to coordinate and facilitate synergies and potential already existing in the country.





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SUSTAINABLE MONITORING AND EVALUATION CAPACITY DEVELOPMENT IN AFRICA:  
THE CASE OF THE MONITORING AND EVALUATION NETWORK IN NIGER

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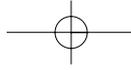
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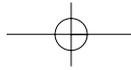
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# 9

## Evaluation capacity development in Kenya

KAREN T. ODHIAMBO<sup>1</sup>

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### Evaluation practice in Kenya

In Kenya, as in most developing countries, evaluation has yet to reach an acceptable level of operation. Evaluations, when they are carried out, deal more with inputs and outputs than with impacts. Major evaluations are driven by activists and donor demands. There is a lack of professionalism on the part of qualified practitioners, and there are few academically trained evaluators. Those who carry out evaluations are influenced by social science research approaches and, because of their research background, carry out evaluations that in some cases do not have any of the characteristics of expert evaluation. In most sectors within the government, there is no central monitoring and evaluation (M&E) of programs and projects, except for financial auditing and monitoring that are done solely to audit and make submissions to the Ministry of Finance.

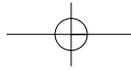
The support that evaluation can offer when used in broader governance, institutional development and public sector reform is often not fully understood. Issues such as poverty and government reforms and restructuring are presented as statistics, for example the number of programs that exist, or should be initiated to alleviate poverty; physical measures by the government such as privatizing parastatals, reducing the size of the civil service, curbing corruption, and discontinuing programs owing to cost-ineffectiveness; and non-evaluation interpretations of macroplanning and budgetary reforms.

Evaluation statements are found in projects and government plans, but their functions are not translated into program activities or operations, nor is evaluation appreciated as a useful and far-reaching tool in areas of human endeavor. Evaluation has yet to be institutionalized in the private sector, let alone the public sector.

There is a need to educate policy-makers, program sponsors, program managers, and others who are non-experts in the field of evaluation. Ways and means should be found to focus evaluation efforts in Kenya and make them operational. A clear focus would lead to a more manageable evaluation task, which in turn is a precondition for the over-

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all improvement of evaluation quality. A high priority should be placed on the development of evaluation capacity and creating a critical mass of evaluation experts.

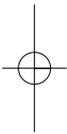
In recent years, Kenya, along with other developing countries, has experienced a decline in economic growth that has adversely affected the quality of life of the population. The government has put in place measures to eradicate poverty by 2015 and policies for industrialization by 2020. The success of these proposals requires the involvement of all sectors.

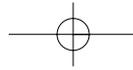
### **Strategy for evaluation capacity development**

Evaluation in Kenya requires reconceptualizing and institutionalizing to turn it into a potential tool for governance. Overall, the goal is to develop a culture of mandating evaluation, much more than ongoing performance, with the immediate focus not on performance analysis of the situation but on identifying ways in which objectives and performance information could be improved, and in mapping out and instituting an evaluation action plan. The aim is to create a culture of continued evaluation planning in which people are not suspicious of the evaluation system but are motivated to internalize and appreciate its value in government operations. The intention is eventually to reduce bureaucratic processes by allowing decision-making to become a participatory process. High priority needs to be given to ensuring that evaluations are conducted and findings are used to advance evaluation use. It is hoped that this process will create a self-generating and systematically built-in evaluation demand system. The intention is to have formal requirements for evaluation and a strong advocacy for the integration of M&E structures, supported by central operations, across all government ministries, departments and programs. The idea is to move towards a system that is self-regulating and voluntary, with a flexible but principled approach.

The latest wave of ongoing public service reform should be sustained until evaluation is included in governance and, more importantly, supported through donor appreciation and local partners to ensure the success of this approach. Although this is a time-consuming process, the aim is to establish a sustainable M&E system. The Department of Finance, which is responsible for budget decision-making and the allocation of resources, should be central to all these activities.

Public sector management is important in this process. Professionals should be involved in drawing up that part of the budget that deals with developmental initiatives and finding ways to impact on evaluation, particularly with respect to Kenya's recently initiated program for poverty eradication. Concerns with cost-effectiveness will be considered, as well as those relating to spending issues. Strategies should move away from a checklist of evaluation activities that are not acceptable evaluation practice, or do not translate into quality evaluations, the evaluation process, or actual use in program management, government decision-making in terms of program planning and implementation, and dissemination and utilization of evaluation results. The strategy also emphasizes the cre-





ation of synergies among partners. There should be more collaboration with bodies such as the Kenya Evaluation Association – the professional evaluation body recently formed to address the theory and principles of best practice. Evaluation capacity development should work in collaboration with an academic institution such as the University of Nairobi, which should provide certificate, degree and postgraduate courses on evaluation skills development. A center for evaluation studies and research at the university would be ideal.

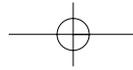
## The way forward

The intention is to mobilize those concerned, and identify operationalizing activities that support the institutionalization of evaluation. The best approach is to start with the ongoing Poverty Eradication Program (which runs to 2015) and apply the lessons learned to other government projects and sectors. Established government-sector associations such as the Finance and Planning Ministry, which carries out budget allocations, and donors directly involved in funding the project would be the best places to centralize activities, which could later expand to a decentralized system.

There is need to:

- Develop and legislate a policy for evaluation
- Create an environment that facilitates the incorporation of evaluation into government through good governance and Cabinet involvement
- Bring about the mandatory inclusion of evaluation activities into project proposals with costs
- Generate genuine demand for evaluation by inculcating the culture of evaluation practice in a core of government officials and personnel
- Create a critical mass of expertise through capacity-building
- Institutionalize evaluation at all levels of operation from government to program level
- Create linkages and partnerships with local and international interested parties, such as the Kenya Evaluation Association, academic institutions, NGOs and United Nations bodies
- Participate in international evaluation forums, such as conferences, meetings, workshops and seminars, and organize country-level forums for the local and international evaluation fraternity
- Sustain the process over a period of not less than five years to build a firm foundation
- Set up well-developed budget management systems that address evaluation activities, and mechanisms for providing information on the achievement of the goals and objectives of the program



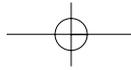


KAREN T. ODHIAMBO

Immediate objectives include the following:

- Organize a seminar or workshop for policy-makers, program managers within government sectors, independent evaluationists, professional associations, NGOs and United Nations bodies
- Carry out sensitization meetings for policy-makers, program managers and participants in programs on the need for and value of evaluation, and eventually the process itself
- Create an advice department employing recognized and authentic evaluation experts, and groups with experience in research and appropriate areas of development
- Review poverty programs with a view to developing evaluation plans and/or a logical framework, building M&E structures, management information systems and monitoring mechanisms, and renovating existing programs
- Make the evaluation process gender-sensitive
- Design skills-oriented training programs and guidelines for evaluation
- Develop frameworks for evaluation approaches and indicator guides for various sectors, such as health, education, and community projects
- Identify partners for cooperation, such as the Kenya Evaluation Association, academic institutions, and others
- Sustain and expand the process





# 10

## Evaluation capacity development in Ghana

APPIAH KORANTENG<sup>1</sup>

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### Public sector management reforms and governance in Ghana

After major socio-economic setbacks in the late 1970s and early 1980s, Ghana's search for an enduring national governance framework and a model for development took a positive turn with the introduction of the Economic Recovery Program (ERP) in 1983. The ERP was characterized by the removal of price controls and restrictions on foreign exchange dealings, removal of subsidies, the increased role of the private sector and the reduced role of the public sector in the production and distribution of goods and services. There was also a major policy initiative, under the government decentralization program, to enhance grass-roots participation in governance at the local level.

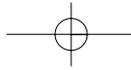
The immediate outcomes of these two major initiatives were increased self-confidence and the people's response to the political and price incentives. District assemblies became the focal points for development debates, discussions and planning at the district level. Prices increased as a result of decontrolling and farmers responded by expanding output, culminating in an annual growth rate of about 5 percent in the agricultural sector. Small enterprises in distribution, commerce and manufacturing sprang up to service the growth led by the agricultural sector. Production capacities and outputs of medium- to large-scale enterprises increased.

After experiencing price controls and the consequent shortages of goods, services and foreign currencies before 1983, and the gains from the economic and political reforms after 1983, Ghana began to develop a broad national consensus on the direction the country should take in terms of governance and the model for development. The focus of both was competition and its consequent efficiency.

A structural adjustment program was designed to build on the gains from the economic reforms. Attempts were made to reduce the size of the public service through staff reduction and the transfer of state enterprises to the private sector. Cost-sharing was intro-

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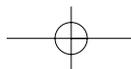
duced in the health and education sectors, together with enhanced access and quality improvements. To buttress the gains made through grass-roots participation, the country began to develop a national governance framework based on competition. In 1992, this culminated in the birth of the Fourth Republican Constitution, which provided for the separation of powers and a partisan system. To consolidate the gains made in both governance and development, Ghana committed itself to becoming a middle-income country in the community of nations by 2020. The central task facing Ghana's public service, and the basis of the reform and modernization, is transforming the vision into reality.

The public sector in Ghana has been plagued by several weaknesses arising from deficiencies in critical processes, core systems and structures. To enable the public sector to face these challenges, the President of the Republic of Ghana created the National Institutional Renewal Program (NIRP) in 1994. This program is based on the lessons learned from the past, such as the failure to reap synergistic outcomes and the absence of targets in managing the ongoing reforms. Currently, His Excellency the Vice-President chairs the NIRP and coordinates all public service reforms. The NIRP has been established to provide a strategic response to the deep-seated problems of integrated and holistic public sector reforms; to provide strong coordination and accountability lines for reform initiatives; and to create an environment conducive to private sector-led development and the attainment of the objectives and priorities of Ghana-Vision 2020.

In October 1997, the NIRP issued the Public Sector Reinvention and Modernization Strategy (PUSERMOS) for Ghana: transforming vision into reality. Within this strategic framework, the government has committed itself to reforming the public sector and to reviewing and reforming public sector institutions in terms of their mandates, approach and scope of activities. The framework provides the clarity of integration, sequencing and monitoring of reform goals, objectives, activities, outputs and outcomes to address key systemic weaknesses that have been identified. The main problems are related to human and financial resources management and resource allocation.

The primary objective of PUSERMOS is to transform Ghana's public service from its present input orientation to an output- and results-focused service. To further operationalize PUSERMOS, the government has developed the Public Sector Management Reform ° (PSMRP). This program is intended to restructure and realign all central government agencies, adjusting their processes and systems; to restructure over 180 subsidized agencies to remove internal managerial deficiencies and external regulatory constraints; and to improve the national policy process and Cabinet system. At present, the NIRP, as part of the implementation of the PSMRP, is redefining the roles and functions of the state vis-à-vis the private sector and civil society, defining appropriate institutions and systems to implement the role, and rationalizing the existing structure and systems to meet the design.

The major ongoing reform initiatives that have made satisfactory progress in addressing the constraints stated earlier include:



- The Civil Service Performance Improvement Program, which is building a performance-driven and policy-focused civil service
- The Public Financial Management Reform Program, which is introducing a modern financial management system to improve budgeting and public expenditure management, cash management, accounting and auditing capacity and systems, transparent procurement practices and the Medium Term Expenditure Framework
- Other initiatives include the decentralization program; the Public Sector Wages and Salaries Policy; reforms of the legal sector, state-owned enterprises, Cabinet and policy management, and subsidized agencies; and a gateway project to strengthen the capacity of institutions that provide first points of contact to investors as part of Ghana's investment promotion drive

### **The case for a comprehensive monitoring and evaluation framework**

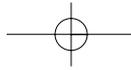
The government of Ghana recognizes that monitoring and evaluation (M&E) are essential ingredients in the planning and management of development and good governance. In this context, monitoring is the continuing function of identifying and assessing potential problems and successes of government policies and development programs, and providing feedback from data-tracking systems. Past attempts at improving on the M&E management function in public agencies in Ghana were not carried out within a comprehensive framework and thus did not benefit from the desired synergies. The Civil Service Law, which aims at establishing a policy-focused civil service, prescribes policy planning and M&E as its central functions. It accordingly directs the establishment of Policy Planning, Monitoring and Evaluation (PPME) structures across all sectors of the economy.

The NIRP's restructuring of the Office of the President and the Cabinet system has led to the creation of the Policy Management Group within the Office of the President. Among other functions, this group is responsible for overall M&E and the implementation of Cabinet policy decisions and other policies emanating from the Office of the President. Furthermore, as part of sound program and project management practice, most institutions, programs and projects have set up their own approaches to undertake the M&E function, either in part or in full.

The public sector restructuring exercise has also established mechanisms for M&E at central government agency levels in the areas of economic management and public finance, human resource development and staffing levels, development and implementation of corporate plans, civil service performance, and special development programs for women and children.

New mechanisms for effective coordination of the development agenda and for strengthening vertical and horizontal accountability for results have been introduced in Ghana's public service. The Committee on Strategy Coordination has been established





under the chairmanship of the Vice-President to oversee the accountability structure and to ensure that senior public servants deliver results in a transparent and accountable manner. The National Development Planning Commission has been restructured to provide effective coordination of M&E of development planning activities across sectors at both central and local government levels.

Apart from these, the reform initiatives mentioned earlier in this paper (spanning decentralization, the Medium Term Expenditure Framework, financial management, civil service reforms, etc.) require M&E capacities, including systems to ensure their optimum performance and benefit from appropriate linkages. This could lead to considerable gains resulting from improved harmonization of effort, removal of duplication, strengthening of input-output relationships in the public sector, and a strong accountability interface with the private sector and civil society.

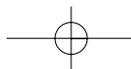
### **M&E capacity and capacity-building arrangements**

Adequate monitoring capacity in Ghana is important to ensure that monitoring actions are properly planned and that relevant studies are conducted to provide sufficient information for the timely solution of development problems. At present monitoring is, however, limited in scope and coverage. In a number of cases, post-program monitoring is not done, leading to non-sustainability of results and non-implementation of recommendations. The resulting loss of valuable information to support policy-making is particularly serious.

Evaluation in Ghana is usually a time-bound exercise that aims at objectively assessing the relevance, performance and progress of the implementation of policy, programs and projects. Evaluation capacity requirements in Ghana are enormous and cover policy, programs, projects, sectors, themes, processes and even cross-cutting strategic issues, particularly with regard to the current complex reforms being monitored and evaluated by the NIRP under the chairmanship of the Vice-President.

In June and October 1999, in response to a request from the government, the World Bank undertook a diagnosis of M&E capacities and related development options in Ghana. The government has agreed to implement a number of the World Bank's recommendations. M&E capacities will be coordinated within the ongoing PSMRP, the Comprehensive Development Framework, the National Poverty Reduction Strategy, and other programs. It is expected that the building of M&E capacities will enable the government to measure and report on development effectiveness; to identify appropriate policy responses; and to engage civil society and non-governmental organizations (NGOs) more fully in the process.

The development of M&E capacities, as related to the scope of the development agenda and the extent of control in the public sector, must necessarily cover aspects such as key central government agencies responsible for oversight, budget aggregates, expenditure



monitoring, development planning coordination, human resource capacity, staffing levels control, incentives and remuneration, performance of public institutions, and the quantity, quality and timeliness of project execution.

## **The role of civil society**

The Ghanaian government regularly has to respond to a variety of M&E requirements from many donors and civil society groups. It has therefore become increasingly necessary to involve civil society in the process of public policy formulation and implementation. At present, there is a satisfactory relationship between the government, the private sector and civil society, particularly in terms of ensuring good governance. Over the last few years, the government has involved civil society in all major forums, seminars and workshops where strategies are developed, goals are set and monitoring indicators are established to support development policies and program implementation.

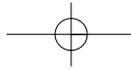
Civil society has a legitimate role in raising concern about the performance of the public sector and suggesting appropriate improvements. Civil society therefore has a high stake in the current PSMRP, and this is recognized. Significant strides have been made as the government has had no option other than to accept and implement several recommendations made by civil society organizations and NGOs at national annual forums on the economy and good governance. Several national economic forums and the Structural Adjustment Participatory Review Initiative have all involved civil society in the assessment of government performance, and in discussing and providing alternatives to public policy and reducing corruption.

## **Government commitment to M&E capacity development**

Through the National Overview Committee of the NIRP, the government has committed itself to developing M&E capacities and systems across various sectors of the economy. The public sector requires a comprehensive and effective M&E system for quality assurance that reinforces performance and accountability. This system must be established within the framework of the PSMRP to achieve a compact, effective, efficient, performance-oriented and well-motivated public service.

Existing M&E capacities should be strengthened and integrated into a comprehensive M&E system, with the Cabinet as the body that oversees the M&E system. The Policy Management Group in the Office of the President, with a strong cadre of policy analysts and M&E specialists, has been identified as the M&E champion responsible for managing the system on behalf of the Cabinet and submitting annual national M&E reports to the Cabinet. Meanwhile, the M&E capacities of PPME divisions in public service institutions should be enhanced for improved performance. The training of M&E staff and deputy directors, directors and chief directors of PPME departments to understand the functioning of the system should receive priority attention.





Local training institutions, such as the Ghana Institute of Management and Public Administration and the Institute of Local Government Studies, should undertake M&E training at the national and decentralized levels respectively. Emphasis should also be placed on the training of trainers in these institutions in order to ensure capacity retention and sustainability. M&E capacities and systems should be comprehensive, covering the entire public service, but their implementation has to be phased in properly.

The government is committed to working closely with the World Bank and other donors in creating the capacity for coordination and monitoring at the various governmental levels with the involvement of civil society and the private sector. The M&E project should be divided into three phases, with the responsibilities for central government agencies and PPMEs at the sector ministry level receiving the highest priority.

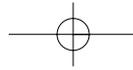
M&E subsystems will be needed to monitor public finance and public expenditure, staffing levels, economic and investment policy implementation, and general performance measurement. Once these subsystems have been developed, they could be linked into the M&E capacities of projects and programs and the M&E structures in the Office of the President. The performance orientation of the Medium-Term Expenditure Framework will be addressed under the Ministry of Finance's M&E responsibilities, while the monitoring and coordination of PPMEs and ministries will fall under the Head of the Civil Service subsystem. The government has further committed itself to the creation of an evaluation foundation and the establishment of an evaluation network.

## Conclusion

Evaluation capacity-building in Ghana needs to be strengthened through the redesign and modernization of institutions, systems, tools and training. The government is committed to involving the private sector, civil society and development partners in the establishment of a comprehensive framework for M&E. This framework will track the performance and success of public finance management, the performance of the economy, the implementation of policy and development programs, and the cost and size of the public sector at both central and local government levels, and across social and economic sectors.

It is the government's expectation that the M&E project will be executed within the time-frame of the PSMRP to ensure that the various indicators are properly prioritized, harmonized and synthesized to provide adequate progress monitoring at all levels of development activity.





# 11

## Monitoring and evaluation and the development challenge in Africa: perspective from Uganda

MARTIN ODWEDO<sup>1</sup>

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### Introduction

On behalf of my colleagues from Uganda and indeed my government, I wish to thank the organizers for the honor and privilege they have bestowed on Uganda, by inviting me to give a keynote address at this workshop.

Our history shows that since time immemorial, our labor at household, community and national levels has been geared towards improving our state of development; that is, enhancing the state of economic advancement. This struggle has been persistent and approached by different communities or nations in various ways, with the ultimate objective being a continuous and sustainable positive transformation of our level of economic advancement.

Over time, however, the processes of socio-economic transformation or development have become complex and intertwined, as reflected by the common project cycle which, as you know, incorporates monitoring and evaluation (M&E). The challenge lies in according this critical level of development planning and management the concern and prominence it deserves.

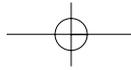
### The development concept

The development concept is dynamic, emerging from a narrow concept of gross domestic product (GDP) growth rates to wider concerns about what GDP growth can do for the people. Briefly, development must ensure the presence of several elements, including:

- Sustainable economic growth as the core engine of development
- Substantial reduction in unemployment and/or the attainment of full employment

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- Elimination of absolute poverty or substantial reduction of its relative component
- Reduction of inequality at personal, gender and regional levels
- Provision of basic human needs
- Sustainability of the environment for present and future generations
- Enhancement of individual well-being through participation in social, economic, political and cultural life
- Striving for a dynamic transformation of society, strategic to the attainment of all the above goals

In other words, development is growth that is sustainable and that substantially enhances the creation of employment, reduces poverty, empowers people, benefits the majority of the people, and increases their economic, political and social choices.

### **Africa's development challenge and efforts**

If development has to do with sustainable growth associated with the multidimensional features described above, then it is clear that Africa has a long way to go. Africa has the following characteristics:

- Over 50 percent of Africans live in absolute poverty.
- Less than 10 percent of Africa's labor force works in the formal sector.
- The growth rate of the labor force is the highest in the world.
- African countries rank lowest in human development.
- The rural areas have the highest concentration of poverty.
- Africa has high levels of illiteracy, high percentages of malnourished children, and low life expectancies.
- Many African countries are plagued by armed conflicts.

It is clear that poverty and unemployment are real threats to the economic and social survival of the entire continent. The real development challenge for most African countries is to get out of this quagmire.

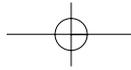
For most African governments, economic development and poverty eradication are their top priorities. However, the overall impact of the many programs and projects that have been initiated in Africa to this end is questionable, because most African countries are still very poor and the entire African landscape is littered with failed projects. The question is, what went wrong and how can we guard against failure.

### **The project approach to development**

Many government efforts have taken the project approach, for a number of reasons:

- It is an instrument for rationalizing and improving the investment process.
- It imposes discipline on planners and decision-makers.





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- It increases the development impact of resources.
- It is a mechanism for implementing policies.
- It provides a logical framework and sequences within which data can be compiled and analyzed, investment priorities established, alternatives considered, and sector policies addressed.
- It provides a means of assessing the impact of development initiatives on the people.

Governments become involved in projects when the private sector does not take the initiative to invest in activities for the public good, probably because they are not considered profitable. Governments also use projects to increase revenues, to attract foreign aid and to help a distressed area, sector or group. Projects are one of the principal components of the planning process.

## The role of monitoring and evaluation

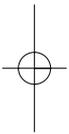
Projects go through a number of clearly defined stages (i.e. identification, preparation, appraisal, implementation and monitoring, and *ex post* evaluation), but a project's development objectives are realized only once it is successfully implemented. Earlier I asked why development projects have not produced the desired development impacts or have been outright failures. The answer to this puzzle is implementation.

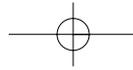
The key to successful implementation of projects is the timely identification of problems and prompt corrective action to solve them. To be able to identify problems promptly and anticipate potential ones requires, among other things, a good and well-managed information system. M&E is among the most effective methods of gathering, analyzing and utilizing information for change.

M&E is a process of assessing a project or policy and taking any corrective actions required, and involves collecting and analyzing information and generating recommendations for change. Monitoring is usually conducted as an ongoing activity throughout the life of the project, whereas evaluation is undertaken at certain intervals, such as at the mid-term and on completion of the project.

Monitoring is a streamlined management information system that, with the design of appropriate indicators, provides an early warning to project managers of actual and potential problems, and alerts higher officials about the progress and problems of implementation. Evaluation, on the other hand, assesses project objectives and the means of achieving them in the light of project experience and developments as implementation proceeds.

Participatory M&E is a process of collaborative problem-solving through the generation and use of knowledge. It leads to corrective action by involving all levels of stakeholders in shared decision-making. It is action-oriented and puts a strong emphasis on building





the capacity and commitment of all key stakeholders to reflect, analyze, and take responsibility for implementing any changes recommended.

The differences between conventional M&E and participatory M&E are shown in Table 1. It should be noted that the two approaches could reinforce one another and contribute to better decision-making.

**Table 1:** A comparison of conventional and participatory monitoring and evaluation

	Conventional M&E	Participatory M&E
Who?	External experts	Stakeholders, including community and project staff Outside facilitators
What?	Predetermined indicators to measure inputs and outputs	Indicators identified by stakeholders to measure progress, as well as outputs or outcomes
How?	Questionnaire survey, by outside "neutral" evaluators distanced from the project	Simple, qualitative or quantitative methods by stakeholders themselves
Why?	To make the project and staff accountable to the funding agency	To empower stakeholders to take corrective action

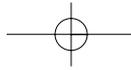
Source: Riethbergen-McCraken & Narayan (1998).

M&E embodies the following elements:

- Continuous and periodic collection and analysis of information about a project being implemented
- The use of such data and information to assess the state of implementation; to identify actual and potential problems facing the project; and to evaluate whether the project is on course and whether its objectives will be achieved
- The design and implementation of an action plan to effect changes necessary to put the project back on course; to deal with all identified problems; and to ensure that the original or amended objectives are achieved

If M&E were to be well executed for all developmental programs and projects implemented in Africa, the outcome would no doubt be miraculous. We would, in theory, have no failed projects, and the development objectives of African countries would be





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achieved to a greater extent than is currently the case. As mentioned above, Africa has failed to emerge from the poverty quagmire, despite the development efforts of individual countries. While it is accepted that resources have generally been inadequate, it is also true that they have not been utilized optimally.

When expeditiously applied to all development programs and projects in a policy environment that is conducive, M&E will enhance the development effect of programs and projects. The efforts of African countries will be enhanced through:

- Involvement of stakeholders in setting priorities, developing programs and implementing them
- Elimination of waste and corruption
- Improvement of the management of programs, and the introduction of discipline among program managers
- Redesign of programming to meet changing circumstances
- Prompt solutions to program problems as they occur

Unfortunately, most policy-makers strive for the rapid and urgent implementation of projects and programs so that results are seen quickly on the ground, often at a very high cost. This eagerness to associate policy-making with results (as a measure of delivery capability) often relegates M&E to a post-mortem function, instead of a proactive one aimed at the effective preparation and implementation of development programs in African countries.

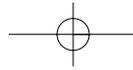
Moreover, M&E has not been accorded prominent status in some government ministries and institutions, although recently it has received recognition in the planning processes of some countries. In Uganda, for example, M&E is encouraged officially, and units have been established in ministries to handle this function. However, effective linkages with other stakeholders, including donors and non-governmental organizations (NGOs), remain elusive.

## Conclusion

The organization of this workshop and seminar is not just opportune, but also long overdue, and will hopefully ensure that the M&E function and profession take their proper place in development efforts.

New policy initiatives have been instituted by most African governments, for example decentralization, privatization, and recognition of the role of the civil society and NGOs in the advancement of the economy. In the light of these initiatives, it is imperative that the M&E function be transformed to accommodate multidisciplinary and intersectoral involvement, thereby paving the way for the widespread participation of stakeholders. This will not only lead to the incorporation of qualities such as transparency, but will also provide opportunities for synergy, increased benefits of shared information and





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experience, and widespread understanding and appreciation of and commitment to the objectives of development programs and projects. This can be further improved through the development of information exchange networks.

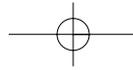
The above strategy will allow underresourced government institutions to benefit from the wide range of professional skills, experience and abilities that exists in the private sector, NGOs and academic institutions. All of these actors have an equal stake in the advancement of the economy, and their involvement is essential for comprehensive and transparent M&E. Agencies below national level, such as local governments, can benefit even more from such an approach in view of their generally low capacity.

M&E should also be seen as a dynamic function that should not be restricted to merely assessing the extent of a project's progress or failure. M&E needs to be stretched further, to study other parameters that shape people's attitudes towards particular projects and programs. Recognition of the multidisciplinary and intersectoral approach in M&E will facilitate an objective indication of the success or failure of projects.

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# 12

## Monitoring and evaluating poverty: the case of Tanzania

I.M. MUKARUKA<sup>1</sup>

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### Introduction

In 1997, the government of Tanzania adopted its National Poverty Eradication Strategy. The strategy has the ambitious target of reducing abject poverty by 50 percent by 2010. This year, Tanzania qualified for debt relief under the enhanced Highly Indebted Poor Countries (HIPC) initiative. A Poverty Reduction Strategy Paper (PRSP) has been prepared for submission to the World Bank and the International Monetary Fund.

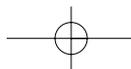
The PRSP brings together in a coherent framework all of the Tanzanian government's programs aimed at poverty reduction. It provides an opportunity to adopt a more systematic approach to monitoring and evaluating the impact of Tanzania's fight against poverty by giving stakeholders more coherent and extensive assessment of trends. The PRSP allows a systematic assessment of how the entire development effort is contributing to poverty eradication and can help stakeholders to adjust strategies where necessary. This in turn helps ensure that targets are met and progress is made towards the ambitious goals of the National Poverty Eradication Strategy.

Monitoring and evaluation (M&E) of the Poverty Reduction Strategy will take place at different levels. Firstly, the M&E system will be used to assess the effect of the strategy on key impact and outcome indicators relating to income poverty, quality of life and social well-being. Secondly, the system will review intermediate indicators more directly linked to the activities specified in the PRSP. Both the effect of sectoral activities and the creation of an enabling environment will be assessed.

The M&E system for the Poverty Reduction Strategy will involve a wide range of stakeholders at national, regional, district, ward and community levels. These will include the government, civil society, the private sector, research institutions and the poor themselves. The government intends to sustain participation beyond the production of the PRSP into implementation, monitoring and evaluation.

<sup>1</sup> Director, Poverty Eradication Division, Vice-President's Office, Tanzania.





## **Current status of poverty monitoring**

Monitoring makes intensive use of data, information and institutional processes. A considerable amount of data and information related to poverty is already being produced, analyzed and disseminated in Tanzania by aid agencies and various agencies in the government, civil society and the private sector. Nevertheless, effective poverty monitoring cannot be taken for granted. Firstly, few agencies are collecting data and information primarily for purposes of systematic poverty monitoring. Secondly, although some actors have undertaken monitoring for their own internal use, these monitoring activities have not been tied together into a comprehensive poverty-monitoring system.

Although it is known that poverty is a multisectoral reality, monitoring to date has focused on a few indicators of social well-being. Recently, however, the government has instituted mechanisms for monitoring public expenditures under the Public Expenditure Review and the Medium Term Expenditure Framework. Although these mechanisms have focused on public expenditures, they will be useful in the development of a comprehensive monitoring system.

## **Proposed M&E indicators**

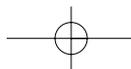
The overall objective of the Poverty Reduction Strategy is to reduce poverty in all dimensions – income, quality of life and social well-being. M&E of the strategy, its implementation and impact at this level requires impact and outcome indicators. The government has coordinated a consultative process to draw up a list of poverty and welfare monitoring indicators, and this list contains many of the required impact and outcome indicators. These have been incorporated into the Tanzania Socio-Economic Database, which contains a wider set of indicators.

In the PRSP, indicators at the various levels are discussed in terms of three main areas of impact: reducing income poverty, improving the quality of life and social well-being, and achieving and sustaining an environment conducive to development.

## **Reducing income poverty**

### ***Impact and outcome indicators***

One important aspect of poverty is income. The extent of poverty can be measured by the proportion of the population that falls below a predefined poverty line, also known as the poverty headcount ratio. It is common to work with two poverty lines. The lower poverty line is usually defined in terms of minimum food requirements and is known as the food poverty line. The higher poverty line is based on a locally compiled basket of essential food and non-food items and is known as the basic needs poverty line. The National Bureau of Statistics has done valuable work to determine the level of these lines in Tanzania.



### ***Proxy indicators***

As income poverty indicators are complicated and expensive to measure, they are only investigated at relatively long intervals of five years or more. It is, therefore, useful to measure proxy indicators in the interval between Household Budget Surveys. These indicators are more straightforward to measure and, because they correlate strongly with income and expenditure figures, may be used as an indication of poverty trends.

### ***Intermediate indicators***

The actions suggested in the PRSP aim at achieving pro-poor economic growth, improving rural roads and other infrastructure, and cultivating a favorable climate for development of the private sector.

One of the most obvious intermediate indicators in this area is the overall growth rate of the gross domestic product (GDP). As most of the poor live in rural areas and depend on agriculture for their livelihood, it is crucial that growth in agriculture in particular is stimulated. The growth rate in the agriculture component of the GDP is therefore an important indicator. Currently, a major obstacle to agricultural growth is the state of the roads in the rural areas. To monitor progress in this area, rural roads rehabilitated to all-weather standards will be measured (in kilometres). This indicator will need to be disaggregated by region in order to permit assessment of the extent to which improvements in the road infrastructure benefit the poorest regions. To judge the extent to which a favorable climate is established for private sector development, the indicator will be investment as a percentage of GDP.

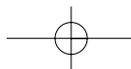
In summary, the following strategic indicators will be measured to assess development at all levels in income poverty:

- The proportion of the population below the food poverty line, nationally and in rural and urban areas
- The proportion of the population below the basic needs poverty line, nationally and in rural and urban areas
- The GDP growth rate
- The agriculture growth rate
- Kilometers of rural roads rehabilitated to all-weather standards, nationally and by region
- Investment as a percentage of GDP

### **Improving the quality of life and social well-being**

It is widely accepted that income is but one of many dimensions of poverty. Other dimensions include the opportunity to survive beyond childhood and to lead a long and healthy life; the reliable availability of adequate food in sufficient quantity; the ability to





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read and write and the opportunity to obtain those skills through education; protection from man-made and natural disasters; the opportunity to participate in economic, social and political processes; and good governance.

### ***Survival***

Survival is typically measured through life expectancy and mortality indicators. Life expectancy at birth, infant and under-five mortality rates, and maternal mortality rates are most commonly used in this context. For policy-making, it is important to disaggregate infant and under-five mortality rates at least by gender and rural and urban strata.

The PRSP action program for survival focuses on improved basic health care, particularly immunization, maternal and child health facilities, and addressing the HIV/AIDS epidemic. A first intermediate indicator to be measured is the percentage of children fully immunized by their first birthday, and for this, disaggregation by rural and urban strata and by gender is required. An indication of access to maternal health care is the percentage of births attended by trained personnel, which also requires a disaggregation by rural and urban strata.

In summary, the indicators that will be monitored for the survival aspect of social well-being are:

- Infant mortality rate, nationally and in rural and urban areas, for boys and girls
- Under-five mortality rate, in rural and urban areas, for boys and girls
- The percentage of children fully immunized by their first birthday, nationally and in rural and urban areas, for boys and girls
- The percentage of births attended by trained personnel, nationally and in rural and urban areas
- The proportion of districts with an active AIDS awareness campaign in place

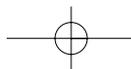
### ***Nutrition***

Children's nutritional status is generally a good indication of both a nation's food security and its overall welfare. Children's height is related to their age, which reveals chronic deficiencies in nutrition (stunting), or their mass is related to their height, which reveals acute deficiencies in nutrition (wasting). These indicators need to be disaggregated by rural and urban strata and by gender.

Indicators that will be monitored are:

- The proportion of children with moderate and severe stunting (height for age), nationally and in rural and urban areas, for boys and girls
- The proportion of children with moderate and severe wasting (weight for height), nationally and in rural and urban areas, for boys and girls





### ***Human capabilities***

At the impact/outcome level, literacy and educational status are a reflection of the overall literacy rate of the population and the educational attainment of children. No recent baseline estimates are available for these indicators; the results of the 2002 census will provide estimates. The net enrolment rate of primary education will be monitored as a combined measure of access to education and efficiency; the net primary intake rate will be monitored more strictly as an access indicator. The enrolment rate in Grade 7 will serve to assess retention, and the passing rate in Grade 7 to assess attainment, both of which are to a large degree results of the quality of the education process. All the indicators below need to be disaggregated by rural and urban strata and by gender:

- Net primary enrolment rate, nationally and in rural and urban areas, for boys and girls
- Net primary intake rate, nationally and in rural and urban areas, for boys and girls
- Net enrolment rate in Grade 7, nationally and in rural and urban areas, for boys and girls
- Passing rate in Grade 7, nationally and in rural and urban areas, for boys and girls

### ***Social safety nets***

Protection from man-made and natural disasters, and care for vulnerable groups such as the very poor, the elderly and orphans, are hard to capture in terms of indicators. Special studies of specific disasters and specific vulnerable groups will be required to ascertain the extent to which communities are able to provide care and become more resilient to external shocks. A first step in building appropriate safety nets is to build the capacity to identify the most vulnerable individuals, which will require the establishment of databases at lower and central levels of administration.

### ***Water and sanitation***

The indicator that will be used to assess progress towards the water target is the proportion of households in rural areas with access to safe drinking water.

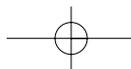
## **Achieving and sustaining a development environment that is conducive**

The poverty eradication objectives of the PRSP will be achieved only if an environment conducive to development is established and sustained. Two elements of this environment are highlighted in the PRSP: macroeconomic stability and good governance.

### ***Macroeconomic stability***

Three indicators will be used to determine macroeconomic stability: fiscal balance, foreign exchange reserve level, and price inflation rate.





### **Good governance**

The priority areas for action in the PRSP grouped together under the heading of governance include the following:

- **Public finance management:** The most important issue here is to verify that budget allocations reflect the poverty reduction priorities outlined in the PRSP. As part of the annual Public Expenditure Review, resource allocations and actual government expenditure will be assessed against the priority action program of the PRSP. At the very least, the M&E system for the PRSP will have to track the share of the priority sectors in the government budget, overall and by individual sector – basic education, primary health care, water and sanitation, rural roads, agricultural research and extension, and HIV/AIDS. The M&E system will also assess the extent to which the PRSP financial framework is actually funded. This is an indication of how successful the government has been in mobilizing an adequate level of resources.
- **Anticorruption measures and accountability:** Corruption has been highlighted in the PRSP as a major concern to the poor, and anticorruption measures are therefore of great importance. However, it is difficult to capture progress in this area with pre-defined indicators. Participatory assessments will play an important role.
- **Stakeholder participation:** It is clear that successful poverty reduction requires a high level of stakeholder participation in decision-making. The depth and breadth of participatory processes will only become evident through qualitative information gathered in participatory assessments.
- **Local government reform and performance improvement:** This is reflected in the effectiveness of public services and will therefore be captured in the regular participatory assessments.

In summary, the following indicators will be used to measure good governance:

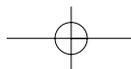
- The share of priority sectors in the government budget, total and for individual sectors: basic education, primary health care, water and sanitation, rural roads, agricultural research and extension, HIV/AIDS
- The proportion of the PRSP financial requirement actually funded

### **Data collection methods and sources**

Several data sources will be used in the M&E system outlined in the PRSP. These can be grouped into three categories according to the method used to collect data.

- **Indicators measured through administrative system data:** Data are generated when authorities at lower levels are periodically required to transmit information to higher authorities as an integral part of their duties and responsibilities. This category includes progress reporting and routine data collection.





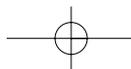
## MONITORING AND EVALUATING POVERTY: THE CASE OF TANZANIA

- **Indicators measured through census and survey data:** These sources generate data that may not be obtained entirely from administrative records or that may be used to cross-check the institution-based data from routine monitoring systems.
- **Indicators measured through community data:** Data are generated through village register and community interviews, primarily for local planning purposes by the ward and village. Such data can provide useful indications of poverty trends. This category also includes participatory assessments.

The clusters of indicators identified in the previous section can be matched to sources as follows:

- **Income:** The National Bureau of Statistics has used the results of the 1991/92 Household Budget Survey and the listing exercise for the 2000/01 Household Budget Survey to estimate poverty headcount ratios for 2000. However, owing to the methodology on which these estimates are based, they are not well suited as baseline figures for monitoring progress under the Poverty Reduction Strategy. The actual baseline poverty headcount ratios will be known once the results of the 2000/01 Household Budget Survey are released in 2001. Among the intermediate indicators for income poverty (GDP growth rate, the agriculture growth rate and investment as a percentage of GDP), baseline and annual updates are available from the National Accounts and the Economic Survey prepared by the National Bureau of Statistics and the Planning Commission.
- **Survival:** Mortality figures are typically measured through the population census, conducted at approximately ten-year intervals, and through demographic and health surveys conducted approximately every five years. Baseline estimates for infant and under-five mortality are available from the Tanzania Reproductive and Child Health Survey of 1999. Although the sample of this survey is relatively small when compared with a full demographic and health survey, it is proposed that the 1999 estimates be used as baseline figures for infant and under-five mortality.
- **Nutrition:** Baseline estimates for the nutritional status of children are available from the Tanzania Child and Reproductive Health Survey of 1999. A new estimate will be available from the next demographic and health survey. The nutritional status of children is also measured through community-level monitoring and routine monitoring at health centers.
- **Human capabilities:** All education indicators in this section can be measured through the routine data collection system of the Ministry of Education, which provides data annually. The 2002 census will provide a cross-check on the institution-based data for enrolment. The ongoing school mapping exercise will also provide valuable new estimates for some of these indicators.
- **Water:** The water indicator will be monitored through the 2002 census and the next demographic and health survey. Baseline figures are available from the Tanzania Child and Reproductive Health Survey of 1999.





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- **Macroeconomic stability:** The consumer fiscal deficit, foreign exchange reserve level and price inflation rate are measured in the annual economic survey.
- **Good governance:** The resource allocation indicators will be monitored through the Public Expenditure Review, the Medium Term Expenditure Framework, and the budgetary processes. The Public Expenditure Review will remain the main instrument for monitoring expenditure allocation and results orientation annually.

The lynchpin of the monitoring system will be the Medium Term Expenditure Framework, which is the main instrument for expenditure allocation towards poverty reduction. Under the Public Expenditure Review process, the tracking of expenditure through the different levels of government to the actual service delivery unit is already carried out for education, health and the road fund. This will be scaled up to cover priority sectors and, if possible, will be carried out every year.

### **Institutional framework for M&E**

The M&E system for the PRSP needs an appropriate institutional framework, which has two elements: institutional arrangements and an institutional environment. Appropriate institutional arrangements specify clear lines of responsibility for the various sectors and agencies in order to promote demand-driven data generation, compilation and analysis. Such arrangements maximize benefits arising from specialization and minimize overlaps and conflicts. A proper institutional environment sets the “rules of the game” by defining standards and putting in place appropriate incentives for the smooth implementation of the monitoring system.

### **Institutional arrangements**

A wide spectrum of actors is involved in PRSP monitoring activities, which range over data collection, processing, analysis and utilization. The overall responsibility for monitoring poverty at the national level lies with the government institution charged with the coordination of poverty eradication initiatives, in this case the Vice-President’s Office. To ensure that all relevant stakeholders are involved in the monitoring process, the government intends to establish monitoring committees with a broad membership. There will be a national monitoring committee, as well as committees at lower administrative levels.

The National Bureau of Statistics is responsible for collecting data by means of large household surveys, the national census and national accounts. The line ministries collect sectoral data, mostly through routine data collection mechanisms and administrative systems. Academic and research institutions collect data through ad hoc research on specific issues. The Planning Commission, in its role as a think-tank for the government, also has a role to play here. These institutions and advocacy usually carry out dissemination of the data. In government, the Vice-President’s Office plays a role in dissemination that advocates a pro-poor policy. Finally, findings of poverty monitoring need to be





applied to policy-making. This is the responsibility of policy-makers, supported by the Vice-President's Office, the National Planning Commission and academic and research institutions.

### **Institutional environment**

Apart from making the required institutional arrangements, it is also important to create the right institutional environment. This entails setting standards for monitoring and making sure that the correct incentives and disincentives are in place. This will ensure smooth implementation of the monitoring system and that all actors in the system play their roles as agreed. These incentives and disincentives can be in the form of funding, access to training, and other elements of institutional capacity-building. The stakeholder forum for the monitoring system should play the leading role in determining and administering the incentive system.

### **Data storage**

There is a definite need for central storage of the data collected through the PRSP monitoring system, in an easily accessible format that facilitates analysis and the use of data in policy analysis. The National Bureau of Statistics is coordinating a Socio-Economic Database initiative, which is most suitable for this purpose. The Tanzania Socio-Economic Database exists as a working prototype and the full working version will be available soon on CD-ROM, the government network and the Internet. The poverty module of this database can easily be modified to serve as the PRSP database. The National Bureau of Statistics will coordinate the Socio-Economic Database, while ministries and other data-collecting institutions will make their data sets available.

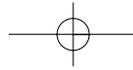
### **Capacity-building**

There are many weaknesses in Tanzania's current poverty-monitoring activities. The PRSP presents an excellent opportunity for enhancing poverty-monitoring in the country and for building a coherent poverty-monitoring system. To take advantage of this opportunity, a significant investment in capacity-building is necessary.

Capacity-building is needed at all levels of institutions involved in poverty-monitoring. Data-collecting agencies will need to strengthen existing data collection mechanisms. Line ministries will need support to enhance their routine surveillance and administrative data systems. The National Bureau of Statistics will need extra support, in particular for the new annual poverty-monitoring surveys, but also to strengthen its operations in the regions. Local government, civil society organizations and research institutions will need support to build their capacity to implement the participatory poverty assessments.

At the level of compilation and dissemination, the National Bureau of Statistics will need support for the annual poverty-monitoring surveys, particularly if they depend on high-





technology data-capturing, such as scanning and optical map-reading. The Bureau and line ministries need to develop the capacity for successful implementation and management of the Tanzania Socio-Economic Database.

### **Linking M&E data and policy-making**

The M&E system outlined in this section is intended to assess the effectiveness of the Poverty Reduction Strategy. It is crucial, therefore, that data are available to policy-makers in a user-friendly format and that interpretation of the M&E findings is stimulated. However, while a user-friendly database will contribute to the utilization of data, it is not sufficient in itself. The government proposes to hold annual workshops for senior policy-makers in the relevant ministries to reflect on progress with the PRSP and to review M&E data. These workshops would ideally be preceded by national or zonal workshops at which a wide range of stakeholders will be invited to share their assessments of PRSP implementation. The main conclusions of these stakeholder workshops will provide an important input to the policy-maker workshops. The details of these arrangements will be worked out during the first year of implementation of the PRSP.

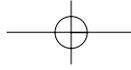
### **Evaluation of the PRSP**

It is proposed that towards the end of the third year of implementation, a team representing the major stakeholders should evaluate the PRSP. The team will review all quantitative and qualitative data collected during the implementation period, thus using the monitoring system as the basis for its work. The team will also collect additional information through interviews with key informants. The results of the evaluation will be presented at workshops for policy-makers and stakeholders, and will serve to inform the design of the next phase of the Poverty Reduction Strategy.

### **Cost implications**

The different elements of the monitoring system for the PRSP have not received sufficient resources in budget allocations so far, as the details and requirements of this system were not available when the budget was being drawn up. It is therefore important to indicate what the cost implications of the monitoring system described above are, so that appropriate action can be taken. The cost implications include costs due to the introduction of new data collection activities, specific to the monitoring of the PRSP, as well as costs due to capacity-building.

It is estimated that the cost of the capacity needs assessment and the resulting capacity-building interventions in the first year of implementation of the PRSP may be in the region of US\$750,000. This will include training as well as other aspects of institutional capacity-building. The enhancement of existing data collection mechanisms and the introduction of annual poverty-monitoring surveys and project performance appraisals may cost in the region of US\$1.5 million. The total amount required for the establish-

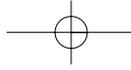


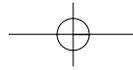
ment and first year of operation of the PRSP monitoring system, beyond already planned expenditures, is approximately US\$2.25 million. In subsequent years, the required budget will be nearer US\$1.5 million. In order to secure adequate funding for the M&E system, the government will coordinate the preparation of a proposal that will be submitted to donors to secure appropriate allocations.

## **Conclusion**

M&E is an important implementation tool. In Tanzania, sectoral ministries and other institutions collect data on indicators for their sectors as part of M&E. With the added dimension of poverty reduction targets, greater emphasis is being put on strengthening M&E. The preparation of the PRSP, which was achieved through a participatory process under the HIPC initiative, was also an opportunity for designing an effective capacity-building program for M&E in Tanzania.







# 13

## The role of the Ghana Institute of Management and Public Administration in institutionalizing monitoring and evaluation in Ghana

LAWRENCE A. KANNAE<sup>1</sup>

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### Introduction

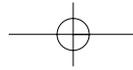
In recent years, the issue of monitoring and evaluation (M&E) has attracted a good deal of attention in Ghana. There is growing concern about the poor performance of the public sector, and a call for more accountability, effectiveness and efficiency. In responding to this call, the government recognized the need to strengthen M&E capacity. Consequently, technical assistance was solicited from the World Bank in 1999 to conduct a diagnostic study of M&E capacity in Ghana and make recommendations for necessary action. The study culminated in a stakeholder's review workshop in which the issue of institutionalization of M&E became central. This paper examines the actions undertaken by the Ghana Institute of Management and Public Administration (GIMPA) to support the institutionalization of M&E, as well as lessons learned and strategies for the future.

### Overview of program evaluation in Ghana

Apart from the diagnostic study by the World Bank (Mackay, 1999), there is little analytical documentation of the capacities of M&E in Ghana. According to that study, M&E is critical for the contemporary Ghanaian situation for two main reasons. First, Ghana is currently a pilot country for the Comprehensive Development Framework with its cardinal emphasis on results and accountability. Second, Ghana is currently engaged in comprehensive public sector reforms aimed at downsizing and re-engineering for efficient and effective performance. The development of M&E capacity is therefore expected to enhance the government's ability to measure and report on the performance (i.e.

<sup>1</sup> Director, Management Research, Ghana Institute of Management and Public Administration, Ghana.





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LAWRENCE A. KANNAE

effectiveness) of public sector organizations and development projects, as well as provide the necessary local M&E expertise to match that of donors who have promoted results-based management in the public sector.

### **GIMPA's role in institutionalizing monitoring and evaluation**

Over the past five years, GIMPA has designed a two-hour session on M&E that is incorporated into all regular management training programs for top and middle-level managers. In 1998, it designed and implemented a one-week training workshop on M&E of development projects. The workshop, which was intended for 40 participants, was oversubscribed and had to be run twice, indicating the extent of unmet demand for M&E skills in the public and private sectors. Of the 79 participants, only 13.9 percent came from the public sector. In the evaluation at the end of the course, participants were very positive and recommended that the program be institutionalized as part of the regular annual courses that GIMPA runs for the benefit of the wider population. The low participation of public sector organizations in the training program was attributed mainly to their inability to pay the participation fee.

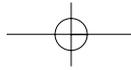
In order to build GIMPA's capacity to contribute effectively to the institutionalization of M&E in Ghana, a core evaluation team was set up following a training-of-trainers workshop on M&E conducted in April 2000 in collaboration with, and with the support of, the World Bank Institute.

### **Lessons learned**

The lessons that GIMPA has learned over the past few years in promoting the development and practice of M&E in Ghana include the following:

- There is greater interest in M&E and its practice in the non-governmental organization (NGO) sector than in the public sector.
- There are comparatively fewer M&E skills in the public sector than in the NGO and private sectors.
- There is growing government interest and support for M&E.
- The key obstacles to building M&E capacity in the public sector are inadequate budgetary provisions for training and lack of adequate M&E expertise to impart knowledge and practices.
- There is a lack of institutionalization of M&E in the Management Development Institutes to provide the necessary skills to both the public and private sectors.
- The donor community and development partners have high interest in, and support for, M&E.
- The culture of evaluation is not internalized, despite the apparent interest.





## Strategies for the future

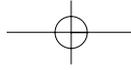
The World Bank's diagnostic study identified nine interrelated and overlapping options for developing M&E capacity in Ghana. These included:

- Issuing a policy statement making M&E mandatory
- Developing an M&E framework
- Identifying M&E champions
- Reviewing the structure, functions, resources and practices of the Policy Planning, Monitoring and Evaluation (PPME) departments of selected ministries
- Adopting a ministry that could demonstrate M&E good practice and approaches
- Establishing an M&E training fund based on an action-learning approach
- Providing support for the establishment of a Ghanaian evaluation forum or network of evaluators within and outside the public sector who would share insights into common problems and good practice approaches
- Identifying ways in which to involve civil society, NGOs, Parliament and the media more effectively in overseeing development progress and the performance of public sector organizations

In line with the above options, GIMPA's strategy is threefold. First, in the short term, it will intensify its efforts to provide M&E training services to the personnel of the PPME departments of the public sector to achieve effective ongoing M&E of public sector reforms. This involves equipping the departments with techniques and tools, defining performance indicators, collecting data on them, and analyzing and interpreting the data to guide management decision-making. Second, building on the performance indicators defined, GIMPA will assist the PPME departments in the application and use of more sophisticated evaluation tools. Third, in order to strengthen the supply of M&E in the long term, GIMPA intends to introduce M&E as a specialization option in its Master's Program in Development Management in the 2000/01 academic year.

It is important to note that the successful implementation of these strategies depends largely on the willingness of the government to provide adequate financial support, which is often not forthcoming and appears to be a perennial problem. GIMPA has already consulted the Head of the Civil Service and the Chief Directors of those ministries that indicated full moral support for our proposal to strengthen the M&E capacities of the PPME departments, but expressed doubts about the availability of the financial resources needed to support the training. It is our hope that this forum will yield concrete strategies for supporting and strengthening the efforts of management development institutes such as GIMPA to build and institutionalize M&E capacity in sub-Saharan Africa.





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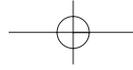
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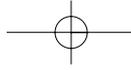
Mackay, K. 1999. *Evaluation capacity development: a diagnostic guide and action framework. A preliminary diagnosis of monitoring and evaluation capacities in Ghana*. Washington, DC: World Bank.

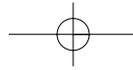




# Addressing evaluation capacity development through new methodologies







# 14

## Outcome mapping: focusing monitoring and evaluation of development programs on changes in partners

SARAH EARL, FRED CARDEN & TERRY SMUTYLO<sup>1</sup>

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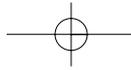
### **Assessing development impacts: the challenges**

In its conceptual and practical work over the past few years, the Evaluation Unit of the International Development Research Centre (IDRC) has encountered fundamental challenges in assessing and reporting on development impacts. While development organizations are under pressure to demonstrate that their programs result in significant and lasting changes in the well-being of large numbers of their intended beneficiaries, such “impacts” are often the product of a confluence of events for which no single agency or group of agencies can realistically claim full credit. As a result, assessing development impacts, especially from the perspective of an external agency, is problematic, yet many organizations continue to struggle to measure results far beyond the reach of their programs.

In response to this problem, the IDRC has been working with Dr Barry Kibel of the Pacific Institute for Research and Evaluation, to adapt his outcome engineering approach to the development research context. Methodological collaboration with the West African Rural Foundation, and testing with the Nagaland Environmental Protection and Economic Development Project, have greatly informed this adaptation process. A methodology called “outcome mapping” is evolving, which characterizes and assesses the contributions development programs make to the achievement of outcomes. Outcome mapping can be adapted for use at the project, program or organizational level, as a monitoring system or to evaluate ongoing or completed activities. It takes a learning-based and use-driven view of evaluation, guided by principles of participation and iterative learning.

<sup>1</sup> Respectively, Evaluation Research Officer, Senior Program Specialist; and Director: Evaluation, Evaluation Unit, International Development Research Center, Canada.





As development is essentially about people relating to one another and their environment, the focus of outcome mapping is on people and organizations. The originality of the methodology is its shift away from assessing the products of a program (e.g. policy relevance, poverty alleviation and reduced conflict) to a focus on the changes in the behaviors, relationships, actions and/or activities of the people and organizations with whom a development program works.

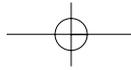
This shift significantly alters the way in which a program understands its goals and assesses its performance and results. Outcome mapping establishes a vision of the human, social and environmental betterment to which the program hopes to contribute and then focuses monitoring and evaluation (M&E) on factors and actors within its direct sphere of influence. The program's contributions to development are planned and assessed, based on its influence on the partners with whom it is working to effect change. In essence, development is accomplished through changes in the behavior of people; therefore, this is the central concept of outcome mapping.

### **Focusing on change in partners**

Two terms used in this paper have specific meanings in the context of outcome mapping. "Boundary partners" are those individuals, groups and organizations with whom the program interacts directly to effect change and with whom the program can anticipate opportunities for influence. "Outcomes" are changes in relationships, activities, actions or behaviors of boundary partners that can be logically linked to a program's activities, although they are not necessarily directly caused by it. These changes are aimed at contributing to specific aspects of human and ecological well-being by providing the boundary partners with new tools, techniques and resources to contribute to the development process.

Outcome mapping focuses on one particular category of results: changes in the behavior of the people, groups and organizations with whom a program works directly. These changes are called outcomes. With outcome mapping, development programs can claim contributions to the achievement of outcomes rather than claiming the achievement of development impacts. Although these outcomes, in turn, enhance the possibility of development impacts, the relationship is not necessarily a direct one of cause and effect. Instead of attempting to measure the impact of the program's boundary partners on development, outcome mapping concentrates on monitoring and evaluating its results in terms of the influence of the program on the roles these boundary partners play in development.

In the IDRC context, defining outcomes as "changes in behavior" emphasizes that, to be effective, development research programs must do more than creating and disseminating information, they must actively engage development actors in adaptation and application. Such engagement means that boundary partners will derive benefit and credit for fulfilling their development roles, whereas development programs will be credited with



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OUTCOME MAPPING: FOCUSING MONITORING AND EVALUATION  
OF DEVELOPMENT PROGRAMS ON CHANGES IN PARTNERS

their contributions to this process. With outcome mapping, programs identify the partners with whom they will work and then devise strategies for equipping their partners with the tools, techniques and resources needed to contribute to the development process. Focusing M&E on changes in partners also illustrates that, although a program can influence the achievement of outcomes, it cannot control them, because ultimate responsibility for change rests with its boundary partners, their partners and other actors. The development program does not prescribe the desired changes; instead, outcome mapping provides a framework and vocabulary for understanding the changes and for assessing efforts aimed at contributing to them.

## **Integrating program learning and improvement**

Outcome mapping provides a development program with the tools to think holistically and strategically about how it intends to achieve its results. Ideally, M&E is integrated into a program at the planning stage. However, as this is not always the case, outcome mapping has elements and tools that can be adapted and used separately. The full outcome mapping process has three stages. For each stage, tools and worksheets are provided to help programs organize, collect and digest information on their contributions to desired outcomes.

Outcome mapping allows a program to introduce M&E considerations at the planning stage and link them to the implementation and management of the program. It also unites process and outcome evaluation, making it well suited to the complex functioning and long-term aspects of international development programs where outcomes are intermeshed and cannot be easily or usefully segregated from one another. Focusing M&E around boundary partners allows the program to measure the results it achieves within its sphere of influence; to obtain useful feedback in order to improve its performance; and to take credit for its contributions to the achievement of outcomes rather than for the outcomes themselves. The outline below illustrates the three stages of outcome mapping; the ten steps are the elements of an outcome mapping design workshop.

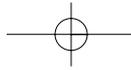
### **Stage 1: Intentional design**

- Step 1: Vision
- Step 2: Mission
- Step 3: Boundary partners
- Step 4: Outcomes challenges
- Step 5: Progress markers
- Step 6: Strategy maps

### **Stage 2: Outcome monitoring and organizational reflection**

- Step 7: Outcomes map
- Step 8: Performance map





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**Stage 3: Strategic evaluation**

Step 9: Evaluation plan

Step 10: Evaluation design

The first stage, Intentional Design, helps a program clarify and reach consensus on the macrolevel changes it would like to support. Outcome mapping does not help a program identify programming priorities. It is only appropriate and useful once a program has chosen its strategic directions and wants to chart its goals, partners, activities and progress towards anticipated results. After clarifying the changes the program intends to help bring about, activities are chosen that maximize the likelihood of success. The Intentional Design stage helps answer four questions:

- Why? (vision statement)
- Who? (boundary partners)
- What? (outcome challenges and progress markers)
- How? (mission, strategy maps)

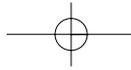
The second stage, Outcome Monitoring and Organizational Reflection, provides a framework for ongoing monitoring of the program's actions in support of the progress of its boundary partners towards the achievement of outcomes. The program uses progress markers, a set of graduated indicators of behavioral change identified in the Intentional Design stage to clarify directions with boundary partners and to monitor outcomes. It uses the strategy maps and organizational practices to create a performance-monitoring framework. If completed regularly, this framework gives the program the opportunity and tools to reflect on and improve its performance, and to collect data on the results of its work with its boundary partners.

Whereas with the monitoring framework in the second stage the program gathers broad information, the strategic evaluation in the third stage examines a strategy, issue or relationship in greater depth. It helps the program set evaluation priorities so that it can target evaluation resources and activities where they will be most useful. An evaluation plan outlines the main elements of the evaluations to be conducted, and finally an evaluation design is presented.

The key characteristics of outcome mapping are as follows:

- It defines the program's outcomes as changes in the behavior of partners.
- It focuses on facilitating change rather than controlling or causing change.
- It recognizes the complexity of development processes and of the contexts in which they occur.
- It looks at the logical links between interventions and outcomes, rather than trying to attribute impact to any particular intervention.
- It locates a program's goals within the context of larger development challenges, beyond the reach of the program, to encourage and guide the innovation and risk-taking necessary.





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OUTCOME MAPPING: FOCUSING MONITORING AND EVALUATION  
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- It requires the involvement of program staff and partners throughout the planning and M&E stages.

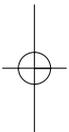
## Using outcome mapping

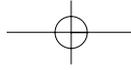
Outcome mapping is usually initiated through a participatory workshop led by an internal or external facilitator who is familiar with the methodology. This event is geared to the perspectives of those implementing the program and focuses on planning and assessing the changes they want to help bring about. Although the primary participants are usually those who are directly involved with implementing the program, it is useful to include boundary partners in the initial workshop for input on the relevance, activities and direction of the program. This workshop allows the group to reach consensus about the macrolevel changes they would like to support and the strategies needed to do this. It also provides a basis for subsequent discussions with partners to negotiate program intentions and to help stakeholders develop a monitoring system and establish an evaluation plan.

In summary, outcome mapping helps a program tell its performance story by providing a framework to:

- Design
  - Articulate its logic and overall goals.
  - Develop a comprehensive picture of the strategies for facilitating results.
- Monitor
  - Capture performance and outcome monitoring data.
  - Indicate areas for improved performance.
  - Credit a program for its contribution to bringing about change.
- Evaluate
  - Establish evaluation priorities and an evaluation plan.
  - Manage or design a useful evaluation process.
  - Choose suitable data collection methods based on its strategies.
  - Evaluate results in terms of changes in partners.

Outcome mapping helps a program to be specific about the actors it targets, the changes it expects to see, and the strategies it employs and, as a result, to be more effective in achieving results. It is particularly valuable for M&E development programs whose results and achievements cannot be understood with quantitative indicators alone, but which also require the deeper insights of a qualitative, contextualized account of the development process.





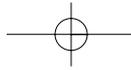
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**Conclusion**

Outcome mapping is a dynamic methodology that is currently being tested at the project, program and organizational levels. A manual, *Outcome mapping: monitoring and evaluation focused on changes in partners – a facilitation manual*, by Sarah Earl, Fred Carden and Terry Smutylo, is available from the IDRC Evaluation Unit. It explains the various steps of the approach and provides more detailed information on facilitating the design workshop, including worksheets and examples.





# 15

## The implications of decentralized delivery for national monitoring and evaluation

MALCOLM MCCARTHY<sup>1</sup>

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A key aim of South African policy during the past six years has been to improve the deployment of resources to tackle development priorities in the country. At the same time, key government delivery programs across sectors are increasingly being placed at a subnational level, particularly that of local government. This localized point of delivery has substantial implications for the locus and process of monitoring and evaluation (M&E). It particularly challenges the approach that formulates and locates the key responsibility and thinking about M&E at the national or government level.

### **Monitoring and evaluation as a core function of government**

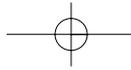
The importance of properly assessing the mobilization and deployment of resources in terms of efficiency and impact is incorporated in much recent government legislation. Significant in this regard is the Public Finance Management Act, Nos. 1 and 29 of 1999, which links the principles of transparency, accountability and sound financial management to an overall framework of effectiveness, efficiency and economy. The primary purpose is to ensure that the government achieves its set priorities. Under this legislation, performance assessment is expected to be carried out by local authorities, provincial government departments and their managers. This legislation is entwined with approaches to fiscal policy control within government financing that have shifted from input-defined budgets to linking resources to outcome and outputs.

### **Local government as the core delivery agent**

The demarcation of new local governments creates stronger and more viable entities whose main focus will be a developmental one. Supporting this move, there are signifi-

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cant sectoral legislation and policy that emphasize local government as the key tier of government for delivery. It is therefore a key locus for the use of the Public Finance Management Act and the application of the logic of the new fiscal policy.

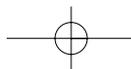
The Municipal Structures Act, No. 117 of 1998, and the Municipal Systems Bill currently on its way through Parliament, structure a local government accountable to its local residents within the framework of national and provincial government policy and resource allocation. The Municipal Systems Bill puts effective and efficient financial management and performance assessment at the center of management assessment. The Municipal Finances Act, locating the institutional responsibility for effective and prudent financial management within the political and bureaucratic structures of local authority, reaffirms effective financial management as the main assessment criterion.

From a planning and business management perspective, the Integrated Development Planning (IDP) process incorporated into the Municipal Systems Bill promotes integrated planning and programs across sectors, including aspects of health, housing, land management, infrastructure provision and community facilities. This it does to maximize the use of available financial, human and other resources. The responsibility of local authorities is to plan to reflect not only national priorities, but also those of the residents. This national policy framework and umbrella of legislation should make sure that local government delivers, and that it monitors and evaluates its delivery to ensure that it is effective and efficient and maximizes positive impact on key government priorities.

### **Change of locus and form of M&E**

Existing attempts at M&E from the more centralized position of national government can provide an important photographic view informed by national indicators. These attempts often rely on technical indicators and forms of external assessment. This form of evaluation, although necessary to obtain a national picture, is not one that encourages ownership or links to local level to impact on management at the point where crucial delivery resources are organized and delivered.

This results in M&E systems that are implemented from outside the delivery system of local government, where those who should use them to improve the efficiency and effectiveness of their delivery have very little commitment to doing so. This is reflected in the poor quality of the information systems and the fact that they are so underused in reshaping the deployment of the available resources. For example, in the Department of Land Affairs, the initial development of M&E systems was within a nationally centralized program. It faced difficulties in obtaining local cooperation for monitoring and the commitment to use the evaluation to shape program development. A shift to a decentralized program for M&E that placed greater direct control of M&E resources and targets at provincial level provided better quality information and greater commitment to its use. It also served the double purpose of measuring M&E against national indicators and directly affecting the local management of resources.



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THE IMPLICATIONS OF DECENTRALIZED DELIVERY  
FOR NATIONAL MONITORING AND EVALUATION

In parts of the existing national policy and legislation, a theoretical shift emphasizes the necessity of ownership and control of the M&E process. The implementation of the Public Finance Management Act is applicable to local authorities. However, it concentrates essentially on the timely outflow of money and its proper management. While it will have the positive impact of requiring better accountability (and hence self-evaluation) from local governments, it has less ability to assist local government in assessing whether its total resource allocation is geared to achieve integrated development in line with local needs.

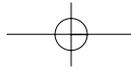
The second important legislative impact for M&E has been the introduction of IDP. M&E is an important element in the overall business planning and implementation process. IDP defines the need for M&E systems at local level to assess the level, quality and impact of the implemented programs. An initial assessment of the results of the first round of such planning by local authorities showed a lack of understanding of this approach to planning and implementation. This was compounded by the complexity of the planning system and the lack of capacity in local authorities to implement it. Even where the planning process has achieved business plans based on integrated programs for delivery, the M&E elements are generally more monolithic and limited to those technical sectors where recording and reporting are already part of the work.

Currently, monitoring follows two main approaches: the project management approach, associated with the engineering sector, and the financial management approach. With the former, the outcome is project-based or sectorally orientated assessments based on expenditure against budget, time of delivery against programmed project implementation, and quality of physical product against specification (e.g. infrastructure). It does not consider questions of impact, nor does it make a broader assessment of the effectiveness of alternative forms of resource allocation across programs. It is further restrictive in that it emphasizes the M&E of capital-driven programs and neglects the arguably more significant M&E of operational expenditure and its relevance to improving delivery and impact. Neither does it evaluate the existing processes (or lack of processes) in terms of their impact on delivery and use of resources.

If the M&E stream relies heavily on financial monitoring, it can demonstrate severe limitations. It is often based on monitoring expenditure against budget while ensuring that it happens within the established expenditure controls. However, it gives little attention to the basic assumptions underlying the original budget allocation or the effectiveness of the use of the money in achieving the government's primary objectives.

Despite these reservations, both of these streams provide important tools, and some of the technical skills, to build M&E in local government so that it contributes positively to the optimum allocation and integration of resources.





## Existing M&E capacity in local government

Case studies of local authorities show that some are establishing their own integrated M&E programs, with great strength in program tracking and evaluation, and that these are feeding back into the business planning and implementing processes. These local authorities are often the well-resourced metro and larger town and district councils.

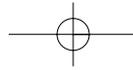
Very few, however, have given attention to systems for assessing impact against the key objectives of their councils and government more broadly. Given the short time period of the integrated approaches, it is perhaps too early to assess impact. However, it is possible to assess whether processes are in place that have a positive impact on outcome. For example, although it is still too soon to assess the impact of health services on the AIDS epidemic, studies have shown that systematic treatment of sexually transmitted diseases significantly decreases the spread of the HIV virus. A local government can ensure that nursing staff are adequately trained and that such diseases are treated according to protocols, even if it cannot yet show the impact of that intervention on the health status of its population.

There are very few more sophisticated attempts to provide M&E information that links resources and their impact on the nature and quality of local authorities' programs. To make M&E an effective tool at this level, and to raise the level of commitment and the quality of inputs into national M&E, requires a significant commitment to developing the buy-in systems and skills at local government level. The question remains: From where will this input come?

## The role of provincial government and M&E

Provincial government currently plays an important role in the allocation of government funds. However, these are paid as subsidies, with very little monitoring of the output and still less of the impact. This situation is changing with the development of service agreements between provincial and local authorities in the health sector. These agreements will link resources to the scope of services delivered, outputs and quality standards. Where a provincial government is functioning effectively, it has an important role in providing both incentives and technical support to local government in establishing and using M&E to give shape to its service.

In current policy debate in South Africa, the possibility of the abolition of provincial government as a tier is being discussed, partly to help reduce the cost of government. Such abolition would relocate the relationship between local and national government, with local governments negotiating the allocation of resources directly with the national government. In this situation, the province would lose the leverage it has on local government through the allocation of resources, and in the process lose its ability to monitor and evaluate local government delivery. The national level is too far removed to



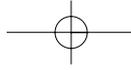
understand the local situation or to give support to the smaller local governments that need it most.

## **Strengthening local government M&E capacity**

If the largest portion of the government's delivery does take place at local level, it is here that the greatest source of information for M&E exists, and the greatest potential for evaluation to impact on the nature and quality of delivery. It is thus a crucial locus for the strengthening of M&E. To help achieve this, it is important that those involved in the policy and implementation of M&E in the country strive for a number of important reorientations in prioritizing the systems and supporting development, including:

- There should be national recognition of the importance of M&E at local government level, together with the development of the skills and resources at this level needed to set indicators and develop the systems to monitor and evaluate them.
- Local government managers should have the incentives to buy in to the development and effective implementation of locally based M&E. This is because it provides them with direct information for their own programs, and because of increased support for local authorities to achieve the best deployment of resources.
- Local government indicators and approaches, while shaped by the national government's priorities that impact on the design of local government delivery, should be determined locally and integrated into national indices, rather than national government setting indicators against which local government must primarily monitor and assess its programs.
- In supporting the development of M&E at a local level, M&E systems should follow the principles of the IDP framework, and the systems should be developed more broadly than the tightly bound sectoral monitoring that currently predominates.
- Given the major capacity constraints within local government, programs for support should adopt incremental approaches and focus initially on simplified systems of M&E.
- The emphasis of the Public Finance Management Act and the Municipal Systems legislation should be to develop more integrated ways of setting targets and to use financial monitoring to ensure the most effective resource allocation.
- While an argument might exist for the abolition of provincial government over time, this would severely curtail incentives and support for effective M&E at a local level.
- The national government's development and support of M&E programs should focus on local government institutions with the greatest responsibility for direct delivery.
- Developing sophisticated systems for M&E will have little relevance to M&E at this level if it is not properly integrated into the management ethos and practice of local



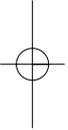


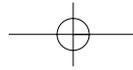
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government. This is, in turn, dependent on the demonstrated ability of M&E to give practical support to local governments in their planning and implementing of the right programs to meet local and national developmental priorities.





# 16

## What constitutes good evaluations? Ethics, quality standards, use and dissemination

PER OYVIND BASTOE<sup>1</sup>

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This paper is about evaluation ethics, standards and the use of evaluations – an important theme to discuss when building an African evaluation society. Other similar societies have been through the same discussions and have formulated guidelines for ethical conduct, guiding principles for evaluators and evaluation standards. There is obviously something to learn. However, each society of evaluators needs to go through its own process to create ownership of its standards.

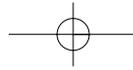
### **Why have principles?**

Why have principles? Do they guarantee good practice and useful evaluations? Clearly not. Poor evaluations and misuse of evaluations are still found everywhere. However, evaluation principles help guide the professional practice of evaluators, and inform evaluation clients and the public about the standards they can expect professional evaluators to uphold. Of course, no statement of principles can anticipate all situations that arise in the practice of evaluation. Principles are not just guidelines for reaction when something goes wrong or when a dilemma occurs; instead, they should proactively guide the behavior of professionals in everyday practice.

The purpose of guiding principles is to foster continuing development of the profession of evaluation. They should stimulate discussion of the proper practice and application of evaluation among members of the profession, users of evaluation, the public and other interested parties. Principles should be part of an evolving process of self-examination by the profession, and should be revisited regularly.

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## What is a good evaluation?

A good question with which to start a debate on principles is: “What is a good evaluation?” We have all been involved in a large number of evaluations – carrying them out, commissioning them or using their findings. Some evaluations are good and others are not so good.

The answer to the question probably varies from one country to another and from one evaluation approach to another. In the United States, for example, there was a strong growth in project evaluation during the 1960s and 1970s, mainly as a result of funding provided by Congress to some very large education programs. At that time, evaluators primarily used quantitative methods to judge whether a specific project had an effect or not. From this point of view, a good evaluation was an evaluation done like a scientific study – objective, value-free and independent. Later this approach was questioned, and a range of different evaluation approaches has emerged in both the United States and other countries. Some were a further development of this early scientific ideal; others focused on processes, stakeholder involvement and the use of qualitative methods.

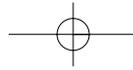
The answer to the question above also varies according to the purpose or function of the evaluation. Evaluation can be used in different ways: as a management tool, as a means for democratic dialogue, as a tool for control and a tool for learning, depending on who commissions the evaluation, its object and who uses its results.

When trying to understand evaluation practice in a specific country or government, it is necessary to take into account the institutional context within which evaluation takes place. Evaluation findings are not automatically fed back into a receptive and responsive decision-making process. Institutional arrangements determine whether evaluations play a part in the policy cycle, are systematically linked with other functions or are carried out on an ad hoc basis.

The most critical factor is, of course, that evaluation proves useful. It should add something to the process or function to which it is linked. A problem hampering the development of evaluation capacity in many countries is a lack of interest in and commitment to the evaluation function at the political level. This attitude is often manifested at the bureaucratic level, and in the lack of feedback mechanisms for applying evaluation findings. This results in both a lack of demand for evaluation results and a lack of institutional links between those who carry out evaluations and those who need to use the findings.

My sense is that we have now reached some sort of common ground on how we define evaluation. A Swedish colleague has captured this by defining evaluation as “careful retrospective assessment of the merit, worth, and value of administration, output, and outcome of government interventions, which is intended to play a role in future, practical action situations” (Vedung, 1997: 3).





## AEA principles

Other evaluation societies have been through long processes to develop their evaluation standards. The Canadian Evaluation Society has developed what they call “guidelines for ethical conduct”, which address three concerns:

- **Competence:** Evaluators are to be competent in their provision of services.
- **Integrity:** Evaluators are to act with integrity in their relationships with all stakeholders.
- **Accountability:** Evaluators are to be accountable for their performance and their product.

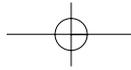
The American Evaluation Association (AEA) has a similar set of guiding principles that were developed through a long process and approved by the AEA Board in 1994. The principles take into account that evaluation is a profession composed of persons with varying interests and is intended to cover all kinds of evaluation. The profession encompasses diverse perceptions about the primary purpose of evaluation. These include bettering products, personnel, programs, organizations, governments, consumers and the public interest; contributing to informed decision-making and more enlightened change; precipitating needed change; empowering all stakeholders by collecting data from them and engaging them in the evaluation process; and experiencing the excitement of new insights. Despite that diversity, the common ground is that evaluators aspire to construct and provide the best possible information that might bear on the value of whatever is being evaluated. The principles are intended to foster that primary aim.

The five principles are not independent, but overlap in many ways. Conversely, sometimes these principles will conflict, so that evaluators will have to choose among them. At such times, evaluators should use their own values and knowledge of the setting to determine the appropriate response. Whenever a course of action is unclear, evaluators should solicit the advice of fellow evaluators about how to resolve the problem before deciding how to proceed.

The AEA principles are:

- **Systematic inquiry:** Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.
- **Competence:** Evaluators carry out their task competently.
- **Integrity/honesty:** Evaluators ensure the honesty and integrity of the entire evaluation process.
- **Respect for people:** Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients and other stakeholders with whom they interact.
- **Responsibilities for general and public welfare:** Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.





Both the Canadian and the AEA principles are developed in the context of Western cultures, and so may reflect the experiences of that context. It is important to keep in mind that the relevance of these principles may vary across other cultures.

## The use of evaluation

The Public Sector Management Group (PUMA) of the Organization for Economic Cooperation and Development (OECD) has developed a different set of guidelines, namely best-practice guidelines for evaluation. PUMA sees evaluation as integrated into a results-oriented environment because it provides feedback on the efficiency, effectiveness and performance of public policies and can be critical to policy improvement and innovation. It contributes to accountable governance.

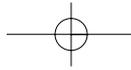
The aim of the PUMA guidelines is to identify key issues and practices that OECD member countries should consider when seeking to improve the use of evaluation. They focus on the management of evaluation activities in government rather than on methodological questions. The principle aims of evaluation in this context are to improve decision-making, assist in resource allocation, and enhance accountability.

The PUMA guidelines include:

- Getting the most from evaluations:
  - Establish definition and objectives.
  - Identify main participants.
  - Assess benefits and costs.
- Organizing the evaluation framework:
  - Foster evaluation culture.
  - Manage evaluation activities strategically.
  - Enhance credibility.
- Building effective evaluations:
  - Ensure links with decision-making processes.
  - Choose the right evaluator.
  - Involve stakeholders and communicate findings openly.

The background of these principles included studies that indicate that the linkage between resource allocations and measurement and evaluation has proved difficult to apply in many countries at different levels of government. Stakeholders' willingness to use the evaluations is an obvious precondition of linking evaluation and budgeting. In other words, even if there are formal feedback mechanisms, they will not work unless decision-makers are willing to make them work. It is also important to stress that there are never automatic or mechanistic links. Evaluations can influence decisions, not determine them.





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WHAT CONSTITUTES GOOD EVALUATIONS? ETHICS,  
QUALITY STANDARDS, USE AND DISSEMINATION

Evaluation can be seen as a supplement to performance monitoring in that it goes beyond the measures, assesses performance in depth and considers the effectiveness of government policy and programs. Evaluation can be used to analyze measures, obtain in-depth information and decide the relevance of measures.

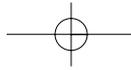
Evaluation differs from auditing in that it is not necessarily based on known criteria, and in fact often starts with clarification of different criteria. Another difference is that auditing is essentially normative, examining the match or discrepancy between the criterion and the actual condition. The purpose of evaluation, on the other hand, is to provide empirical information on what has in fact occurred that is useful to policy-makers and program managers. Rist (1989) discusses the roles auditing and evaluation can play by looking at what kind of questions each can answer.

In many countries, there have been initiatives to introduce various approaches to performance management systems as a means of focusing on results and learning from experience. The budgetary process has played the key role in these initiatives. In the United States, the enactment of the Government Performance and Results Act in 1993 was an important step in shifting the focus of federal management and accountability away from inputs, such as personnel levels and adherence to prescribed processes, towards a greater focus on achieving desired program results.

A general characteristic of healthy organizations is the ability to learn from experience, from their mistakes and their successes. Experience-based learning requires that one looks back and builds on the transfer of information and evaluation of earlier experiences (Olsen, 1993). A learning organization is characterized by a management and staff that are constantly concerned with internal and external development. It is also characterized by a systematic approach to integrating learning in daily work. This presupposes something more than methods and techniques. An “inner understanding” in the form of insight, values, attitudes and personal development has to be included to generate change and growth. An optimistic view is that a political system, with a concern for developing and learning, would establish processes to ensure not only that these functions were developed separately, but also that mechanisms were introduced to ensure their appropriate integration when and where desirable.

Based on experiences from different countries, it appears that a number of preconditions have to be met, or at least addressed, in order to integrate the different functions. The first precondition is availability of data and personnel. Secondly, political authority is important in terms of changing and integrating systems, since this has more capacity than anything else to overcome organizational inertia at the lower levels of government. Thirdly, there needs to be a firm policy in political and administrative systems concerning the development and linkage of these activities, and the design of strategies for implementing this. However, as any survey of the literature on policy-making and implementation demonstrates, this is no easy task, especially where goals are unclear and the world is populated by organizations and groups with varying priorities and interests.





Evaluation can be seen as an instrument for management, democracy, control and learning. From a learning perspective, there is a universal perception that governments operate in a world of rapid change. They need to respond to changing demands from the public under increasing financial pressures. The model of a static, unchanging public sector is outdated. Evaluation, linked with other public sector functions, is a powerful tool in public administration.

This wisdom is reflected in the basic principles of the World Bank's evaluation system:

- **Usefulness:** For evaluation to affect decision-making, decision-makers must perceive the findings as useful, timely and geared to current operational concerns. To ensure a practical focus, evaluation involves operational managers, borrowers, co-financiers and the beneficiaries of assistance by the World Bank.
- **Credibility:** If World Bank managers and staff are to use the lessons learned from evaluation, they must perceive the evaluation as objective, rigorous and impartial. The credibility of evaluation rests on the professional quality of the staff, the rigor of its methods and the timely availability of its findings.
- **Transparency:** All evaluation reports are issued to World Bank member governments and to the World Bank's management, and are available to all staff. The evaluation process itself, including self-evaluation, is subject to independent annual reviews by the Committee of Development Effectiveness of the World Bank's Board.

## Dissemination

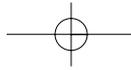
For evaluation to have any effect, it is essential that the findings be presented in an effective and timely fashion. Consideration should be given to three aspects:

- How to communicate the findings to the appropriate potential users
- How to ensure that reports address issues which the users perceive to be important
- How to deliver the report in time to be useful, and in a form that is clearly understood by the intended users

An evaluator needs to know why the evaluation is being commissioned, what it will be used for, by whom and when.

## Training

For evaluation to succeed, it is necessary to have trained evaluators, well-informed commissioners and enlightened users. Training is important, especially when evaluation is being introduced and developed. Methodological, political, managerial and communication skills are needed. Commissioners and users of evaluation have to improve their knowledge of evaluation to be able to articulate relevant questions and develop evaluation objectives, manage projects and select evaluators. They must also understand the



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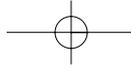
WHAT CONSTITUTES GOOD EVALUATIONS? ETHICS,  
QUALITY STANDARDS, USE AND DISSEMINATION

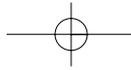
limitations of evaluation, as well as its potential to improve decision-making. Evaluators need to learn to understand the managerial and political context within which evaluation takes place.

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# 17

## Appropriateness of the Program Evaluation Standards for use in African cultures

MAHESH PATEL & CRAIG RUSSON<sup>1</sup>

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### Introduction

A pioneer project to develop professional standards for program evaluation was initiated in 1975. Its goal was to improve the evaluation of educational and training programs, projects and materials in a variety of settings. A Joint Committee on Standards for Educational Evaluation, composed of 16 professional education associations, including the American Evaluation Association and the American Psychological Association, was established. The Joint Committee compiled a set of 30 criteria, the Program Evaluation Standards (PESs), which were approved by the American National Standards Institute in 1989. Within the United States, these standards have become a yardstick that can be (but are often not) used explicitly to assess individual evaluations.

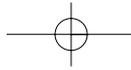
However, in the area of evaluation of development assistance, and the sub-area of evaluation of development assistance projects in Africa, it is quite clear that these standards, which are aimed at determining the quality and adequacy of program and project evaluations in developed country conditions, cannot easily be applied. In some cases they may be culturally inappropriate or misleading. This paper reviews the PESs from an African perspective, as a first step towards the definition of a set of evaluation standards that might be useful in Africa.

### Review of the Program Evaluation Standards

During a 1998 evaluation workshop of the United Nations Children's Fund (UNICEF) held in Nairobi, a training session was held on the PESs. The results of that workshop

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were presented to the Inaugural Conference of the African Evaluation Association as a draft document and some further modifications were suggested. The following issues emerged from the focus group, observer's notes, the visualization in participatory planning session, comments obtained at the Inaugural Conference and the author's own thoughts.

### **The need for standards**

The focus group reached rapid consensus that there was a need for some set of criteria of quality or standards for program evaluation research. Reasons that were given included the need to ensure the quality of evaluative work and to help respond to donor agency concerns about program efficacy.

### **Adoption or adaptation**

While the need for standards was assumed, there was considerable discussion of the types of standard that should be adopted. There appeared to be three positions. The first was that it is acceptable to adopt an international standard with sufficient sensitivity to the African context. The second was that it is unacceptable to impose an externally developed set of standards on Africa. A third position was that either Africa-level standards could be created that allowed local flexibility in their interpretation, or that each country (and perhaps by implication, each institution or agency) should create its own standards.

The remainder of this paper synthesizes the comments obtained by the different methodologies concerning individual standards, under the headings of the four original evaluation standards categories: utility, feasibility, propriety and accuracy.

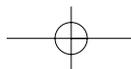
### **Standards of utility**

Some workshop participants felt that social and cultural diversity presented challenges to the application of the utility standards in African contexts.

### **Stakeholder identification**

U1: "Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed."

It was agreed that the views of all stakeholders should be considered. However, some recognized that a key group of stakeholders, the program beneficiaries, often do not have organizations to represent them. Access to some geographical, ethnic or linguistic groups may be difficult for logistical or security reasons. Communications infrastructure is often not well developed. In developing country conditions, administrative infrastruc-



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ture frequently does not extend far beyond the tarmac. Stakeholders within reach of passable roads are often oversampled, one of the characteristics of “development tourism”. Some modification of the wording of this standard that retains the essence of the guiding principle may be appropriate. A proposal for a modified standard, with the modifications italicized, reads as follows:

“Persons involved in or affected by the evaluation should be identified, so that their needs can be addressed, *with special attention to beneficiaries at community level.*”

### Values identification

U4: “The perspectives, procedures and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear.”

The workshop participants noted that the standard does not specify which value system should be employed. The generic nature of the standard led them to believe that African values could be used just as easily as American or European values. Different groups of stakeholders, such as governments, donors, implementing agencies and evaluators, may come from different cultures and have different values. It is essential that evaluation methods preserve transparency in this area.

A modified version of this standard reads: “The perspectives, procedures and rationale used to interpret the findings should be carefully described, so that the bases for value judgments are clear. *The possibility of allowing multiple interpretations of findings should be transparently preserved.*”

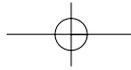
### Timeliness and dissemination of reports

U6: “Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion.”

The participants believed that Africans and Westerners have a different concept of time. In Africa, the “way in which a thing is done” is often considered more important than getting it done “on time and within the budget”. Timeliness was a standard that Smith et al. (1993) thought should be modified to make it more relevant to Malta and India. They stated: “To insist on holding someone to an officially stated deadline is viewed as nit-picking and unreasonable.” Workshop participants also questioned who the “intended users” were. This issue was covered in the discussion surrounding disclosure of findings, the sixth standard of propriety.

A modified version of the standard of timeliness and dissemination of reporting, reads: “Significant interim findings and evaluation reports should be disseminated to intended users, so that they can be used in a timely fashion, *to the extent that this is useful, feasible and allowed*”.





## Standards of feasibility

The feasibility standards attracted the largest number of comments. Some of the workshop participants felt that cultural issues presented challenges to the application of the standards to African contexts. It may be that an additional standard on “cultural viability” needs to be included.

### Political viability

F2: “The evaluation should be planned and conducted in anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted.”

The participants thought that this standard presented special challenges to evaluators employed by implementing agencies. Evaluation staff are typically hierarchically subordinate to the program officers whose activities are to be evaluated. Program officers are sometimes overambitious in defining the objectives of a project and its evaluation, and at other times may tend to omit or limit evaluation activities.

A modified version of this standard reads: “The evaluation should be planned and conducted in anticipation of the different positions of various interest groups, so that their cooperation may be obtained, and so that possible attempts by any of these groups to curtail evaluation operations or to bias or misapply the results can be averted or counteracted *to the extent that this is feasible in the given institutional and national situation.*”

### Cost-effectiveness

F3: “The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified.”

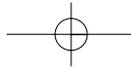
Part of the tension between program implementing staff and the monitoring and evaluation (M&E) staff comes from cost. Program officers are often keen to use all their funding for program implementation, rather than spend any of it on evaluation. In other cases, donors may require formal evaluation, even if it is considered unnecessary by other stakeholders, such as the government.

A modified version of this standard reads: “The evaluation should be efficient and produce information of sufficient value, so that the resources expended can be justified. *It should keep within its budget and account for its own expenditures.*”

## Standards of propriety

The workshop participants thought that the propriety standards presented the greatest challenges of the four categories, because of the subjective nature of propriety. What is





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considered good and proper in one context may be an egregious error in another. Subjective positions are determined by values, and every culture holds its own set of values.

### Formal agreements

P2: “Obligations of the formal parties to an evaluation (what is to be done, how, by whom, and when) should be agreed to in writing, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.”

The participants thought that the rule of law and formal agreements based upon law are not as strong in Africa as in other cultures. Competing with law are custom and belief. A formal agreement may not be honored if it contravenes custom. Smith et al. (1993) came to a similar conclusion, asserting that formal agreements not related to property and tenancy, are uncommon and often unenforceable.

A modified version of this standard reads: “Obligations of the formal parties to an evaluation (what is to be done, how, by whom, and when) should be agreed to *through dialogue* and in writing, *to the extent that this is feasible and appropriate*, so that these parties are obligated to adhere to all conditions of the agreement or formally to renegotiate it.”

### Rights of human subjects

P3: “Evaluation should be designed and conducted to respect and protect the rights and welfare of human subjects.”

When the West considers human rights, it tends to focus on the rights of the individual, which are considered supreme. In Africa, and other parts of the developing world, people still have relatively strong ties with the extended family, the tribe and other groups. The rights of the individual are balanced by obligations and are perhaps more often considered subordinate to the greater good of the group. The PESs do not appear to make a distinction between individual and collective rights.

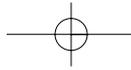
A modified version of this standard reads: “Evaluation should be designed and conducted to respect and protect the rights and welfare of human subjects *and the communities of which they are members.*”

### Human interaction

P4: “Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed.”

The workshop participants noted that cultures exist in which there are very strong limits to the type of interactions that an evaluator can have with the subjects of the evaluation.





There may be prohibitions against interactions between genders and even between population groups. For example, in some parts of the world there are caste or religious systems that place limits on dialogue between men and women and on some topics of discussion, even between members of the same gender. Culturally acceptable interactions are open to interpretation and application.

A modified version of this standard reads: “Evaluators should respect human dignity and worth in their interactions with other persons associated with an evaluation, so that participants are not threatened or harmed *or their cultural values compromised.*”

### Disclosure of findings

P6: “The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results.”

Most participants strongly believed that the standards were written for democratic countries, and might not be applicable in countries that are subject to dictatorship or authoritarian government. In these settings, communication of findings can be neither assumed nor assured in advance. In extreme cases, even an advance request to assure the release of findings may be viewed with suspicion.

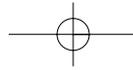
A modified version of this standard reads: “The formal parties to an evaluation should ensure that the full set of evaluation findings along with pertinent limitations are made accessible to the persons affected by the evaluation, and any others with expressed legal rights to receive the results *as far as possible and without compromising the needs for confidentiality of national or governmental entities.*”

### Conflict of interest

P7: “Conflict of interest should be dealt with openly and honestly, so that it does not compromise the evaluation processes and results.”

The notion of conflict of interest is sometimes viewed differently in Africa and in the West. One participant noted that an evaluation group that had been awarded the contract to evaluate the entire UNICEF program was competing for additional UNICEF grants. The evaluation group did not see this as a conflict of interest. (For instance, if they were not awarded subsequent contracts, would their report portray UNICEF unfavorably? Alternatively, if the evaluation were critical, would the group be awarded further funding?) In the cited case, the contractors deemed themselves better qualified to undertake additional contracts because of their enhanced familiarity with the UNICEF programming.

However, even if the items that might create conflict are different, the notion of resolving possible conflict through discussion between conflicting parties is very African.



## Standards of accuracy

Some of the participants felt that accuracy might be compromised by cultural factors. In an African context, an evaluative report might be selectively supportive, rather than critically comprehensive.

### Program documentation

A1: “The program being evaluated should be described and documented clearly and accurately, so that the program is clearly identified.”

In some African settings, particularly in rural areas, documentation may be rather scarce. Communities do have information, even if their members are mostly illiterate, and in these cases descriptions would have to be elicited verbally.

A modified version of this standard reads: “The program being evaluated should be described clearly and accurately, so that the program is clearly identified, *with attention paid to personal and verbal communications as well as written records.*”

### Context analysis

A2: “The context in which the program exists should be examined in enough detail, so that its likely influences on the program can be identified and assessed.”

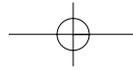
The workshop participants thought that the context analysis standard, like the standard dealing with values identification, is one that lends itself to international and cross-cultural application. Participants were of the opinion that many of the subtle nuances of the evaluation would be captured in a context analysis if it were comprehensive enough to reveal bias and indicate where certain methods or approaches might not reveal positive results.

### Defensible information sources

A4: “The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed.”

Some of the religious systems in Africa prohibit contact between women and men, especially outsiders. A topic such as HIV/AIDS would be strictly taboo. A male evaluator might not be able to administer a questionnaire on sexual practices directly to a woman; a female evaluator might not be admitted to the household at all. If the husband believes that women should not leave the home, he might consider a female evaluator to be setting a bad example. Some implications of this are explored in the discussion of the next standard. The pursuit of “adequacy” of information requires sensitivity to cultural constraints in some subject areas.





A modified version of this standard reads: “The sources of information used in a program evaluation should be described in enough detail, so that the adequacy of the information can be assessed, *without compromising any necessary anonymity or cultural sensitivities of respondents.*”

### **Valid information**

A5: “The information-gathering procedures should be chosen or developed and then implemented so that they will assure that the interpretation arrived at is valid for the intended use.”

An evaluator who is forced to administer a questionnaire on gender-specific aspects of behavior to a woman through her father or husband may not receive valid information. The father or husband may not have accurate knowledge of women’s behavior; furthermore, he may not admit that but instead give inaccurate answers to the questions. Finally, the agents posing questions are often closely identified with the donors whose program is being evaluated. It is traditional, in many parts of Africa, to attempt to anticipate and provide answers that would reflect positively on the program rather than giving the true feelings of the respondent.

A modified version of this standard reads: “The information-gathering procedures should be chosen or developed and then implemented so that they will assure that the implementation arrived at is valid for the intended use. *Information that is likely to be susceptible to biased reporting should be checked using a range of methods and from a variety of sources.*”

### **Analysis of qualitative information**

A9: “Qualitative information in an evaluation should be appropriately and systematically analyzed so that evaluation questions are effectively answered.”

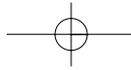
The focus group expressed a rather strong consensus of opinion that Africa’s tradition of passing knowledge down by word of mouth lends itself more readily to qualitative than to quantitative evaluation methods.

### **A possible supplementary category**

Some focus group participants thought there should be a fifth category: sociocultural standards. Many of the comments on the existing standards related to social and cultural issues. An alternative to modifying all or some of the identified standards might be to create an additional category.

In this report, the former procedure has been adopted, as this facilitates consideration of the original standards, comments on these, and the adjustments proposed.





## Conclusion

The workshop participants were asked to consider the relevance of the PESs to evaluation work in Africa. In most cases, the PESs were seen as relevant, useful and applicable without any adaptation. In some cases, the core message of an individual standard could usefully be extended to take cognizance of African conditions and social structures. An example is standard U1, stakeholder identification, which was extended to pay explicit attention to the sometimes-ignored beneficiaries at community level.

In other cases, the coverage of a standard was somewhat modified in consideration of African cultural issues. P3, rights of human subjects, was modified in recognition of the relatively strong ties to family, tribe and community that exist in many parts of Africa. P4, human interaction, and A5, valid information, were adjusted in consideration of cultural sensitivities to permitted male-female interactions and to queries on topics such as sexual behavior. Finally, some standards needed modification in view of differences between Africa and North America in areas of politics and governance. P6, disclosure of findings, was somewhat adjusted in this light.

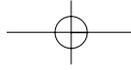
None of the existing standards was considered totally inapplicable, and no additional standard was proposed for inclusion in the current list. This would seem to indicate that the current standards are largely applicable in an African context. The adjustments that were proposed were intended to make the standards even more applicable to Africa and to match African cultural, social and political realities.

Two supplementary issues are worth considering here. Firstly, in their current version, the standards read very much as a North American document, even in their short form; secondly, the use of language reveals a range of implicit cultural concepts and assumptions.

Consideration of the standards in their more extended form, in the book on PESs, often allows considerably more flexibility of interpretation, but at the same time uses examples from the North American practice of evaluation. For the PESs to fulfill their full potential in Africa, it will be necessary to have a similar book-length treatment of the subject that uses concepts and examples derived primarily from evaluation practice in Africa. The African Evaluation Association Working Group on this subject aims to have such a text ready within three years. In it, the standards will also be reinterpreted as guidelines. Until that time, it is hoped that the revised list proposed in this paper will be of use to those wishing to use a “somewhat Africanized” version of the PESs.

The advantage of using the original formulation of the PESs is that such usage is supported by a range of ready-made materials, including tables and worked examples, in the book. However, since the modifications proposed here are not major, with a little ingenuity most of the supporting materials provided in the book could probably be used to support the application of this adapted list. Cumulative experience in Africa (in detecting areas in which the original standards, or the modifications proposed here, serve eval-





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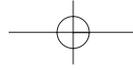
uative purposes less well than they could) will also help the development of a truly African set of program evaluation guidelines.

This adapted list is simply the result of the deliberations of a workshop and a conference interpreted by two authors. It is not intended to be the end point of an analysis, but rather the starting point of a quest.

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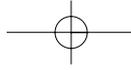
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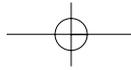




**African sector experiences:  
case studies and implications  
for monitoring and  
evaluation**







# 18

## A brief review of the monitoring and evaluation of two resettlement projects in western Mali

JUSTIN POOLEY<sup>1</sup>

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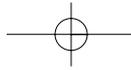
### Background

The Sadiola Hill Gold Mine is an open pit operation situated in the Kayes region of the Republic of Mali, in West Africa. The open pit mine is managed by Société d'Exploitation des Mines d'Or de Sadiola (SEMOS SA), a company registered in Mali. SEMOS employs a mining contractor, Moolman Brothers of South Africa, to perform all drilling, blasting, excavating, hauling and rehandling activities. Mining activities started in October 1996 and the first gold was produced in December 1996. The open pit is mined with a conventional truck and shovel operation.

In 1994, an environmental impact assessment for the proposed mining operation was conducted, which indicated that no village relocation would be necessary. However, subsequent exploratory drilling showed that the ore body was deeper and covered a larger area than originally anticipated. The position of the high-grade oxide ore body necessitated the relocation of the 78 households (1046 persons) comprising two local villages, Sadiola and Farabakouta, as well as 861 newcomers who had settled near the villages in search of employment. In mid-1997, the Malian government and SEMOS agreed that the resettlement process would be conducted in accordance with World Bank Operational Directive 4.30 (Involuntary Resettlement) and Malian policies for resettlement. The preparation of the comprehensive Resettlement Action Plan (RAP) commenced in August 1997. Previous planning studies had included a socio-economic survey of the affected villages, a public consultation and participatory land-use planning exercise to identify possible new village sites, geological investigations and consultation with the respective villages' spiritual advisers.

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The RAP was compiled in conjunction with a working group set up to oversee the planning and implementation of the resettlement process. The group consisted of the Institute of Natural Resources (INR) from South Africa, representatives of the mine, local and regional government planning authorities and a suitably experienced Malian non-governmental organization (NGO), Association d'Etude et de Mise en valeur des Ressources Naturelles et des Institutions (ASERNI). The RAP was finalized and implemented during 1998-99. Both villages were physically relocated during 1999, and follow-up work was concluded in 2000.

The RAP made specific provision for the monitoring and evaluation (M&E) of the implementation process, as well as for post-relocation monitoring. This paper provides a synopsis of the objectives, major findings and lessons associated with the M&E undertaken between August 1998 and April 2000.

### **The study area**

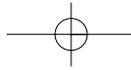
The study area is characterized by a marked seasonality of rainfall, having a long dry season followed by a short wet season (June-September). Temperatures are above 30°C throughout the year, with the highest temperatures between February and June. The dust-laden Harmattan wind from the Sahara Desert dominates weather during the dry months, and the area experiences recurring droughts. The study area comprises a gently undulating penneplain that is roughly 100 m above sea level. Water resources are severely limited, particularly in the dry season when local communities rely heavily upon shallow groundwater supplies to meet their domestic and livestock needs. The area has a high diversity of woody plants and a low density and diversity of indigenous mammals.

Subsistence agriculture has historically been the most important economic activity in local villages, and is practiced by all households. Crops grown include maize (corn), millet, rice, peanuts, okra and vegetable crops such as pumpkins, beans and gourds. Livestock – kept by 85 percent of local households – are an important source of food, cash and draught power, and play a significant role in the local social system. Livelihoods in the study area depend on the natural resources.

In general, the adult population of the area has limited formal education, is functionally illiterate and has high levels of traditional skills, while a few (mainly men) have some skills acquired during migrant work. Many of the local children have had no access to formal schooling. Social and economic bonds within this Bambara-Malinke area are strong, constituting the only form of welfare support available to local villagers.

### **Recognition of the need for monitoring and evaluation of village resettlement**

Both SEMOS and the village relocation executive committees established to steer the resettlement project recognized that M&E was important in gauging the effectiveness of



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the village relocation process and the measures designed to bring about the economic development of communities affected by the mine. Monitoring provided an early warning to project management about potential or actual problems, allowing timely corrective action to be taken. It was also an important means of demonstrating to local stakeholders the commitment of members of the village relocation executive committees to the successful implementation of the project.

## Objectives and approach

The principal objectives of the M&E program were to ensure consistent and independent reviewing of the resettlement process; to ensure that the results from the village resettlement M&E program were adequately recorded and reported to all interested and affected parties; to assess the success of the resettlement program; to identify unforeseen impacts that might need to be addressed; and to provide timely information for decisions on any necessary corrective action.

Monitoring of village resettlement focused on the three most affected communities, the Sadiola community, the Farabakouta community and the newcomers to Sadiola. The INR and ASERNI jointly identified types of data to be collected and indicators to be monitored. A two-pronged M&E strategy was devised, involving a quarterly independent review of RAP implementation during the construction phase; post-construction phase monitoring to be conducted by the INR, assisted by ASERNI; and annual socio-economic monitoring by the Regional Office for Social Action, of the following socio-economic indicators in the affected communities: extent of household assets, household income, population (census), health status (birth and death rates, major ailments, etc.) and natural resource utilization.

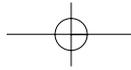
This paper focuses largely on the results of the quarterly reviews of the resettlement process, which essentially summarized all progress made, documented existing or new problem areas and recommended corrective action.

## Key aspects covered

The monitoring program was designed to address both the short-term and medium- to long-term impacts of the relocation process. In the short term, RAP activities and issues that were monitored and evaluated against the implementation schedule included:

- Timely delivery of compensation and assistance to households affected by the project
- Adequacy and functioning of grievance procedures
- Adequacy and quality of new private and public structures, infrastructure and services
- Successful relocation of all households according to principles set out in the RAP
- Destruction of old village sites





Medium- to long-term monitoring activities are:

- Restoration of economic production in the affected villages
- Evaluation of the activities of SEMOS's newly constituted Community Development Foundation in stimulating sustainable economic growth in the vicinity
- Transfer of responsibility for environmental management and infrastructure maintenance to local leadership and the avoidance of unsustainable dependencies
- Evaluation of the adequacy of water supplies provided to resettlers (a critical issue)
- Limiting of environmental degradation so that the economic and resource base on which the villagers depend is not destroyed

## Methods

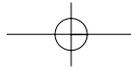
The following methods were used throughout the M&E process:

- Meetings and interviews with key stakeholders, including village leaders, representatives of the new arrivals, SEMOS staff involved in implementation, representatives of the local and regional administration, and the field implementation agents (ASERNI)
- Detailed consultation with village-based "rural animators" working for ASERNI in order to identify potential problem areas; to evaluate the practicability of implementation as in the original RAP; to explore and evaluate options for overcoming current obstacles; and to identify any overarching dependency-related risks
- Visits to new village and infrastructure sites together with the rural animators, SEMOS and local leaders, to observe more directly the reasons for real or perceived problems
- Visits to Community Development Foundation projects
- Review of socio-economic monitoring data gathered annually by the Regional Office for Social Action, as well as associated findings
- Review of the status quo regarding the resolution of key resettlement-related issues highlighted on previous monitoring visits

## Progress made to date

As mentioned above, the RAP made provision for M&E to be undertaken every three months during physical implementation. This was achieved and M&E reports were produced in August and December 1998, and in April and June 1999. Provision was also made for reporting every six months for three years after completion of physical relocation. The first post-relocation monitoring visit was conducted in March/April 2000.

Socio-economic monitoring data have been gathered over a period of five years and are comprehensive in most respects. There is ongoing modification of the M&E system to ensure that well-documented reports, based on good databases, are produced. Reports



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are available for external scrutiny by interested and affected parties (e.g. the International Finance Corporation). The M&E system is linked to SEMOS's Environmental Management System.

## Key findings and lessons learned

Physical relocation of the two villages and the new arrival community was accomplished within the requirements of World Bank Operational Directive 4.30 (Involuntary Resettlement) and within the original time-frame. Many important lessons have been learned over the past three years, several of which were invaluable in planning the resettlement of another local village in the vicinity. The quarterly M&E process not only assisted SEMOS in directing and modifying its resettlement efforts, but also provided an important record of the evolution of the process, which is now available for future projects. This is particularly important in an environment where expatriate staff, working on site for two or three years at a time, form a high proportion of mine management.

Although the M&E process covered a wide range of issues, key stakeholders consistently prioritized several of these. These are discussed below, along with the lesson learned in each case.

### Infrastructure and service provision issues

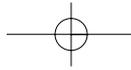
These were associated with construction of the new villages and new arrivals area. This is quite predictable, given the nature of a resettlement project. The types of issue raised included the construction styles used in the new villages (e.g. roof pitches, types of toilet, the need for fencing, adequacy of drainage during the rains), the provision of reticulated water versus wells and handpumps used before relocation, and the siting of key infrastructure (e.g. cemeteries). One particularly interesting issue was the introduction of "kassatan" or "phungulutho" toilets (modified Blair design), which was encouraged as an improvement on the local Malian toilet system. The administration originally stipulated a reticulated sewerage system, but the resettlement committee rejected this. Although these improved toilets are known to be technically sound, the design appeared to be too different from the traditional toilets for the villagers' liking, leading to misuse, modification and ultimately an odor problem during certain periods of the year.

*Lessons learned:* Local Bambara-Malinke villagers have identified optimal construction styles for use, as well as optimal settlement-planning parameters. Kassatan toilets have proven to be culturally inappropriate.

### Equity issues

These were related to the extent to which the various affected communities and individuals were perceived to have benefited or suffered from the resettlement and associated community development processes. One of the major problems was the unrealistic





expectations concerning the use of development funds that arose in the two villages most directly affected. These villages quickly developed a culture of entitlement whereby any effort to assist the other six affected communities was taken as an affront, and whereby villagers at one stage expected all jobs to be given to them, regardless of skill levels or dedication. Another issue related to the misunderstandings about cash compensation for certain communal infrastructures lost during relocation. These misunderstandings apparently arose because of the villagers' inexperience of monetary systems, as they had been accustomed to traditional bartering systems prior to mining.

*Lessons learned:* In future resettlement situations, villagers should be informed well in advance of the likely costs and benefits of the exercise, and all affected individuals and communities should be given a clear and consistent explanation of what they will derive from the process (in terms of jobs, compensation, etc.).

### **Administrative issues**

These were mostly associated with a lack of capacity and commitment on the part of the local administration, and ultimately had to be resolved by the mining house. Although various agreements, including one dealing with the resettlement of new arrivals, had been made with the administration, several of the most important were not honored because of resource and capacity constraints. Government approval often took months and several key government surveys were inaccurate. Collectively, these affected both the costing and scheduling of the resettlement process, and perhaps more importantly, the relationship between the affected communities and SEMOS.

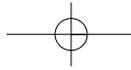
*Lessons learned:* The inability of the local administration to deal with certain key issues should be recognized and a way should be found to include the administration in decision-making while releasing it from the burden of implementation. Building up the administration's trust should replace many of the unnecessary bureaucratic procedures required during the village relocation exercise.

### **New arrivals issues**

These were associated with accommodation and service provision for the large numbers of outsiders who came to live in Sadiola and other surrounding villages during the construction phase of the operation, and who had to be resettled by the mine once the full extent of ore reserves was discovered. This was one of the major unintended consequences of the mining development, and one that required a number of resolutions and actions not addressed in the environmental impact assessment or the socio-economic survey.

*Lessons learned:* Any future scheme for village relocation should plan for accommodation and provision of basic services (e.g. water) to new arrivals. This planning, and associated community consultation, should occur well in advance of the influx of new arrivals.





## Sustainability issues

Associated with potential dependencies, these issues were linked to the resettlement and community development programs. The most prominent example of a dependency at Sadiola is the water supply system. During the planning process, the administration stipulated that the new villages should be built “properly” and should be served by a reticulated water system, contrary to specialist advice from the resettlement team. This system, which relies on diesel-driven pumps and generators, taps and other “new” technology, was subsequently installed. However, contrary to Malian law, villagers were not asked to pay for water (i.e. for maintenance) once they relocated. As a result, the villagers have to date steadfastly refused to pay for water, citing the fact that before relocating they never paid for water (and ignoring the benefits of having water on tap all year round). Water committees have been set up, and a campaign is under way to explain to the villagers that the current water supply system will not be feasible once the mine closes, but little progress has been made towards lessening the dependency created.

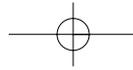
*Lessons learned:* Every effort should be made in future to educate both the administration and the local villagers involved in resettlement in the need for a sustainable village design that is not reliant on ongoing mine support. Responsibility for issues such as water supply should be placed firmly in the hands of the local administration from the start of any resettlement exercise, as any strategies adopted will influence the given area long after the mine has been closed.

## Community development issues

These are associated with the establishment and operation of the SEMOS Community Development Foundation, the primary objective of which is to catalyze local economic and social development in a sustainable manner. A very important lesson has been that original inhabitants of the area are (understandably) much slower to react to entrepreneurial opportunities presented by the mine and its associated influx of people than are the new arrivals. The latter are inherently more attuned to business opportunities and more responsive to development assistance. Hence, if development of original communities is to be achieved (as required by the RAP), sufficient time has to be allocated for capacity-building. Any perception that the mine has benefited outsiders to the detriment of local villagers is ultimately damaging to community relations. If, on the other hand, the local economy is to be transformed from a subsistence level to a mixed (cash) economy, then resources are best spent on new arrivals. Microlending to entrepreneurs is significantly more successful in catalyzing growth than donations of materials or cash, and funding of individuals via a screening process is vastly superior to funding of community groups.

*Lessons learned:* Original inhabitants of future resettlement areas should be warned well in advance of new mining developments and associated entrepreneurial opportunities. Providing them with this “lead time” means they are more likely to be prepared for the





influx of outsiders and to benefit from the development. Microlending activities should be the primary tool to catalyze local economic growth and development, and such lending should focus on individuals rather than on community groups.

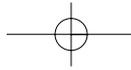
## Key lessons in M&E

The following lessons have been derived from the M&E process:

- **Value should be added *during* monitoring trips:** Although the quarterly monitoring exercise provided a valuable record of the progress of village resettlement (for outsiders), much of the value of the exercise to SEMOS was added through the provision of ongoing specialist resettlement and socio-economic and/or development advice and recommendations during site visits. Monitoring visits were conducted more as assistance exercises than as compliance audits, which resulted in the development of important linkages between the geographically isolated mine and various external agencies.
- **The benefits of using a local NGO:** The presence of ASERNI greatly facilitated both the resettlement process and associated M&E exercises. This organization, by settling a “rural animator” in each village, provided invaluable insight into the changing community dynamics within affected communities, and in so doing allowed for continuous and informed management of complex social issues. This NGO was also regarded as being independent of the mine, and as such was able to provide an educated and balanced perspective to the monitoring agency on certain contentious issues.
- **The need for local disclosure of monitoring results:** Although the monitoring reports were sent to the various shareholders (i.e. AngloGold, the International Finance Corporation, IAMGold and the Malian government) and local administrators, no formal feedback session was conducted with villagers. This was partly because most villagers speak neither English nor French (their languages are Bambara and Malinke) and the vast majority cannot read, and partly because much of the monitoring report format dealt with issues that were not of interest to the villagers. As a result, a perception arose that, although village leaders raised certain issues repeatedly during monitoring visits, no cognizance had actually been taken of these issues. This issue has been highlighted in SEMOS’s most recent environmental audit (September 2000), and the situation will be rectified.

## Application of lessons learned to a second resettlement exercise

A second, smaller oxide ore body has been located 24 km north-west of the Sadiola deposit and 61 km south of Kayes, the regional capital. This will be mined by Sadiola



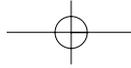
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Exploration, or SADEX, a sister company to SEMOS, using opencast methods. The ore body lies immediately adjacent to a small village named Niamboulama with a total population of 130, which will be relocated. A similar (but scaled-down) process to the one described above for Sadiola Hill Gold Mine resettlement was undertaken, culminating in the compilation of a RAP by the INR for the relocation of Niamboulama village. The major findings and lessons learned at the nearby Sadiola Mine informed the planning for this second resettlement project. Progress to date is outlined below:

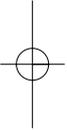
- Previously identified optimal construction styles have been recommended to villagers and accepted. Local Malian toilets have been constructed, to the satisfaction of all concerned.
- A great deal of effort has been expended to inform villagers of the likely costs and benefits of the resettlement and mine development process, and precisely how jobs and compensation are to be dealt with. This process, although difficult at times, seems to have paid dividends by way of improved community relations.
- The role of the administration has been significantly reduced, and greater cooperation has been obtained from key officials, largely because a similar exercise was undertaken successfully and in good faith nearby.
- Planning for new arrivals took place in advance of the mine development process. An appropriate area was agreed upon and set aside by the local villages and administrators so that benefits to existing villages could be maximized and negative impacts minimized wherever feasible.
- The new village does not have a reticulated water system, and relies instead on traditional wells and mechanical handpumps. Responsibility for the maintenance of water supplies in both the new village and the new arrivals area has been given to the administration. The local village has introduced a successful and innovative way of funding maintenance of water supplies in the new arrivals area; it charges them a nominal levy.
- Protracted discussions were held with the original inhabitants of the affected villages regarding the types of entrepreneurial opportunity presented by the new development. As a result, many of these households built houses for rent in the new arrivals area and are now benefiting significantly from the influx of jobseekers. Other homesteads are benefiting directly by selling food, plots of land, wild fruit and water to the newcomers. Microlending activities focusing on individuals have already proved successful.
- The experience gained by ASERNI as the lead implementation agent at Sadiola Hill Gold Mine has been applied to the second resettlement exercise. This has resulted in considerably fewer problems in the implementation phase. Village relocation was set for the beginning of October, with post-relocation monitoring being initiated immediately thereafter.

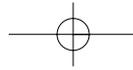




## Conclusion

A number of valuable, practical lessons were learned during the implementation of the resettlement of two rural villages affected by the development of Sadiola Hill Gold Mine. These lessons were both recorded in and supplemented by the quarterly M&E program commissioned by the mine between August 1998 and April 2000. Although many of the key staff members and consultants involved in this process have subsequently left their respective posts and/or firms, the monitoring record remains as an important guideline for both ongoing social management at Sadiola Mine and use in other locations in Mali where resettlement is required. The usefulness of the lessons learned at Sadiola Mine has been clearly demonstrated at the nearby Yatela Gold Mine, where resettlement of another rural village has proceeded rapidly and comparatively smoothly, guided by experienced staff members and NGO workers operating within an enlightened resettlement planning framework.





# 19

## Rwanda case study: public service performance and development projects

THEOBALD N. MASHINGA<sup>1</sup>

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### Overview

Rwanda has passed several key milestones since the 1994 genocide that resulted in the collapse of almost all organs of the state apparatus. The entire country suffered from the aftermath of this catastrophic event, which affected all sectors of the economy and social life, including agriculture, industry, institutional capacity, human resource development, infrastructures such as health, education, water and sanitation, electricity, transportation and other socio-economic aspects.

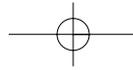
The Government of National Unity, put in place in July 1994, is striving to set development objectives and strategies for reconstructing the country's economy. The short-, medium- and long-term plans all aim at changing colonial and post-colonial economic indifference, and instituting a transformation strategy to boost the social and economic indicators for the Rwandan population. These strategies and objectives are being developed in the light of constraints that continue to hinder wealth creation and sustainable development. The constraints are set out below.

### Narrow economic base

Rwanda's economy lacks high-value minerals or any other dependable resources. There are scattered elements of natural resources, but no single concrete resource to kick-start the economy. The country has large renewable reserves of natural gas in Lake Kivu, estimated at 60 billion m<sup>3</sup>, but this sector has lacked investments and profitable exploitation. Coffee and tea exports alone cannot generate the expansion of Rwanda's economic base.

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## **Agricultural sector**

Agriculture remains the main basis of the economy, contributing about 40 percent of the gross domestic product (GDP), and employing 91 percent of the labor force. Coffee and tea remain the principal export crops, but most agricultural production is still subsistence based, primarily for household or community consumption. In order to reverse this trend, the government has embarked on a program based on an exit strategy from agriculture into other sectors.

## **Industry and service sectors**

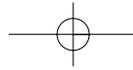
Industry and manufacturing constitute about 22 percent of GDP and employ less than 2 percent of the population. Services, transport and communication account for 40 percent of GDP and employ 7 percent of the labor force. The creation of an enabling environment for the development of the industrial and service sectors (emphasizing production of mass-consumption goods and services, as well as export) is still in its infancy. Apart from the coffee and tea industry, other agricultural activities are far from being industrialized. All other manufacturing units produce mostly for domestic consumption and import substitution. Industrial output consists of import-dependent products, and recorded the lowest growth in the economy at 3.3 percent in 1999, compared with 10.5 percent in 1998.

## **Water and electricity**

Both rural and urban dwellers identify water provision as being the highest priority in public services. From both a social and economic perspective, water is a vital resource. It is a source of energy and is indispensable to the health of the population and the domains of agriculture and industry. For the last few years, most activities carried out in the water and sanitation sectors were emergency activities. The government is reversing this trend by initiating activities geared towards long-term development. The government also aims to promote private investments for harnessing the methane gas reserves in Lake Kivu. For that purpose, it has created a Natural Gas Promotion Unit in the Ministry of Energy. The expansion and regeneration of forest resources are also an important element of its strategy. These activities are, however, frustrated by the shortage of skilled human resources, which severely constrains the expansion of the tertiary sector.

## **Health infrastructure**

Health care, nutrition, clean water, a healthy environment and sanitation are globally recognized as basic human rights. However, these rights are not available to most Rwandans. Although there are some health indicators in Rwanda that are slightly better than the average for sub-Saharan Africa, such as access to health services and vaccination coverage, mortality and life expectancy figures show that Rwanda is significantly worse off than the rest of the region.



## Education sector

The genocide of 1994 cost Rwanda dearly in terms of depletion of human resource capacity and destruction of social capital. It is estimated that 600 primary schools (32 percent of the total) were destroyed and 3000 primary school teachers were either killed or went into exile. Secondary and higher education institutions were severely damaged and depleted of their human resources. In the four years from 1994-98, the government's policies attempted to address both the need to rebuild human resources and the need to reconstruct basic education for the next generation.

The acute lack of human capacity is a major constraint in the effort to reduce the shortage of staff in the education sector. The government is instituting as rapidly as possible a program of educating and training Rwandans to meet the challenge. In addition, a new curriculum that emphasizes the acquisition of relevant basic skills is being introduced into primary and secondary schools. A system of national examinations to help assess the achievements of primary schoolchildren has been introduced. There are also ongoing efforts to enhance access to education by rehabilitating and staffing existing primary, secondary and tertiary institutions. Much as the government is striving to redress the acute shortage of staff, the education sector remains one of the hardest hit by the shortage of human resources.

## Weak institutional capacity

The institutions of governance and the management of public resources remain substandard owing to a lack of systems and competent personnel. Past governments, rather than develop institutions and systems, continued to rely on technical assistance that was both costly and largely indifferent to domestic long-term needs. Consequently, Rwanda did not develop appropriate institutional capacity, nor make an attempt to develop and utilize internally developed human resources.

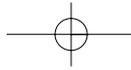
In view of these constraints, the government continues to take remedial measures to reverse the situation, such as creating new public organs to take charge of certain aspects of the economy and to strengthen existing organizations.

## Decentralization

One of the major capacity-building strategies that the government is putting in place to revive the national economy is institutional reform. This has included decentralization measures aimed at creating local governance and empowering local communities to shape and influence governance.

The government has launched the process of decentralization with the creation of a separate Ministry of Local Government. The structure of this ministry includes central government, prefectures, communes, sectors, and ten cells. These administrative points are close to the people and will increasingly take charge of promoting development activities





in their respective areas. It is worth noting, however, that there is still the major constraint of insufficient qualified professionals, such as agronomists, economists, statisticians, medical doctors, civil engineers, and the like. Furthermore, as the prefectures do not have independent incomes, they depend on the willingness of line ministries to collaborate in undertaking developmental work.

### **Human resources needs and development**

The present public service in Rwanda, and its human resources in particular, fall far short of what is required to tackle neglect spanning decades and the near-total depletion of skilled personnel as a result of the 1994 genocide. There is a severe lack of competent personnel in the civil service, a situation that is exacerbated by frequent changes in and reassignment of critical personnel to new duties. These changes disrupt normal project execution and cause delays in implementation.

The government, through the Ministry of Public Service and Labor, has begun to rationalize the public service sector and has made a considerable effort to develop national human resources. This is reflected particularly in planning capacities corresponding to the expert appraisal the country seeks in both quantity and quality. The government has also embarked on strategy programs for accelerating the outputs of the education system and upgrading existing personnel through short- and medium-term plans. One of the major objectives of the higher-level educational institutions is to rapidly train qualified senior staff who specialize in fields essential to the country's needs.

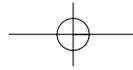
### **Performance of development projects**

#### **Public Investment Program**

In Rwanda, as in other countries, the Public Investment Program provides a basis for mobilizing external funds in support of public investment activities. Rwanda has been able to mobilize reasonable resources for development, most of which are from foreign sources. In the 1997 budget, foreign resources accounted for 95 percent of development resources; in 1998, they accounted for 93 percent. In the period of 1995-98, the international community promised Rwanda about US\$2.51 billion, but it is estimated to have utilized only US\$836 million of this.

#### **Project monitoring and evaluation system**

The sectoral ministries have largely lacked units to follow up project implementation effectively. The day-to-day monitoring of projects has been weak, mainly through lack of competent personnel and effective monitoring systems. Project evaluation in all its aspects (ongoing, mid-term, project completion and impact evaluation) is rarely done. Ineffective project M&E systems have led to poor management of project resources and the inability to achieve project objectives.



## Resources utilization

Disbursement modalities and follow-up of donor commitments experience problems and complications. For example, the procedures required by multilateral organizations, such as the United Nations Development Program (UNDP), the World Bank, the African Development Bank, the European Union, and the International Fund for Agricultural Development, are long and complicated. In most cases, decisions are made at headquarters in New York, Washington, Abidjan, Brussels or Rome. This has led to delays in the allocation of project and/or program resources, which has affected overall performance.

## Disbursement performance

According to data from the UNDP office in Rwanda, cumulative donor pledges to Rwanda for the period 1995-98 amounted to US\$2907.28 million as of 31 December 1998. Bilateral donor contributions amounted to US\$1153.81 million, while multilateral contributions totalled US\$1671.51 million. Contributions from non-governmental organizations (NGOs) amounted to US\$81.96 million. Of the total pledge, US\$1801.37 million (or about 62 percent) has been released for disbursements, with US\$1105.91 million still outstanding.

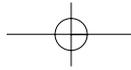
## CEPEX

The Central Projects and External Finance Bureau (CEPEX) was established under the Ministry of Finance and Economic Planning. It is responsible for overseeing project planning, programming and the coordination and utilization of development resources. There was also a need to establish and strengthen the capacity to identify, formulate and monitor projects, to carry out project auditing and evaluation, and to establish a focal point for coordinating the mobilization, follow-up and utilization of foreign funds. CEPEX was therefore set up to eliminate the lack of coordination in the conception, initiation and approval of projects, and to rectify the situation in which resources borrowed, grants received or national funds budgeted for development were not registering the desired impact.

Owing to lack of strategic coordination and a structured national system for overseeing planning and management, multilateral agencies and NGOs worked directly with line ministries to initiate and implement projects, often without prior consultations with the Ministry of Finance and Economic Planning. This was possible because most projects are donor driven. The absence of central coordination, weak financial systems and poor monitoring of projects may also have led to problems of transparency in implementation and probably to corrupt practices in procurements, contract awards and personnel management.

Project management has been further complicated by a multiplicity of donor agencies, including NGOs, each having its own procedures and directly deciding its own priorities. The proliferation of project units in different ministries and agencies, some of which do





not have the required capacity, has added to the problem. One of the major functions of CEPEX is to coordinate implementation, audit and evaluate projects and assist in resolving generic problems related to project management in the country, such as accounting, procurement, disbursement, donor and government procedures, training and staffing.

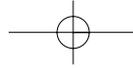
To improve existing administrative procedures and output-based performance evaluation systems, CEPEX developed a simple monitoring system for projects. It is also developing procedures and guidelines for facilitating implementation, evaluation and audits of projects. Although CEPEX is not involved in day-to-day project monitoring, it gives guidance and advice to project managers, line ministries and donors on how to improve project execution and performance. It is able to do so through the information it receives from projects on a monthly and quarterly basis, and from performance reviews, aides-mémoire, evaluation and audit reports. CEPEX facilitates donor evaluation missions and the organization of regular portfolio performance reviews, and ensures that regular reports are submitted to the government and donor agencies.

Despite all efforts being made in evaluation capacity development, CEPEX has encountered enormous problems, some of which are related to project design and appraisal. These include lack of coherence in national priorities and pressure from donors, reflected in tight time schedules that do not allocate enough time for projects or programs to pass before the Development Committee and the Cabinet for review and eventual approval. Other problems are related to project take-off, such as delays in approval by Parliament, ratification and seeking legal opinions, and delays in disbursement. There are also problems related to project management units, such as poor financial management, delays in procurement and other general problems. The above-mentioned constraints are compounded by the shortage of qualified and experienced personnel at the project management unit and service delivery levels.

To enable CEPEX to achieve its objectives in view of these problems, the government intends to increase the human and financial resources available to enhance existing evaluation capacity. It has devised programs to strengthen project management systems through:

- Strengthening the institutional framework for project planning, management and coordination
- Establishing and strengthening planning units in the line ministries in charge of policy formulation, monitoring and evaluation
- Setting up reliable general evaluation criteria that are common to all partners
- Ensuring a better integration of training into project management
- Giving national staff greater responsibility in identifying and formulating projects and project execution, and establishing mechanisms that guarantee the professional training of national staff in order to achieve maximum cost-effectiveness and sustainability in project management and implementation



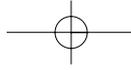


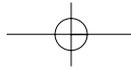
These strategies require a major change in current project management. However, a strong political will is necessary if evaluation capacity is to be developed.

## Conclusion

Rwanda's Government of National Unity started with almost nothing after the wanton destruction of human life and property in 1994. It endeavored to build an effective government apparatus in an extremely difficult socio-political environment. Five years is a short time for a country like Rwanda to have recovered and rebuilt all the socio-economic facilities it lost. It is therefore very difficult to draw conclusions as to whether the public service is performing satisfactorily or not. However, in the light of the progress that has been made, one is tempted to focus on the glowing light at the end of the tunnel, and to reflect that where there is a will there is a way.







# 20

## Agricultural development projects in Zambia

ENOCK SHAWA<sup>1</sup>

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### Introduction

Agricultural development projects in Zambia fall under the umbrella of the Agricultural Sector Investment Program (ASIP), which the country is implementing as an integral part of the economic reforms designed to foster economic growth. The ASIP was launched in 1996 with a planned funding of US\$350 million. It is a long-term, comprehensive program for strengthening Zambia's agricultural sector by building the capacity of the Ministry of Agriculture, Food and Fisheries (MAFF) and beneficiaries. It is funded by several donors, the Zambian government and beneficiary contributions.

The first phase of the ASIP, which was scheduled for four years, has been extended for one year through support from the World Bank. However, the ASIP is expected to continue for 20 years to support the medium- and long-term goals of the government's Agriculture Policy Statement for overall economic adjustment. The medium-term objectives of the ASIP include improving the agricultural policy environment, expanding cultivation of traditional crops (maize, cotton, oilseeds, wheat), increasing smallholders' productivity, supporting the initiation of a horticultural export industry and promoting private sector development in agribusiness.

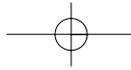
The ASIP is the first of about 50 sector investment programs that are in various stages of planning and implementation in different African countries. Prior to the ASIP, studies indicated that the agricultural sector was performing poorly because of inappropriate policies and lack of coordination in the sector.

### ASIP components, structure and principles

The ASIP is made up of 13 subprograms organized around four complementary components, namely policy and institutional improvements, public investment, private sector development and pilot investment schemes.

<sup>1</sup> Monitoring and Evaluation Expert, Governance Development Unit, Ministry of Legal Affairs, Zambia.





The main principles underpinning the ASIP are the use of a program as opposed to a project approach; a more rational use of scarce government and donor resources; the decentralized approach, in which districts are given greater autonomy; Zambian ownership; funding; and the use of the monitoring and evaluation (M&E) system.

## Monitoring and evaluation

The ASIP is monitored in several ways, including field visits, quarterly, semi-annual and annual reports by the MAFF, semi-annual reviews, annual reviews, annual donor consultative reviews, tripartite reviews and mid-term reviews. The Policy Planning, Monitoring and Evaluation (PPME) section of the Policy and Planning Branch is responsible for the whole M&E system under the ASIP. Mid-term evaluations (e.g. the United Nations Development Program) have generally noted that, as the staff at national level is limited, they do not monitor the ASIP regularly.

The Policy and Planning Branch has been decentralized by the establishment of the Senior Economics and Marketing Coordinator (SEMCO) at the provincial level. The PPME section at headquarters and the SEMCO play key roles in the development and operationalization of the M&E of the ASIP.

The M&E system is composed of the Impact Evaluation of Individual Subprograms (IEIS) and beneficiary assessments and feedback; the Sector Performance Analysis (SPA); and the Management Information System (MIS). The Central Statistics Office has been contracted to undertake the post-harvest survey. The data from this survey are used to undertake the SPA and IEIS.

## Impact Evaluation of Individual Subprograms

The IEIS has been contracted out to the Institute of Economic and Social Research (INESOR). The evaluation uses post-harvest survey data for a quantitative analysis of the subprograms to determine their impact on production and incomes. The IEIS is undertaken annually and involves visits to randomly selected districts in each of the three agro-ecological zones.

## Sector Performance Analysis

The SPA has also been contracted out to the INESOR. It uses post-harvest survey data for a quantitative analysis of the performance of the agricultural sector in relation to the five overall objectives. The SPA also seeks to determine the relative impact on sector performance of factors outside the control of the MAFF, such as government policies, exchange rates, interest rates, availability of credit, inflation, and so on.

The IEIS and SPA results are then disseminated to various stakeholders at the national, provincial and district levels. This consultative process assists in determining priority activities to be undertaken under the ASIP.



## Management Information System

The MIS enables managers at the national, provincial and district levels to make prompt, well-informed decisions concerning the implementation of ASIP subprograms. During the design of the MIS, special attention was paid to the development of an effective reporting system that would provide information on the implementation of the various subprograms to managers at the different levels. The MIS uses Key Performance Indicators defined by the different subprograms to monitor implementation. The subprograms use specially designed forms to capture data to be entered into the MIS.

The PPME unit has the overall responsibility of coordinating the MIS for all the ASIP subprograms. A prototype approach has been adopted for the development of the MIS and it has already been developed for some subprograms.

The MIS captures information on physical and human resource inputs and the outputs of the activities conducted under each subprogram. It also captures financial information to facilitate both physical and financial M&E. The annual work plans and budget are consolidated by the PPME section, so that the Policy and Planning Branch can compare actual and envisaged expenditure. Data input forms that capture financial information have been developed for the national, provincial and district levels.

The SEMCOs are responsible for the operationalization of the MIS at the provincial level by district and subprogram. They ensure a two-way flow of information, top to bottom and vice versa.

## The MIS and the management structure

Under the ASIP, two complementary management structures are identified in the MAFF. These are technical management, which guides the technical implementation of the subprograms, and area administration and coordination management. The latter tries to ensure a balanced investment that makes the best use of available resources in addressing local priorities and problems, and that resources are utilized according to established procedures.

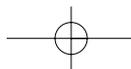
### Technical management

This is the management of the technical subprograms. Each subprogram has specific technical information requirements. The office-bearer in each district is the District Subprogram Manager, who focuses on the technical messages themselves and on the reactions of the target groups to those messages.

### Area administration and coordination management

This management coordinates the various subprograms and support units within a geographical area, for example, national, provincial or district. The office-bearer in the district is the District Agricultural Coordinator (DACO), who is supported by the district





subprogram managers and by the District Agriculture Committee. This committee, which is representative of the local community, is responsible for approving activities, work plans and budgets and for monitoring activities. It also receives regular reports from the DACO on the implementation of activities and thus keeps track of progress and outcomes. Each DACO's main responsibility is area coordination, which involves the allocation and control of resources (human, physical and financial) and the efficiency with which results are achieved. At the lower level of management, namely the camp level, the Camp Officer undertakes both types of management.

There are three major levels in the MAFF geographical hierarchy – national, provincial and district. Each level has different information requirements that correspond with its main management functions; that is, strategic, tactical and operational. These are summarized in Table 1.

**Table 1:** Types of MAFF management

Level	Coordinating manager	Technical manager	Main function
National	Permanent Secretary	Subprogram Manager	Strategic
Provincial	Provincial Agricultural Coordinator	Provincial Subprogram Manager	Tactical
District	District Agricultural Coordinator	District Subprogram Manager	Operational

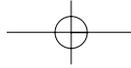
ASIP managers at lower levels, both in technical and geographical terms, require more detailed information than those at a higher level. This means that the MIS should aggregate information as it progresses in the management hierarchy.

### Integration of the MIS

The MIS of the ASIP covers the planning and M&E of inputs such as human resources, finance and physical resources on the one hand, and of activities and outputs on the other. A number of different units are responsible for coordinating the various functions of the MIS under the ASIP, particularly at the national level. For the MIS to work effectively, the planning and monitoring of these various units should be integrated as one system. The MAFF is currently working towards having a computerized MIS.

### Conclusion

The ASIP focuses on reducing the proliferation of projects and minimizing the duplication of activities while ensuring demand-driven interventions and effective participatory

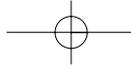


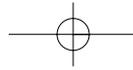
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AGRICULTURAL DEVELOPMENT PROJECTS IN ZAMBIA

approaches in program formulation and service delivery. The ASIP covers the whole country and is implemented within the MAFF institutional framework. As it was prepared by Zambians from both the public and private sector, it thus has Zambian ownership. The ASIP has adopted standardized implementation procedures and reporting, accounting and auditing systems. It minimizes the use of international long-term consultants and allows the employment of demand-driven, short-term consultants. The ASIP emphasizes greater decentralization and beneficiary participation. It has a built-in flexibility based on annual reviews and adjustments. One of the main features of the operationalization of the ASIP is that the planning of agricultural development activities is decentralized to the district level.







# 21

## Monitoring and evaluating human rights and democracy in South Africa

BARNEY PITZYANA<sup>1</sup>

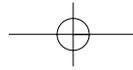
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It has become conventional wisdom that the provision and observance of human rights constitute the first duty of states. That means that human rights have become the essence of democracy and good governance. It also means that human rights can no longer be considered an optional extra which governments can accommodate as they wish or once all other things are done. Recently, the United Nations, especially under Kofi Annan as Secretary-General, has taken steps to prioritize human rights in all United Nations programs and throughout its specialized agencies. Human rights have become the responsibility of governments. The essence of democracy is that the people can express their will by freely choosing their representatives and are free to remove them if they no longer represent their interests. Democracy must contain the element of change of government as expressed by popular will. It also means that the government must be continuously accountable for its actions, either through the freely chosen representatives or directly by referendum, which is a test of the popular will. Democracy functions best where the doctrine of the separation of powers is observed such that checks and balances can be maintained between the three spheres of government – the legislature, the executive and the judiciary.

This responsibility flows from the international treaties that a state is party to. Among these are the International Bill of Rights, the Universal Declaration of Human Rights, the International Covenant on Economic, Social and Cultural Rights, and the International Covenant on Civil and Political Rights, and key conventions such as the Convention against Torture, the Convention on the Elimination of All Forms of Racial Discrimination, the Convention on the Elimination of All Forms of Discrimination against Women, and the Convention on the Rights of the Child. There are treaty bodies that monitor observance by states that are party to the treaties. The treaty bodies examine reports on the observance of the treaties and in some cases consider complaints or

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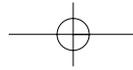
communications on violations of the treaty obligations. Treaty bodies like the Human Rights Committee, the Committee on the Elimination of Racial Discrimination, the Committee on the Rights of the Child and the Committee on the Elimination of Discrimination against Women regularly publish reports, recommendations and general comments on matters that have come before them.

The international treaties have been supplemented by the declarations of a series of world conferences held under the auspices of the United Nations, especially during the last two decades. Among these have been the World Conference on Development and the Environment, the World Conference on Human Rights, Social Development and Habitat and, in 2002, the World Conference against Racism, Racial Discrimination, Xenophobia and Related Intolerance. Each conference has produced a statement or declaration that has interpreted the meaning of the rights concerned, as well as a plan of action that is commended to states.

There are treaties covering virtually every aspect of life, and mechanisms for ensuring compliance by states. These measures range from technical cooperation and support for states to more recent developments like the publication of the *Human Development Report* and the *Report on Human Development and Human Rights*. In all these ways an international culture of respect for human rights is being developed. A feature of this is that states should feel morally and legally bound to put into effect the agreements they have undertaken. They also undertake to abide by the decisions of the relevant treaty-monitoring bodies. International law has advanced to the extent that even if a state has not ratified a particular treaty, once the treaty comes into effect, certain obligations devolve on all states.

An interesting case is that of the United States, which ratified the International Convention on the Elimination of All Forms of Racism in October 1994 with a series of reservations. The United States has been singularly uncooperative with any effort by the United Nations, its special rapporteurs or the treaty bodies to undertake investigations of the status of human rights. It took the United States all of nearly 30 years before it got round to ratifying the treaty and another six years to submit its initial report, which should have been submitted by September 1996. The United States is one of only two states that have not ratified the Convention on the Rights of the Child, and among only a few that have not acceded to the Covenant for Economic, Social and Cultural Rights. Clearly, international pressure is being placed on the United States to comply with the international treaty regime.

In addition, it is recognized that the strengthening of national capacity for the promotion and protection of human rights is essential. In developing countries and emerging democracies, either international human rights norms have been incorporated into the constitutions or domestic legislation has been passed that ensures the state's compliance with its international obligations. This for the simple reason that while responsibility for the provision of human rights vests in the government of the day, the task cannot be left



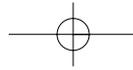
solely to the government. Governments are expected to establish some frameworks for monitoring compliance with international treaties at domestic level, and will have their own mechanisms for monitoring compliance. They do so in order to ensure good governance and effective provision of services and to improve their capacity to meet the needs of the people. At the same time, the government must be able to prevent corruption, maladministration and inefficiency. This is a matter of effective implementation of public policy. In addition to this, there are national independent state institutions that monitor the observance, promotion and protection of human rights at national level. Among these are electoral commissions that manage and ensure free and fair elections, the Office of the Ombudsman that guards against corruption and maladministration in the public service, and human rights commissions whose task is to protect and promote human rights.

## **The role of national institutions**

As a strategy for enhancing human rights performance by states, the United Nations promotes and supports the establishment of national institutions for the promotion and protection of human rights. Because it recognized that states might establish such national institutions merely for cosmetic purposes, the General Assembly adopted the Paris Principles on the Status of National Institutions in 1993. The Paris Principles seek to ensure that national institutions are established on the principle of independence. This means that the state must ensure that membership of the institution is as plural and representative of the broad population, opinions and political persuasions as possible; and that the institutions should have the freedom to exercise autonomy in their operational decisions, set their own priorities and enjoy financial stability and independence while being accountable to Parliament. National institutions should be given a wide and comprehensive mandate that should include powers to investigate complaints and make recommendations as appropriate. While the national institutions need not have the power to enforce their own recommendations, it is desirable that their authority be respected.

In order to ensure its independence, a national institution should be accountable to Parliament, there should be public participation in the appointment of members and the institution should be funded in a way that does not compromise or appear to compromise its independence. The credibility, and hence the authority, of a national institution depend on the extent to which the institution can be trusted to uphold its independence. The state has certain obligations towards an independent national institution: it must ensure that the institution is adequately funded in order to carry out its mandate, and must “assist and protect the institution in order to ensure [its] independence, impartiality, dignity and effectiveness” (s. 181(3)). The dignity of members of the institution is ensured if they are assured security of tenure, as well as pay and conditions of service that are compatible with the status and esteem expected of their high office.





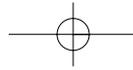
The national institution typically has a responsibility to promote the development of a culture of human rights by undertaking human rights education and training programs, campaigns to enhance public awareness of human rights, and research into human rights issues. In its protective mandate, the institution receives complaints of human rights violations, investigates them and makes recommendations. In its advisory capacity, the institution advises the government on compliance with international norms, international reporting obligations and on legislation. As a monitor, the institution will report on any violations of human rights, including trends that could lead to human rights being compromised.

The South African Constitution establishes several institutions on the basis of this principle. Among these are the Public Protector, the Human Rights Commission, the Commission on Gender Equality, the Independent Broadcasting Commission and the Independent Electoral Commission. All these institutions have enabling legislation passed by Parliament, which regulates their powers and functions. Other statutory bodies established to secure human rights include the Independent Complaints Directorate that investigates police misconduct, the Commission on Conciliation, Mediation and Arbitration that resolves disputes emanating from the workplace, and the Judicial Inspectorate of Prisons. In the light of this diversity, it has become necessary to have a forum to coordinate these institutions, which otherwise function independently of one another. It is necessary for these bodies to continually evaluate their services and liaise with one another to ensure consistency and common policies and avoid unnecessary duplication. For this reason, the Forum of Independent Statutory Bodies was formed. This Forum can liaise with the government on common policies and common concerns and it is represented in the government's Consultative Forum on Human Rights.

## **Monitoring human rights and democracy**

The Human Rights Commission, like any national institution, is required to produce a report on its activities to the National Assembly. The report sets out activities undertaken in pursuit of the Commission's mandate and assesses the status and situation of human rights in the country. The Commission's interventions in key human rights activities are outlined, as are its investigations, decisions and recommendations. The Commission is also required to report every three months on the investigations it has conducted that show serious violations of human rights. The report is tabled in the National Assembly, presumably so that members of Parliament are made aware of the state of human rights in the country. They exercise their responsibility of oversight over the Executive and raise questions with the Executive. Members of Parliament may also table motions on the issues raised by the report for debate in Parliament.

The South African Human Rights Commission also has a responsibility in terms of the Constitution to require organs of state to "provide the Commission with information on the measures that they have taken towards the realization of the rights in the Bill of

MONITORING AND EVALUATING HUMAN RIGHTS  
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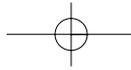
Rights concerning housing, health care, food, water, social security, education and the environment” (s. 184(3)). This is designed to make the government accountable for its provision of the economic and social rights in our Bill of Rights. These are couched in a manner that suggests indirect enforcement: “The state must take reasonable legislative and other measures, within its available resources, to achieve the progressive realization of this right.” Not only has the Commission had to educate government officials about the meaning, content and nature of these rights (given that the courts are by their nature reactive), it has to provide information and training on the rights in question.

In the preparation of the reports, the Commission has to undertake extensive training of government officials about the information required and how best to present it. The report itself then serves to inform and educate the public about the extent to which the economic and social rights have been prioritized in government programs. Two matters are worth commenting on: one, that government officials tend to view this task as more of a chore than an opportunity to demonstrate their commitment to providing economic and social rights to improve the lives of ordinary people; two, that Parliament itself has not taken its responsibilities seriously by raising questions and highlighting issues raised in the reports. What has to be stated categorically, however, is that the Commission is not required to pass judgment but to access the information and make it available.

This monitoring mechanism can be invaluable in ensuring accountable government. This is so in part because jurisprudence on the justiciability of economic and social rights is weak. The South African Constitutional Court has yet to make a ruling on these rights that will establish the extent of the state’s obligations. By making provision for reports on the performance of the government, the Constitution allows for a non-judicial mechanism for enforcing human rights: that of public opinion and parliamentary scrutiny.

Monitoring human rights and democracy, however, requires skills and resources that national institutions do not necessarily possess. For example, it is vital for national institutions to have a research capacity if their research reports are to earn credibility. In reality, research is not considered a visible performance and execution of one’s mandate. It is therefore not surprising that resources for research are subordinated to resources for human rights education and training, as well as investigations of human rights violations and litigation. Human rights researchers should have the capacity to use statistics and access information, analyze them and make judgments on the state of human rights in the country. Great care and discernment are needed when using statistics, to avoid misuse and opportunism. The *Human Development Report 2000* (UNDP, 2000) has done us a great service by setting criteria for accountability in human rights and human development monitoring. This report asserts that indicators are valuable for making better policies and monitoring progress; identifying unintended impacts of laws, policies and practices; giving early warning of potential violations; prompting pre-emptive action; enhancing social consensus on difficult trade-offs; and exposing issues that have been neglected.



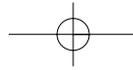


The indicators of accountability can be determined in part through the duty of the state to “respect, protect, promote, and fulfill” human rights; in other words, there is a positive obligation on the state to realize these rights. An inquiry will therefore assess whether the state is seeking to fulfill this duty. There are, of course, different ways of doing this: by direct provision of funds, by establishing an environment conducive to the fulfillment of the rights, by generating national awareness, by mobilizing civil society actions and by galvanizing private sector funding if necessary. The second stage of the inquiry would be to determine whether the existing legislative framework complies or is consistent with international human rights norms, and whether there exist appropriate norms, institutions, laws and an enabling economic environment that make the principles and promises of the Constitution realizable. Then there must be a vibrant civil society that will act as a watchdog, making the government accountable and identifying critical non-state actors who will have an impact on the realization of rights. Among the norms, for example, is the practice of non-discrimination and an anticorruption culture. If the nature of the society is to tolerate all forms of discrimination, whether it is against women or encourages ethnic divisions, and if nepotism and corruption are taken as normal, then there are likely to be some problems with compliance. Building a culture of accountability, according to the *Human Development Report 2000*, “means exploring the impact that different actors have on the realization of rights – and assessing whether or not they are meeting their obligations to address them”.

In South Africa, it is possible to assess human rights and whether democracy is functioning. In the six years or so since the end of apartheid, not only have we established certain human rights norms and institutions, we also have a constitutional and legislative framework in place against which policies and practices can be judged. Besides, there has developed a vibrant and critical civil society, an independent media and an intellectual climate that ensures vigorous debate of the issues in the public domain. The constitutional and legislative framework includes the Bill of Rights, international treaties, and legislation like the Promotion of Equality and Prevention of Unfair Discrimination Act, 2000 and the Promotion of Access to Information Act, 2000. It is debatable whether the present economic environment is sufficiently conducive to ensuring quality of life, as unemployment is unacceptably high and economic policies do not appear to make a dent in unemployment statistics. In the light of this situation, the social breakdown evidenced in escalating crime levels and social inequality must ultimately pose a threat to human rights provision in our country.

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# 22

## Public opinion and the consolidation of democracy in southern Africa: an initial review of key findings of the Southern African Democracy Barometer

ROBERT MATTES, MICHAEL BRATTON, DEREK DAVIDS & CHERREL AFRICA<sup>1</sup>

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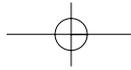
### Introduction

Consolidating the young democracies of southern Africa depends largely on developing a culture that supports, defends and sustains the practices, procedures and institutions of representative popular government. Until now, however, we have known very little about what southern Africans think about democracy, their new democratic institutions, or how they compare democracy with what they had before.

In order to fill this information void, a consortium of national research partners from seven countries across the region has created the Southern Africa Democracy Barometer (SADB). The SADB measures public attitudes to democracy and its alternatives, conducts evaluations of the quality of governance and economic performance, analyzes perceptions of the consequences of democratic governance on people's everyday lives, and collects information about a range of actual and potential economic and political behaviors. This project and the larger research consortium are coordinated by the Public Opinion Service of the Institute for Democracy in South Africa (IDASA).

Beginning in September 1999, SADB partners conducted a nationally representative survey of 1200 respondents in six southern African countries: Botswana, Lesotho, Malawi, Namibia, Zambia and Zimbabwe. Fieldwork is currently under way in South Africa, the seventh and last country to be surveyed in the first round of this project.

<sup>1</sup> Respectively, Manager, Public Opinion Service, Institute for Democracy in South Africa, South Africa; Professor, Department of Political Science, Michigan State University, United States; and Project Coordinators, Public Opinion Service, Institute for Democracy in South Africa, South Africa.



## The regional picture

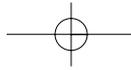
Results from the first round of the SADB present a relatively promising picture of the state of democracy in southern Africa:

- There is widespread popular support for democracy in the region, with the exception of Lesotho, where many people express indifference and apathy towards it.
- There is little “authoritarian nostalgia” in southern Africa. In all countries, even in Lesotho, there is strong resistance to the idea of returning to the authoritarian regimes of the past (colonialism, white minority rule, indigenous one-party rule or military dictatorship). There is also little desire to try any of a range of other non-democratic alternatives.
- A large majority feel that their present multi-party regimes are responsible for significant increases in political freedom. They are less sure, however, that multi-party government has resulted in increased personal or economic security, compared with the old regimes.
- Despite academic theories to the contrary, democracy is not a foreign or unknown concept in southern Africa. Large numbers of people are able to offer spontaneous definitions of the word. When asked what democracy means, most southern Africans describe it in positive terms. On the whole, they see it as based on civil rights and personal freedoms, popular government, elections and voting.

However, when it comes to the institutions of state and government, public attitudes are much less positive, and tend to vary a great deal by country. State and government institutions receive very mixed ratings when it comes to the key dimensions of trust, responsiveness, corruption in government, and overall job performance. In fact, many southern Africans feel that the performance of their present governments is no better, or even worse, than their former authoritarian governments when judged on these four dimensions. Importantly, there is a strong sense among people in the region that governments cannot use the legacies of the past regime as an excuse for policy failures or slowness of delivery.

The results also highlight several areas of concern regarding issues of democratic citizenship:

- Pending a more detailed and extensive comparison of its results with findings from elsewhere in the world, the SADB finds relatively low levels of political interest and political participation. Substantial proportions of respondents state that they never talk about politics, and are uninterested in government and public affairs.
- Respondents feel, on average, that they exert control over their personal lives, but when it comes to politics and government they feel they do not have enough information and are unable to understand what goes on in these spheres. They also tend to feel that they have to practice self-censorship when it comes to individual political expression.



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PUBLIC OPINION AND THE CONSOLIDATION OF DEMOCRACY IN SOUTHERN AFRICA:  
AN INITIAL REVIEW OF KEY FINDINGS OF THE SOUTHERN AFRICAN DEMOCRACY BAROMETER

Southern Africans do, however, tend to retain a sense of optimism about the positive potential of the vote, and the importance of winning political power through elections. They are relatively active in religious organizations, but relatively inactive in other areas of organized community life. The proportions that claim to have taken part in mass election-related activities (like voting and attending election rallies) are quite high. However, participation in other forms of political activity, such as working for political parties, writing letters to newspapers or contacting political or other community leaders, is quite low. A minority of respondents has taken part, or is willing to take part, in political protest. On a more encouraging note, only small numbers have taken part in, or say they would take part in, non-compliance with their legal obligations of citizenship.

Finally, it appears that any potential antidemocratic entrepreneurs would face a strong wave of negative opinion if they were to threaten democracy by shutting down critical media, dismissing critical judges, banning political parties or suspending elections. Significant numbers of respondents also say they would take various actions in support of democracy, if such a situation were to occur.

The message for democracy advocates and educators is that their priority does not appear to be to convince southern Africans about the value of democracy, but rather to build the habits of democratic citizenship. For elected representatives, policy-makers and constitutional designers alike, the clear implication of this survey is the dire need to build government institutions that are seen to be trustworthy, free of corruption, responsive and effective.

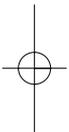
## Country profiles

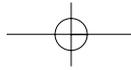
### Botswana

Based on the attitudes of its citizens, Botswana appears to be a maturing democracy. Several decades of sustained democratic practices have brought about, or have been accompanied by, the development of a healthy democratic culture. In fact, on many of IDASA's previous measurements, the Botswana rank far ahead of South Africans in terms of their attitudes toward democracy.

Democracy enjoys widespread legitimacy; there is a high degree of demand for it, as well as a high degree of perceived supply of democracy by the political system; state and government institutions enjoy fairly high levels of trust and overall job approval. Relative to other governments across the region, incumbents are seen to be fairly responsive to public opinion and relatively free of corruption. The large majority of Botswana want their government to prioritize job creation, and smaller though significant proportions mention AIDS and education as key areas requiring government action.

If there is any apparent deficit, it is that Botswana are not very politically active or politically interested. Whether this is a reflection of the larger culture or a reflection of acqui-





escence to a political system that “works” will be uncovered by further research. However, relative to the rest of the region, Botswana retain their faith in the positive impact of elections and voting. Indeed, if democracy were under threat, significant proportions of Botswana are likely to become actively involved in its defense.

## Lesotho

The overall profile of Basotho attitudes towards democracy, the political system and citizenship is negative and pessimistic in comparison to the rest of the region. However, without any prior evidence from comparable surveys, it is difficult to say whether this is the result of basic culturally determined attitudes to politics and authority, or a reflection of popular reactions to the current political crisis in Lesotho. While most Basotho reject a range of non-democratic alternatives to their present regime, they are less likely to do so than respondents from any other country in the survey. There appear to be serious problems of legitimacy, with relatively low levels of popular trust in government institutions and relatively little sense that national institutions are interested in public opinion. On a positive note, however, government institutions in Lesotho are seen to be relatively free of official corruption.

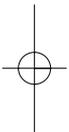
Not only is there very little demand for democracy, Basotho also feel that very little is produced by their present arrangement. Basotho want their government to concentrate its priorities in the areas of job creation, crime and security, and food delivery.

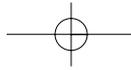
## Malawi

On the national level, Malawi shows promising signs of moving towards a political system where democracy is widely legitimized. Yet the overall national results mask important regional cleavages and significant pockets of support for authoritarian rule.

By wide margins, Malawians believe that democracy is always preferable to a range of other systems. Not only is there a relatively high demand for democracy in Malawi, there are also relatively high levels of perceived supply of democracy by the political system. However, the survey also revealed the highest levels of “authoritarian nostalgia” (about one-fifth of all Malawians, and even higher in specific regions). The fact that many Malawians might support an unelected leader if democracy were not seen to be “working”, is cause for concern.

With regard to the political system, another concern is the relatively high levels of perceived corruption in government. Malawians cite a wide range of problems that they want the government to prioritize. The most frequently cited are improving the economy and health care, fighting crime and providing food. An optimistic note is that of all southern Africans interviewed, Malawians are the most likely to feel they can influence the political system, and have a positive impact via voting and elections. Malawians are also relatively active in terms of civic life and political participation.





## Namibia

In many ways the results from Namibia are odd, if only because it is the only country in the survey where the perceived supply of democracy by the political system is higher than citizens' demand for democracy.

While more Namibians see democracy as the only viable political option than do not, they are the least likely (with the exception of Lesotho) to support it. While they do reject a range of non-democratic alternatives, they are the least likely to do so. Large proportions of Namibians feel that their system is democratic and are satisfied with the way democracy works in their country. Yet these proportions are larger than those who actually demand democracy.

Namibians are the most satisfied of all countries in the survey with their overall political system. They are very satisfied with the performance of President Sam Nujoma and his government, and invest them with high levels of trust. They also see relatively low levels of corruption in government. Namibians want their government to place its priorities on job creation, education and provision of services.

## Zambia

Democracy is widely supported in Zambia, and there are relatively high numbers who perceive a supply of democracy. Zambians are apparently unconcerned about the significant flaws of the 1996 elections, though one could speculate that people would have been more concerned if the object of the abuses had been a legitimate, popular opposition leader rather than the symbol of the discredited former regime. There is little desire to return to one-party rule and little interest in other non-democratic alternatives.

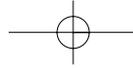
Zambians have very low levels of trust in their political institutions and relatively high perceptions of corruption in government. Yet, there is little nostalgia for the previous Kaunda regime. On balance, substantial proportions of Zambians see their multi-party government as more effective than the one-party regime and more responsive to public opinion, though it does not compare so favorably in terms of freedom from corruption and trustworthiness.

Zambians want the government to give priority to health care, job creation, education and improving conditions of farmers and agriculture. Conversely, they are the most active in civic associational life, especially church organizations. Finally, Zambians demonstrate the highest levels of potential to take action in defense of democracy if it were under threat.

## Zimbabwe

Any discussion of the Zimbabwean results has to be prefaced by the reminder that the fieldwork was done in September-October 1999, before the constitutional referendum, farm invasions or general election campaign.

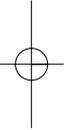




Zimbabweans express a high level of “demand” for democracy, yet also display a very low degree of perceived “supply” of democracy from their political system, which is viewed with widespread disillusionment and cynicism. It is important to note that the public mood is not just “anti-Mugabe”, but expresses a generalized discontent with the larger system of one-party rule. There are severe problems of legitimacy, very low levels of trust, little sense that the government is concerned with public opinion, and widespread perceptions of extensive corruption. Government institutions also receive very low levels of job approval. Many people see the government as no different to, or even worse than, the old white minority regime in terms of trust, performance, freedom of corruption, and responsiveness.

The vast majority of Zimbabweans want their government to give priority to improving the economy and creating jobs. At the time of the survey, just one out of 100 respondents mentioned issues concerning land and land reform.

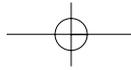
In terms of citizenship, Zimbabweans feel especially unable to influence the political system, and are the least likely of all southern Africans interviewed to feel they can improve things through voting and elections. At the same time, Zimbabweans are the most active of all southern Africans in civic associational life, and have a significant record of political participation.



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<http://www.idasa.org.za>



# 23

## Monitoring and evaluating gender issues and women's empowerment in Kenya

PAUL A. OGULA<sup>1</sup>

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### Introduction

This paper assesses the state of the art and determines critical needs in the area of monitoring and evaluation (M&E) of gender issues and women's empowerment in Kenya. The analysis is based on a review of M&E in five projects that address gender issues and the empowerment of women. These are: Gender Mainstreaming and Empowerment of Women; Sinaga Women and Child Labor Resource Center; Girls' Education and Education For All Follow-up Project; the League of Kenya Women Voters; and the National Council of the Women of Kenya Project. The five projects were deliberately chosen to reflect a diversity of gender issues.

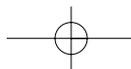
The paper concentrates on the process rather than the results of M&E that are documented in evaluation reports. As space is limited, little attempt is made to provide background information on the activities of the projects whose data were used. Instead, the paper focuses on M&E at five key levels: needs assessment; program monitoring; formative evaluation; summative evaluation; and impact evaluation.

Data were collected through interviews with those most responsible for monitoring and evaluating projects that address gender issues. Relevant evaluation reports were also reviewed.

The paper opens with a brief discussion of gender issues. This is followed by an explanation of the concepts used. The third part of the paper describes the various stages of program evaluation; each stage is illustrated by examples of M&E activities in Kenya. Finally, the paper indicates some of the weaknesses observed and makes recommendations for the improvement of future evaluations.

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## The context

Women play an important role in society as procreators of the coming generation and producers of goods and services. However, in many Kenyan communities, traditional perceptions of women being inferior to men prevail as many people invoke the preservation of African culture to justify the subordination of women. As a result, men usually dominate women in the political, religious, economic and domestic spheres. Their academic achievements and roles in society are barely acknowledged or recognized. Despite modernization, available data show that traditional gender relations of dominance and subordination are still promoted. In this relationship, the female is the disadvantaged. Many studies indicate that girls are usually less valued than boys in most African societies, which can result in discrimination against girls and women and assignment of low status to them. Substantial inequalities between the sexes persist in modern Kenyan society.

On the political front, only nine out of 222 members of Parliament in Kenya are women. There is no woman Cabinet Minister or national, branch or subbranch chairperson of a national political party. Male dominance is exacerbated by the economic dependence of women on their parents, husbands or cohabiting male partners.

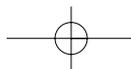
**Table 1:** Percentage distribution of senior administrative posts in the Kenyan government by gender (1998)

Rank	Gender		
	Total	Men (%)	Women (%)
Permanent Secretary <sup>1</sup>	30	86.7	13.3
Ambassador	33	93.9	6.1
Deputy Secretary	82	84.2	15.8
Under-Secretary	187	82.6	17.4
Senior Assistant Secretary	155	72.9	27.1
Assistant Secretary I	85	67.1	32.9
Assistant Secretary II	88	63.6	36.4
Assistant Secretary III	98	61.2	38.8
Total/Average	758	76.5	23.5

Note: <sup>1</sup>Leadership changes in the public service in February 1999 reduced the number of women permanent secretaries from four to two.

Source: Directorate of Personnel Management, Kenya.



**Table 2: Members of the National Assembly by gender, 1988-2000**

Year of election	Women	Men	Total	% Women
1988	3	197	200	1.5
1992	7	193	200	3.5
1997	8	214	222	3.6

Source: Electoral Commission of Kenya.

Although some progress has been made in the elimination of gender stereotyping in school textbooks and attempts have been made to address other gender issues, traditional gender relations of domination and subordination still flourish in Kenya. Since the early 1980s, when it was realized that without the participation of women the country's economic development would remain only a dream, government and non-governmental organizations (NGOs) have implemented numerous policies and programs designed to enhance women's conditions.

## Monitoring and evaluation of programs and projects

In order to make a program relevant, effective and efficient, there is a need for a constant flow of ideas from evaluators to project implementers. Consequently, it is vital that M&E be included in the design of each program or project. Although the evaluation of gender issues is an essential component of the projects reviewed, the scope and methods vary and some project officers feel that evaluation is not given the emphasis it deserves.

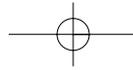
Program evaluation involves five levels or stages: needs assessment, program monitoring, formative evaluation, summative evaluation and impact evaluation.

### Stage 1: Needs assessment

The logical first step towards a successful social action program or project is establishing the need for the program or project, by carrying out research to determine the type, depth and scope of the problem. In theory, all operating program that address gender issues and women's empowerment have completed this stage successfully since they have convinced funding agencies to finance them. However, some projects have been established because of the special interests of influential people and donor agencies carrying out a needs assessment. The following is an example of a needs assessment.

In a baseline survey on domestic child workers in Eastlands, Nairobi, the objectives of the study were to provide quantifiable baseline data on the phenomenon of domestic child workers in that area; to provide information to guide the formation of felt-need





support services for the Sinaga Women and Child Labour Resource Center; and to provide a basis for policy recommendations on issues related to domestic child workers. The methodology comprised the following:

- **Sample:** Purposive sampling was used to choose 81 subjects, of which 54 were current or former domestic child workers and 27 were their current employers. The 54 subjects were clients of Sinaga Center who were being provided with various types of basic education and skills training.
- **Instruments:** Separate interview schedules were used for both domestic child workers and their employers.
- **Data analysis:** Quantitative methods were used. Non-quantifiable methods were used for descriptive data.

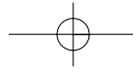
The Girl's Education and Education for All Follow-up Project of the Ministry of Education and Human Resource Development and the United Nations Children's Fund commissioned consultants to carry out a needs assessment to identify areas in which interventions were needed. Seminars were organized at national and regional level to discuss the results of the study. In July 2000, project officers of the Gender Mainstreaming and Empowerment of Women Project of the Department of Social Services carried out a baseline survey. Data were collected through focus group discussions, face-to-face interviews, questionnaires and key informant interviews.

## Stage 2: Program monitoring

The second stage involves the systematic collection of service utilization data. This stage is sometimes called the "accountability level" because the data to be collected are necessary for the program to be minimally accountable to funders, participants and the larger community.

Program monitoring seeks to discover the extent to which the program reaches the appropriate target population; whether the implementation strategies are consistent with the program design; what resources were used in the implementation of the program; how many people the program serves; and what types of service are offered. The methods used to collect data for monitoring include direct observation by the evaluators; content analysis of program records; administration of questionnaires to program participants; and conducting interviews with program staff and participants.

Data collected indicated that most projects, as required by major funding agencies, keep monitoring data and are engaged in systematic record-keeping. However, smaller programs have not been able to set up official data systems. In the Gender Mainstreaming and Empowerment of Women Project, staff of NGOs, community-based organizations and the Women's Bureau carry out ongoing monitoring of the implementation of project activities as specified in the project document. At the Sinaga Center, project activities are monitored by project staff and funding agencies.



### **Stage 3: Formative evaluation**

Formative evaluation is a continuous follow-up of activities to ensure that they are proceeding according to plan. It entails monitoring ongoing activities and enables project or program staff to take corrective action promptly in response to changing circumstances. It is conducted during the course of a program or activity to provide the people involved with evaluative data useful in improving the program or activity. During this stage, program staff collect data for use in monitoring and improving program operation. This includes reviewing client-specific data and scrutinizing the program, its goals and objectives. The methods used include client satisfaction surveys.

Many projects that address gender issues do not conduct systematic formative evaluations. The only formative evaluation carried out is the evaluation of training workshops, which in most projects is normally conducted during and at the end of the workshop. However, few gender projects assess knowledge and attitude change. The evaluations are often focused on presentation effectiveness rather than on the impact on the trainees.

Data from the five projects show that the programs have been reluctant to conduct formative evaluations. For example, although the Girls' Education and Education for All Follow-up Project has been operating since 1997, no formative evaluation of project activities has been carried out. In the League of Kenya Women Voters, training workshops are evaluated through self-report techniques. Formative evaluation is not systematically carried out.

### **Stage 4: Summative evaluation**

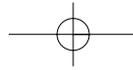
After a program has gone through its full cycle, or where the program is near to completion, summative evaluation should be conducted to objectively assess the effects of the program and its worth or merit; to document program effectiveness; and to provide data to assist the staff to improve the program.

Many programs that evaluate at this level use tests and other program-specific instruments, including observation scales, attitude scales and interview schedules. Two types of evaluation are normally carried out during this stage: internal summative evaluation by project staff, and external summative evaluation by disinterested, unbiased, professional evaluators who were not involved in the implementation of program activities. None of the five projects under review had conducted summative evaluation.

### **Stage 5: Impact evaluation**

Impact evaluation is conducted several years after the implementation of the program, to determine its lasting effects on target groups or institutions. Experimental or quasi-experimental designs are the most appropriate way of doing this. The objectives of impact evaluation are to assess whether or not the program resulted in changes or modifications consistent with the intended outcomes; to assess the relevance of any changes to





the established priority concerns; to assess the effectiveness of any changes in reaching objectives of the program; to determine the durability of the effects of a program on the target groups and institutions concerned; and to assess the unintended outcomes of a program.

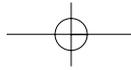
## Weaknesses

The following weaknesses were identified:

- The projects emphasize collection of data but pay less attention to evaluation.
- Appropriate evaluation designs for summative and impact evaluation are not used.
- Reliance on questionnaire and group interviews was not appropriate for assessing the acquisition of knowledge, skills and attitudes.
- The lack of adequately trained evaluators locally makes it necessary for projects to use consultants from Europe and America.
- There is a lack of built-in evaluation units in the projects.
- Some project managers divert funds intended for evaluation to provide support for the program.
- There has been little systematic evaluation of the effectiveness of programs that address gender issues on a large scale.
- There is no proof that formative evaluation is conducted in a systematic way.

## Recommendations

- Whatever the nature of the project and the status of the people involved, a needs assessment should be carried out to determine the nature and magnitude of the gender problem to be addressed by the proposed project.
- Those establishing or in charge of programs that address gender issues and the empowerment of women need to consider the five levels of evaluation explicitly.
- Formative evaluation needs to be carried out periodically throughout the project.
- As the project nears completion, both internal and external summative evaluation should be carried out.
- The funds intended for evaluation should not be diverted from evaluation to provide support for the program.
- Impact evaluations should be conducted.
- Project coordinators and evaluators should use appropriate evaluation designs for summative and impact evaluations.
- Further efforts are needed to ensure that evaluations are of high quality and help project coordinators to improve the quality of the services provided.



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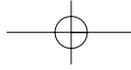
MONITORING AND EVALUATING GENDER ISSUES  
AND WOMEN'S EMPOWERMENT IN KENYA

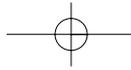
- A prerequisite for any successful strategy for improving M&E is a capacity to conduct evaluations that not only involve conventional survey or participation rates and characteristics of participants, but also investigate the extent to which the participants have acquired desirable knowledge, skills and attitudes.
- More in-depth studies are required to elaborate on the situation.

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# 24

## Review of the South African government's grant-funded Municipal Infrastructure Program

JEREMY TIMM<sup>1</sup>

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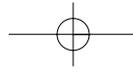
### Introduction

The mandate of South Africa's Municipal Infrastructure Program (MIP) is to "improve the quality of life of the poorest sections of the South African communities through ensuring access to at least a basic level of services". The Department of Constitutional Development has been responsible for the integration of MIP projects into broader, multifaceted development programs in order to simultaneously improve economic conditions and enhance the sociocultural environment of the communities. The MIP ensures community participation and fosters the empowerment of previously disadvantaged groups. Program planning and management are administered through provincial managers and the procedures followed seek to build a constructive interface between communities, municipalities, and provincial and central authorities and to ensure that the process remains community driven.

The MIP program received R751 million for the 1994/95 financial year. An additional R600 million was made available in 1995/96 to extend the program (Extension to the MIP, or EMIP), as demands from communities far exceeded the resources initially allocated. From its inception to the start of the successor program (Consolidated MIP, or C-MIP) in March 1998, the achievements were quite remarkable. No fewer than 1045 projects have been completed, reaching the poorest and most remote communities in each province.

In 1998, the Government of Japan and the World Bank made available a Policy and Human Resources Development Fund grant to the South African government to undertake a comprehensive review of the MIP's achievements. The Development Bank of Southern Africa (DBSA) administers the grant funds on behalf of the government. The stated purpose of the review is to evaluate the performance of both the original MIP and





its extension (EMIP), with a view “to ensur[ing] that appropriate approaches are followed in future”. The Unit for Housing and Urbanization at the Harvard University Graduate School of Design was selected to undertake the review.

## Methodology

The assessment was undertaken as a joint effort between the Harvard Study Team and the Palmer Development Group of South Africa, in close collaboration with the Department of Constitutional Development, DBSA, the provincial program managers and their consultants, local public officials and community representatives. Forty-five MIP/EMIP projects, selected by the provincial program managers, were reviewed in the field between 19 October and 2 November 1998. The projects in each province included two best practices to demonstrate the program’s potential; two average projects representative of overall program performance in the province; and one underperforming project reflecting prevailing constraints and impediments.

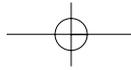
The strategy assessment framework developed for the review related MIP project activities to the program’s strategic objectives and covered two critical determinants of success: program performance – how well the programs delivered the required services; and strategy assessment – how the program’s outputs contributed to fulfilling its strategic objectives. The framework detailed the outputs generated by each activity and defined indicators to measure achievements for each outcome. It was structured to provide the flexibility needed to respond to wide disparities in context, development potential, institutional capacity, human resources and financial means between the localities where MIP projects have been implemented.

At least one project in each province was particularly impressive in addressing infrastructure needs, ensuring sustainability, generating economic opportunity, building capacity and fostering improvement through self-reliance. Follow-up visits to these projects permit a better understanding of the processes by which these results were achieved and highlight their impacts on the community. The nine projects are: Klapmuts, Western Cape; Middledrift, Eastern Cape; Atteridgeville, Gauteng; Mhluzi, Mpumalanga; Itsoseng, North West; Ndaleni, KwaZulu-Natal; Cornelia, Free State; Naboomspruit, Northern Province; and Ritchie, Northern Cape.

## Impact of infrastructure projects on municipal finance

Municipalities are responsible for the implementation, operation and maintenance of infrastructure services. Grants and transfers from the central government supplement local resources in order to fulfill national development goals and optimize equity, and MIP/EMIP funds are intended to strengthen the newly established local government units. The involvement of the communities in project decisions is an integral part of the effort to build their capacity to construct, operate and maintain the new infrastructure.





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REVIEW OF THE SOUTH AFRICAN GOVERNMENT'S GRANT-FUNDED  
MUNICIPAL INFRASTRUCTURE PROGRAM

Local governments are expected to provide supplementary funding from their own resources to provide services above the basic level covered by the MIP/EMIP grant. To meet this obligation, municipalities need to generate the revenues necessary to defray both capital investment and recurring expenditure on operation and maintenance. A detailed analysis of the budgets of six Eastern Cape municipalities showed that service fees accounted for between 20 and 48 percent of local revenues. Given their significance, it is essential that the current average collection rate of about 30 percent be increased. Municipalities will have to develop their capacity to set fee schedules that fairly reflect the delivery cost of services and improve the enforcement of collections, in order to reach a level of creditworthiness that will enable them to finance capital improvements and current budget constraints. Local capacity-building will be necessary to ensure the sustainability of infrastructure assets.

### **Program assessment**

The program's impacts were evaluated from the viewpoints of the different stakeholders. The program has clearly succeeded in its mission to build infrastructure and improve living conditions in previously disadvantaged communities, in remote locations, for those most in need of assistance, and in marginalized urban communities. Local authorities have been able to start redressing historical inequities by providing access to land and services, empowering local residents and promoting social and economic development.

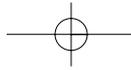
All of the projects visited contributed to the program's strategic objectives in one way or another. Of the 45 projects, 27 have demonstrated their capacity to upgrade the living environment; nine were truly community driven; eight managed to promote integration and social inclusion; 21 succeeded in leveraging MIP funds; 24 generated new economic activities by encouraging the use of local labor and providing training programs; and 19 coordinated MIP and Housing Grant Program activities. Generally, municipalities that succeeded in integrating the MIP program into their planning function achieved greater efficiency in planning and impact.

Improving the leverage of MIP inputs is directly linked to the ability to promote proactive public/private partnerships in the development of infrastructure and to mobilize local resources. Local capacity to meet these commitments and the users' willingness to pay for services are also critical factors underlying the financial performance of MIP projects and their sustainability.

### **Creating a strategic management program framework**

Today, the program has to meet challenges far more complex and intertwined than originally anticipated. In order to respond effectively to contextual factors and build its own





capacity to plan and implement infrastructure improvements, the program management team needs to:

- Establish a strategic planning group with members from both central and provincial levels and develop an information system capable of supporting strategic planning and management functions
- Institutionalize mechanisms for vertical and horizontal integration, interaction and dialogue, and establish mechanisms and procedures for continuous feedback from the field
- Adopt communication strategies and mechanisms for interacting with different stakeholders
- Develop a priority-ranking system integrating measures of project impacts linked to the MIP strategic objectives
- Institutionalize mechanisms for the dissemination of successful and innovative experiences among provinces, municipalities, non-governmental organizations and communities

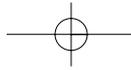
## **Refocusing operational strategies to enhance performance**

The recommendations presented below are intended to improve program performance, taking into consideration the changes introduced in the program since 1997 and incorporated in the C-MIP. They reflect issues and concerns identified by the study team during the field visits and discussed with the program management team at the Department of Constitutional Development and in the provinces.

## **Balance program activities to promote local development and community empowerment**

The recent Integrated Development Planning Process provides the framework and procedures for municipalities to balance economic and social development objectives. Yet most South African municipalities do not have an integrated development plan and lack the capacity to prepare one. The process is also too complex for smaller and less wealthy municipalities. It would benefit from having the flexibility to give provinces and municipalities greater discretion to respond to local circumstances.

It is essential that local officials and council members understand the purpose and structure of development planning in a time of fast-paced change. They must become aware that the level of service selected will affect the pattern and character of development, as well as the costs of operation and maintenance. Time is needed to build the required local capacity and experience. Moreover, the MIP provincial program managers and their staff will have to help municipalities assess the opportunities created by the new infrastructure and the implications of the choices they make. By highlighting economic,



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REVIEW OF THE SOUTH AFRICAN GOVERNMENT'S GRANT-FUNDED  
MUNICIPAL INFRASTRUCTURE PROGRAM

social and environmental considerations, as well as technical issues, and in identifying, preparing and implementing projects, the MIP project management teams can provide the fundamental building blocks for integrated development planning. In this context, narrowing the scope of the C-MIP to focus on bulk infrastructure, while justified in many cases, is constraining and should be reconsidered.

### **Incorporate impacts in the prioritization of activities**

Selecting projects among those competing for MIP funding is no easy task. Some provinces follow the model developed by DBSA; others use criteria that better reflect local conditions. The weakness inherent in these different approaches is that the impacts of a project cannot be measured, apart from direct temporary employment in construction. In order to relate infrastructure investments to the program's strategic objectives, the program's provincial management teams need to develop explicit measures of each project's probable impact on local social and economic development in the prioritization procedure. The collection of appropriate indicators will allow a more effective monitoring and evaluation of project impacts, a critical component of strategic management. This will enable each province to adjust operational strategies and activities and calibrate its allocation procedures.

### **Reformulate the linkages to housing and other social programs**

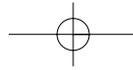
Linking the delivery of infrastructure services and housing is a rational way to coordinate and reinforce public investments in two mutually supportive sectors. However, earmarking 65 percent of C-MIP funds to provide bulk infrastructure to the greenfield housing projects adopted in the C-MIP has tied up the disbursement of funds in slow-moving housing projects (which, particularly when delivering a finished product, take much longer to complete than infrastructure).

Moreover, bulk and connector services can contribute better to integration and social inclusion if they serve strategically located parcels in buffer zones – parcels that can be developed for commercial uses rather than housing. Priority should be given to projects that can service both existing communities and new extension zones. Relating service levels to the character of surrounding zones helps blur the edges and diminish contrasts that perpetuate the “us and them” attitude that undermines social inclusion.

### **Restructure institutional capacity-building to promote sustainability**

The lack of technical and managerial capacity at the local level emerges as the single most critical constraint impeding performance on the ground. A lack of planning capacity is delaying the approval of projects. Inadequate managerial capacity causes undue delays, cost overruns and strained relations between municipalities, communities, consultants and contractors. There are numerous instances where services are badly operat-





ed and ill-maintained. Defective billing and collection systems result in non-payment by users and strain local resources. This undermines the sustainability of the infrastructure provided by the MIP. The Department of Constitutional Development was acutely aware of this problem and earmarked 5 percent of MIP project funds for capacity-building and training purposes. However, this component has not been as effective as originally anticipated.

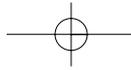
Assistance to ensure the sustainability of new infrastructure should be provided by restructuring the present allocation of 5 percent of project funds to build municipal capacity. A grant equal to about 2 percent of project cost, phased out over a three-year period, should be allocated to build municipal capacity to operate and maintain the infrastructure provided. The remaining 3 percent would still be devoted to capacity-building and training of local contractors and labor. The grant would be renewed annually, subject to the local government achieving prenegotiated targets for the improvement of billings and collection of fees and the adequate maintenance of the infrastructure. At this stage in the development of South African municipalities, linking capacity-building and limited assistance in operating and maintenance is the only guarantee of sustaining the infrastructure provided through the MIP program.

### **Recognize and disseminate best practices in the management and development of infrastructure**

Feedback from the field should inform strategic planning and management decisions. This information should be fed into the national policy dialogue in order to refine strategic objectives and ensure that appropriate approaches are followed in future programs. This task requires more than building a sophisticated database.

The lessons learned from creatively conceived MIP projects should be disseminated within South Africa, as well as abroad. Municipalities trying to cope with seemingly intractable problems will find it comforting to know that there are other municipalities, in South Africa and elsewhere, struggling with the very same issues. Exchange of information among provinces and municipalities will help disseminate successful solutions and best practices in the planning and management of programs and projects. Communication strategies must be formulated and implemented, fostering interaction among the different stakeholders involved in the provision of infrastructure and the delivery of services. Mechanisms for interaction and dialogue must be institutionalized.





# 25

## Monitoring the impact of land reform on the quality of life: a South African case study

THILDÉ STEVENS & JULIAN MAY<sup>1</sup>

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### Introduction

The South African Land Reform Program has evolved with attention being placed on issues of equality. In the formulation of policy, particular attention has been paid to the interests of the rural poor and rural women. In being operationalized, the Land Reform Program has been divided into three categories into which the majority of beneficiaries have fallen:

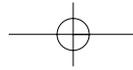
- **Redistribution:** The Land Reform Pilot Program was launched in 1994 and served as the prototype for the mainstream land redistribution subprogram. This program was subsumed within the mainstream land redistribution from March 1996.
- **Restitution:** The vast majority of restitution claims are still pending, either with the Commission on the Restitution of Land Rights or with the Land Claims Court.
- **Tenure reform program:** This is proceeding by way of pilot studies or test cases.

Monitoring and evaluation (M&E) have become important aspects of all policy analysis in South Africa. M&E provides insight into management and implementation processes, as well as the effectiveness of targeting and the provision of support. The Land Reform Program has recognized this since the first planning exercises were initiated, and M&E has been implicit in the program since its inception.

This paper uses the third land reform monitoring study undertaken since the introduction of the policy in 1994 as a case study of quality of life studies for policy evaluation. Although many of the premisses for monitoring remain consistent, the study represents a departure from the previous M&E system through its use of a single integrated instrument for the collection of data, a more complex sampling procedure, and the manner in which the data were collected.

<sup>1</sup> Respectively, Deputy Director, Monitoring and Evaluation, Department of Land Affairs, South Africa; and Professor, School of Development Studies, University of Natal, South Africa.





## Land reform and poverty reduction in South Africa

In 1994, the first democratically elected government of South Africa committed itself to the Reconstruction and Development Program. This was the policy framework through which, it was hoped, a broad transformation of the social, economic and moral foundations of South African society could be achieved (ANC, 1994; GNU, 1994).

Land reform is the third element of South Africa's reconstruction and development policies that focuses on targeted transfers. Compared to land reform programs in other countries, which are focused more on productive development, it has a strong emphasis on equality and the redress of historical inequities. The current estimated number of land reform projects is 245, affecting some 26,000 households. This represents a tenfold growth from the 245 households that received land during 1995. Despite the improvement in performance, the land reform initiative is currently under review, and it is hoped that information provided by the M&E of the program will assist the review process.

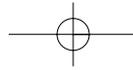
### Review of monitoring and evaluation of land reform

The original design for M&E was based on a series of questionnaire formats, each of which covered a different aspect of the Land Reform Program. These were developed during 1994 through a series of workshops convened by the Land and Agricultural Policy Center (Coleman, 1995a-e). The system that was developed focused on two main elements: measurement, by means of a questionnaire, of the quality of life enjoyed by land reform beneficiaries; and assessment of the targeting and equity components of the land reform program as a whole. A community-level questionnaire was developed for this purpose, supported by an on-line management information system. A number of other formats were also developed as supporting instruments, including studies on environmental impact, land demand and supply, and land invasions.

While this system was first implemented in 1996, it was only in October/November 1997 that the first comprehensive and systematic study was undertaken. A total of 62 land reform projects were surveyed, but information was collected for only 217 households. In May 1998, the Directorate of Monitoring and Evaluation of the Department of Land Affairs (DLA) completed the quarterly *Land Reform Monitoring Report*. An independent assessment of the report concluded that, in addition to a number of implementation problems, the information collected was not sufficiently detailed to permit the assessment that was required by the DLA (May, 1998).

In July 1998, the Directorate decided that the quality of life instruments previously used to monitor and evaluate the progress and impact of the Land Reform Program would be rationalized. In line with decisions taken at the M&E conference held in Durban in July 1998, the previous system of multiple formats was replaced by a single integrated system with two data-gathering instruments: a revised and expanded household survey to inves-





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MONITORING THE IMPACT OF LAND REFORM ON THE QUALITY OF LIFE:  
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tigate the characteristics of land reform beneficiaries, and a new community questionnaire to collect information concerning the diverse projects that have been established by the Land Reform Program.

The instruments were redesigned in collaboration with the M&E Directorate and a Technical Advisory Group of land reform specialists. Both instruments were piloted by Dr Tessa Marcus at the University of Natal in Pietermaritzburg during the final quarter of 1998, and further adapted after a workshop with the DLA, the Technical Advisory Group and the research agency. The questionnaires were finalized in March 1999. Between August and October, fieldwork was undertaken, and after extensive cleaning of the data, the first revised quality of life report was presented.

## Framework for analysis

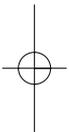
The conceptual framework that underpins the redesigned M&E system for land reform in South Africa is grounded in five propositions (May, 1999):

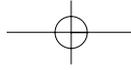
- **Food security:** Food security is an important determinant of well-being that is directly affected by land reform.
- **Access to services:** Although the mandate of the DLA does not extend to the provision of services, such as water and electricity, and facilities, such as schools and clinics, these are central determinants of the physical quality of life of land reform beneficiaries.
- **Local institutions:** An important aspect of the land reform policy is the formation of different types of land management committee.
- **Targeting:** The Land Reform Program has adopted a targeted approach. Generally, targeting may carry two error types: people are excluded as beneficiaries who should be included; and people are included as beneficiaries who should be excluded. For this reason, a beneficiary profile is a necessary component of the M&E strategy, and, wherever possible, a comparative analysis with non-beneficiaries should be included.
- **Role of agriculture:** While agriculture is not the sole, nor even the most important, activity that is addressed by land reform, the particular form taken by the South African Land Reform Program demands that agricultural activities be examined in detail.

## Methodology

### Questionnaire design

In translating this analytical framework into a survey instrument, both the household and community questionnaires have been structured to examine three themes. Different modules are used to collect information within these themes. These themes, which com-





bine objective and subjective measurements, are project, community and household composition; project and household income, livelihoods and well-being; and project, community and household institutional involvement, satisfaction and expectations.

## **Analysis of satisfaction and expectations**

The satisfaction indices consider two dimensions. The first is satisfaction with the process followed by the DLA and the land administration body during the transfer, as well as in the post-transfer stage (aftercare). Secondly, respondents were asked about their expectations of the Land Reform Program.

## **Research design**

The research design consists of a baseline survey in 1999 in which both household and community questionnaires were administered. The sampling frame included all beneficiaries of the Land Reform Program who had joined the program up until December 1998. Further to this, the sample drawn has been stratified in such a way that the beneficiaries between January and December 1998 can be analyzed separately from those of the previous years. In 2000 and 2001, it is envisaged that the household questionnaire will be administered to a sample drawn from the beneficiaries of projects that commenced in 1999 and 2000 respectively.

## **Summary of findings**

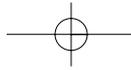
### **Overall**

This study shows that there has been an improvement in both the performance and impact of land reform since the previous monitoring activities were undertaken. However, poverty levels among land reform beneficiaries remain high, as do the levels of dissatisfaction that they express. Many projects do not yet show any signs of economic potential, and many participants in the land reform projects have little knowledge of the management of the project and how funds have been utilized. This opens opportunities for corruption and the misuse of community funds. It is recommended that the Land Reform Program continue to be supported, and perhaps even expanded, but that consideration be given to the redesign of some of its elements.

### **Food security**

Food security is one of the most important determinants of well-being that could be directly affected by land reform. Certainly, the high levels of poverty among land reform beneficiaries confirms that this is a group in need of more secure access to assets and the livelihood that these might bring. The basic headcount ratio or incidence of poverty for the sample is 78 percent, higher than for rural South Africa as a whole, while the headcount using the lower poverty line, indicating extreme or ultra-poverty, stands at 47 per-





cent. The Land Reform Program does seem to be making a positive contribution in this regard.

### **Access to services**

Services are an indirect outcome of land reform. The data show that despite the high number of unfulfilled expectations, the land reform beneficiaries enjoy comparatively high levels of services when compared with African rural households as a whole. (Although it is recognized that not all land reform beneficiaries are African, and that not all beneficiaries are rural, for the purposes of comparison with the 1997 October Household Survey, only this group has been selected.) However, closer inspection of the data suggests that only 30 percent of land reform beneficiaries are actually living on a residential plot acquired through the grant, and that this service provision is not related to the program itself.

### **Local institutions**

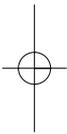
The functioning of land management committees and other local associations is critical, not only to the effective use of the land that is transferred, but also to the ability of the community to mobilize and organize for the delivery of services. The community trust is the favored form of legal entity within most provinces, with the exception of the Northern Cape and Gauteng, which have a higher level of common property association. While the study has found that community and committee meetings do occur on a regular basis, only half of the respondents felt that the management committee reported back regularly.

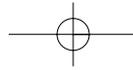
### **Targeting**

The Land Reform Program has adopted a targeted approach in which some households may be excluded; this study found that the program has reached the rural poor. The finding that the educational level of heads of land reform households is much lower than the national average shows that the program has been successful in targeting the disadvantaged.

### **Role of agriculture**

The Land Reform Program is concerned with the regeneration of an agrarian economy, of which agriculture (whether for subsistence, exchange or as a source of employment) is an important component. The land reform beneficiaries seem to be comparatively well endowed with agricultural resources. It is also noteworthy that over 80 percent of land reform beneficiaries had expected to plant crops and generate an income from agriculture, although only 22 percent actually realized this expectation. At the same time, the importance of agricultural production should not be overstated. More than 90 percent of land reform beneficiaries expected better services and homes after the land reform process, and only 15 percent felt that these expectations had been met.





## Conclusion

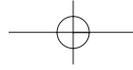
The South African Land Reform Program has emerged from a process of learning by doing, establishment of the administrative infrastructure, and the gradual adaptation of the initial program design to the requirements of the real world. All of these, together with the change of government, make this an ideal moment to take stock and try to assess the lessons of the past for the future implementation of land reform in this country. While the data gathered for this report present only a baseline for future impact assessment, a number of important findings concerning land reform can be identified:

- Land reform in South Africa does have economic potential and this should be encouraged. Reviewing policy on the relative importance of land reform for “livelihoods” as compared with productive projects is appropriate.
- Land reform should be linked more explicitly to the other programs initiated under the Reconstruction and Development Program.
- The situation of the families of migrant workers may merit specific attention.
- Moves to adopt a more flexible policy framework are supported.
- Ongoing analysis and monitoring should be encouraged.
- Institutional development at all levels requires ongoing attention.

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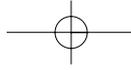
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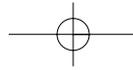




# **Development of national evaluation associations and opportunities for international cooperation**







# 26

## Embracing evaluation and evaluative thinking for a better Africa: towards a common vision of evaluation in Africa

KATE A. SPRING & MAHESH PATEL<sup>1</sup>

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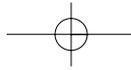
### Introduction

Evaluation as we know it in Africa has been related largely to externally funded development programs. For a long time, evaluation has been treated as an add-on, external activity, inadequately funded and often with unclear objectives. Only since about the 1980s has it begun to receive greater attention from a wider segment of professionals. This increased attention has been driven, in part, by progress in our socio-economic development. It has also been driven by several well-documented program and project failures that have not adequately integrated lessons from formative evaluations. The adoption of a human rights approach in programming in the last decade has considerably expanded the scope of program evaluations to include gender-sensitive and socio-culturally sensitive indicators, taking into account process indicators. In the rights-based approach, project or program beneficiaries are rights-holders who should themselves be involved in evaluations. Evaluation must not, therefore, remain in the domain of a select few. We all – donors, implementers and beneficiaries – must embrace evaluation and evaluative thinking to improve our programs, and ultimately, our quality of life. Up to now, donors have been the driving force behind evaluations. Now African evaluators and governments must take the driver's seat.

This seminar recognizes two things: public resources need to be utilized efficiently, cost-effectively and accountably, and evaluators need orientation, appropriate training and tools to facilitate such use of resources. Recent discussions in the field of evaluation, however, go beyond issues of transparency, accountability and capacity-building to issues of empowerment and poverty reduction.

<sup>1</sup> Respectively, Independent Consultant, United Nations Children's Fund, Kenya; and Regional Monitoring and Evaluation Adviser, Eastern and Southern Africa Regional Office, United Nations Children's Fund, Kenya.





To embrace evaluation and evaluative thinking in Africa, we must address four main challenges, some of which are themes of this seminar. We need to increase the level of professionalism in evaluation, promote evaluation, increase the demand for evaluation and increase access to information. Each of these challenges results from core questions about who we are and what we are about, such as: “What is an evaluator?” or: “How do we know how well we have implemented our programs?” or: “What difference has this social investment made to the people?”

### **Some core questions for evaluators**

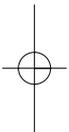
In 1987, the Development Assistance Committee (DAC) of the Organization for Economic Cooperation and Development (OECD) focused public attention on a concern among donors about transparency and accountability in the use of donor funds for development programs. Several countries in Africa were also aware of the effects of mismanagement of public funds, accumulated over a period since independence. This created an awareness of the need to strengthen the evaluation capacities of developing countries. The question is, what actions are we taking to strengthen our evaluation capacities?

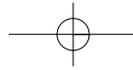
Since that early effort in March 1987, the socio-economic climate in Africa has become more turbulent. There are more wars on this continent than on any other. We have a high rate of indebtedness. Pestilence in the form of HIV/AIDS has unleashed a devastating effect on the fabric of our societies. The optimism of the 1980s has not been sustained.

In the mid-1990s, several governments demonstrated major successes in achieving short-term goals to provide basic social services. Many countries were able to mobilize the political will to immunize an impressive number of children against six major diseases. Even then, these successes were announced with a warning that this pace could not be sustained without much more effort and resources. OECD aid globally fell from 0.33 to 0.22 percent of the gross national product between 1992 and 1997 (World Bank Group, 2000). The decline halted in 1998 and 1999. Africa, in the meantime, was no longer able to save enough of its own resources to drive economic growth or increase its tax base. At the end of 2000, governments will review progress towards the World Summit for Children and the specific promises they made to their people in 1990. Therefore, how have governments fared in the face of a diminished financial base?

The DAC reports that in 1998, sub-Saharan Africa received close to US\$17 billion in official development assistance. This was the highest allocation of funds to any regional bloc – 32 percent of the total of US\$53 billion. South-East Asia and the Pacific received less than half this amount in absolute and per capita terms. How have these and other development resources been used in Africa?

Positive developments across the African continent are overshadowed by the continual negative images and messages in the global media. We have yet to gain the respect of the international community and be considered a partner, not a pawn or a pauper. Why





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EMBRACING EVALUATION AND EVALUATIVE THINKING FOR A BETTER AFRICA:  
TOWARDS A COMMON VISION OF EVALUATION IN AFRICA

does this cultural pigeon-holing persist? How do we forge a way forward as a partner on the global forum?

The questions underlying the challenges provide clues as to where evaluators in Africa may wish to concentrate their efforts. Revolutionary changes are taking place in all parts of our socio-political, economic and cultural existence. For example, while countries such as the Democratic Republic of Congo are degenerating into a state of war or are unable to find a way out of long-standing disagreements, others such as Somalia and Burundi are providing hope for peace and stability. Their experience can usefully serve other nations.

HIV/AIDS, on the other hand, is now a leading cause of mortality in sub-Saharan Africa, striking at the most productive sector of our societies. We have allowed a crisis to develop. On a positive note, evaluators are working to document the successes and failures of different national approaches to controlling the spread of this scourge. We will have opportunities to embrace the findings from these evaluations.

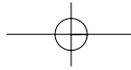
We all know that all too frequently donor contributions have not been used for the intended purposes nor reached the intended beneficiaries. Sometimes, the reason is abuse of public trust, but often there are ethical dilemmas involved in the disbursement of funds. For example, district authorities sell donated grain to farmers to discourage a dependency syndrome while residents in their communities die of hunger. To counter this, we can put in place some of the many working models of mechanisms that facilitate transparency in public office.

Jimmy Cliff sang: "There are more questions than answers." We find ourselves ready for action, but faced with many questions about the course we ought to take. There are many lessons to learn, document, share and use. As evaluators, we are well placed to facilitate the dissemination of these lessons alongside the efforts of others with social consciences. As we embrace evaluative thinking, we can assist others in increasing African and national empowerment through a culture of learning.

## **Challenges ahead for the African evaluator**

Evaluators in Africa have worked to promote that culture of learning over the last decades. In May 1990, the African Development Bank and OECD's DAC co-hosted a seminar in Abidjan, Côte d'Ivoire, to clarify evaluation needs as perceived by African countries. A follow-up seminar held in 1998 in Abidjan brought together high-level officials from 12 African countries that would have an influence on the development of policy. That seminar highlighted developments in evaluation paradigm, process and product. First, the right and responsibility of evaluation were seen to be shifting to include the beneficiaries of donor funds. Second, the process of evaluation was perceived to be improving. Third, the outlook for evaluation as a profession was believed to be hopeful, given the need for mobilization of resources in the development community.





In September 1999, the United Nations Children's Fund hosted the first African Evaluation Association (AfrEA) conference of evaluation practitioners in Nairobi, Kenya, with support from the African Development Bank, Catholic Relief Services, the Danish International Development Agency, the International Development Research Center, the Norwegian government and the United Nations Foundation. That meeting opened new channels of communication in 21 countries across the continent. Much of what we aim to achieve hinges on the potential contribution of the AfrEA resource base to evaluation in Africa. Eleven countries have begun discussions at the implementer level: Cape Verde, Comoros, Eritrea, Ethiopia, Ghana, Kenya, Madagascar, Niger, Rwanda, Zambia and Zimbabwe. Nigeria pledged to begin developing evaluation but we have no information on their progress. South Africa and Uganda will no doubt have cells of evaluators operational shortly.

The African Development Bank, the Development Bank of South Africa and the World Bank have now brought together policy-makers and practicing evaluators to chart a way forward. As participants and observers of others' evaluation work, it appears that we now face four major challenges as we seek to contribute to development: increasing the level of professionalism in evaluation; promoting evaluation for public good; increasing the demand for evaluation; and increasing the evaluator's access to information.

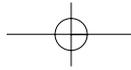
For each of these challenges, there are several possible paths of action. Through the efforts of the United Nations, the World Bank, the OECD, the International Monetary Fund, non-governmental organizations and others, we begin to see some realistic options. Even as we take on an active role in supporting development, we may stumble because we have not yet gained a clear vision of that role, what tools we shall use, who our partners should be and how we shall achieve our aims.

### **Increasing the level of professionalism in evaluation**

Evaluations must be useful for improving programs, and lessons learned must feed back into the program cycle for improvements to be made. Given that good evaluations require good evaluators, we should define professionalism in evaluation and professional evaluators. Who is an evaluator? What credentials should an evaluator have? Should evaluators be guided by, or be accountable to, a set of standards, ethics and methodologies?

There is no consensus. However, more and more institutions are offering training in evaluation at higher levels of education. In Africa, various non-governmental agencies as business enterprises organize several short-term courses; degree courses are planned or offered in, for example, Kenya and Niger.

During the 1999 AfrEA Conference in Nairobi, evaluators debated the merits of the Program Evaluation Standards developed by the United States Joint Committee on Standards for Educational Evaluation. They resolved to develop a set of guidelines for the African context. The ideals of these program evaluation standards are worth consid-



eration; they have been well researched and subscribed to by no less than 17 professional bodies. Let us not reinvent the wheel or debate ad infinitum which standards we shall adopt and which ones we shall adapt. Let us work with the existing standards.

### **Promoting evaluation for public good**

Michael Quinn Patton said, during his training sessions at the AfrEA Conference in 1999, “evaluation is political because it generates knowledge, and knowledge is power” (Patton, 1999). Many evaluators have felt unwelcome when they have been perceived as auditors, likely to generate and disseminate incriminating information. Governments are often wary of such people, and the evaluators must then win them over by being transparent and fair and, above all, carrying out sound assessments – hence the need for evaluators to be professional in order to be credible. The question arises of how we, as evaluators, group ourselves into associations to increase our credibility and that of our profession.

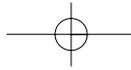
Promoting evaluation for public good raises issues of the development, formation, sustainability and accountability of larger evaluation bodies. Should national bodies be housed in public institutions, given the issues of public trust and accountability choking our development? Should they be parastatals or fully independent of the government? In our view, national evaluation associations should be independent of the government, the private sector or the major development institutions. Independent, self-sustaining associations will be crucial for evaluators to maintain their objectivity in reporting. Governments must, however, embrace evaluation for the good of development.

The evaluator has a duty to present and substantiate his or her judgments without fear or favor, in an atmosphere appreciative of learning. As we build networks or associations, can we define what roles we will fill and how we will interrelate at the local, national or international levels? Already, there are proposals for the formation of international bodies of evaluation – an International Federation of Evaluation Associations, an International Organization for Cooperation in Evaluation and an International Development Evaluation Association. Yet the issues of national associations and their relationship to other professional bodies or to the state are not resolved. Neither is the relationship of national associations to an Africa-wide association. In defining how we will group ourselves, we are obliged to think about what our role is. If we can focus on promoting evaluation for the public good, some aspects of our professional associations may become clearer.

### **Increasing the demand for evaluation**

We recognize that in the past, the value of evaluation has been underestimated and evaluation units have not been adequately integrated or used in projects or programs. As a result, there has been insufficient collection of information, analysis and communication of the knowledge acquired. At present, evaluations are incorporated into projects





financed by external donors. To increase the demand for evaluation, evaluators and donors should focus on the demand from governments. Beneficiaries and others can be targeted too, though they will follow more easily if the government takes the lead.

Governments may well ask: “What is the cost of evaluation?” Perhaps, more appropriately, the question might be: “What is the cost of *not* evaluating?” Surely not every project must be evaluated. Indeed, not every project deserves to be evaluated. However, we are doomed to repeat our mistakes if we do not document what we learn, and will be wasteful if we do not build efficiency and effectiveness into our programs.

### **Making information available to the African evaluator**

The *Human Development Report 2000* (UNDP, 2000) notes that there are less than 0.27 Internet hosts per 1000 population in sub-Saharan Africa. Other reports indicate that the digital medium is accessible to less than 1 percent of the population. We are in the Information Age, and much depends on our ability to access, control and effectively use information that should be available all over Africa.

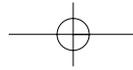
Who should keep what information? In the empowerment process, evaluators and policy-makers need access to information gathered for the public good, and have a duty to share this information. If access is easier, and there is more openness to sharing findings from evaluations, we shall be better informed and better able to negotiate with partners, especially donors. Perhaps by demanding evaluation with the objective of maximizing efficient use of resources, implementers and beneficiaries will improve the communication processes.

In conclusion, we recognize that we have an important role, and we have started to take on activities that address some of the issues raised in this paper. What exactly is that role and what is our common vision? To define our mission and ourselves we should embrace evaluation and evaluative thinking. We need to define not so much who we are, but how we shall contribute to the four challenges, and in doing so, contribute significantly to the creation of a better world for all (World Bank Group, 2000). We must use our time wisely to map out our common vision and the various paths we have to take to realize this vision. May this seminar result in a better definition of the challenges facing us, and the strategies we will employ to meet those challenges.

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# 27

## Tearing down the walls: developing a sustainable link to an Africa-wide evaluation association

KATE A. SPRING<sup>1</sup>

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### Introduction

In September 1999, during the African Evaluation Association Conference, a formal proposal was made for the establishment of an African Evaluation Association (AfrEA). In the “AfrEA Declaration”, a rationale was set out, together with the strategies that this association would use to improve evaluation in Africa. Participants agreed with the principle, but a minority of dissenters held sway. Their objections resulted in a standstill of sorts for inter-African linkages in evaluation. This impasse exemplifies the traps of the familiar and the fear of the unfamiliar that are found in the current African development context.

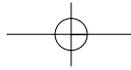
Program officers often use a “tried and true” approach to develop new programs. They look at how others have handled a problem in the past, analyze the structures and systems used, consider any lessons learned, and then copy this working model. This is the trap of the familiar. A little alarm bell should ring: the structure of the model may not work in the context into which the model is being copied and in which it is expected to operate.

The fear of the unfamiliar, on the other hand, is the reluctance to try out new ideas and weigh them on their own merit. It involves taking risks that could prove costly. The story is told that Thomas Edison failed several times while learning how to make a battery. He considered each failed attempt a new lesson: he had learnt more than 25,000 ways of how not to make a battery!

Africa is the laboratory of many, if not most, “developed” nations, a place where mistakes are frequently made. Like Thomas Edison, we have provided lessons for one billion experiments. The problem is that, in the process, we have not documented these lessons, and we have inadequate mechanisms for protecting intended beneficiaries from ineffi-

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cient or inappropriate allocation of resources. A pilot project that failed in Takoradi could be repeated in Saint Louis, in Malindi, or in a hundred other places on the continent because we do not talk to each other enough. We have no sentinel that operates in the interest of African evaluations and evaluators.

We have untapped human potential that needs professional development and a mechanism to keep abreast of developments in evaluation. We shall meet this need through the sharing of knowledge and the adoption of guiding principles. We shall work with governments and civil society to create a demand for quality evaluation. Finally, we shall provide a forum to allow freedom of expression in the interest of public good.

To achieve this, we shall need an African Evaluation Association that will be a repository of our successes and our lessons. We shall need the association to lobby for action on issues affecting the continent as a whole, and voice the wishes of the majority. We shall need an association that is independent of, but sensitive to, governments, multinationals and non-governmental organizations. Finally, we need an association that will promote evaluation for public good.

## Issues to consider

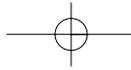
Although the AfrEA is not yet a reality, it has resulted in tangible outcomes for capacity-building, networking and promoting more and better evaluation among evaluation practitioners. The objectives of the AfrEA are to:

- Provide a forum for information exchange
- Provide an inter-African link between new and established evaluation networks
- Support capacity-building efforts for African evaluators
- Provide a base association for “internally displaced” practicing evaluators
- Support the development of new networks of evaluation throughout Africa
- Channel human and financial resources when it has the capacity to do so

In the past year, some progress has been made on most of these objectives, primarily through the interest that evaluators have in learning and sharing new experiences by taking advantage of the electronic media. Another driving force in meeting these objectives has been the potential for improvement of self and program, and the opportunities for interaction between different stakeholders. One positive outcome of these meetings is that evaluation policy is being introduced into national networks of evaluation, and the adaptation and adoption of guiding principles are being debated and developed. The development of a sustainable structure for evaluation activities is one item on the agenda that has not been defined.

The main criticisms of this approach from members are that there is no clear sustainable structure. The locus of control is neither apparent, nor accountable, nor African. The electronic media are only accessible by 1 percent of the African population, and there-





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TEARING DOWN THE WALLS: DEVELOPING A SUSTAINABLE LINK  
TO AN AFRICA-WIDE EVALUATION ASSOCIATION

fore the strategy for networking is limited to a minority. A virtual association needs to be grounded in reality.

### **Structure**

What structure would best serve the interest of African evaluators? It has to be one in which the evaluator can associate freely and benefit professionally. It would have a code of conduct and be a repository for the continental lessons learned in evaluation.

How will the AfrEA be structured? Bearing in mind how formalization has stifled creativity and progress in development, we propose that voluntary committees be elected for a specified limited term of office to house the AfrEA in turn, similar to the way in which voluntary committees operate in the American Evaluation Association. This voluntary committee would have executive powers to act on behalf of the majority of evaluation associations. The first group of officers would draft a binding constitution for a broad base of evaluators. Each committee will draft an annual agenda and report to the networks of evaluators throughout the continent.

### **Locus of control and accountability**

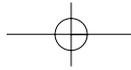
The free form of association has worked but, as with other associations in Africa, things take on a different hue when money enters the equation. "Partners" with personal stakes and funds can now divide, conquer and promote their own agendas that may not be in the interests of Africa. A facilitating committee of other stakeholders could be established to maintain a balanced approach to plans of action.

We propose nominating representatives who should have the executive power to accept and disburse money. To begin with, we could accept being housed by an institution for the purposes of processing funds, though we shall need to be careful in choosing that institution. If we adopt this arrangement, then there should also be a facilitating committee representing a broad range of partners.

### **Strategies for networking**

The current strategy of using the Internet has resulted in tangible outcomes. It is true that few people have access to computers and that there are real problems with the cost of linking to the Web, power failures and poor telephone lines. However, these have not stopped the developments in networking and expansion of the evaluation community. We propose that the AfrEA continue its role as a catalyst for action and linkages, and that national networks be nodes of information exchange for nationals who are not linked to the information highway. This does not imply that the Africa-wide association would only be reached through national associations. Communication on various issues would be open to members at large, through the existing website and through the future "listserv" of other African evaluators. Evaluators in development do have far better than average access to computers and Internet sites.





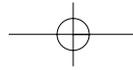
## Challenges for tomorrow: reality grounding

Our political heritage creates barriers to communication. Kojo Antwi, a popular musician, says, “tear down the walls in Africa”. We must break through these barriers and use the Information Age to our advantage. Our aim is a private, non-profit, professional organization that works with government and civil society to develop the African evaluator in the evaluation profession, and professionalism in evaluation.

We invite partners to join us in this venture. First, we should decide the structure of a pan-African evaluation forum. What structures should we put in place to make it sustainable? Who should control the structure? To whom should it be accountable? The issue of whether it should be in partnership with governments or civil society (i.e. controlled) should be debated openly. Directors of Bureaus of Statistics in the regions of eastern and southern Africa have commented on how the government routinely interferes with the publication of data. Can we expect less for an Africa-wide association accountable to governments? Even the Programme Evaluation Standards, a straightforward set of standard principles that has been developed by a large number of professional bodies, have not been adopted because of reservations expressed by some African governments.

It is important that those who are ready to embrace the AfrEA do not lose touch with those who have not yet decided and need more time. James P. Grant, former Executive Director of the United Nations Children’s Fund, said: “Don’t let the best be the enemy of the good.” We already have an interest in a body representing Africa at large. With your help and commitment, let us tear down the walls dividing us and focus on our aim.





# 28

## Advocacy and evaluation: national organizations as advocates

JOE KOPACHEVSKY, MARIE-HÉLÈNE ADRIEN &  
CHARLES LUSTHAUS<sup>1</sup>

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### Introduction

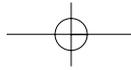
Building evaluation capacities at the national level is a multifaceted endeavor. It involves building the supply side for evaluation, including the skills for conducting evaluations, developing and adapting the technology and tools for effective evaluations, and supporting the institutional framework. It also involves building the demand for evaluation – for example, raising awareness of or sharing knowledge about the use and purpose of evaluation (Picciotto & Weisner, 1998). Another dimension of evaluation capacity is the development of an institutional ethos (Lusthaus et al., 1995) at the national level, whereby a culture of evaluation is developed, and where incentives and rewards encourage the use of and demand for evaluation.

Much has been said about the role of evaluators as advocates (Stake, 1997), the future of evaluation and evaluators (Chelinsky, 1997a, 1997b) and the role of evaluation (Vedung, 2000). However, there has been little discussion of associations as advocates of evaluation or their role in enhancing the status and use of evaluation in various politico-economic environments. Evaluation associations, in addition to providing services to members, have played a role in the creation and development of evaluation cultures. Many evaluation associations have endorsed a proactive approach in social movements aimed at changing the law, customs, the structures of institutions, the hierarchy of status or challenging the social order (Tarrow, 1994; Touraine, 1995).

Since evaluation associations are to some extent responsible for influencing or even creating the conditions in which evaluation and evaluators develop, there is a definite need for national associations and their suborganizations to share their knowledge, analysis of their environments, advocacy strategies and assessments of outcomes. The sphere of evaluation is not limited to the experience of particular nation-states or national associa-

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tions. Our singular or mutual actions all have a definite influence on the global state of evaluation.

The Canadian Evaluation Society (CES) recently acknowledged that advocacy is one of its primary goals and has begun to formulate a national strategy and action plan for its role in evaluation advocacy in Canada. This paper presents some of the initial steps taken by the CES in shaping its role as an advocate for evaluation. The steps include defining advocacy, identifying the aspects of evaluation the CES would support and clarifying how advocacy fits into the mission and goals of the CES. The paper concludes with a summary of some of the results to date and some lessons for other evaluation associations as they reflect on their advocacy role.

## The Canadian Evaluation Society

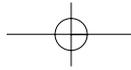
The CES is a bilingual national organization founded in 1980 and governed by a National Council that represents its constituent chapters, located in each province and territory. The CES has approximately 1500 fee-paying members from the public and private sectors, non-profit organizations and academia, who share an interest in pursuing its mission and goals.

The CES is a professional organization dedicated to the advancement of evaluation for its members and the public. Its goals are as follows:

- **Leadership:** To establish and maintain the CES as a recognized national organization that represents the evaluation community.
- **Knowledge and education:** To provide a forum for the advancement of theory and practice of evaluation.
- **Professional development:** To develop competencies, ethics and standards to improve the practice of evaluation.
- **Advocacy:** To advocate high-quality evaluation with practitioners and local chapters, nationally and internationally.
- **Promotion:** To promote the use of evaluation in society.

## Adopting a common understanding of advocacy

A crucial first step for any association or group engaging in advocacy is to agree on the definition of advocacy. In the light of the CES's mission, the first objective was to establish, and then obtain consensus on, a working definition of the concept. Both the National Council and the CES chapters have quite varied ideas of what advocacy means and what range of actions an advocating association should take. In many cases, differences in definition are the result of differences in resources and the political contexts in which the groups work.



Advocacy, in the most general sense, means to carry out a social action in support of something. The action taken will depend on what is advocated (a belief, attitude, value, organization, claim, practice, idea, product, cause, even an ideology); who is advocating (an individual or organization); and the purpose of the advocacy (to champion, defend, legitimize, promote, develop, publicize, etc.).

To reach a consensus, the CES examined and combined two interrelated traditions of advocacy action to create a working definition of advocacy. In the legal tradition, to “advocate” means to defend, plead for, vindicate, or overcome an opponent (whether the opponent is an individual, organization or idea). In the organizational tradition, advocacy means taking social actions that “champion” something. Both traditions, however, espouse the notion of advocacy as legitimization – the social action is taken to establish, reinforce or protect the legitimacy of a claim, a cause or even a position. The CES went beyond these two traditions by also considering advocacy as an act of promoting something – acts ranging from encouraging, developing, improving and nurturing, to publicizing, selling and even propagandizing.

The CES summarized these three dimensions by recognizing that advocacy inherently involves a claim and/or an act of legitimization that can be enacted through any of the traditions described above. The CES agreed upon the following working definition of advocacy: “Advocacy is a range of planned social actions intended to elevate, protect and promote evaluation and its use by individuals or organizations. Any form of advocacy is based on a claim and the need to establish and/or protect the legitimacy of evaluation as an essential societal action.”

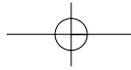
## **Developing a common vision and strategy for advocacy**

Creating an effective vision for advocacy is an exercise involving both the head and the heart and is a difficult process; it requires numerous and varied resources, time, and the involvement of stakeholders. In short, it requires a major organizational commitment on the part of an evaluation association.

At the CES, the first draft of the advocacy vision came from a background paper that drew on past organizational experiences to create a framework that was both analytical and practical. In successive transformations, the guiding coalition, the CES Council and chapters discussed these ideas at length. They modified the initial thoughts by eliminating, adding and clarifying elements. The CES has now begun to articulate its advocacy vision around the following areas that can be a useful guide to associations in search of their own advocacy vision:

- **Defining how advocacy fits into the mission of the CES:** How does the external and internal context affect the association’s ability to advocate? What are the goals and objectives in both the short and long term?
- **Deciding what will be advocated:** Will it be an issue, theme, topic, idea, value, cause, product or service?





- **Determining the means and resources for advocacy action:** This involves the plan for implementation and the method of social change. How good is the match between the target and the action to be taken? What resources are required and where will they come from (internally or externally)?
- **Clarifying the outcomes and the methods of measurement:** What should the identifiable outcomes or results of the actions be? What is success? What type of social change is anticipated? How will the advocacy actions be monitored and evaluated?

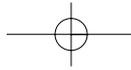
### Initial requirements of a national plan

The CES's objective was that every advocacy action would be aligned to a strategy that supports the advocacy vision. Implementing an advocacy action assumes that the association has identified an inventory of resources, has a satisfactory understanding of its environment, and has a good sense of how it is perceived by others, both individuals and organizations. Most importantly, the implementation of an advocacy action required the CES to develop a fairly concise conception of what would be changed by the advocacy activity and over what period of time, as well as a sufficiently valid set of indicators of change for measuring the effectiveness and effects of the actions undertaken. Experience tells us that most advocacy initiatives fail owing to the lack of a well-devised plan and the continuous assessment of actions and results.

The creation of an advocacy vision can be difficult for at least four reasons:

- First, although a good vision has a certain elegant simplicity, the data and synthesis required to produce it are usually anything but simple.
- Second, an advocacy vision must be grounded in sensible values and analytically sound thinking. At the CES, those values had to be acceptable to the Councilors of the Society, who represent the values and understand the different political realities of their respective chapters. There is no doubt that a vision of evaluation advocacy in one region of Canada, such as Newfoundland, differs from the vision of, for example, Ontario, given their differences in political climate, membership, their access to different bases of power and sources of legitimacy and/or credibility. To be effective, a national plan has to account for and address these many differences. In short, it is necessarily complex.
- Third, without teamwork, parochialism can turn the creation of an advocacy vision into an endless negotiation. Quite often, when a group attempts to achieve a common vision, few individuals are actually trying to achieve that goal. Instead, some are protecting their subgroup's narrowly defined interests. Ultimately, national associations create some of the conditions in which evaluation either thrives or fails in constituent parts.
- Finally, as with any organizational exercise, especially those of a voluntary nature, if advocacy is not given significant and constant priority, the process (which should be continuous) will never be completed or will eventually fail.





## How advocacy fits into an association's mandate

The most common purposes of advocacy fall into three general but overlapping areas. The first is to procure resources (human, material, financial or ideological) and ensure an adequate flow of these resources. The second is to advocate evaluation and the evaluation association as a means of gaining an advantage or a position of influence within an environment. The third is to gain approval or legitimacy for evaluation and/or the association.

Ultimately, an organization's efforts at advocacy should generate results that contribute to the survival of the organization and the benefit of its members. The CES understands that, to be implemented effectively, its advocacy of evaluation should be aligned with the organization's mandate and should take into consideration the multiple environments within which it operates. Organizational research reveals that some organizations regularly analyze, enact and even try to construct their environments; others only react to their environments, never realizing that inaction is, in effect, a form of action. Typically, those organizations are troubled by the consequences of environmental events that were unnoticed or unforeseen.

Before developing a strategy for advocacy, the CES is undertaking an exercise to assess its internal environment (its capacities, strengths and weaknesses, and needs) and its external environment, to understand clearly what it does and whom it serves. The initial steps of the exercise are set out below.

### Step 1: Assessing the organization

What are our products and services? Who are our clients? How do we identify them? Who do we compete or collaborate with? What are our strategies? How successful are they?

### Step 2: Identifying significant environmental conditions

Which environments do we work in (social, cultural, economic, political, technical, technological) at both the national and chapter levels?

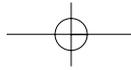
### Step 3: Analyzing the environment

What is the capacity for evaluation in these environments? Are the resources and abilities rich or limited? Is the environment homogeneous or heterogeneous in terms of similarity or differences between organizations? How concentrated is it in terms of clients, members or audiences? How stable or turbulent is the environment? How much consensus is there about the domain of evaluation in general? Are the CES's services recognized or disputed? Is the value of the organization questioned?

### Step 4: Assessing the image of evaluation

How would we generally characterize the organization's image at the chapter level, nationally and even internationally? How is that image of the CES perceived by the different components of our environment?





### Step 5: Monitoring the environment

How well do we monitor the environment? What kinds of information do we collect and is it adequate?

## Defining the aspects of evaluation to advocate

The effectiveness of an advocacy plan depends on an adequate match between what will be advocated, the purpose of the advocacy, and the means employed. The CES created a long list of specific elements of evaluation to be advocated, and then grouped them into the following major categories:

- **Advocating for professionalism of the evaluation function:** It is important that evaluators are recognized as a society of trained professionals who follow a code of professional ethics and who are certified in accordance with recognized standards.
- **Advocating to improve the quality of evaluation:** We must continually review and update our methodologies, practices and theories of the various types of evaluation, and the values we reflect when conducting an evaluation. It is important that we constantly compare our activities with what is happening around us to ensure we are meeting the changing needs of our clients.
- **Advocating to promote the role of evaluation in society:** A significant challenge facing us is advocating the public role that evaluation plays in society and how we, as evaluators, fulfill that role. Does society understand what our role is? Is our work seen as important? Where is the accountability, and to whom? Do attitudes need to change so that evaluation becomes an essential part of society?

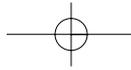
Evaluations take place everywhere. In highly developed or least-developed countries, evaluators are working in research, gender issues, human rights, education, organizational performance and government realignment. There are no areas where evaluation is not needed.

Evaluation is a critical function, required by many, but not necessarily understood. One of our tasks is to advocate the promotion of the role of the evaluator or the evaluation association. We have a set of resources that are available to society in general. Our ultimate challenge is to address or even confront parts of our politico-economic environments by informing them about what we do and how we do it, and demonstrating the public benefits of evaluation.

## Some lessons learned

The CES National Council held an initial meeting on advocacy and another with chapter representatives in May 2000 to discuss advocacy and a national plan. It became clear at the meetings that the chapters and Council operate in very different environments and face a variety of different constraints. It was agreed that any national plan would need to





address these realities and that a jointly led approach would be the best way to proceed – probably advised and led by a National Committee of Council and Chapters.

During the summer of 2000, the National Council began to align itself with other organizations that have similar interests in evaluation in Canada. In October, the National Council will begin to refine some of the elements and define the resources required for the initial phase of a national advocacy plan. In the interim, CES chapters have enacted their own advocacy initiatives with varying degrees of success. The following are some of their thoughts about what worked and what did not when they became advocates for evaluation.

## **Alberta**

Over the past two years, Alberta has done some work in raising awareness of evaluation by reviewing and targeting various departments and people and/or positions (federal, provincial and municipal). In a series of luncheon discussions, we brought together evaluation practitioners and other interested people to discuss their approaches, evaluation issues and innovations. We then asked some of these people to present their work at subsequent luncheons. This type of proactive targeting works well in raising awareness among departments and increasing their commitment to evaluation. On the other hand, presentations on evaluation to large departmental groups do not seem to work well – no one seems to take ownership or responsibility for follow-up.

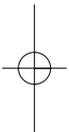
## **North-West Territories**

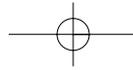
There is good acceptance of evaluation in the North-West Territories because there is a strong central agency presence. The chapter is highly visible because it is tied into the business planning cycle; it provides training and sponsors workshops in evaluation; it supports policy, with an emphasis on the word “support” – it does not intrude; it offers assistance to non-profit organizations; and it has a 12-year association with the CES.

This organization is built on volunteers and it advocates by doing: performing good evaluations, doing good outreach or pro bono work, participating in volunteer activities and organizing events. We advocate by building working relationships, and take a soft sell approach. The atmosphere is very informal and there is an open-door policy. As a result, we have more requests than we can handle.

## **Quebec**

La Société Québécoise d’Evaluation de Programme (SQÉP), the Quebec chapter of the CES, has 275 members and advocates for evaluation through several types of activity. First, the SQÉP promotes exchanges among individuals and organizes five to seven workshops per year on different themes related to program evaluation. Second, it has developed a website that acts as a center of reference and links members to other evaluation sites. Third, it organizes an annual conference that focuses on a subject of interest in





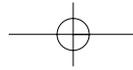
the area of evaluation. Finally, the SQÉP takes positions on major evaluation issues facing the Quebec government and civil society. In 1999, for example, the SQÉP presented a concept paper to the Quebec government outlining a framework for managing evaluation in the public sector. A copy of this paper can be found at <http://www.evaluation-canada.ca/sqep/>.

The SQÉP has made advocacy for evaluation part of its mandate. This is a new area in which there is not a great deal of literature or research, and the SQÉP is learning by doing. We have experimented and are striving to learn from our own experiences and those of others. There is a great deal more to be done and to learn about successful advocacy for evaluation.

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# 29

## A networking strategy and action plan for a sustainable infrastructure in Africa

JAMES MUGAJU<sup>1</sup>

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### Introduction

This paper reviews the draft monitoring and evaluation (M&E) networking strategy and action plan for Africa and proposes improvements based on the M&E report from the seminar held in Abidjan in November 1998; the African Evaluation Association conference report of September 1999; the International Framework for Cooperation in Evaluation developed in Barbados in February 2000; and documents from the International Development Evaluation Association (IDEAS).

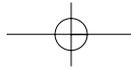
The paper will also identify and discuss sustainable actions for increasing evaluation capacity in Africa. The main *raison d'être* of the networking strategy is to create an enabling environment and mechanism for increasing evaluation demand and supply in Africa.

### Background

Before 1995, only five regional and/or national evaluation organizations existed in the world (Russon & Russon, 2000). In the past five years, the emergence of new regional and national evaluation organizations attests to the rapid growth and recognition of the practice of evaluation. There have been many initiatives to strengthen evaluation work since the 1990s, indicating that evaluation is becoming a key tool in assessing the effectiveness and efficiency of development assistance at national level.

At present there is no concrete plan of action to coordinate M&E of development programs and projects in Africa, nor is there an effective professional network of evaluators in developing countries. To remedy this, a common networking strategy for sustainable development has to be developed and endorsed. Participants at the Abidjan

<sup>1</sup> Monitoring and Evaluation Officer, United Nations Children's Fund, Rwanda.



Seminar of 1998 recommended taking the following steps to increase evaluation capacity in Africa:

- Increasing the assistance of and partnership with interested donors and development agencies to improve training sessions and skills development in M&E, through the national evaluation associations and networks within a framework of institutional capacity-building
- Organizing a seminar and training workshop for national association presidents and evaluation network focal points to discuss the creation of a self-sustaining pan-African evaluation association and a networking strategy

Three major constraints on evaluation capacity development have been identified. On the demand side, there is little commitment to enhancing the evaluation function in Africa. With limited financial resources and shortages of trained staff, priority has been given in the past to improving budgets and accounting systems. On the supply side, piecemeal and supply-driven approaches, and a lack of coordination in the implementation of programs and projects, have failed to create an enabling environment for an effective M&E networking strategy and to expand the supply side.

Increasing and integrating demand and supply in evaluation capacity development would require the establishment of professional networks, where evaluation “consumers” and “providers” can meet to exchange their knowledge and expertise at the national level. There is a need to match supply with demand, and to enable those most in need to benefit from enhanced training opportunities.

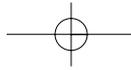
There is an evident need to create stronger alliances and strong partnerships between evaluation users and evaluators within a national, regional and pan-African evaluation network. This has led to two initiatives, the creation of the African Evaluation Association and the International Organization for Cooperation in Evaluation.

### **Building a Pan-African Evaluation Association**

The Pan-African Evaluation Association was launched in September 1999 in Nairobi by Mahesh Patel, Regional Monitoring and Evaluation Adviser for the Eastern and Southern Africa Regional Office of the United Nations Children’s Fund, with the assistance of many interested stakeholders. The Association aims to foster the creation of networks of professional evaluators and professional associations; to develop a sustainable structure linking national associations to an Africa-wide association; to review the United States program evaluation standards for adoption or adaptation in Africa; to create a database of evaluators in Africa; to invite contributions to an annotated bibliography of evaluators in Africa; and to publish papers and proceedings of the conference.

Working groups proposed certain major activities as part of the follow-up from the Association’s meeting. These are the organization of a meeting of presidents of evaluation associations and networks in 2000; the elaboration on and adaptation of the pro-





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A NETWORKING STRATEGY AND ACTION PLAN FOR  
A SUSTAINABLE INFRASTRUCTURE IN AFRICA

gram evaluation guidelines and standards; the publication of a book on program evaluation guidelines in Africa and of the conference papers and proceedings; and the establishment of more evaluation associations and networks in Africa.

The inaugural conference of the Association achieved the establishment of about a dozen national evaluation networks in Africa; the preparation of a revised draft of the Program Evaluation Guidelines Paper; the creation of a database of consultants and evaluators in Africa, which has been successfully used in several countries; and the completion of preparations for the Association's website.

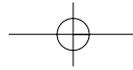
Perceived constraints are the following. The legal and ethical requirements for establishing national evaluation associations and networks are very detailed and complex in most African countries. There are not enough funds to translate all proposed activities into concrete actions, and there is inadequate government involvement in the creation of M&E networking structures.

## **Sustainable actions for increasing evaluation capacity in Africa: the road forward**

If, because of low evaluation capacity in Africa, development agencies have to bring in external consultants from developed countries to lead teams or provide specialist skills, then the following main concerns should be addressed to increase evaluation capacity on this continent:

- Identify mechanisms for increasing training opportunities for evaluators in Africa
- Support the establishment of more evaluation associations and networks at national level
- Establish some topical working groups, with key M&E focal points as facilitators, to discuss program evaluation designs, guidelines, methodologies and best practices in an African context
- Foster active involvement of governments, universities and civil society organizations to develop a sustainable M&E function in Africa
- Build alliances and strong partnerships between evaluation users and evaluators within a national evaluation network framework
- Create mechanisms for integrating planning, policy, budgeting, investment and recurrent expenditures to facilitate the evaluation of the effectiveness and efficiency of development assistance in the public sector
- Develop program evaluation guidelines and/or the adoption of program evaluation standards in Africa
- Raise interest and commitment of donors to maximize the mobilization of financial resources





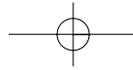
- Encourage the advocacy role of all donors, not only for simplifying the legal process of creating an evaluation association or network at government level, but also for increasing institutional capacity-building
- Reinforce and/or create adequate mechanisms for better coordination of interventions aimed at the development of evaluation capacity
- Translate existing donors' commitment into concrete actions to support networks and national evaluation associations at national level where demand and supply for evaluation could match

### **International framework for cooperation in evaluation**

A second networking strategy for African evaluators was the establishment of an international framework for cooperation in evaluation. This framework has the following objectives:

- To establish an international consensus on the legitimacy and credibility of evaluation as part of civic responsibility and participation
- To strengthen the institutional position of evaluation societies generally, and particularly those in vulnerable political environments
- To increase the systematic utilization of evaluation in international, national and local policy decision-making
- To build capacity through the provision of opportunities for reciprocal learning amongst established and newly formed or emergent evaluation societies
- To strengthen and promote an evaluation culture in organizational, professional, and community, national and regional development
- To develop general principles, procedures, ethics and codes of conduct for evaluation and commissioning practices
- To encourage and support the development of new evaluation societies and networks
- To explore and procure resources for cooperative activities for the development of existing societies, but with a particular focus on the development of emerging societies and for the international promotion of evaluation
- To provide a forum for the exchange of innovative ideas on evaluation theory and practice
- To develop and test new approaches and pilot approaches in diverse cultural settings
- To increase and support cultural specificity in evaluation design and practice
- To build cultural continuity between various language traditions
- To build capacity in existing societies and networks through skills, advisory and personnel exchange and dissemination
- To develop evaluation knowledge through cooperative research and other activities





## Conclusion

Matching evaluation demand and supply is a formidable challenge in Africa, requiring coordinated actions and capacity-building. A sustainable infrastructure to address this challenge would be an effective mechanism for bringing evaluators and users together to discuss and debate issues of common interest. The creation of such an infrastructure depends on many factors, some of which are addressed below.

Most present evaluation structures exist only as networks, and they need to be established and strengthened organizationally. Also, advocacy work is necessary to legitimize national evaluation associations and networks. For this to happen, African governments should simplify the legal framework for creating professional associations and networks. Addressing these factors will give Africa an opportunity to play a key role in the International Organization for Cooperation in Evaluation.

Second, evaluation capacities cannot be developed without developing human resources. There is a strong case for developing and implementing a sustained strategy along with clear mechanisms for evaluation capacity-building. Evaluation capacity should be developed through training and the exchange of knowledge.

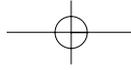
Another implication is the need to differentiate between monitoring and evaluation, and to establish a common language among various stakeholders. In this instance, the African Development Bank and the World Bank should assist African governments to clarify the distinction between the auditing and the M&E functions in the public sector.

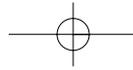
Finally, the various initiatives – local, regional and international – aimed at strengthening evaluation should be coordinated and integrated to rationalize the use of resources and energy, and to maximize the expected results. Africa should take advantage of these initiatives to strengthen the national evaluation associations and to facilitate knowledge-sharing and research alliances or partnerships between professional networks and associations, and between networks and associations and key end-users of knowledge. In the same vein, national and regional organizations should establish formal linkages to create a high level of cooperation. Working together to guide future directions and overcome isolationist barriers must constitute the sine qua non of effective management.

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# 30

## A proposal for an International Development Evaluation Association

ROGER SLADE<sup>1</sup>

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### The setting

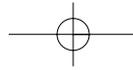
A new development consensus has emerged, focused on sustained poverty reduction driven by economic growth; the removal of social and structural constraints to economic and human development; reforms that are owned by those who must carry them out; and the intention, especially in the public sector, to manage for results and measure for performance. At the same time, citizens in developing and developed countries alike expect more efficient, more accountable and more transparent government and public sector programs and projects that have measurably greater development effectiveness.

For these goals to be achieved requires managers, especially managers of public resources, to know whether their programs and projects are on track and achieving the expected outcomes and impact. Such measurements and assessments are the essence of monitoring and evaluation. Thus, the demand for professional evaluation of development policies, strategies, programs and projects has grown within developing countries and in official bilateral and multilateral development agencies, the private sector, the voluntary sector, foundations and other organizations. Not only is the demand for evaluation growing, but there is also an urgent and growing need for qualitative improvement and for evaluation methods that are transparent, participatory and consistent and that allow valid comparisons across countries and institutions. However, this growth in demand has not been matched by an expansion of supply.

### The need

Satisfying this demand for more and better evaluation is a formidable challenge requiring the energetic and coordinated actions of the world's evaluation agencies, more and better training, effective means of transmitting and accessing knowledge, and enhanced opportunities for professional discussion and exchanges. A start has been made; for example, there have been successful workshops in some countries (e.g. China and

<sup>1</sup> Consultant, Operations Evaluation Department, World Bank.



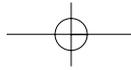
Ghana). The Operations Evaluations Department of the World Bank and the World Bank Institute (in collaboration with a number of development partners) are creating a comprehensive training program in international development evaluation that will be delivered through multiple modules in several locations. This course will complement existing courses and noticeably expand global training capacity in evaluation. In other areas of evaluation capacity development, there has not yet been such significant supply response.

Among national and regional evaluation associations only one, the African Evaluation Association, has development evaluation as its core business. There is also a very small Central American Evaluation Association working on development issues. Most associations are mainly geared to the needs of developed countries. Thus evaluators lack a common professional network. International bodies concerned with development (the United Nations, the World Bank, regional banks and the Development Assistance Committee) have provided platforms for professional exchanges among evaluators. However, there remains a gap in the system, the need for a mechanism to bring development evaluators together to debate issues of mutual interest, to provide a forum for professional interchanges, and to promote excellence in the evaluation of development work through peer review and advice.

In addition, although training capacity is expanding, there is a need to match supply with demand, and to enable those most in need to benefit from the enhanced training opportunities. Substantial returns on investments in human capital have been achieved through the establishment and effective management of international scholarship programs. In evaluation the need is for a program that is broad in scope, offering both classroom and practical opportunities for skills development, and which is responsive to demand from all classes of evaluators and to the needs of non-government and government institutions.

## A proposal

The supply of evaluation skills would be significantly enhanced by the creation of a new independent organization dedicated to providing opportunities for professional networking, spreading evaluation experience and best practice. This organization would hold conferences and workshops, facilitate the development of evaluation training programs, raise evaluation standards and promote the exchange of development evaluation skills across countries and cultures, not least by operating a program of scholarships in evaluation. It would combine the activities of a traditional professional association with a strong developmental role aimed at expanding evaluation capacity both quantitatively and qualitatively. This organization, which might be called the International Development Evaluation Association (IDEAS), would mainly be comprised of, and governed by, individual evaluators (institutional memberships would also be possible) from developing as well as developed countries, and would be independent of governments, bilateral



donors and international agencies. Neither would IDEAS be a federation of national or regional associations, but would seek to communicate with such associations through their existing topical interest groups or chapters.

## Objectives

The central objectives of IDEAS would be to promote evaluation as a key tool of results-based management of development policies, programs and projects in both government and non-government institutions; to foster evaluation as a vital instrument of public accountability and learning in development; to build bridges of understanding between development evaluators; and to promote exchanges of professional experience in development evaluation. It would also encourage the development, harmonization and application of the highest intellectual, ethical and professional standards in the theory, practice, methods and utilization of evaluation, with special reference to development.

## Form

IDEAS would be a non-profit, non-government, voluntary organization with membership open to individual professional evaluators and evaluative institutions, as well as other interested parties from the broader field of social sciences. Given its strong developmental goals and activities, it may be more appropriate to establish IDEAS as a foundation rather than as an association. The precise organizational form would depend in part on the country in which it is incorporated.

## Governance

IDEAS would be governed by key officers and an unpaid board or council elected from among its members. The board and its officers would be supported by a small secretariat – an office manager and one or two part-time evaluators. It would conduct its business in full accordance with the law in the country of establishment, and its finances would be regularly audited and publicly reported. The governing body would meet and report at least annually to the membership and to its sponsors.

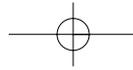
## Instruments

IDEAS would hold a biennial conference on evaluation and development, publish professional papers, award prizes for outstanding contributions to development evaluation, fund scholarships for postgraduate studies in evaluation and support on-the-job training through secondments. It would help to develop centers of excellence in evaluation and provide an electronic newsletter and a referral service. In large measure, these instruments would be operated through a specially developed website.

## Funding

The annual cost of operating IDEAS is not expected to be large. However, given its broad goals, membership dues (even allowing for relatively costly institutional memberships)





would be unlikely to cover more than a modest part of its operating or core costs. Thus the organization would be dependent on long-term grant funding for both its core and program activities.

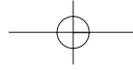
### **Further development**

To properly and legally establish IDEAS would require careful preparation and planning and reaching consensus on draft objectives, governance and instruments. Such a consensus might be built by the establishment of a small committee (meeting and working online) to steer the development of a fully articulated proposal, which would later be placed before a broader group of interested parties to confirm objectives and pledge funding. Thereafter, following the necessary legal work and any further modifications to the proposal, an inaugural conference would be convened to discuss and adopt a constitution and to elect a governing body. The formal, legal establishment of the organization would then follow.

If there is adequate support for these preliminary ideas, it should be possible to constitute the steering committee by early summer 2000 and then, allowing for as much consultation as possible, develop and cost a full proposal for consideration by a wider plenary of interested parties by October. An inaugural conference could then follow during the summer of 2001.

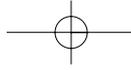
The United Nations Development Program (through its Evaluation Office) and the World Bank (through its Operations Evaluation Department) have agreed to establish and fund a provisional secretariat to draft the comprehensive proposal for the establishment of IDEAS under the guidance of the steering committee. This secretariat would also organize a meeting in late 2000 to discuss the proposal, revise it in the light of the plenary discussions and, if adequate funding is secured, subsequently organize the inaugural conference and consequent formal incorporation of IDEAS. Thereafter, IDEAS would be administered on a day-to-day basis by its own secretariat and governed by its board or council.

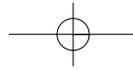




# Looking at the future – National Action Plans for 2001







# Action plans for monitoring and evaluation capacity development

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Representatives of the workshop will carry out the following actions in 2001 to support the key monitoring and evaluation (M&E) priorities in their individual countries.

## Mozambique

*Contact person:* Elsa Chambal (emfcc@bancomo.uem.mz)

*Background:* The concept of M&E is relatively new in Mozambique.

*Actions:*

- Report back on this workshop and seminar.
- Prepare a report on M&E activities in Africa based on this workshop and seminar for the Ministry of Planning and Finance, recommending the formation of M&E structures across sectors and ministries with the involvement of all stakeholders.
- Identify groups interested and involved in M&E with a view to forming an M&E unit.

## Tanzania

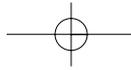
*Contact person:* Anna Mwashwa (self@afsat.com)

*Background:* Tanzania has an M&E mechanism, but it has not been effective.

*Actions:*

- Prepare a paper advocating the importance and use of M&E.
- Facilitate development of an M&E framework for poverty reduction.
- Initiate a program for training and capacity-building for M&E staff in government ministries, departments and agencies.
- Organize a forum of stakeholder institutions from the government, civil society and universities with a view to forming a national M&E association.






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 ACTION PLANS FOR M&E CAPACITY DEVELOPMENT

## Zambia

*Contact person:* Enock Shawa (ggduzam@zamnet.zm)

*Background:* Zambia is in the process of developing a full Poverty Reduction Strategy Paper (PRSP) under the Poverty Reduction and Growth Facility.

*Actions:*

- Sensitize other groups to the importance of M&E.
- Influence and assist them in developing M&E indicators.
- Use the PRSP forum to identify individuals involved in M&E with a view to establishing a network.

## Kenya

*Contact persons:*

University: Karen T. Odhiambo (karenodhiamboo@hotmail.com)

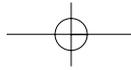
Government: Peter Ondieki (spas@africaonline.co.ke)

*Background:* The objective is to create M&E structures across government ministries and sectors, through the poverty eradication program. M&E structures across sectors need to be strengthened (staffing, financing, support and capacity-building). Meaningful linkages need to be created between professional bodies in M&E and partners – non-governmental organizations (NGOs), donors and universities. Strategies involve sensitization and training, establishing Management Information Systems (MISs) to provide quantitative and qualitative information, and to observe trends and the output or impact.

*Actions:*

- Create a logical framework: objectives, strategies, output (quantitative/qualitative), time-frame, budget plan, M&E activities.
- Hold sensitization meetings with policy-makers, project managers, partners and donors.
- Give training in M&E and in building M&E structures and MISs; target programs of the government and NGOs.
- Develop M&E indicators for development programs; focus on poverty.
- Conduct internal and external evaluations to measure impacts.
- Disseminate and utilize the results using forums; target stakeholders, especially recipients.
- Set up a center for evaluation studies. This could be housed within an academic institution (possibly a regional center). The University of Nairobi, a long established institution with experience in linkages, has been suggested.





## Senegal – Cameroon

### *Contact persons:*

Senegal: Tidiane Tall (ceplic@metissacana.sn)

Cameroon: Tulomba Veza (tulomba@hotmail.com/ or apica@camnet.cm)

### *Actions:*

Create a national M&E network.

### Timetable for Senegal

- October 2000 – January 2001: Mailing to potential members
- February 2001: First meeting
- May 2001: Workshop to promote M&E
- September 2001: Training in M&E

### Timetable for Cameroon

- October 2000 – February 2001: Mailing to potential members
- March 2001: First meeting
- June 2001: Workshop to promote M&E
- October 2001: Training in M&E

## Niger

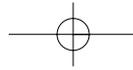
*Contact person:* Marco Segone (msegone@unicef.org)

*Background:* An M&E network has existed in Niger since August 1999. It has about 80 members and holds meetings every two months.

### *Actions:*

- **M&E capacity development:** Establish a short specialization training course on M&E by 2001, to be organized by the university, the National School of Administration, the United Nations system, NGOs, the government, and the Nigerien M&E Network (ReNSE). A Master's degree in M&E should be established by 2002.
- **Empowerment and inclusiveness:** Develop working groups on good governance and evaluation; M&E standards; and M&E in the areas of poverty/vulnerability reduction, health, education, environment and local government.
- **Institutionalization of M&E:** Explore the possibilities of strengthening M&E systems within the public function.






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 ACTION PLANS FOR M&E CAPACITY DEVELOPMENT

## Ghana

### *Contact persons:*

Policy-related issues at the Presidency (Cabinet and Policy Management Group): Dr Atakora

Institutional restructuring and implementation: Dr Koranteng (nirp@africaonline.com.gh)

Capacity-building through training: Dr Kannae (lawrencekannane@yahoo.co.uk)

Civil society (M&E Association): Mr Akolgo (isodec@ncs.com.gh)

*Background:* Ghana has a Constitution that provides a legal framework for good governance. It has a Vision 2020 document giving the long-term vision for the country and clarifying the responsibility of the government, the private sector and civil society. This document also recognizes transparency and accountability, and hence M&E.

### *Actions:*

- Reinvent the government by defining its role vis-à-vis the private sector and civil society; introducing new structures and procedures for implementing roles; reinforcing accountability through Policy, Planning, Monitoring and Evaluation (PPME) departments; and enhancing participation.
- Develop capacity by training the PPME departments; and creating awareness and coordination.
- Reinforce accountability by building capacity for civil society and establishing an M&E association in Ghana (Parliament, Judiciary, Auditor-General, Policy Management Group, and constitutional, independent bodies, e.g. Serious Fraud Office)

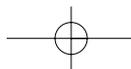
## Rwanda

*Contact person:* James Mugaju (jmugaju@unicef.org)

### *Actions:*

- Widen and strengthen the existing network of M&E.
- Formulate a strategy for local capacity-building in M&E.
- Develop a national action plan for M&E development in Rwanda.
- Make M&E findings public, using appropriate means to reach all levels of the population.
- Harmonize national indicators for M&E of development and poverty reduction (Poverty Unit).
- Promote research linkages with development programs and M&E processes (university).





- Improve the data collection system and strengthen the database on development projects.
- Harmonize M&E reporting requirements (Central Projects and External Finance Bureau).
- Support M&E capacity-building action plan (United Nations Children's Fund).

## Uganda

*Contact persons:* Ms F. Kuteesa (fkuteesa@infocom.co.ug) and Mr Nuwamanya (genopm@imul.com)

*Background:* Sector-specific or discrete legislations and policies on M&E do exist. However, coordination is weak and systems for data collection are inefficient and inadequate. M&E is dominated by government offices, other stakeholders are marginalized and there is little appreciation of M&E within the context of good governance or government.

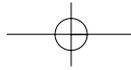
*Ongoing actions:*

- Harmonize reporting formats.
- Introduce training in M&E by NGOs.
- Continue to institutionalize results-oriented management and output-oriented budgeting.
- Set up service surveys such as the Uganda Poverty Participatory Assessment Program, the National Service Delivery Survey, the National Integrity Survey, Health Surveys, Household Integrated Budget Surveys, etc.
- Carry out an assessment of M&E in Uganda (2000).

*Proposed priority areas and actions:*

- **Raise awareness:** Consult government officials on the importance, status, strategy and future of M&E in the context of good governance and accountability at various levels (national, local and sectors); consult other stakeholders (media, private consultants, NGOs) on their role in M&E, its status and the way forward; and establish the Uganda Evaluation Association to spearhead partnership in M&E.
- **Improve the M&E system and framework:** Finalize the format for harmonization; use existing forums (i.e. the Annual Decentralization Forum, the Poverty Forum and the Budget Consultative Conference) to strengthen the linkage between evaluators and consumers or beneficiaries.
- **Training for skills enhancement:** Identify institutions providing M&E training within the government; undertake assessment of training needs for M&E within the context of good government, results-oriented management and output-oriented budgeting; and design and organize training programs for all government levels, training of trainers, NGOs and consultants.






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 ACTION PLANS FOR M&E CAPACITY DEVELOPMENT

## South Africa

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*Actions:*

- Set up a consultative workshop to launch a National Evaluation Association involving leading agencies such as the Public Service Commission (driver), the Development Bank of Southern Africa (co-driver), the Department of Land Affairs and the South African Management Development Institute.
- Present the following priorities for consideration: the Association, the National Framework (operational definition), databases of stakeholders and best practices, methodologies and standards, indigenous technologies, incentive schemes, core program training and capacity-building, advocacy and awareness, and networking.
- Explore funding possibilities with the World Bank.
- Set up a database of stakeholders.
- Explore existing training opportunities.
- Write a proposal by the end of October 2000.
- Hold a report-back meeting on 8 November 2000.

## Donors and development partners

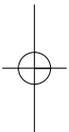
*Actions:*

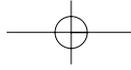
- Agree to support the strengthening of existing national evaluation associations and the establishment of new ones.
- Address training gaps by offering scholarships and fellowships in M&E (through the International Development Evaluation Association) and other capacity-building programs.
- Use local consultants.
- Address locally relevant evaluation issues, as well as the usual terms of reference.
- Develop a database of local consultants in collaboration with partners.
- Emphasize learning-oriented M&E. The Highly Indebted Poor Countries, the Poverty Reduction Strategy Paper and the Comprehensive Development Framework provide excellent opportunities for an M&E agenda.

## Conclusion

Common items in the action plans are the following:

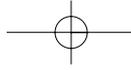
- Agency responsibility
- Need for training
- Harmonization of standards

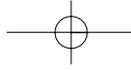




- Importance of networking and associations
- Use of existing capacities
- Establishment of links between M&E activities and existing national strategies

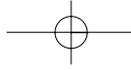


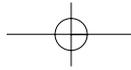




# The way forward







# The way forward

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One of the main lessons from the Johannesburg Workshop and Seminar was the clear links between evaluation and good governance, and evaluation and sound development. The event also displayed that relevant monitoring and evaluation (M&E) experiences and skills are available on the African continent. The challenge is to create local ownership and to link M&E to other relevant processes at the national level.

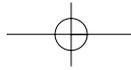
It is becoming increasingly evident that a number of strands and priorities in public policy reform are converging. The emphasis on good governance and on public sector reform encompasses issues such as anticorruption efforts, the important role of civil society, and well-planned poverty reduction strategies with the emphasis on results.

Governments and donors now appreciate more keenly the need for adequate information and sound analysis, and this is leading to a growing demand for M&E. A real interest in M&E can be discerned in a number of African countries, witnessed in their solid support for the workshop and seminar and in the participation of many senior officials, the heads of African evaluation associations and donors. Collectively, we are rapidly gaining experience with different ways of strengthening M&E functions via targeted action plans for evaluation capacity development. This provides an excellent opportunity for sharing experiences and finding opportunities for joint work in the future.

There are many and varied development challenges in countries south of the Sahara. The workshop and seminar attempted to demonstrate how M&E could contribute towards meeting these challenges. One of the presenters put it this way: "It is only once we understand clearly what adds value and what subtracts value when achieving our developmental goals, that we can start taking corrective action and improve our decision-making. This process of understanding the value of something is what the entire field of evaluation is all about."

Another useful lesson from the Johannesburg meeting was the manifestation of team-building and networking. The extensive exchange of experiences and insights illustrated the value of a pan-African M&E network of regional practitioners and stakeholders. A network has important roles to play, particularly in establishing standards for best M&E practice, systematizing knowledge and stimulating national M&E growth. The network





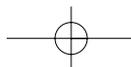
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THE WAY FORWARD

needs to be constantly nurtured through regular contacts, communication and collaboration within and across national borders.

In this respect, the Johannesburg Workshop and Seminar proved to be an important step in the ongoing development of a regional evaluation community built on an African M&E perspective.



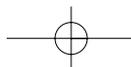


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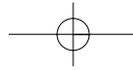




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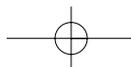




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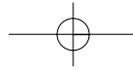




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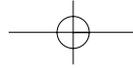




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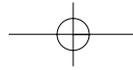




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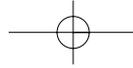




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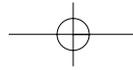




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## ANNEX 2: SUMMARY AGENDA

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**Workshop and Seminar on  
Evaluation Capacity Development for Africa**

25–29 September 2000, Development Bank of Southern Africa (DBSA)  
Johannesburg, South Africa

**A. WORKSHOP**

Monday 25 September to Tuesday 26 September 2000 (one-and-a-half days)

**MONDAY 25 SEPTEMBER 2000****Introductory session**

Welcome to participants

Workshop goals, objectives and expected outcomes

*Presentation:*

For a common vision towards evaluation in Africa (African Evaluation Association, AfrEA)

**Theme 1: Institutionalizing evaluation: African constraints and opportunities***Presentations:*

Ghana Institute of Management and Public Administration (GIMPA), Ghana  
International Development Research Center (IDRC), East Africa

*Group discussions***Theme 2: Strategies for improving evaluation capacities***Presentations:*

1. Advocacy for evaluation (Canadian Evaluation Society, CES)
2. What constitutes good evaluations? Ethics, quality standards and dissemination
3. Appropriateness of Program Evaluation Standards for use in African cultures

*Discussions:*

Parallel working group discussions

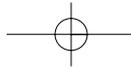
Report-back from group discussions

Demonstration of the AfrEA website (Dr Mahesh Patel, Eastern and Southern Africa Regional Office of the United Nations Children's Fund (UNICEF-ESARO) and Convener of the AfrEA)

**TUESDAY 26 SEPTEMBER 2000****Theme 3: Networking strategy and action plan for a sustainable infrastructure**

Introduction to review draft M&E strategy and action plan for Africa



*Presentation:*

Networking strategy and plan of action for a sustainable infrastructure (Rwanda Evaluation Association)

*Discussions:*

Report-back from group discussions

Summing-up and discussion of the new dimensions in the M&E strategy and action plan for Africa

Evaluation and close of the workshop

**B. SEMINAR**

Tuesday 26 September to Friday 29 September 2000 (three-and-a-half days)

**TUESDAY 26 SEPTEMBER (CONTINUED)****Opening session**

Welcome (Development Bank of Southern Africa, DBSA)

Opening statement: Monitoring and evaluation and the development challenge in Africa (Minister of Public Service and Administration, South Africa)

Keynote speaker (Office of the Prime Minister, Uganda)

**Plenary session 1: Introduction**

Seminar goals (Operations Evaluation Unit, DBSA)

The new context of evaluation: good governance and poverty in Africa

*Presentations:*

Good governance and the policy challenge (Policy Division, African Development Bank, AfDB)

New dimensions of evaluation in the context of the Poverty Reduction Strategy Paper (PRSP) and the Comprehensive Development Framework (World Bank)

The new context of M&E, good governance and poverty in Africa: the professional challenge for M&E practice (Kenya Evaluation Association)

*Discussions***WEDNESDAY 27 SEPTEMBER 2000****Plenary session 2: Evaluation approaches and new trends***Presentations:*

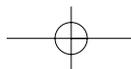
New tools for monitoring PRSPs and National Development Programs (World Bank)

Outcome mapping: documenting results as behavioral change (IDRC, Canada)

The role of evaluation in new trends in public policy management (Private M&E consultant, South Africa)

New trends of evaluation in public policy reform and governance (Operations Evaluation Department, World Bank)

*Discussions*



## ANNEX 2: SUMMARY AGENDA

**Plenary session 3: Overview of evaluation capacity development in selected African states in supporting the development of M&E policy and building the demand and infrastructure for M&E**

Ghana (National Coordinator, National Institutional Renewal Program, NIRP)

Uganda (Commission for Coordination and Monitoring)

Kenya (Kenya Evaluation Association, University of Nairobi)

Niger (Réseau Nigérien de Suivi et de Evaluation, ReNSE)

South Africa (Public Service Commission)

*Discussion*

THURSDAY 28 SEPTEMBER 2000

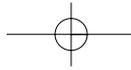
**Parallel sessions A: Methodological approaches in evaluation and case studies**

Poverty and gender	Human rights, democratization and equity	Public service performance and development projects	Infrastructure, urban development and environment
Monitoring and evaluating poverty: case of Tanzania Evaluating a social welfare project	Monitoring and evaluating democracy and human rights in South Africa	M&E challenges in the South African Reconstruction and Development Program: community water supply and sanitation program Evaluation of Grade 7 pilot project for Curriculum 2005	Evaluation of the South African Municipal Infrastructure Program (MIP) 1998

Report-back from parallel sessions A

**Parallel sessions B: Methodological approaches in evaluation and case studies**

Poverty and gender	Monitoring and evaluating reconstruction and development in Africa	Public service performance and development projects	Infrastructure, urban development and environment
Monitoring and evaluating gender issues and women's empowerment programs: Kenya and Tanzania	Agriculture development projects in Zambia	Monitoring and evaluating performance in the public service: South African Department of Land Affairs and Department of Health	Monitoring and evaluating the after-effects of resettlement in Western Mali M&E of carbon dioxide emission reduction as a consequence of solar home systems Addressing environment development impact through education and governance



*Demonstrations:*

World Bank Africa Live Database

DBSA M&E Module of Corporate Operations Recording (CORE) system

FRIDAY 29 SEPTEMBER 2000

Report-back from parallel sessions B

**Plenary session 4: Partnerships and joint efforts in evaluation**

*Presentations:*

International Development Evaluation Association (IDEAS) (Consultant, Operations Evaluation Department, World Bank)

Towards establishing an international framework for evaluation (UNICEF-ESARO)

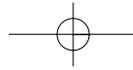
**Closing session: New challenges for evaluation in Africa**

The way forward: strategy for M&E promotion in Africa

Closing statement (DBSA)

(For further information, see "Events" at [www.dbsa.org](http://www.dbsa.org))





## ANNEX 3: AFRICAN EVALUATION ASSOCIATION SONGS

**ANNEX 3: AFRICAN EVALUATION ASSOCIATION SONGS**
**Song 1 (Tune: *Malaika*)**

1  
 (Evaluate), here in Africa (2x)  
 Our capacity to grow  
 Each nation and the continent  
 For effectiveness impact to know  
 We cannot wait for another day

2  
 (The needs are great), so we say: (2x)  
 Join us – EVALUATE!  
 From north to south, from east to west  
 And new lessons learned we'll validate  
 We cannot wait for another day

3  
 (What does work) here in Africa (2x)  
 We'll all work to discern  
 As we monitor what's done  
 We'll strive not to confuse, but learn  
 We're for EVALUATION USE!

**Song 2 (Tune: *Auld lang syne*)**

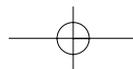
1  
 Evaluate in Africa  
 Capacity to grow  
 Each nation and the continent  
 Effectiveness to know

2  
 We cannot wait another day  
 The needs are now so great  
 We organize so we can say:  
 Join us – EVALUATE!

3  
 From north to south, from east to west  
 New lessons we shall learn  
 What works right here in Africa  
 We'll all work to discern

4  
 And as we monitor what's done  
 We'll strive not to confuse  
 We've joined the knowledge age to boost  
 EVALUATION USE!





## ANNEX 4: USEFUL WEBSITES AND EVALUATION LINKS

### Multilateral development banks

<http://www.worldbank.org/html/oed/index.html>  
<http://www.worldbank.org/aftdr/findings/french/ffindtoc.htm>  
<http://www.worldbank.org/aftdr/findings/grhtmap.htm>  
<http://www.ifc.org/depts/html/oeg.htm>  
[http://www.iadb.org/cont/evo/evo\\_eng.htm](http://www.iadb.org/cont/evo/evo_eng.htm)  
<http://www.peo.asiandevbank.org/>  
<http://www.ebrd.com/english/index.htm>  
<http://www.eib.org/>

### Working Party on Aid Evaluation

(Development Assistance Committee, Organization for Economic Cooperation and Development)

<http://www.oecd.org/dac/Evaluation/index.htm>  
<http://minweb.idrc.ca/daclog.htm>

### United Nations agencies evaluation offices

<http://www.undp.org/eo/index.htm>  
<http://www.unicef.org/reseval/>  
<http://www.un.org/Depts/oios/>

### International evaluation associations, continental or national

American Evaluation Association: <http://www.eval.org/>  
 European Evaluation Society: <http://www.europeanevaluation.org/>

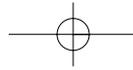
### Evaluation societies

Australasian Evaluation Society: <http://www.aes.asn.au/>  
 Canadian Evaluation Society (La Société Canadienne d'Évaluation): <http://www.evaluationcanada.ca/>  
 Evaluation in the European Commission: <http://europa.eu.int/comm/budget/info.htm>  
 German Evaluation Society (Deutsche Gesellschaft für Evaluation e.V.):  
<http://www.degeval.de/degeval.htm>  
 Italian Evaluation Society (Associazione Italiana di Valutazione): <http://www.valutazione.it/>  
 French Evaluation Society (Société Française d'Évaluation): <http://www.sfe.asso.fr/>  
 Swiss Evaluation Society (Société Suisse d'Évaluation – Schweizerische Evaluations-gesellschaft):  
<http://www.seval.ch/>  
 UK Evaluation Society: <http://www.evaluation.org.uk/>  
 Walloon Evaluation Society (Société Wallonne d'Évaluation et de la Prospective):  
<http://www.prospeval.org/>

### Other institutions

Centre Européen d'Expertise en Évaluation (C3E): <http://www.c3e.fr/>  
 Electronic College of Process Innovation: <http://www.dtic.mil/c3i/bprcd/5538.htm>  
 Electronic Policy Network: <http://www.epn.org/>





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**ANNEX 4: USEFUL WEBSITES AND EVALUATION LINKS**

International and Cross-cultural Evaluation Topical Interest Group:

<http://www.wmich.edu/evalctr/ICCE/>

National Performance Review: <http://www.npr.gov/>

Netherlands Scientific Council for Government Policy (Wetenschappelijke Raad voor het Regeringsbeleid): <http://www.wrr.nl/>

Open University, The Netherlands: <http://www.ouh.nl/>

Public Sector Management Group (PUMA): <http://www.oecd.org/puma/index.htm>

**Networks and national evaluation associations in Africa**

Réseau Nigérien de Suivi et d'Evaluation: <http://www.ird.ne/reuse/>

**Other websites on evaluation**

*Project and program evaluation:*

[http://www.ade.be/projects/exp\\_7.htm](http://www.ade.be/projects/exp_7.htm)

<http://www.ilo.org/public/english/bureau/program/eval/links.htm>

[http://www.oneworld.org/euforic/courier/163f\\_jon.htm](http://www.oneworld.org/euforic/courier/163f_jon.htm)

*Financial and economic analysis; logical framework analysis:*

<http://www.dial.webs.co.uk/ittransport/workunder.html>

<http://www.appraisalinstitute.org/>

