FACTORS INFLUENCING THE APPLICATION OF PARTICIPATORY MONITORING AND EVALUATION APPROACH OF MANAGING DEVELOPMENT PROJECTS IN KENYA: THE CASE OF LOCAL LINKS PROJECT

By

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A Research Project Report Submitted in Partial Fulfillment of the Requirements for the Award of the Degree of Master of Arts in Project Planning and Management of the University of Nairobi

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DECLARATION

This research report is the outcome of my own original research and has not been submitted for the award of a degree or any other academic award in any other university.

Signed .................................. Date 31-05-2011

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This research report has been submitted with my approval as the university supervisor.

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This work is dedicated to my wife Robai, and our children: Dianah, Cyprian and Elsie.
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To all of you: I wish you success and God’s blessings as you incessantly endeavour to transform this world into a better place for humanity.
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ABBREVIATIONS AND ACRONYMS

AIDS – Acquired Immunodeficiency Syndrome
AKRSP-I – Aga Khan Rural Support Programme in India
AMREF – African Medical Research Foundation
CARE – A global non-governmental organization
CBO – Community Based Organization
CBD – Central Business District
CEO – Chief Executive Officer
CM&E – Conventional Monitoring and Evaluation
FGD – Focus Group Discussion
GDP – Gross Domestic Product
GoK – Government of Kenya
GS&L – Group Savings and Loan
GTZ – A German based NGO that promotes development projects across the world
HAKISHEP – HAKI Self Help Group
HIV – Human Immunodeficiency Virus
KOCOSHEP – Kibera Community Self Help Group
LLP – Local Links Project
LPS – Local Project Society
MDGs – Millennium Development Goals
M&E – Monitoring and Evaluation
NAADS - National Agricultural Advisory Services

OVCA – Orphans and Vulnerable Children

PD – Participatory Development

PE – Participatory Evaluation

PLWHA – People Living With HIV/AIDS

PM – Participatory Monitoring

PMA – Plan for Modernization of Agriculture

PM&E – Participatory Monitoring and Evaluation

PARC - Palestinian Agricultural Relief Committees

PRA – Participatory Rural Appraisal

SPSS – Statistical Package for Social sciences

TOR – Terms of Reference

UoN – University of Nairobi

UN – United Nations

UNDP – United Nations Development Programme

UNICEF – United Nations Children’s Fund

UNFPA – United Nations Population Fund

USA–United States of America

USAID – United States Agency for International Development

YDF – Youth Development Forum
ABSTRACT

In the research that formed the basis of this report, we studied factors that influence the application of participatory monitoring and evaluation approach of managing development projects in Kenya, with a focus on the Local Links Project (LLP) in Kibera. Kibera is a low-class housing estate that is located about 7 kilometers to the west of Nairobi city.

The objectives of this study were to explore the influence of participatory monitoring and evaluation (PM&E) model that was used, on the PM&E of the LLP; to examine the effect of the level of education of project stakeholders on PM&E of the LLP; to establish the influence of technical expertise of project stakeholders in M&E on PM&E of the LLP, and to examine the effect of planning for PM&E on PM&E of the LLP. This project is significant because its findings are critical not only to development projects in Kenya, but also to those in Africa as a whole. By identifying the factors that influence the management of development projects and by suggesting ways by which they can be addressed, project stakeholders in Kenya and beyond can be able to manage their projects with greater success and minimal challenges.

The major research methods that were employed in this project were applied from the broader perspective of the survey research design. The study had a target population of 1245 people and a sampling formula that was proposed by Yamane (1967) was used to obtain 175 sample units. Questionnaires, personal interviews, focus group discussion, document analysis and direct observation were used to collect data from the respondents who comprised of the CARE-Kenya LLP staff, officials of selected CBOs, and the care givers. For data analysis, the statistical tools of mean and mode were widely used in the analysis of the data. Charts and tables were used to present quantitative data while descriptions were used to present qualitative data.

The major findings were that although the bottom-up PM&E model was used in the LLP, most of the stakeholders were not sufficiently empowered to fully play their role in the project. The study also found out that some of the stakeholders did not have any formal education thus, found it hard to conceptualize M&E and partake in its implementation. The study further established that 56% of the respondents lacked M&E skills that were a prerequisite for PM&E of the LLP; and that there were several aspects of PM&E that were not planned well or were not planned for at all.
CHAPTER ONE

INTRODUCTION

1.1 Introduction
This is the introductory chapter of this research report. It bears the background to the study, problem statement, purpose and objectives of the study and the research questions. Details about the significance, scope, limitations and the assumptions of the study have also been dealt with here. How the study is organized and the definitions of significant terms form the last sections of this chapter.

1.2 Background to the Study
The world is today grappling with deep-seated problems of poverty, disease, illiteracy, rising human population, unemployment, and general hopelessness amongst the majority of the world’s human population. The triple problem of conflict, crime and insecurity has also emerged as one of the challenges to development, particularly in Africa, Taiwo (2010).

The following facts and statistics serve to illustrate conditions around the world today, which have arisen out of the aforementioned challenges. According to Shah (2009), almost half of the world population - over 3 billion people - live on less than 2.5 dollars a day; nearly a billion people entered the 21st century while unable to read a book, or sign their names; the combined Gross Domestic Product (GDP) of the 41 heavily indebted poor countries (with 567 million people) is less than the combined wealth of the world’s 7 richest people!

About spending, Shah records that in 2005, the wealthiest 20% of the world accounted for 76.6% of the total private consumption; while the poorest 20% of the world accounted for only 1.5%. Moreover, he notes that less than 1% of what the world spent every year on weapons was needed to put every child into school by the year 2000. About children, he says that 1 billion children live in poverty. 640 million live without adequate shelter,
400 million have no access to safe water, and 270 million have got no access to health services.

Shah goes ahead to note that according to UNICEF; 25,000 children die each day due to poverty; and they die quietly in some of the poorest villages on earth, far removed from the scrutiny and the conscience of the world. Other than that, he records that 72 million children of primary school age in the developing world were not in school in 2005, and 57% of them were girls. About disease, he notes that infectious diseases continue to squash the lives of poor people across the globe. To this end, an estimated 40 million people are living with HIV/AIDS, out whom 3 million died in 2004 alone. Concerning malaria. Shah notes that every year, there are 350-500 million cases of malaria with 1 million fatalities. Africa alone accounts for 90% of all malarial deaths while African children account for over 80% of malaria victims worldwide. The majority of those who suffer come from Africa which is arguably the richest continent of the world.

In Africa - according to Cozay Africa (2009) - more than 50% of Africans suffer from water related diseases such as cholera and infant mortality; a child dies every 3 seconds from AIDS and extreme poverty, often before the 5th birthday; while more than 800 million people go to bed hungry every day. Out of these, 300 million are children. Cozay Africa also estimates that of these 300 million children, only 8% are victims of famine or other emergency situations: More than 90% of them suffer long-term malnourishments and micronutrient deficiencies.

The aforestated state of affairs should not be the case in the 21st century, at a time when the world is boasting of unprecedented advancement in virtually all spheres of human endeavour. It is indeed this realization that has jolted the world into coming up with strategies of reversing the current trend. Among these strategies – on a global scale - is the UN Millennium Project which was designed to accelerate the achievement of the Millennium Development Goals (MDGs) whose achievement is pegged at the year 2015. Governments across the world including those in Africa are supposed to design and implement development projects that will help to realize the MDGs by the year 2015.
MDGs are the eight international development goals that 192 United Nations (UN) member states and at least 23 international organizations have set and agreed to achieve by the year 2015. They include eradicating extreme poverty and hunger, achieving universal primary education, promoting gender equality and empowerment of women, reducing child mortality rate, improving maternal health, combating HIV/AIDS, malaria and other diseases; ensuring environmental sustainability, and developing a global partnership for development. The MDGs were set in the year 2000 at the UN headquarters in New York.

Soon after, there emerged the need to come up with the means of achieving the MDGs within the projected timeline, giving rise to the UN Millennium Project. The UN Millennium Project is a project that was commissioned by the UN Secretary-General in 2002 to develop a concrete action plan that could enable the world to achieve the Millennium Development Goals and to reverse the grinding poverty, hunger and disease that are affecting billions of people worldwide. In 2005, the project’s independent advisory body headed by Professor Jeffrey Sachs, presented its final recommendations to the Secretary-General in a synthesis volume titled Investing in Development: A Practical Plan to Achieve the Millennium Development Goals.

In Kenya, the government has been proactive in domesticating the MDGs. It has come up with the Kenya Vision 2030 that is not only seen as the engine for realizing the MDGs; but also as an avenue to the harnessing of all the available resources in order to address the multiplicity of challenges that are facing the country and improving the living standards of its citizens. The Kenya Vision 2030 is an economic development plan designed by the Kenyan government to develop several different economic zones in various parts of the country. The plan aims to produce annual economic growth rates of 10%. In 2007, Kenya had a Gross Domestic Product (GDP) growth of 4.9%. In the year 2010 the GDP grew at about 4% and the projection is 6% for the year 2011.

The Kenya Vision 2030 calls for a series of five-year plans, with the first one being between the year 2008 and 2012. The first plan calls for investments in six key sectors
with 20 flagship projects. The targeted sectors are tourism, agriculture, manufacturing, trade, information technology, and financial services. Critical to the realization of the Kenya Vision 2030 are fundamental flagship projects in various sectors that are already underway. These projects are being implemented under the economic, social and political pillars upon which the Vision 2030 is designed to be realized. GoK (2007).

However, Kenya in particular and Africa in general are seen as areas where most development projects are not yielding the desired results. The biggest challenge has to do with how development projects are managed. Consequently, there has been a departure especially within the last 3 decades from conventional monitoring and evaluation (CM&E) to the participatory monitoring and evaluation (PM&E) of development projects; as one of the major ways of improving the results of development projects.

Nonetheless, it is being argued that this paradigm shift in project management has not been matched with substantial progress in terms of project impact. Baker (2000) for instance observes that despite the billions of dollars spent on development assistance each year, there is still very little to show about the actual impact of projects on the poor.

While casting doubt on the effectiveness of development aid to African governments, Simpkins (2009) cites the former World Bank consultant and economist - Dambisa Moyo. Simpkins observes that Moyo raises fundamental and legitimate questions about more than 1 trillion US dollars in development aid provided to African governments by the developed world over the last 50 years; which can not be fully accounted for. Reading Simpkins and other critics of development aid in Africa, one gets the general feeling that is depicted by such sentiments to the effect that there is almost nothing to show for billions of dollars spent on development projects in Africa.

Whereas such criticism may not be entirely true, it has moved development agencies and partners in Africa to focus more on productive methods of managing development projects. This shift in focus is born out of the realization that development projects constitute a key avenue for catapulting Africa from poverty. This therefore explains why
development agencies and partners have adopted the PM&E approach of managing development projects as one of the ways of ensuring project productivity.

But even with the adoption of PM&E, the full impact of development projects is yet to be felt; Shah (1997), Baker (2000), Mulwa (2004, p.6). In this regard, Kenya is not an exception as evidenced by the current levels of poverty. There is therefore the need to study the PM&E approach and understand the underlying factors that influence the results of development projects that adopt this progressive project management approach.

1.3 Statement of the Problem

There is still very little to show for the billions of dollars invested for development projects in the developing world, (Simpkins, 2009). According to him, it is estimated that within the last 50 years, Africa has received more than 1 trillion US dollars as development aid from the developed world; yet poverty, disease, illiteracy, underdevelopment and hopelessness are still rampant. This has left many development agencies with one lingering question: Where do the funds go?

This state of affairs has engendered a paradigm shift in development with most development agencies adopting PM&E as a key method of ensuring productivity of development projects. However, many development projects that employ PM&E still do not achieve desired objectives (Mulwa, 2004, p.6), Shah (1997). Consequently, many studies have been conducted in the area of PM&E with a view to establish how this approach in project management can lead to more successful and efficient projects, and thereby spur development.

Mangheni and Bukenya (2003) for instance, have highlighted the factors that affected PM&E of Uganda’s National Agricultural Advisory Services (NAADS) Programme, which prospective project implementers should be keen to avoid Shah (1997) on the other hand, carried out a study on the Aga Khan Rural Support Programme in India (AKRSP-I) with the objective of demonstrating how stakeholder participation can be
used to successfully plan and implement a project. The biggest challenge that reduced the impact of this project according to Shah is that there was lack of true empowerment of the project beneficiaries that could have enabled them (the villagers) to decide and prioritize development proposals without external influence.

On his part, Anatole (2005) has concluded that stakeholder participation can be used to ensure that project beneficiaries gain from the project in multiple ways. About the challenges that faced the Gaza project which he studied, Anatole notes that the occupation of Gaza strip and the West Bank by Israel severely limited peoples' control over their lives and they could not therefore promote the desired change. There was also lack of adequate planning and steady implementation of the project due to extremely unpredictable and volatile situation at the time of the project. Mulwa (2006) has also addressed many challenges of PM&E of projects including manipulation of projects by powerful stakeholders who can easily influence the findings of a PM&E process; besides lack of objectivity by stakeholders who often easily fail to point out weaknesses in their project.

Although Mangheni and Bukenya (2003), Anatole (2005), and Mulwa (2006) have discussed some of the factors that influence the results of development projects; they have not addressed factors that relate to the choice of the PM&E model, stakeholder level of education, technical expertise of stakeholders in M&E, and planning for PM&E. It is for this reason that this study sought to examine other major factors that influence the application of participatory monitoring and evaluation approach in the management of development projects in Kenya with a focus on CARE – Kenya’s Local Links Project (LLP).
1.4 Purpose of the Study

This study was designed to identify and examine the factors that influence the application of PM&E approach in the management of development projects in Kenya with a focus on the LLP.

1.5 Objectives of the Study

This study undertook to realize the following objectives:

i. To explore the influence of the bottom-up participatory monitoring and evaluation model of managing projects, on participatory monitoring and evaluation of the Local Links Project.

ii. To examine the effect of level of education of project stakeholders on participatory monitoring and evaluation of the Local Links Project.

iii. To establish the influence of technical expertise of project stakeholders in monitoring and evaluation, on participatory monitoring and evaluation of the Local Links Project.

iv. To examine the effect of planning for participatory monitoring and evaluation on the participatory monitoring and evaluation of the Local Links Project.

1.6 Research Questions

The study was guided by the following research questions:

i. How does the application of bottom-up participatory monitoring and evaluation model affect the participatory monitoring and evaluation of the Local Links Project?

ii. In what ways does the level of education of stakeholders affect the participatory monitoring and evaluation of the Local Links Project?
iii. How does technical expertise of the stakeholders in participatory monitoring and evaluation affect the participatory monitoring and evaluation of the Local Links Project?

iv. How does planning for participatory monitoring and evaluation affect the participatory monitoring and evaluation of the Local Links Project?

1.7 Significance of the Study

The rationale for undertaking this study is underlined by the fact that the study has successfully identified and discussed the major factors that influence the application of PM&E approach in the management of development projects. This is useful to project sponsors, project management staff and project beneficiaries in whatever type of project that they undertaking or may wish to undertake now or in the future. Knowing these factors makes it possible for the stakeholders to plan a project with clear mechanisms of addressing them, and thereby ensure a high degree of project success. In turn, this can ensure immense savings in terms of resources to individuals, companies, development agencies and governments. Eventually, this has the capacity of making Kenya and Africa as whole begin to realize the much anticipated meaningful development, eradicate poverty, and effectively deal with disease, illiteracy, conflict, crime as well as insecurity.

In particular, this study will also be of benefit to project sponsors and project teams; whom it is hoped, will be in a much more informed position about effective PM&E best practice and can thus insist on this component in the management of development projects. This will in turn reduce on the failure rate of development projects.

This study will also enrich the literature that is currently available in the area of PM&E of development projects and extend the horizons of knowledge in the general discipline of project management. This will benefit researchers, scholars, students and development agencies in the area of project management. because the findings of this study form a
basis upon which the application of PM&E in development projects can be given a sound footing.

1.8 Scope of the Study
Research was undertaken in the Kibera slums of Nairobi city which is a low income housing estate located about 7 kilometres to the west of Nairobi city. The research focused on only three of the 12 CBOs within the LLP owing to the limited resources that were available for the study.

LLP is a project that was sponsored by CARE-International and implemented by CARE-Kenya and other local partners in the Kibera slum area of Nairobi; with the goal of supporting the urban poor as well as orphans and vulnerable children (OVC) that have been ravaged by HIV/AIDS. The LLP objectives are: To strengthen the economic coping mechanisms of 20,000 community members, including orphans and other vulnerable children living in five villages of Kibera slums to mobilize savings and generate income; to strengthen the capacity of partner organizations to select, plan and manage training for income generating and stigma reduction activities; and to improve advocacy so as to measurably reduce HIV/AIDS stigma and discrimination as well as social exclusion of affected and infected people in the community, including orphans and other vulnerable children. This study will not explore what is beyond the LLP’s stated objectives.

In terms of the research variables, this research was confined to only four major factors that influence the use of PM&E approach in the management of development projects namely; choice of PM&E model, the level of education of project stakeholders, their skills in M&E, and nature of planning for PM&E. This was deliberate because these four challenges had not been addressed by any of the previous studies on the subject of PM&E.

1.9 Limitations of the Study
This study had to contend with the following drawbacks:
i. Many projects that have adopted the use PM&E do not fully involve all the project stakeholders. The LLP was not an exception. Consequently, the input from some of the stakeholders about PM&E was not comprehensive.

ii. Some of the respondents in this study did not understand English and Kiswahili. Communication barrier was thus a hindrance to data collection.

1.10 Assumptions of the Study

This study was undertaken based on the following assumptions:

i. The respondents would cooperate and spare some time to participate in the survey.

ii. The respondents would be sincere in discerning and answering the questions.

iii. The respondents would fill and return the questionnaires within the stipulated period.

1.11 Organization of the Study

This research report is presented in 5 chapters. Chapter 1 is the introductory chapter of this research report. Chapter 2 presents literature that relates to the various variables that were studied in this research. The literature has been presented using the variable approach as follows: PM&E approach and its models, level of education of project stakeholders, technical expertise of stakeholders in M&E, and planning for PM&E.

In chapter 3, details about the research design, the sampling design, data collection methods and tools, and data analysis techniques that were used to undertake the study have been presented. Chapter 4 dwells on the analysis of the data that was collected and interpretation of study findings; using the variable approach. The last chapter (5) has the
summary of findings, discussion of findings, conclusions, recommendations and suggestions for further research.

1.12 Definition of Significant Terms

The following terms have been applied in this study as defined below:

**Caregiver:** A member of a CBO who takes care of one or several OVC that receive support from the LLP.

**Monitoring:** The regular collection and analysis of data to assist in timely decision making, ensure efficiency and accountability, and provide the basis for evaluation.

**Evaluation:** It is a scientifically-informed collection of data about activities, characteristics and outcomes of a project/programme; in order to determine its merit. Evaluation measures how well the project/programme activities have met the expected objectives, and the extent to which changes in outcomes can be attributed to the intervention (project/programme).

**Participatory Monitoring and Evaluation (PM&E):** This is a process by which stakeholders at various levels engage in the monitoring and evaluating of a project, programme or policy; share control over the content, the process and the results of the M&E activities; and eventually engage in identifying and implementing corrective actions.

**Participatory Development (PD):** Generally, PD can be defined as a development approach in which the local people are sufficiently empowered to be involved in the creation and management of a project, program or policy that is designed to change their lives.

**Project:** A unique and interrelated set of activities that is to be accomplished by people of specified skills and expertise; within a scheduled time frame of known start and finish
date, while utilizing a restricted budget and specifications to deliver clear outputs that meet specific objectives.

"Roll-over": A concept in business where the profits accrued are not withdrawn; but are instead re-invested to become part of the principal capital.

1.13 Summary

In brief, this chapter has addressed the background to the study, problem statement, purpose and objectives of the study and the research questions. Details about the significance, scope, limitations and the assumptions of the study have also been dealt with here. How the study is organized and the definition of significant terms, form the last sections of this chapter. The next chapter presents the literature review.
CHAPTER TWO

LITERATURE REVIEW

2.1 Introduction.

This chapter presents literature that relates to the various variables that were studied in this research. The literature has been presented using the variable approach as follows: Participatory monitoring and evaluation approach and its models, level of education of project stakeholders, technical expertise of project stakeholders in M&E, and planning for PM&E.

2.2 Participatory Monitoring and Evaluation Approach

In this section, the concepts of monitoring and evaluation have been defined as a basis of the ensuing discussion on the choice of the PM&E model which is a variable in this study.

2.2.1 Monitoring

Monitoring can be defined as the regular collection and analysis of data to assist in timely decision making, ensure efficiency and accountability and provide the basis for evaluation. The monitoring of a project/programme ought to be a continuing function that employs methodical collection of data in order to provide management and the main stakeholders with early indications about progress and attainment of project/programme objectives. UNFPA (2004) sees the role of monitoring to be that of tracking the actual performance against what was planned or expected according to pre-determined standards; generally involving the collecting and analyzing of data on project/programme processes and results, and recommending corrective measures.

Nina and Gage (2007) concur with UNFPA that monitoring is used to track changes in project/programme performance over time; and that its main purpose is to enable the stakeholders to arrive at informed decisions regarding the effectiveness of programmes.
and the efficient use of resources. Nina and Gage observe that monitoring is sometimes referred to as process evaluation because it focuses on the project/programme implementation process; seeking to know how well the project/programme has been implemented.

2.2.2 Evaluation

Evaluation can be defined as a rigorous and episodic collection and analysis of data about activities, characteristics and outcomes of a project/programme; in order to determine its merit. Evaluation measures how well the project/programme activities have met the expected objectives (Nina and Gage, 2007), and the extent to which changes in outcomes can be attributed to the intervention (project/programme). Any evaluation seeks to answer the following key management questions: Have the objectives been achieved? Have the resources been utilized effectively? Have the resources been utilized efficiently? Is the project/programme sustainable? How can future interventions benefit from this project/programme? In a nutshell, evaluation helps to judge the overall value of an intervention as well as drawing lessons for improving future planning and decision making.

2.2.3 Participatory Monitoring and Evaluation

As stated in section 1.11 of the previous chapter, participatory monitoring and evaluation is a process by which stakeholders at various levels take part in monitoring and evaluating a project, programme or policy; share control over the content, the process and the results of the M&E activities and also engage in identifying and implementing corrective actions. The main focus in PM&E is the involvement of all the stakeholders in the entire process. Indeed, this is explicit in the definitions of PM&E which various M&E experts offer. Guijt (1999, p.1) for instance observes that:

...Participatory monitoring and evaluation involves the assessment of change through processes that involve many people or groups, each of whom is affecting or being affected by the impacts being assessed. Negotiation leads to agreement on how progress should be measured and the findings acted upon...
Because of its immense popularity and influence in the management of development projects today; it is worthwhile to trace the historical development of PM&E.

### 2.2.4 The Origin and the Rise of Participatory Monitoring and Evaluation

The rise of PM&E is deeply embedded in the rise of participatory development (PD). This is because PM&E has always been the preferred approach in PD. In tracing the rise of PD, therein lies the rise of PM&E. According to Mayoux (2005), although principles of PD have always existed in society, it is in the 1950s and 1960s that post-colonial and post-revolutionary governments across the world employed a wide range of measures at both local and community levels in an attempt to mobilize the public for national development.

According to Mulwa (2004), the PD paradigm represents a departure from the ‘norm’ and was introduced in order to correct the inadequacies that characterize the major development theories namely the modernization development, the social welfare development and the neoliberal paradigms that have been pursued for a long time, without clear success. Mulwa says that the modernization development paradigm has dominated the development arena in Africa for over a half a century now. This is the type of development philosophy that seeks to maximize on the accumulation of commodities and financial wealth. The results of this development paradigm have according to Mulwa, been a disaster. Due to many years of such accumulation, Mulwa observes that billions of people around the world today live in abject poverty, debilitating malnutrition, disease and illiteracy.

The social welfare paradigm of development gained momentum after the World War II, Patton (1986). Under this philosophy of development, the government and charitable agencies provide goods and services to the poor free of charge as one of the ways through which the effects of poverty can be alleviated. Here, it is believed that causal factors of poverty (adverse weather, poor soils, natural disasters etc) are beyond people’s control and thus, they deserve to be assisted.
The consequences of the social welfare development paradigm have not been any different from those of the modernization paradigm. Provision of social welfare handouts has been known to breed a dependency syndrome among the recipients of the handouts or gifts. One of the worst effects of this syndrome is well captured by Mulwa (2004) who says that dependency syndrome is a state in which one’s dependency on free gifts, handouts and assistance become so much of mental alienation that it can even be erroneously demanded as a right.

Mulwa records that by the 1960s, the frustrations of the modernization and social welfare development paradigms were too obvious and uninspiring. As a result, in the 1970s and 1980s, there was widespread institutionalization of the rhetoric of PD in response to failure of numerous large-scale, top-down projects in both the capitalist and the socialist countries. Even the neoliberalist theory of development which gained currency in the 1980s did not slow down the pace by which development agencies had taken on PD.

According to the neoliberal view (Pieterse, 2010), what matters is to let the market forces play their role and determine the right prices. Government intervention is discouraged because it is thought to lead to market distortion. For neoliberalism, the central objective is economic growth which is to be achieved through deregulation, liberalization, and privatization. However, this approach has its attendant pitfalls that include putting all the wealth in the hands of the rich and the giant multinational companies. Participation of the masses (majority of whom are poor) in charting the path for economic development is thus limited. Manipulation of the market trends also tends to be rampant in this approach that negates the entire objective of letting the market forces take center stage in development.

From the 1980s therefore, PD sought to put greater emphasis on NGOs as providers of services previously rendered by the state because they were thought to be non-partisan. In effect, this move sought to limit the role of government in service provision. By the end of the 1980s, PD had become an established umbrella term for a new approach to development. Today, many governments are adopting PD in most of their projects. There
is also a multiplicity of manuals on tools and techniques for PD that have been produced by organizations that are engaged in development projects.

To underscore the importance that is attached to PD today, most international donor agencies have official statements about the need for beneficiary-participation and about project guidelines; for participatory projects. In brief, PM&E has been a direct consequence of the rise of PD. This is because participatory monitoring (PM), participatory evaluation (PE), and participatory rural appraisal (PRA) are considered to be some of the key methods of attaining PD. Thus, the rise of PD evolved simultaneously with the rise of PM and PE.

Other factors that gave impetus to the rise in PM&E are the shortcomings that characterize the Conventional Monitoring and Evaluation (CM&E) approach to development projects. Many M&E practitioners and scholars – such as Chambers (1997) - have highlighted these shortcomings. Some of them are discussed here. To begin with, CM&E is primarily used to “control” and “manage” programmes for accountability purposes, while much less attention is given to its potential to promote learning among program stakeholders. CM&E has been presented as an increasingly specialized and complex field, which suggests to programme implementers that they are not capable of carrying out M&E activities on their own and that external experts are always required.

It is also argued that while “rigorous” methods are used in expert led M&E (read as CM&E), the data generated are often of low validity and reliability due to the “distance” maintained between researchers and program stakeholders. Moreover, external or expert-led M&E is not cost-effective insofar as it does not necessarily contribute to improved program management and field implementation by local staff and communities. On the other hand, the failure to substantively involve program staff in this type of M&E often leads to their alienation from the M&E process and their lack of commitment to implementing decisions/recommendations based on M&E results.

Other than the foregoing, M&E systems in this approach are often both complicated and quite expensive. Both of these factors can dissuade program managers and stakeholders
from developing this component of their programs; while the focus by CM&E on quantitative data collection does not provide in-depth insights into program outcomes, processes and constraints.

In focusing on the ‘scientific objectivity’ of external M&E specialists, CM&E often fails to capture the ‘subjective’ or ‘insiders’ impressions of local staff and community members. This can lead to a superficial understanding of the implementation process and outcomes. Equally discouraging is the fact that in CM&E activities, outside experts “judge” the value of what has been accomplished rather than empowering community members, local staff and programme managers to make their own judgments about what has been done and what should be done next. Finally, under CM&E, M&E methods are usually not sufficiently gender and poverty-sensitive to ensure that the experiences and opinions of women and poorer households are systematically captured.

From the foregoing, Chambers (1997) holds the same view as Mulwa (2006) that development projects can only be meaningful to the society if all the stakeholders take part in their implementation including the M&E component. This is amplified in many other studies by researchers such as Mangheni and Bukenya (2003), Anatole (2005) and Shah (1997). Indeed, this participatory approach in the implementation of development projects is underscored in Pieterse’s (2010, p. 3) definition of development as “... the organized intervention in collective affairs according to a standard of improvement...” There is thus general consensus amongst researchers, scholars and development agencies in the field of development studies that development projects can only succeed if stakeholder participation is emphasized.

2.2.5 The Nature of Participatory Monitoring and Evaluation

PM&E has distinct features that characterize it. It is therefore easy for any discerning stakeholder to tell if the project is on PM&E or not. The following features (Mulwa, 2006) are indicative of PM&E. Normally, all the stakeholders are fully engaged in the entire exercise, each playing a particular role; and all decisions pertaining to the exercise
are made in a joint and representative committee. All stakeholders are adequately represented to include beneficiaries, project staff, donors, PM&E facilitators, and other collaborating agencies. In PM&E, the terms of reference are fair and adequately representative for all the stakeholders; while participatory methods like semi-structured interviews, FGD, and other PRA tools are preferred for data collection as opposed to conventional methods such as the use of structured interviews and questionnaires.

Moreover, in PM&E, the external evaluators or facilitators are collectively identified and approved by the all the key stakeholders who include donor(s), community representatives and the project management team. The external evaluator’s role is reduced to that of process facilitation and conflict management as opposed to experts who are the sole source of knowledge. As the norm, all the stakeholders are given opportunity to participate in the major stages of PM&E. They include sampling, development of evaluation methods and tools, data collection, data analysis, report validation, drawing up of conclusions and recommendations, and how best to implement the recommendations. It is no wonder therefore that PM&E process is quite involving in terms of time, monetary and technical resources to the point that projects that are not prepared for this component cannot attain the desired results.

2.2.6 Arguments for Participatory Monitoring and Evaluation

The exponents of PM&E such as GTZ (1991), Mohan (2001), UNDP (2001), UNFPA (2004), and Mulwa (2004 & 2006); argue for its popularization and application in the implementation of development of projects. Their justification for this approach is quite valid and compelling. First, through involvement of community and program stakeholders in M&E, community members can articulate their priorities and criticisms of development programme strategies. It also elicits involvement of local programme stakeholders, thereby allowing them to deeply reflect on their own experiences and to learn from them. PM&E also allows programme managers, field staff and community members to better understand the perspectives of program stakeholders and the dynamics of community programs, which can contribute to improved program implementation. In terms of capacity, PM&E can increase the capacity and confidence of local program staff.
and community members to analyze their own needs and programs and to undertake action-planning based on the conclusions of such analysis.

Other than the above, PM&E can contribute to the sustainability of program strategies by increasing the sense of ownership on the part of local development staff and community members of the conclusions and recommendations for future action. This guarantees the effective utilization of the findings. Equally important, this approach accords a chance for stakeholders to challenge and give each other both negative and positive feedback without fear and this enhances team building. In matters of quality, it offers an opportunity to project stakeholders to clarify firsthand field impressions during participatory data analysis as well as during draft report validation session. In the process, the accuracy and quality of the information gathered is enhanced.

When it comes to cost-efficiency argument, the involvement of the main stakeholders increases better use of resources and is likely to enable mobilization of local resources to augment or even substitute those from outside. Finally, PM&E supports the rights argument in the sense that participation - and particularly participation of the poorest and most vulnerable participants - is a human right and an inherent and indivisible component of pro-poor development strategies and empowerment that is gaining currency worldwide today. About accountability, Anatole (2005) argues that it not only holds the stakeholders accountable, but also allows them to be able to monitor and evaluate the performance of the donor or government agencies. In a nutshell, the foregoing presents a very strong case for the adoption of PM&E approach in the implementation of development projects. It is highly unlikely that projects which adopt this approach can fail to achieve their objectives.

2.2.7 The challenges of Using Participatory Monitoring and Evaluation

Mulwa (2006) explores some of the challenges that face PM&E. How project stakeholders address these challenges will always have a direct bearing on the project results. One of them is the manipulation of the M&E process. Manipulation in PM&E
always emanates from powerful stakeholders who can easily influence the findings of a
PM&E process. This happens especially when the findings and recommendations of a
PM&E process are perceived to be a threat to the status quo. The likelihood of losing
objectivity also abounds. Mulwa argues that PM&E entails project stakeholders coming
up as honest people to critique their own work and point out weaknesses and strengths.
This he says, is not always possible due to vested interests by the various stakeholders
that are involved. Thus, participation is seen to habour some degree of subjectivity that
eventually waters down the reliability of the whole process.

It is also argued by Mulwa that PM&E is usually time consuming. This is indeed the case
due to the various interests that have to be considered and managed. The implication is
that a project that is not well planned may not achieve PM&E due to lack of adequate
time. In terms of cost, any PM&E process is expensive and requires its distinct and
adequate budget. Due to lack of enough funds in many projects, PM&E is one of the
processes that are usually underfunded. The direct consequence of this is unreliable
findings which lead to project failure or poor project performance. PM&E is also
amenable to conflict because due to the many groups of people that are expected to take
part in a PM&E process, their interaction leads to conflicts arising from competing
expectations. This can be exacerbated if there happens to be lack of ongoing dialogue
during the entire PM&E process, which can easily wreck the entire project.

Many projects have also been faced with lack of experienced facilitators in PM&E
planning, team formation, team dynamics, adult education, process facilitation,
leadership, management and even conflict resolution. It always happens that many
projects do not have the opportunity or the ability to enlist the services of such experts. In
such circumstances, one can only end up with a PM&E process that is flawed and one
that can not be relied upon for a successful project. Moreover, more often, PM&E has
been left to be implemented by stakeholders who are schooled in conventional
monitoring and evaluation approaches. According to Mulwa (2006), in many projects,
stakeholders often overtly pretend to promote PM&E but covertly practice conventional
monitoring and evaluation (CM&E). The maxim of PM&E is in most cases just conveniently used in order give an impression that donor requirements are being met.

Assumptions that inform the use of PM&E can turn out to greatly influence the process. The challenge of operating on such assumptions in PM&E is that in environments where these assumptions do not hold, PM&E will obviously not be successful. Some of the main assumptions in PM&E are as follows:

i. That each stakeholder in PM&E is emerging from a background of exposure to PM&E approaches to development. This kind of exposure ensures minimum attitudinal requirements that are necessary for a productive PM&E process to be achieved.

ii. That the professional facilitators are willing to shed their perfectionist tendencies to allow others to make mistakes and subsequently learn from these mistakes.

iii. Those in positions of power have trust in people of humble background to the level that they can be allowed to pass judgment over their own work.

iv. That it is of great value to acknowledge each stakeholder’s interests and fears that he/she brings into the PM&E process. In this case, dialogue should be used to attain compromises on these interests and fears among stakeholders.

v. It is assumed that people are good willed and if given a mutually trusting environment, they will effectively carry out self-monitoring and evaluation.

vi. That all facts, interests and fears will be declared publicly and laid on the table to enhance informed decision-making among all the stakeholders that are involved in the PM&E process.

vii. That there will be no sub-groups operating within the umbrella PM&E team because they will undermine joint dialogue and decision among the concerned PM&E stakeholders. A case in point is the existence of some donors who may have power to veto decisions that have been arrived at by the other stakeholders.

It is not difficult to discern that in projects where the environment that is envisaged by the foregoing assumptions exists, PM&E is bound to be quite successful. Needless to say, in projects where the foregoing assumptions do not hold, it is impossible to achieve PM&E,
and the projects are bound to fail. It is therefore a great risk and a challenge as well; to take the aforementioned assumptions for granted and proceed to implement a PM&E process on their basis. Every assumption that is not verified by research/facts is a potential risk and a factor that can derail a PM&E process and therefore the entire development project.

The foregoing are some of the factors that can greatly influence PM&E of development projects. There is need therefore, for research to be done in order to determine how other factors not covered by earlier researchers - like the choice of participatory monitoring and evaluation model, level of education of project stakeholders, technical expertise of stakeholders in M&E, and planning for PM&E - affect the PM&E of development projects. This research is a step in that direction.

2.2.8 Participatory Monitoring and Evaluation Models

There are two main models of applying PM&E. Mulwa (2004). These are the top-down participation and bottom-up participation. The former is also known as masked participation whereby M&E is externally designed and implemented. Its design and purpose are externally conceptualized and actualized by 'experts'. On the other hand, bottom-up participation seeks to put the powerless stakeholders at the nerve center of PM&E planning and implementation processes. This way, it is believed that the powerless will gradually move towards assuming full responsibility over their own destiny in whatever project that they undertake to do.

Many development researchers and agencies like GTZ (1999), Mohan (2000), UNFPA (2004), Mulwa (2004 & 2006), Mayoux (2005), Anatole (2005), and FAO (2010), recommend the use of the latter model in the implementation of development projects. In this research report, the author argues that although the latter is the best model for implementing development projects, how it is applied will always influence project results positively or negatively.
2.2.9 Specific Projects that have Used Participatory Monitoring and Evaluation

In this section, various projects that have employed PM&E have been reviewed. This was done in a bid to establish the factors that influence the application of PM&E approach to development projects. The following are some of the projects:

a) Participatory Monitoring and Evaluation of Uganda’s National Agricultural Advisory Services Project (NAADS)

As the title suggests, NAADS project was carried out in Uganda in 2003 with the aim of engaging farmers in monitoring and evaluating a project in which they were beneficiaries. This project was spearheaded by Uganda’s National Agricultural Advisory Services (NAADS). According to Mangheni and Bukenya (2003), one of the major objectives of the project was to empower the farmers to take control in the development of agricultural activities. They note that:

...NAADS as a key component of the government's multi-sectoral Plan for Modernization of Agriculture (PMA) focuses on increasing farmers' access to improved knowledge, technologies and information. The philosophical underpinning for the NAADS design is the need to empower farmers - particularly the poor and women - to demand and control agricultural advisory services... (p.iii)

In its design, NAADS envisaged monitoring and evaluation to be carried out at various levels, namely, national, district, sub-county, and community. A total of 36 stakeholders were selected to participate in this project. After training, they were involved in data collection which was analyzed and findings were obtained. Among the critical lessons that came out of this project, is the importance of involving all relevant stakeholders in the process of designing of the methodology for PM&E. Mangheni and Bukenya (2003).

The challenges that were encountered in this project have also been discussed. This aspect of challenges is important to our study which focuses on the factors that influence
the application of PM&E approach in the management of development projects in Kenya. The challenges were categorized by Mangheni and Bukenya as follows:

i) Logistical: These included inadequate time allocated to activities, poor mobility of the interviewers, and inadequate facilitation in terms of funding for travel and upkeep. There was also inadequate mobilization of the communities and this either delayed the process or did not represent the population well.

ii) Community Related Challenges: The PM&E community facilitators were perceived as NAADS ‘representatives’ as opposed to community representatives; thereby affecting the envisaged community ownership of the process. It is reported that it was also difficult to get information from certain categories of the target informants. Moreover, it was not easy to make community members realize the importance of the PM&E; in as far as it sought to contribute to the improvement of the NAADS process for their benefit.

iii) Capacity of Local Facilitators: On this aspect, Mangheni and Bukenya (2003) record that despite the training that was given, there was less than adequate capacity of the community PM&E facilitators in conducting and recording an interview successfully. The monitoring checklist was also too long and tended to exhaust the respondents. Facilitators found some questions difficult to communicate and sequence with ease; thereby affecting the quality or type of responses.

Apart from the challenges encountered in this project, the researchers gave suggestions on how some of them can be addressed. However, solutions to many of these challenges were not addressed. This was a weakness in this project on the aspect of how the challenges that were encountered should have been addressed. These challenges therefore negatively affected the project outcome.

b) The Aga Khan Rural Support Programme in India

This study was based on the work of the Aga Khan Rural Support Programme in India (AKRSP-I) and shows how participation can be used to facilitate the implementation of a
pre-determined project. This approach of participation as discussed by Shah (1997) relates to ‘consensus-building’. The role of participatory approaches was to “to find a meeting ground to negotiate terms of collaboration”. The project in question relates to a dam building scheme where Participatory Rural Appraisal (PRA) was used to get an understanding of the villagers’ water resources, needs and storage solutions. Previously, the state had provided the dams for free, but the overall management was becoming problematic as the water table kept lowering. AKRSP-I became involved and introduced a contribution scheme for farmers. The farmers were not given an option in this regard, but the participatory exercise helped reach mutually agreeable solutions.

However, Shah laments that true empowerment where villagers are empowered to decide and prioritize development proposals without external influence was not achieved. This would probably imply that the PM&E approach that was used was partly the top-down model that is deemed not to be productive. This confirms the assertion by Mulwa (2004) that the top-down participation by stakeholders in development projects does not empower them to transform their lives through these projects. This tended to negatively influence the project outcome.

c) The CARE Bangladesh Community-based Flood Proofing Pilot (FPP) Project
This is another case study project that used participatory monitoring and evaluation. In 1996, CARE-Bangladesh began a three-year community based Flood Proofing Pilot (FPP) Project. This was in response to the horrible floods that had rocked Bangladesh in 1987 and 1988, Anatole (2005). The government presented a series of Flood Action Plan (FAP) studies to formulate and implement technically, financially, economically and environmentally sound solutions to the harmful effects of the floods in Bangladesh. Commonly known as ‘flood proofing’, the project entailed the provision of long term non-structural or minor structural measures that can be undertaken by individuals, families or communities to alleviate the effects of floods.
For sustainability, Anatole notes that each village formed its own committee called the Local Project Society (LPS) that worked for the villages. It was comprised of seven villagers and included, when possible, a community leader, a teacher or religious leader, a local social worker and a landless person (someone who had less than 1 acre of land and required to sell his/her labor). At least two members were to be women.

As for the monitoring and evaluation process, there were three separate sessions in each intervention session. The project team ensured the participation of people from different sections of the village in the entire task. Using the social map compiled in the planning phase, the LPS committee had to check whether participants represented all sections of the villages. This aspect resonates well with the requirements of a PM&E process as advocated for by many development scholars and agencies; UNFPA (2004), Mulwa (2006), FAO (2010). In order to evaluate the villagers' experiences of the floods, focus group discussions that were held helped to share the experiences of floods using visual indicators like the social maps. This was a means of assessing the progress that the villages were making towards meeting their indicator objectives. The village sessions led to the identification of new flood proofing measures, while findings from the PM&E activities helped to develop replicable and cost effective methodologies for flood proofing. The participatory monitoring and evaluation activities also guaranteed the project's sustainability in the flood prone areas of Bangladesh.

A look at this project reveals a high degree of involvement of the beneficiaries in the M&E of their own project for which all the stakeholders deserve commendation. However, it is clear that among the issues that were not addressed in this project are the challenges that faced the PM&E of the project and which probably limited its potential; and how they were addressed. These challenges are indeed some of the factors that influence the use of PM&E in implementing development projects.
d) Building Participatory Planning, Monitoring and Evaluation Methods in the Palestinian Agricultural Relief Committees (PARC) Project

According to Anatole (2005), this project was centered on building participatory planning, monitoring and evaluation methods in the Palestinian Agricultural Relief Committees (PARC). PARC is a Palestinian non-governmental organization that works in agriculture in rural areas of the West Bank and Gaza. It works with both men and women who are poor and marginalized farmers to help them advance their ability to make a living from farming and to develop a strong Palestinian agricultural sector. Under Israeli military occupation that has lasted since 1967, both the West Bank and Gaza’s economy has almost become totally dependent upon Israel. The residents have suffered from a lack of development with poor infrastructure, a negative investment climate, and the restrictions imposed by the military administration. Anatole (2005).

By using a PM&E approach, Anatole records that PARC focused on long-term goals, and started on building a sustainable and viable agricultural sector in this area. It turned out that taking part in community or interest group workshops was a great way for people to discuss and create ideas about the projects and work, while increasing the effectiveness of their communication. It also emerged that when there is a certain degree of individual focus, then participatory monitoring and evaluation can be developed more easily within projects or programs. When evaluations were finally carried out on the project, a team comprised of at least one member from the consultancy unit, program, field staff and the community; was set up to lead the process. This was seen to be quite inclusive. While stressing on this aspect of stakeholder participation it Anatole noted that:

...Community involvement is very important because if you have an outside evaluator come (sic) in, what they want can sometimes be very different from the program’s aim. For participatory monitoring and evaluation to be successful, it involves more than using different methods. it can only work with an understanding of the word participation, and this frequently means improving the skills of the people involved. When more participatory methods were presented,
the project staff started to see the benefits for themselves and their projects. This involvement allowed them to take the responsibility for the participatory monitoring and evaluation work and see it as a crucial part of the process... (p. 9)

Anatole (2005) observes that after participating in an organizational self-evaluation, the women’s unit of PARC in Gaza decided to use some of the participatory methods to evaluate their unit’s work in more detail. Because the project cycle is commonly presented as a circle connecting planning, monitoring and evaluation, from their experience, these women learnt that monitoring and evaluation can be seen as a way of measuring how a plan was implemented. That merely providing suggestions for future actions is not good enough: the cycle must include clear plans about what the next step should be. This revelation amplifies UNFPA’s (2004) conviction that PM&E should lead to learning and subsequent empowerment of the project stakeholders.

About the factors that influenced the management of the project, the researcher notes that circumstances in the West Bank and Gaza had several implications for agricultural development and the use of participatory methods. First, he says that the occupation by Israel severely limited the control that people may have wished to have over their lives, which made them feel helpless to promote change. Other than that, planning was complicated because of the extremely unpredictable and volatile situation at hand. The foregoing factors impeded effective participatory monitoring and evaluation. The study of these challenges of PM&E is vital to our research because they are some of the factors that influence the application of PM&E approach in the management of development projects. Knowing the above challenges helped us to focus on those that had not been explored as detailed in chapter 4 of this study.
2.3 The Influence of the Level of Education of Stakeholders on Participatory Monitoring and Evaluation

Many of the project staff who take part in the planning and implementation of projects (which includes M&E) are not professionally trained. Meredith and Mendel (2003) acknowledge this. They note that:

...Although the percentage of project managers who are academically trained is increasing, many of the current groups of project managers have no college-level training in the field. By far, the largest group got their training in one or more of three ways: on-the-job, project management seminars and workshops lasting from one-half day to two weeks, or active participation in the programs of the local chapters attached to the Project Management Institute... (p.125)

This implies that not anyone can take part in the planning and implementation of projects. Without any professional training in project management, some minimum level of education is required in order for one to learn on the job as Meredith and Mendel observe. In most cases, high school education is the minimum level that is required for anyone to work in any project as an official.

When it comes to the participation of other stakeholders in a project, a certain level of education is required in order to ensure the success of the project. In the Participatory Monitoring and Evaluation of Uganda’s National Agricultural Advisory Services Project, Mangheni and Bukenya (2003) used a careful selection process of the would be PM&E community facilitators with emphasis on selection criteria in which among the basic qualification requirements, was a minimum of Primary Seven level of education.

Going by this criterion that was used by Mangheni and Bukenya, it is clear that there is a great influence of stakeholders’ level of education on project management in general and PM&E in particular. These researchers concluded that the higher the level of stakeholders’ education, the more successful project management or PM&E will become, and vice versa. Research on other projects that have employed PM&E approach needs to
be evaluated in order to verify this finding. Our research is an effort to help bridge this gap.

2.4 The Influence of Stakeholder Technical Expertise in M&E on Participatory Monitoring and Evaluation

PM&E is fast becoming a distinctive and specialized area of monitoring and evaluation. This demands that its mastery and practice must be preceded by some form of training. Indeed, players within the field of project management like project and programme managers, M&E officers, project staff and external evaluators will of necessity require specialized training not just in project management and M&E; but specifically in areas like PM&E and results-based monitoring and evaluation (RBM&E). The other project stakeholders like the beneficiaries should also be taken through some form of training in PM&E in order to participate effectively in project PM&E.

Sambodhi Research and Communication Pvt Ltd. (2010) acknowledges that PM&E as an inclusive approach, is seeking for functional participation of all key stakeholders in a project and this underlines the philosophy of learning and adaptive management. It further observes that for any productive participation by stakeholders to take place in the M&E of a project, there must be specialized training in methods and tools of PM&E. According to Sambodhi Research and Communication Pvt Ltd (2010, p.1):

...The advent of PRA led to development of methodologies and tools that facilitate informed stakeholder engagement at all stages of the project. Concurrently, the conventional monitoring and evaluation approach have given way to process and learning oriented Participatory Monitoring and Evaluation (PM&E) approaches. However, effective facilitation of these Participatory Monitoring and Evaluation protocols requires development of requisite capacities of project personnel in general and M&E personnel in particular so as to anchor these functions for participatory and iterative learning...
Consequently, many development agencies have come up with training modules and toolkits in PM&E for the purpose of building the capacity of their stakeholders in this critical area of project management. FAO (2010) for instance has a Training Module on Participatory Community Monitoring and Evaluation for all the stakeholders that take part in the monitoring and evaluation of its projects. This module inter alia, defines what PM&E is, gives the aims of PM&E and discusses the salient steps in the PM&E process; which every player in the process must be familiar with.

On the other hand, UNFPA (2004) has a Programme Manager's Planning, Monitoring and Evaluation Toolkit. This toolkit clarifies the significance and different modalities of stakeholder participation in programme monitoring and evaluation, among other issues. This implies that the manager has to acquaint himself or herself with this toolkit and also seek to train all the other stakeholders in PM&E approaches for them to effectively participate in the M&E of project or programme activities.

Like UNFPA (2004) and FAO (2010); Kaaria, Sanginga and Murithi (2010) have underscored the need for training for PM&E for purposes of capacity building. They observe that it is not only important to train the community in PM&E as a capacity building measure; but also the project staff and other stakeholders. They note that capacity building for beneficiaries in PM&E involves training on the use of participatory approaches for M&E within communities, and the skills of facilitation that are required to engage stakeholders especially the communities in the PM&E process. About skills for the project staff and other researchers that enable them to engage effectively with communities, Kaaria et al emphasize that:

...Working with communities requires not only having the technical capacity or technical messages, technologies and information to deliver to farmers but (sic) skills to effectively engage with communities as partners and in a way that allows cross learning between researchers and communities. This engagement determines the extent to which communities and beneficiaries feel (sic) part of the project... (p.12)
From the foregoing, it is evident that for successful PM&E to take place, there has to be deliberate training of all the stakeholders in PM&E approaches. These include the program managers, project managers, project staff, M&E staff, external evaluators, project beneficiaries among others. In addition, it is critical for all project stakeholders to be alive to the fact that training in PM&E alone does not guarantee a successful implementation of an M&E plan. It is also critical for each stakeholder to be committed to PM&E ideals and positively endeavour to actualize them in their project: because more often, this is the missing link in a PM&E process of managing a development project.

2.5 Planning

Planning can be defined as the process of deciding about what objectives to accomplish, the actions to be taken in order to achieve them, the resources needed, the organizational positions assigned to do them, and who should be responsible for the required actions. No project can succeed without proper planning because planning precedes all other phases. Generally, in any kind of planning, there are steps (Weihrich, Cannice & Koontz, 2008) that must be followed. They are briefly discussed hereunder.

The first step is the identification of opportunities in order to weigh them against own strengths and weaknesses. This way, it is possible to decide whether the project will be useful or not. The second step is to establish objectives. Objectives are statements of measurable outputs and they help the stakeholders to work towards the achievement of these outputs. A monitoring and evaluation process will not succeed without clear targets in the name of objectives. The next step in planning is premising (developing premises). Premises are planning assumptions about the environment in which planning takes place. Planning premises are critical as they set the parameters or boundaries within which realistic goals can be formulated. They help the project team to have goals that are feasible in the prevailing environment.
The fourth step entails determining alternative courses of action. Although there may be many alternatives, it is important to know all of them as a basis for coming up with only a few viable ones. It is then followed by evaluating alternative courses of action. Here, the strengths and weaknesses of every option are considered against set objectives. Evaluation should be in terms of risk, profitability, returns, costs, technology, image, environmental impact among other factors. The question about which alternative will yield the best chance of meeting the goals at the lowest cost and highest benefit is critical.

The next logical step in planning then is to select a course of action that will be implemented. At this point, a specific plan is adopted. The seventh step is formulating derivative plans that are required to support the basic plan. Lastly, the plans must be quantified by budgeting. This is normally done by converting the plans into budgets representing income and expenses, profit and losses, or investment and returns.

### 2.5.1 Planning for Participatory Monitoring and Evaluation

Planning for PM&E should be inbuilt within the entire project planning process because it represents a significant part of the project. According to UNFPA (2004), planning for monitoring and evaluation should therefore be an integral part of any programme or project design, so that timely M&E information is available to inform decision-making and ensure that accountability is demonstrated to the stakeholders.

### 2.5.2 Importance of Planning for Monitoring and Evaluation

According to Charities Evaluation Services (2010), there are many reasons as to why monitoring and evaluation should be preceded by planning. To begin with, planning helps the project organization to identify the objectives of carrying out M&E and the people for whom it is to be done. Planning also helps to identify the indicators of the variables that will be monitored and evaluated. Moreover, it helps to map out the procedure by which monitoring and evaluation should be done; from planning to the utilization of the findings of the entire exercise.
Planning for M&E also enables the project team to determine the people who will be involved in the M&E exercise and if they have the requisite skills for it. The question of when M&E should be carried out during the lifetime of a project is also the subject of planning. The amount, type and sources of resources that will be required in order to accomplish M&E is also determined during planning for M&E. Finally and equally critical, how the findings of the M&E evaluation exercise will be utilized is one of the aspects that are given prominence during the planning phase of an M&E process.

In order to ensure that all the stakeholders are involved in the M&E process, Mangheni and Bukenya (2003) have empirically demonstrated the importance of involving all relevant stakeholders in the process of designing its methodology. They emphasize that:

...a preparatory phase involving making the necessary consultations with all relevant stakeholders on the what, who, how, and 'when' questions of the PM&E methodology is inevitable if the information generated is to address the needs of all relevant stakeholders. This would also ensure ownership of the results (both positive and negative) of the process by all relevant stakeholders... (p. 8)

This definitely underscores the need for adequate and relevant planning for PM&E. From the foregoing, it cannot be belaboured that planning in PM&E is critical for the success of any project. However, how much is known about the challenges that are related to planning for PM&E on the outcome of the various projects that have been undertaken so far? There is need therefore for research to be done on various projects in order to establish how the element of planning for PM&E influences the outcome of a particular project. An inquiry into how planning influences the application of participatory monitoring and evaluation approach of managing development projects in Kenya-which is part of the subject of this study-is an effort to bridge this gap.

2.6 Theoretical Framework.

This study was guided by the theory of participatory development (PD). PD is a development approach that has gained currency within the last five decades. Mulwa
(2004, p. 14) acknowledges this and observes that, "...in the last thirty or so years, participatory methodologies have come as an idea sweeping across Africa with power to reckon with..."

The rise of PD represents a paradigm shift from the modernization, the social welfare and the neoliberal paradigms referred to earlier in this chapter. These three theories have been blamed for the social, political and economic disempowerment of the very people who are supposed to assume the central-pillar role in development. In fact, it is the shortcomings of these theories that engendered the paradigm shift to PD.

2.6.1 Defining Participatory Development

Participatory development can be referred to as a development approach in which the local people are fully involved in the creation and managing of a project, program or policy that is designed to change their lives. This is a general definition of PD. It is therefore worthwhile to consider the various dimensions in which various organizations and experts look at PD.

GTZ (1991, p.5 cited in Nelson and Wright, 1995, p.4) defines participation as "...co-determination and power sharing throughout the...programme cycle..." This definition attaches a lot of importance to the need to empower all project stakeholders to enable them to make informed decisions. Moreover, according to Mohan (2001), the other implication is that participation involves external and local agencies working together on a project basis. Team spirit should thus be nurtured.

During the mid 1990s, the World Bank established a ‘Learning Group on Participation’ which started a series of participatory poverty assessments, (Narayan, Patel, Schafft, Rodemacher, and Koch-Schulte, 2000). For World Bank (1994, p.6 cited in Nelson and Wright, 1995, p.5), participation in development should involve stakeholders who "...influence and share control over development initiatives, decisions and resources which affect them..." Mohan, Brown, Milward, and Zack-Williams (2000) see this statement by World Bank as an important acknowledgment (of participatory development) which fed into the ‘good governance’ agenda that sought to share
responsibility for project implementation; compared to the 1980s where aid-receiving countries had their polices driven entirely by the donors.

Many experts in the filed of development view the above conceptualizations by GTZ and World Bank as being too general and therefore seek to offer alternatives. Rahnema (1992) for instance, proposes that PD involves three core elements as follows: The cognitive element which allows the generation of alternative ways of understanding the realities that ought to be addressed in development. Then, there is the political element for empowering the voiceless people in development; and finally the instrumental element which allows the proposition of new alternatives in development.

On the other hand, UNDP (1993) categorized participation into four key forms namely household, economic, social-cultural and political; and emphasized that these forms of participation interact and overlap. According Mohan (2001), UNDP is more prescriptive about what each form of participation entails than Rahnema.

Despite the varying viewpoints about what participation in development involves, all the definitions are clear about the point of focus. They all indeed emphasize the need to empower people who should thereafter determine and influence their development agenda. They recognize that PD is driven by the philosophy of entrusting citizens with the responsibility of shaping their own future.

2.6.2 The Rise of Participatory Development

Immediately after the post-independence euphoria of the early 1960s in Africa, it became clear that time had come for people to assume greater control of their own destiny. This according to Mulwa (2004), was largely because of the harsh lessons of the prevailing conditions of the late 1960s and the 1970s that made people to become more disillusioned with the economic decay and widespread exploitation. This led to social impoverishment that set on course deterioration of living standards for the majority of the people. Consequently, many people came out to call for a different theory of development as it became increasingly imperative that the status quo had to be dispensed with. A paradigm shift in development was inevitable. Nyerere (1973, cited by Mulwa, 2004, p.14) for
instance, is said to have put up a strong case that people can only develop themselves “by what they do. They develop themselves by making their own decisions, by increasing their own knowledge and ability and by their full participation as equals…”

Nyerere’s position is strongly complimented by that of Freire (1973) who argued and underscored the need for empowerment and social engagement of the people as a way of promoting meaningful community development. Freire holds that critical consciousness and empowerment of the people are key foundations in development and can be attained through literacy programmes. He calls for an education setting that can help liberate people and encourage social engagement for all.

The foregoing position has been echoed by many development organizations including UNDP (2001). UNDP has a clear understanding of development as a process that entails much more than the rise or fall of GDP. It is about engendering an environment in which people have capacity to develop their full potential and lead creative and productive lives. Indeed, it is a fact that people have always wanted to be given an opportunity to take part in their own development. UNDP (1993, p.1) long acknowledged and is promoting this desire. It says that: “…People today have an urge - an impatient urge - to participate in the events and processes that shape their lives. And that impatience brings many dangers and opportunities…”

It is no wonder therefore that there was a compelling need to find an approach that could meaningfully and productively involve people in development. The PD theory of development appears to have answered to this need. From the foregoing, is clear that PD is the best way to go in the management of development projects.

2.6.3 Types and Levels of Participation in Development Projects

There are two major types of participation in development projects namely the passive/masked/top-down participation on one hand; and active/authentic/bottom-up participation on the other (Mulwa, 2004). Each type is briefly discussed below.
a) Top-down Participation

This is also called passive or masked participation. Participation that takes a top-down approach is the type that is externally designed and implemented. It is therefore not within the beneficiary group’s control. Normally, its design and purpose is externally conceptualized by the so called experts. There are three levels of top-down participation according to Mulwa as follows:

i) Extractionist Participation

This model of participation takes the form of the well known central government type of planning where ‘blue -prints’ are prepared and handed down to the masses for execution through the elaborate government extension networks. In this model too, the planners view participation as a process of drawing-in people into the implementation of predetermined development goals.

Emphasis is often laid on the role of the central government planning bureaus in the identification, planning and implementation of development activities and projects. Often, people’s involuntary financial and material contribution towards public projects is common. The people are usually treated as objects to be used by development experts in executing plans that are not familiar to them. Hardly is peoples’ input sought beforehand.

It is the kind of model in which people are denied planning and decision making opportunities regarding community development. This is mainly because the top-down approach assumes that people do not know what their development needs and priorities are and what ought to be done in order to solve their development problems. According to Cohen and Uphoff (1977, in Mulwa, 2004), law enforcement coupled with punitive measures are employed to coerce people to cooperate where persuasion fails.

It is thus clear that in extractionist participation, people’s democratic rights and values are negated. This goes against the spirit of true participatory development process as discussed by UNDP (2001), Mulwa (2004), UNFPA (2004) and Mayoux (2005) among others. This is particularly so, when credit for success of projects is accorded to the project staff while blame is apportioned to the conservative rural folk; as is normally the
case in many development projects. This kind of participation has no place in modern society.

ii) Vertical Participation

According to Bryant and White (1982, cited in Mulwa, 2004), this kind of participation finds expression in the circumstances where community power brokers design and develop mutually beneficial relations with individual elites or government officials as the basis for people’s mobilization for participation.

Mulwa notes that the patron-client networks and political alliances are illustrative of vertical participation. In such cases, people do not focus so much on influencing government policies, but rather on developing and bolstering paternalistic relationships - with influential people in society - that will assure them of immediate and long-term benefits.

Under this kind of framework-Mulwa goes on to say-the power brokers develop vertical linkages with their patrons from whom they individually benefit with some peanuts trickling down to the people they represent. The masses are perpetually kept under illusionary expectations of security in time of hardships alongside the intermittent and insignificant trickles of material benefits that come their way. According to De Beer and Swanepoel (1998 as cited in Mulwa, 2004 p.113), in this approach, people are co-opted into the execution of top-down determined development plans and projects.

Vertical participation can also take another form whereby people’s elected or chosen representatives are eventually compromised by influential stakeholders in society despite initially having started off with good intentions; (Mulwa, 2004). Mulwa’s suggestion for a solution is quite apt. He recommends that people should come up with their own independent base of authority from where leaders are democratically elected to represent the group in development projects. The leaders should wield the ability to demand for a give-and-take negotiating environment and be able to bargain effectively on behalf of their groups. Such local leaders should have a clear mandate with time frames within
which their objectives should be achieved, apart from establishing accountability procedures.

Indeed as Mulwa recommends, this method of ensuring meaningful representation - and therefore participation – is more workable as opposed to mere representation without a clear mandate and accountability mechanisms.

iii) Handout-induced Participation

This type of participation has been conceived and understood in terms of the handouts that can be received by people from a development activity. This type of participation has often been practiced with full knowledge of its enormous shortcomings. The following excerpt is informative about this perception of development:

... This perception has been more associated with economists and technocrats, who even though conceding the widespread failure of conventional development approaches in the alleviation of poverty, maintained the supremacy of development expertise and technical know-how, over the potential for the ordinary people to assume such responsibility. Their argument is that since poverty is basically caused by mal-distribution of the benefits of development, it would consequently be sufficient to emphasize on “equitable” distribution of growth through handouts to the people and leave the development designs to experts. Hence, people’s participation is ensured through their fair share in the benefits accruing from development endeavors... (Mulwa, 2004, p.114)

Expectedly, people are left without any room to meaningfully participate in identifying and solving their own problems. Indeed, features of handout-induced participation point to an approach that often stifles people’s initiative and abilities. For instance, consider the fact that this approach tends to entrench the dominance of professional knowledge and expertise over local knowledge skills and experience. Moreover, people have to always wait for professional guidance and approval to make any progress.

The basis of the handout induced participation is the modernization school of thought which considers poverty to be endogenous. This is to mean that poverty is caused by
internal factors such as ignorance, disease, disasters and harsh climatic conditions. People exacerbate the situation through lazy tendencies and unwillingness to work. Proceeding from this background, development planners perceive the answer to poverty in terms of delivery of goods and materials to the people in the form of technological assistance that is determined by the external planners. This approach to development has been tried in many countries and the results leave a lot to be desired. (Mulwa, 2004).

The handout-induced participation model is a dangerous one because of its inherent major weakness namely; it is an endeavour to deliver ‘development’ to the people through expert knowledge, materials and resources from outside the community. A major feature of this trend is the tendency for people to readily accept expert-led knowledge banking lectures in a training seminar that is immediately rewarded with a certificate even when the participants know little about how to apply the knowledge gained. The handout-induced participation is thus one that encourages dependence and breeds a paternalistic society without initiative for self-sustenance in all spheres of life.

In conclusion, it is not difficult to discern that the top-down participatory approach is replete with shortcomings and it cannot be relied upon for any meaningful development. In fact, many development agencies, practitioners and researchers are warning against the use of this approach in development efforts.

b) Participation as a Fundamental Bottom-up Development Approach

This type of participation is also referred to as authentic participation, Mulwa (2004, p.117). The bottom-up participation approach is considered to be the ideal model due to its endeavour to empower the powerless. In this manner, it is envisaged in this approach that the powerless will gradually move towards assuming full responsibility over their own destiny.

As opposed to the handout-driven participation philosophy, this approach proceeds from the orientation that poverty is a structural consequence of the structural forces of the local and global society. Poverty can not therefore be attributed to people’s attitudes including
lack of industry. Mulwa (2004). With this understanding therefore, it should be everybody’s responsibility to improve the society and the world in general to make it a place for all to live happily.

Proponents of authentic participation view it as an approach to development whose impact should go beyond the delivering of the economic well-being of the society. In this case, authentic participation would be incomplete without the dimension of empowerment which entails a more equitable sharing of power and an advanced level of political awareness coupled with strength for disadvantaged masses. Bhatnagar and Williams (1992, p.178) emphasize that “the most important result of a development activity might not be an increase in economic production or incomes but rather the development of people’s capacity to initiate actions on their own, or influence decisions of more powerful actors”.

Authentic participation should also be characterized by deliberate capacity building efforts among the beneficiaries of development projects. This is critical in order to guarantee sustainability of development benefits beyond the period of external intervention. It is assumed that enhanced beneficiary interest and competence in development management existent in authentic participation will contribute immensely to this sustainability.

Authentic participation as a bottom-up approach also aims at distributing power equitably in the society. This is done by empowering the marginalized and disadvantaged groups. The rationale for doing this is that it is power that has the ability to enable people to determine whose needs are to be addressed through fair distribution of resources. Mulwa (2004, p.118) views authentic participation as the most suitable approach to development. He notes that:

“...Genuine participation practice will not only seek to involve the beneficiary communities in project design and implementation, but more importantly; the process will seek to link people’s felt needs with the project goals and objectives.
This is another milestone in ensuring local ownership and the sustainability of project benefits long after the donor funding is withdrawn...

It is therefore clear from the foregoing that bottom-up PD is the type that guarantees the success of any given project. It does not only help to sufficiently empower the project beneficiaries to gainfully get involved in project design and implementation, it also ensures that the project objectives address people's priority needs. This is the type of participatory model that development projects should be keen to promote for a lasting impact.

2.7 Conceptual Framework

This section describes the variables of the study problem and the relationships existent between these variables. The conceptual framework for this study is an embodiment of several categories of variables and how they interact as explained below.

2.7.1 The Research Variables

The following are the variables that were considered for this study:

a) Independent Variable

An independent variable is that variable that has the capacity to cause changes in the dependent variable(s), Kothari (2005). In this study, the independent variables were as follows:

i. Type of participatory monitoring & evaluation model used.

ii. Level of education of the project stakeholders.

iii. Stakeholder expertise in M&E.

iv. Planning for PM&E.
b) Dependent Variable

A dependent variable is one whose outcome is as a result of the manipulation of the independent variable. In this study, the dependent variable was PM&E, which can be heavily influenced by the manipulation of the independent variables.

c) Moderating Variable

This is a variable which may partially be compared to the independent variable because it has a contingent effect on the relationship between the dependent and the independent variables. In this study, the moderating variables were identified to be government policy that relates to operations of NGOs, and funding of the project. Funding can easily influence PM&E of a project depending on whether it is adequate and regular or not. There is a differential pattern of relationship between the stated moderating variables on the one hand, and the relationship between the independent and dependent variables on the other. This study was keen on the possible effect of the moderating variables but nonetheless, did not go ahead to study them.

d) Intervening Variable

This is a variable that has the capacity to affect the relationship between the dependent and independent variables although it is extremely difficult to measure the nature and level of their influence. In this study, corruption and cultural issues were identified to be the intervening variables. This study took note of the existence of these variables but did not attempt to study them.

e) Extraneous Variable

This is an independent or dependent variable that has the capacity to affect a given relationship to a certain degree although such a variable is always ignored due to its negligible effect in research. Stakeholders’ attitudes to projects and the project environment were identified as factors that can be extraneous variables in this research. This research however, did not pay attention to them. The variables in this study can be illustrated in the conceptual framework shown below.
Figure 2.1 illustrates the relationship between the various research variables. It shows that this study has four independent variables which interacted with the dependent variable to give the various relationships that are exhaustively discussed in chapters 4 and 5 of this research report. The variables that are identified as independent in this conceptual framework were found to have had the greatest influence on the dependent variable which is participatory monitoring and evaluation.
2.8 Summary

In the foregoing chapter, various pieces of literature have been reviewed about PD in general and PM&E in particular. This has included both primary and secondary data. It has also covered theoretical as well as empirical literature generated from actual studies on participation in development projects. There is consensus that PM&E of the bottom-up model is the best approach in the management of development projects.

However, first, there is urgent need to carry out comparative studies involving development projects that have used CM&E on one hand and those that have used PM&E on the other, in order to measure the real outcome of the adoption of PM&E in management of development projects. So far, the available literature depicts that most of the emphasis is on the benefits of PM&E when looked at in isolation.

Secondly, the reviewed literature has identified and discussed various factors that influence the application of PM&E in managing development projects. However, this alone is not enough as most of the arguments such as those of Mohan (2001), Mulwa (2004), Mayoux (2005), Mulwa (2006), and Nina & Gage (2007); are made from a theoretical perspective. There is therefore need to undertake empirical studies on various development projects in Kenya with a view to establish how these factors affect specific projects.

Furthermore, studies on some the projects that have used PM&E, did not address the factors that influence the application of PM&E in managing development projects at all; (refer to Anatole, 2005). There is thus need to study various development projects with a view to identifying as many of such factors as possible.

More importantly, all the reviewed literature has not addressed the various factors that influence the application of PM&E in development projects, of the type that are the subject of this study. This is precisely why this research focused on these factors in the Kenyan context. We invite other scholars and researchers in the area of PD to take up the first concern and carry out comparative studies to measure the outcome of employing PM&E in managing development projects.
CHAPTER THREE

RESEARCH METHODOLOGY

3.1 Introduction

This chapter details the research design, the sampling design, data collection methods and tools, and data analysis techniques that were used to accomplish the study.

3.2 Research Design

A research design can be defined as a plan or blue-print that is used to conduct a study. It is a conceptual structure that guides data collection, data analysis and the resultant interpretations, Kerlinger (2004). A research design is critical in any research because it enables the researcher to logically draw inferences concerning causal relationships amongst the variables of a research.

This research employed a descriptive survey design. This research design entails presenting questions to respondents and recording their responses for analysis and subsequent interpretation; and describing the findings as accurately as possible.

This research also took a cross-sectional approach because it undertook to study the research variables at a particular point in time (at the time of the study). In essence, it did not involve the studying of the variables over a long period of time. Finally, this study was both quantitative and qualitative especially with regard to the type of data that was collected, the methods that were used to collect the data, and the way data was analyzed and presented.

3.3 Target Population

In this study, the target population was composed of all the people who were involved in the implementation of the LLP in Kibera, and it was five-fold as follows:
i) One (1) programme manager.

ii) Six (6) project staff who were in charge of the LLP at CARE-Kenya.

iii) Three (3) CEOs of the three CBOs that were implementing the LLP in Kibera and which took part in this survey.

iv) Thirty two (32) CBO staff.

v) One thousand two hundred and three (1,203) care givers who worked under the CBOs.

Thus, the target population was 1,245. Out of this population, a sample was selected upon which data was obtained and analyzed.

### 3.4 Sampling Design

Owing to the nature of the study population, the sampling design that was employed entailed both probability and non-probability sampling. This sampling design enabled us arrive at our target sample units which comprised the CARE-Kenya LLP staff, the selected CBO staff, and the selected caregivers in various CBOs. The sampling design is summarized in the table given below as follows:

*Table 3.1: Sampling Matrix*

<table>
<thead>
<tr>
<th>SAMPLING DESIGN</th>
<th>TARGET POPULATION</th>
<th>SAMPLING TECHNIQUE</th>
<th>SAMPLE UNITS</th>
</tr>
</thead>
<tbody>
<tr>
<td>PROBABILITY-SAMPLING</td>
<td>1,203 Caregivers</td>
<td>Random</td>
<td>133 Caregivers</td>
</tr>
<tr>
<td></td>
<td>6 Project Staff</td>
<td>Census</td>
<td>6 Project Staff</td>
</tr>
<tr>
<td></td>
<td>32 CBO Staff</td>
<td>Census</td>
<td>32 CBO Staff</td>
</tr>
<tr>
<td>NON-PROBABILITY</td>
<td>3 CBO Chief Executive Officers</td>
<td>Purposive</td>
<td>3 CBO Chief Executive Officers</td>
</tr>
<tr>
<td></td>
<td>1 Programme Manager</td>
<td>Purposive</td>
<td>1 Programme Manager</td>
</tr>
</tbody>
</table>
As indicated in Table 3.1, probability sampling was used to obtain sample units out of the total number of caregivers in the 3 selected CBOs. Two-stage random sampling was used. Out of the 12 CBOs, random sampling was used to select 3 CBOs for the study by picking on every 4th CBO. Thereafter, within each of the 3 selected CBOs, numbers were assigned to every member of the caregiver population; then every 9th member was selected to give the total number of sample units per CBO. A total of 133 sample units were obtained. In other words, the 3 selected CBOs with a total population of 1,203 caregivers yielded 133 caregivers to be used as respondents in the study.

Census was another method that was used to select all the 6 CARE-Kenya LLP staff. Census was also used to select all the 32 CBO staff from the selected CBOs; as part of the sample units for this research.

In non-probability sampling, the required number of sample units is normally selected deliberately depending on purpose of the research. In which case, only the units that bear true characteristics of the population (Dooley, 1995) are included in the sample. Thus, purposive sampling was used to select the CEOs of the 3 CBOs that were involved in this study; and 1 programme manager. As Patton (1990) puts it, purposive sampling technique is popular in qualitative studies and it entails the selection of subjects that have particular characteristics.

In arriving at the sample of 175 respondents as detailed in Table 3.1 above, the study used the formula that was proposed and used by Yamane (1967, p.886); for determining the appropriate sample size for research. The formula as employed in this study is as follows:

\[
 n = \frac{N}{1 + N(e)^2}
\]

Where: 
- \( n \) = Sample size
- \( N \) = Target Population
- \( e \) = Level of Precision

50
Therefore using a target population of 1,245 and 0.07 level of precision, the sample size of 175 units for this study was arrived at as follows:

\[
n = \frac{1245}{1 + 1245 (0.07)^2}
\]

\[
n = \frac{1245}{1 + 1245 (0.0049)}
\]

\[
n = \frac{1245}{1 + 6.1}
\]

\[
n = \frac{1245}{7.1}
\]

\[
n = 175
\]

3.5 Methods of Data Collection

Since this research employed a survey design, the following data collection methods were found to be suitable and were subsequently used:

a) Interviews:

Interviews can take several forms and the ones that were used for the purpose of gathering data for this research have been considered as detailed below.

i) Focus Group Discussion (FGD)

This was used to gather data from the CARE-Kenya LLP project staff. This method was ideal here owing to the fact that the concerned project staff members constituted a homogeneous group that had almost common information about the project. This discussion was aimed at giving high quality data because each respondent was going
to give responses in the context of the responses from the other staff members. The design of the FGD was engineered to ensure that this was achieved. The researcher assumed the role of moderator, while project staff members were the respondents. A total of 6 LLP staff from CARE-Kenya took part in the FGD.

ii) Personal Interviews
This method was used to collect data from the programme manager, the project manager, and the CBO chief executive officers. The face-to-face interview approach was used. On the part of CBOs, a CBO chief executive officer or the deputy were expected to give information about the role played by his/her CBO in the implementation of the LLP. A semi-structured interview approach was used to collect data from these respondents. The programme manager, the project manager, and the CBO chief executive officers who took part were considered as the key informants.

b) Questionnaires
This method was used to gather data from the CBO staff and the caregivers who worked under each of the 3 CBOs that were involved in the project. This method was suitable for this category of respondents mainly because their number was big and interviews would not have been appropriate. This method involved presenting written questions to the respondents who then provided responses to the questions in written. Questionnaires were useful tools in this method. The questionnaires were designed to have several sections. The first section had items that sought to capture personal information of the respondents while the other sections had items that sought to bring out information about the various research variables that were under investigation.

The questionnaires were distributed by the researcher to the respondents who were given 4 days to respond to the items in written. Thereafter, the researcher collected the completed questionnaires for onward data analysis and interpretation.
c) **Document Analysis**

This method of collecting data was used to study all the relevant documents that relate to the LLP in Kibera. These included the project plan, the M&E plan, stakeholder management plan and records, the project progress records, and the PM&E tools.

Document analysis was critical in this study as it enabled the researcher to know if the LLP had a project plan and also a PM&E plan; and if the project was being implemented according to the laid down plans. Moreover, data that was gathered from document analysis helped in triangulating information obtained by the use of personal interviews, FGD, questionnaires and direct observation.

d) **Direct Observation**

This method of data collection was used to ascertain the availability of the project plan, M&E plan, evaluation plan, CBO management teams, project staff, project beneficiaries, and other project resources. An observation schedule was used.

3.6 **Validity of Research Instruments**

Validity can be defined as the degree to which results obtained from the analysis of data truly represent the phenomenon that is being investigated; Mugenda and Mugenda (2003). The validity of the research instruments (questionnaire and guide for key informants) that were used in this study was obtained by use of content validity. According to Dooley (1995), we assess the content validity of a test by judging how well the test's sample of questions represents the entire domain of what is being studied. Using this method, the researcher assessed the validity of the questionnaire by inspecting its content, and assessing if the sample questions that were used fairly represented the whole domain of all possible questions about a particular variable. The questionnaire was then passed on to other research experts who confirmed that the items were indeed valid.
3.7 Reliability of Research Instruments

Reliability can be defined as a measure of the degree to which a research instrument yields consistent data or results after every repeated trial; Mugenda and Mugenda (2003). In this research, reliability was obtained by use of test-retest method which entails the measuring of reliability of scores or results by administering an instrument two or more times to the same group of respondents. The researcher administered the questionnaire twice to a group of 15 respondents who had been selected randomly from the population. Then, the scores from the two attempts were correlated to establish the reliability of the tool. The scores were found to have had a high correlation and this confirmed that the tool was reliable.

While discussing about validity and reliability, Li (2003) and Sandage (2008) are in agreement that reliability is not a necessary condition for validity. Li (2003) goes further to observe that although many authors on this subject do not keep in mind the distinction between these two concepts when discussing this subject; the reliability and validity measurements will be clear if the distinction is pointed out. Away from the two authors’ debate, it is important to note that both validity and reliability are necessary conditions for good research instruments and results. However, as stated above, it should not be taken for granted that the existence of reliability guarantees the validity of a tool or test.

3.8 Data Analysis Techniques

This stage of the study entailed the use of statistical tools of measures of central tendency to analyze the data. The mean and mode were widely used. Thereafter, the patterns of relationships existent between the various study variables were established.

Data was analyzed using the variable approach. For quantitative data on the model of PM&E that was applied in LLP, the mode was the main tool of analysis that showed how many respondents indicated that a particular model of PM&E was used in the PM&E of the project. For the level of education variable, the mean and mode were the tools of analysis; they were used to determine the level of education of the respondents and how it
affected PM&E. About the technical expertise in M&E variable, the mean and the mode were the tools of analyzing the collected data. They were used to help to determine the level of technical expertise of the respondents in M&E and how it influenced PM&E. Finally, for the planning variable, the mode was the tool of analysis that helped in determining whether planning was participatory or not, and the attendant implication of this on PM&E.

For each variable, data was presented using tables. A combination of tables and a bar chart were used to present data on the demographic characteristics of the respondents. Textual data presentation was also used for qualitative data. For all the qualitative data, descriptive methods of analysis were applied. These involved broad and in-depth narrative descriptions of the phenomena in order to pave way for logical findings and conclusions. The data that was largely amenable to this kind of analysis was that data that was obtained by the use of FGD, face-to-face interviews, document review and observation. As can be seen in chapter 4, data was analyzed interpreted and presented using the variable approach. A recapitulation of how the research variables were operationalized is shown in Table 3.2 below.

3.9 Operationalization of Variables

Table 3.2 has been used to illustrate the operationalization of the variables that were used in this study. The table captures details that relate to independent and the dependent variables only. The other types of variables (moderating, intervening and extraneous) were deliberately left out because it would be difficult to depict their interaction in this table; and also because they have been addressed in the conceptual framework in section 2.7 and Figure 2.1 of the previous chapter, of this report.
### Table 3.2: Operationalization of Variables

<table>
<thead>
<tr>
<th>Objective</th>
<th>Variables</th>
<th>Indicators</th>
<th>Measurement</th>
</tr>
</thead>
</table>
| 1. To explore the influence of the bottom-up PM&E model on PM&E of the Local Links Project. | Independent Variable: PM&E Model  
Dependent Variable: PM&E | Participation by all Stakeholders | Partial participation determined by the top management  
Full participation determined from below by the stakeholder(s) |
| 2. To examine the effect of level of education of project stakeholders on PM&E of the Local Links Project. | Independent Variable: Level of Education  
Dependent Variable: PM&E | Academic attainment | Degree and above  
Diploma  
Certificate  
None |
| 3. To establish the influence of technical expertise of project stakeholders in M&E; on the PM&E of the Local Links Project. | Independent Variable: Technical expertise in M&E  
Dependent Variable: PM&E | Training in M&E and PM&E | Degree and above  
Diploma  
Certificate  
Seminars & Workshops  
None |
| 4. To examine the effect of planning for PM&E on the PM&E of the Local Links Project. | Independent Variable: Planning for PM&E  
Dependent Variable: PM&E | Plans available, clear and specific | Availability of plans  
Clarity specificity of plans |
3.10 Summary

This chapter has detailed the research design that was used in this study, the target population, the sampling design, methods of data collection, data analysis techniques, and the validity and reliability measures for the research instruments. It ends with a section on the operationalization of variables.
CHAPTER FOUR

DATA ANALYSIS, PRESENTATION AND INTERPRETATION

4.1 Introduction
This chapter presents the analysis of the data that was collected and the study findings. The variable approach has been used to present this chapter.

4.2 Preamble
This study sought to identify and examine the factors that influence the application of PM&E in the management of development projects in Kenya with a focus on the LLP that was implemented in the Kibera slums of Nairobi. As explained in chapter 1 (section 1.8), the LLP was sponsored by CARE-International and implemented by CARE-Kenya and other local partners. The two major areas of intervention of this project were the support for educational and other personal needs of the OVC on one hand; and the mounting of group savings and loan (GS&L) initiative for the caregivers who were organized in small manageable groups. The caregivers were in charge of the OVC.

For the OVC support initiative, a few schools were identified within the slum area where the fees, stationery, uniform and meals for the OVC were catered for by the LLP sponsors. On the other hand, the LLP supported the caregivers within the framework of their various CBOs to mobilize savings and start income generating activities using the GS&L approach; and this was aimed at complementing the OVC initiative. Three CBOs were selected to participate in this study with a total of 1203 caregivers (514 from HAKISHEP, 401 from YDF, and 288 from KICOSHEP). Together with 35 CBO staff, and 7 CARE-Kenya LLP staff, this study had a target population of 1245 people, out of which a sample of 175 was obtained and used in the study.

4.3 General Information
As detailed in chapter 3 section 3.4, a total of 175 respondents participated in the study. The following features were noted about them:

58
a) Gender

Out of the 175 respondents, 52 were male while 123 were female. This is depicted in Figure 4.1 as follows:

*Figure 4.1: Respondents' Composition by Gender*

It is clear that the number of women who participated in the project was bigger than that of men. This was attributed to the fact that most of the men in Kibera slums work in the neighbouring up-market estates, the industrial area and the Nairobi central business district as cleaners, gardeners, security guards, loaders and shop attendants. As a result, they spend most of their time away from home. This means that most of the women who are always left behind in the slums taking care of children and the home are the ones who found time to engage in the LLP through their CBOs.
b) Age bracket

The age bracket of the respondents is illustrated in Table 4.1 in percentage terms.

Table 4.1: Respondents’ Age Bracket by Percentage

<table>
<thead>
<tr>
<th>Age bracket</th>
<th>Frequency</th>
<th>Percentage Number of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>18-24</td>
<td>30</td>
<td>17</td>
</tr>
<tr>
<td>25-34</td>
<td>71</td>
<td>41</td>
</tr>
<tr>
<td>35-44</td>
<td>48</td>
<td>27</td>
</tr>
<tr>
<td>45-54</td>
<td>23</td>
<td>13</td>
</tr>
<tr>
<td>55 and above</td>
<td>3</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>175</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

From Table 4.1, the majority of the participants in the LLP were people aged between 25 and 44 years, comprising 68% of the total respondents. The study also found out that the majority of the people in the 25-34 and 35-44 age brackets had either lost spouses to AIDS and thus had OVC, or had taken in OVC whose parents (in most cases relatives) had succumbed to AIDS.

c) Role Played by Respondents in the LLP

As illustrated in Table 4.2 below, 2% of the respondents were project managers, 16% project staff, 9% CBO officials while 73% were caregivers. The reason for this is that the LLP project targeted to benefit OVC who were deliberately assigned to various caregivers; thus, the 73% composition represented by the caregivers indicates that the point of focus of the LLP project was the caregivers who were individually in charge of one or several OVC.
Table 4.2: Role of the Respondents in the Local Links Project

<table>
<thead>
<tr>
<th>Role in LLP</th>
<th>Frequency</th>
<th>Percentage Number of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Manager</td>
<td>4</td>
<td>2</td>
</tr>
<tr>
<td>Project Staff</td>
<td>27</td>
<td>16</td>
</tr>
<tr>
<td>CBO Official</td>
<td>16</td>
<td>9</td>
</tr>
<tr>
<td>Caregiver</td>
<td>128</td>
<td>73</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>175</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

d) Respondents' Level of Education

The respondents' level of education is illustrated in Table 4.3. It shows that out of the 175 respondents, 58% had certificate education, 11% had diploma, 5% had bachelors degree, 1% postgraduate, while 25% had no formal education at all.

Table 4.3: Respondents' Level of Education

<table>
<thead>
<tr>
<th>Level of Education</th>
<th>Frequency</th>
<th>Percentage Number of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>102</td>
<td>58</td>
</tr>
<tr>
<td>Diploma</td>
<td>20</td>
<td>11</td>
</tr>
<tr>
<td>Bachelors Degree</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>None</td>
<td>44</td>
<td>25</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>175</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

In the LLP therefore, the majority of the beneficiaries (58%) had either class 8 or form 4 level of education (certificate level). Another 25% did not have any formal education and this is the group that had most difficulty in conceptualizing and even taking part in the
M&E of the LLP. They were reported to have had problems in the areas of cash book keeping, computing of interest, general record keeping and generation of reports for routine monitoring of the GSL activities.

e) Respondents' Level of Training in Project Management

As can be seen from Table 4.4, the majority of the respondents (80%) did not have any training in project planning and management. The rest of the respondents either had certificate training (14%), diploma (4%), bachelors degree (2%) or postgraduate training (1%) in project planning and management.

Table 4.4: Respondents' Level of Training in Project Management

<table>
<thead>
<tr>
<th>Level of Training in Project Management</th>
<th>Frequency</th>
<th>Percentage Number of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>25</td>
<td>14</td>
</tr>
<tr>
<td>Diploma</td>
<td>7</td>
<td>4</td>
</tr>
<tr>
<td>Bachelors Degree</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>None</td>
<td>140</td>
<td>80</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>175</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

The high percentage of respondents without training in project planning and management was not unusual because this group of respondents were mainly the caregivers who did not require training in project planning and management in order to take part in the LLP as caregivers. However, this kind of training was critical to all LLP project implementers who had to have mastery of the project life cycle before they could lead the caregivers in implementing the project.
0) Respondents' Level of Training in Monitoring and Evaluation

The study also sought to establish the respondents' level of training in M&E. This is illustrated in Table 4.5 which shows that the data that was collected and analyzed about this variable indicated that the highest level of training in M&E was diploma level accounting for 12% of the respondents; followed by the certificate level with 24% of the respondents. The majority of the respondents (64%) did not have any training in project M&E and these happened to be the caregivers.

<table>
<thead>
<tr>
<th>Level of Training in Monitoring and Evaluation</th>
<th>Frequency</th>
<th>Percentage Number of Respondents</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>42</td>
<td>24</td>
</tr>
<tr>
<td>Diploma</td>
<td>21</td>
<td>12</td>
</tr>
<tr>
<td>Bachelors Degree</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Postgraduate</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>None</td>
<td>112</td>
<td>64</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>175</strong></td>
<td><strong>100</strong></td>
</tr>
</tbody>
</table>

4.4 Response on Specific Research Variables

This section presents the analysis of responses on the various study variables. The responses have been categorized into two sections namely quantitative data and qualitative data. Quantitative data that was collected from 165 respondents using questionnaires has been presented using tables, while the qualitative data has been presented using descriptions and explanations as detailed in the subsequent sections.
4.4.1 Participatory Monitoring and Evaluation Model Applied in the LLP

This section presents findings about the PM&E model that was used in the implementation of the LLP. About this variable, the study had set out to find out what model of PM&E the stakeholders had employed in the planning and implementation of the LLP; and its influence on the project. Data about this variable was collected and analyzed in two broad categories namely quantitative and qualitative data.

a) Quantitative Data

Table 4.6 below presents responses about the participatory M&E model that was employed in the LLP and its influence on the participatory monitoring and evaluation of the project. The responses that are shown against each of the items from a) to h) are in percentage terms. At the top-right side of the Table, in the first row, is a scale showing the degree of agreement of the respondents with each of the items.

The scale is interpreted as follows:

SA = Strongly Agreed

A  = Agreed

N  = Neither Agreed nor Disagreed

D  = Disagreed

SD = Strongly Disagreed

AB = Abstained

The respondents used this scale to give their views about the kind of participatory monitoring and evaluation model that had been employed in the implementation of the LLP. The analysis of the responses was done and is as depicted in Table 4.6 below.
Table 4.6: Responses on the Participatory Monitoring and Evaluation Model used for the LLP

<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
<th>AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Participatory monitoring and evaluation of the Local Links Project was clearly defined.</td>
<td>24</td>
<td>48</td>
<td>9</td>
<td>7</td>
<td>4</td>
<td>8</td>
</tr>
<tr>
<td>b) I was trained on how to help monitor the Local Links Project.</td>
<td>27</td>
<td>34</td>
<td>10</td>
<td>10</td>
<td>7</td>
<td>12</td>
</tr>
<tr>
<td>c) I was trained on how to help evaluate the Local Links Project.</td>
<td>11</td>
<td>30</td>
<td>10</td>
<td>10</td>
<td>6</td>
<td>33</td>
</tr>
<tr>
<td>d) I was involved in determining how the Local Links Project will be monitored and evaluated.</td>
<td>11</td>
<td>27</td>
<td>12</td>
<td>22</td>
<td>13</td>
<td>15</td>
</tr>
<tr>
<td>e) I am currently involved in monitoring the project.</td>
<td>24</td>
<td>30</td>
<td>5</td>
<td>25</td>
<td>5</td>
<td>11</td>
</tr>
<tr>
<td>f) I am currently involved in evaluating the project.</td>
<td>24</td>
<td>30</td>
<td>10</td>
<td>21</td>
<td>6</td>
<td>9</td>
</tr>
<tr>
<td>g) The monitoring and evaluation training that I received has helped me to effectively monitor and evaluate the project.</td>
<td>34</td>
<td>27</td>
<td>9</td>
<td>14</td>
<td>5</td>
<td>11</td>
</tr>
<tr>
<td>h) The monitoring and evaluation training that I received has not helped me to effectively monitor and evaluate the project.</td>
<td>8</td>
<td>5</td>
<td>4</td>
<td>23</td>
<td>42</td>
<td>18</td>
</tr>
</tbody>
</table>

From this Table, 72% of the respondents indicated that PM&E was clearly defined to them, 61% agreed that they were trained on how to monitor the LLP, 54% indicated that they were taking part in the monitoring and evaluation of the LLP, while 61% said that the monitoring and evaluation training that they had received was helping them to effectively monitor and evaluate the project. We can therefore conclude that the majority of the respondents were involved in the PM&E activities of the LLP.

However, it was also found out that a minority 41% of the respondents agreed that they were well trained on how to evaluate the LLP; while only 38% agreed that they were involved in determining how the LLP was to be monitored and evaluated. This means
that the majority of them were not involved with regard to these two critical aspects of PM&E and this definitely affected the entire PM&E process of the LLP. It is therefore no wonder that during the project implementation, some of the respondents were not able to conceptualize what evaluation was all about; while others were not sufficiently motivated to take part in the M&E of the project.

On the overall, based on the above findings, it was found out that bottom-up PM&E model was used in the LLP although there were some aspects (of the bottom-up PM&E) that were not done well. As already mentioned, these aspects included lack of training for some of the respondents on the aspect of evaluation and non-involvement of all the respondents in the determination of how the LLP was to be monitored and evaluated. These negatively affected the project as detailed in section 4.4.3 a) and 4.4.3 b) of this chapter.

b) Qualitative Data

From the face-to face interviews and the focus group discussion, findings were obtained in relation to the type of PM&E model that was used in the implementation of the LLP. The major finding was that the bottom-up approach was used in planning, implementation, monitoring and evaluation of the LLP. During the planning for M&E stage, all the stakeholders were involved (directly or by representation) in the development of the M&E tools during a workshop that lasted for 1 week. Consequently, the role of each stakeholder in the M&E process was clearly defined.

During the project implementation stage, data for monitoring and evaluating the project was primarily being collected and provided by the caregivers to the CBO staff who compiled it and transmitted it to the chief executive officer in each of the three CBOs. Thereafter, the CEO for each of the three CBOs – KICOSHEP, HAKISHEP, and YDF -- processed the data and gave it to the project manager who is resident at the Kibera slums. The data was eventually sent to the programme manager at the CARE-Kenya head office on Muchai Road, off Ngong Road in Nairobi. The researcher noted that this process formed a very strong component of the participatory monitoring and evaluation model
that was adopted by the project. Both Care-Kenya and the 3 CBOs should be commended for this initiative.

However, it was also found out that although a bottom-up PM&E approach was employed in this project, the element of empowerment for some of the project stakeholders was lacking. For instance, some of the caregivers did not know the indicators that were to be used to capture monitoring and evaluation data. Similarly, the key informants revealed that a majority of the caregivers did not know how to keep financial records which was a critical element in their business project. Moreover, they did not know how to report about the business to the CBO staff in writing.

This was explained to have arisen from the fact that some of the CBO officials who were supposed to train the caregivers in M&E did not themselves have enough skills to train others. Most of them had just been introduced to M&E and did not have the capacity to train the caregivers; while others had just been recruited to the CBOs as volunteers or interns. It is due to this gap in M&E training that KICOSHEP went ahead to organize for monthly in-house training sessions for its staff in M&E. This was reported to have tremendously improved the M&E skills of its staff who in turn were able to undertake their M&E duties more effectively and efficiently than before. For instance, members of staff at this CBO were able to collect, analyze and interpret data and prepare reports in the required formats for the CEO. Prior to their training, data analysis, interpretation and presentation had been a big problem because the staff lacked the necessary skills to undertake those duties. Whereas KICOSHEP made the effort to improve the M&E skills of its staff, this was not the case for HAKISHEP and YDF. In these two CBOs, M&E largely remained a big challenge not only to most of the CBO staff, but to the caregivers as well. This mainly led to lack of relevant M&E data.

In essence, all the caregivers participated in the M&E of the LLP in the sense that they were the primary source of the M&E data. However, most of them were not empowered to clearly and methodically document financial reports and present them to the CBO staff. In which case, there appeared to be participation without empowerment for the effected caregivers. Indeed, the CBO chief executives, the CARE-Kenya LLP staff and
the programme manager acknowledged this to be a major impediment in the M&E of the LLP.

While trying to make the LLP as participatory as possible, there was another challenge that arose from the low level of participation and the general lack of interest by some of the project beneficiaries in project activities. From his oral presentation, the programme manager attributed this to a multiplicity of NGOs and other donor agencies that operate in Kibera; most of whom did not appear to have been keen on empowering the beneficiaries to develop capacity towards self-reliance. An example was given of there having been money, food, clothing and other material goods that came for free; a situation that has killed initiative and hard work amongst most of the slum dwellers and instead bred a culture of dependence on handouts. This was said to have negatively affected the LLP because most of the caregivers spent most of their time looking for handouts from other NGOs and donors to the detriment of the Local Links Project GS&L activities, which required beneficiaries to contribute time and other resources in order to reap the benefits.

Full and meaningful participation by the caregivers in the LLP was also hampered by lack of time and monetary resources for the CBO and project staff to adequately collect, analyze, interpret and report about the activities of the caregivers. This was due to a number of factors including large and ever-enlarging groups, a wide geographical coverage, understaffing of CBOs that were attached to the LLP, non observance of deadlines by caregivers, defaulting and subsequent drop-out by the caregivers on loan repayment, non-attendance of meetings by caregivers among other challenges.

4.4.2 The Influence of Level of Education of Stakeholders on PM&E of the LLP

This section presents findings about the influence of level of education of stakeholders on PM&E of the Local Links Project as follows:

a) Quantitative Data

Table 4.7 presents findings from quantitative data about the influence of level of education of stakeholders on PM&E of the LLP. The responses that are shown against each of the items from a) to d) are in percentage terms. At the top-right side of the Table,
in the first row, is a scale showing the degree of agreement of the respondents with each of the items.

Table 4.7: Responses on the Influence of Level of Education of Stakeholders on PM&E of the LLP

<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
<th>AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) My level of education enables me to understand monitoring easily.</td>
<td>21</td>
<td>39</td>
<td>6</td>
<td>15</td>
<td>7</td>
<td>12</td>
</tr>
<tr>
<td>b) My level of education enables me to understand evaluation easily.</td>
<td>14</td>
<td>24</td>
<td>4</td>
<td>12</td>
<td>7</td>
<td>39</td>
</tr>
<tr>
<td>c) My level of education enables me to understand participatory monitoring and evaluation easily.</td>
<td>19</td>
<td>37</td>
<td>3</td>
<td>17</td>
<td>8</td>
<td>16</td>
</tr>
<tr>
<td>d) There are some concepts about monitoring and evaluation that I do not understand due to my low level of education.</td>
<td>24</td>
<td>21</td>
<td>5</td>
<td>18</td>
<td>18</td>
<td>14</td>
</tr>
</tbody>
</table>

As illustrated in this table, various findings about the level of formal education of the stakeholders and how it affected their participation in the monitoring and evaluation of the LLP were arrived at. The majority of the respondents – 60% and 56% - found it easy to understand monitoring and PM&E respectively owing to their level of formal education. This group of respondents comprised mostly of those who had form 4 level of education and above.

On the other hand, there were two aspects about M&E that many respondents did not grasp due to their level of formal education. From the study findings, 58% (12+7+39) of them did not understand project evaluation while 50% (24+21+5) did not comprehend some concepts used in M&E such as indicators, outputs, impact etc; and all this was attributed to their low level of formal education. These were the respondents who had either class 8 level of education, had dropped out of primary school, or did not have any formal education at all. It was not surprising therefore that many of the respondents were
not able to provide essential data that was meant for monitoring and evaluating the project: thereby limiting the potential of the project.

b) Qualitative Data

The qualitative data that the researcher obtained through interviews, FGD and direct observation indicated that those caregivers who had class 8 level of education and below had a problem in conceptualizing the M&E process. As the LLP programme manager put it, “...most of them could not conceptualize M&E and its related activities yet this was critical to their meaningful participation in, and subsequent success of the LLP...” They always found it difficult to identify indicators and also to relate the indicators to the performance of the project. It therefore came out that for such caregivers, it was difficult for them to tell if their business under the GS&L was progressing or not; something that strained the community based organization’s LLP staff because they were then forced to keep a constant touch with the caregivers. This was not practical in some cases due to the resource limitations alluded to earlier in section 4.4.1 b) of this chapter.

It is also in this group of caregivers that the issue of language barrier came up. Some could neither communicate well in Kiswahili nor English about their activities. Language barrier was prevalent among the caregivers who had the lowest level of formal education. As a solution to this, the CBO officials had to look for interpreters whenever they had such caregivers to attend to, and this demanded for more resources which the CBOs did not have.

There were also difficulties in keeping financial records, calculating profits, implementing the ‘roll-over’ concept, and documenting and presenting monthly reports on their individual activities of the project. In many cases, the affected caregivers required the physical presence of the CBO staff in order to come up with their records and the monthly reports. However, as it was pointed out by the key informants, this approach was becoming impractical by the day due to the large number of caregivers who required this kind of help.

70
4.4.3 Technical Expertise of Stakeholders in M&E and its Influence on PM&E.

This section presents findings about the level of technical expertise of the stakeholders in M&E and its influence on PM&E of the LLP.

a) Quantitative Data

Table 4.8 presents findings about the level of technical expertise of the stakeholders in M&E and its influence on the PM&E of the LLP. The respondents were required to indicate whether the amount of skills that they had in monitoring and evaluation helped them to effectively participate in the monitoring and evaluation of the LLP or not. The responses that are shown against each of the items from a) to f) are in percentage terms. At the top-right side of the Table, in the first row, is a scale showing the degree of agreement of the respondents with each of the items. This is illustrated as follows:

Table 4.8: Responses on the Technical Expertise of Stakeholders in M&E and its Influence on PM&E.

<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
<th>AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>a)</td>
<td>My expertise in monitoring and evaluation has enabled me to be effective in the monitoring and evaluation of the Local Links Project.</td>
<td>12</td>
<td>25</td>
<td>6</td>
<td>20</td>
<td>27</td>
</tr>
<tr>
<td>b)</td>
<td>My lack of skills in monitoring and evaluation curtails my ability to effectively monitor and evaluate the Local Links Project.</td>
<td>25</td>
<td>31</td>
<td>6</td>
<td>17</td>
<td>11</td>
</tr>
<tr>
<td>c)</td>
<td>There are elements about monitoring and evaluation which I do not understand.</td>
<td>32</td>
<td>33</td>
<td>5</td>
<td>8</td>
<td>9</td>
</tr>
<tr>
<td>d)</td>
<td>I know what my role is in the monitoring and evaluation of the Local Links project.</td>
<td>22</td>
<td>19</td>
<td>9</td>
<td>18</td>
<td>16</td>
</tr>
<tr>
<td>e)</td>
<td>I wish to get training in monitoring and evaluation to improve my performance.</td>
<td>50</td>
<td>27</td>
<td>3</td>
<td>5</td>
<td>3</td>
</tr>
<tr>
<td>f)</td>
<td>I wish to get additional training in participatory monitoring and evaluation to improve my performance.</td>
<td>53</td>
<td>27</td>
<td>1</td>
<td>4</td>
<td>1</td>
</tr>
</tbody>
</table>
Table 4.8 shows findings about stakeholders’ responses on how their level of expertise in M&E influenced their participation in the project M&E activities. Only 37% of the respondents had the M&E skills that helped them to effectively monitor and evaluate the project. Fifty six percent (56%) of the respondents indicated that their lack of skills in M&E curtailed their ability to effectively monitor and evaluate the project, while 65% said that there were aspects about M&E which they did not understand. The majority; 77% and 80% were in need of training in M&E and PM&E respectively.

The above analysis means that many of the respondents were incapable of undertaking the M&E activities which they did not understand well. Indeed, many of them indicated on the questionnaires the kind of challenges that they had faced while taking part in the monitoring and evaluation of the LLP.

These challenges included those that revolved around the following issues: Identifying the indicators, the use of indicators to gauge project progress, maintaining of the cash book, balancing of the books at the end of the year, and computing of the profit. Other challenges related to data collection, analysis and interpretation (for the CBO staff); data storage, report writing (reporting), record keeping, tracking of defaulters, the ‘roll-over’ concept and its application, storage of records, dissemination of the M&E results, language barrier, design and development of M&E tools, and communication challenges within the project where information either did not arrive or was delayed.

While conducting the research, the researcher found out that there were challenges that were faced by various stakeholders and which had not been addressed for a long time. Most of them were attributed to difficulties that the respondents encountered in the area of M&E as listed above. For instance, some of the respondents were concerned that they did not get feedback from the CARE-Kenya LLP staff after submitting the M&E data. This appeared to have arisen due to lack of proper communication since they were not sure if the CARE-Kenya LLP staff knew about their sentiments or not. The other problem was to do with missing data and records which boiled down to poor data storage and record keeping by some of the stakeholders. Most of the other problems emanated from lack of training or lack of adequate training in project M&E.
b) Qualitative Data

From the face-to-face interviews, FGD and direct observation, the study found out that only the six LLP staff who were employees of CARE-Kenya did undergo an elaborate in-house training in M&E that was organized by CARE-Kenya. They were trained on many aspects of M&E including objective setting, development of indicators, data collection, data analysis and presentation, report writing, and use of feedback to improve on the M&E process and the project life cycle as a whole.

The other stakeholders including CBO chief executives and CBOs’ LLP staff (who were 35) did not undergo an elaborate M&E training. Instead, during the planning for the LLP, they were trained on the implementation of the project and its M&E was highlighted but not in detail. Consequently, KICOSHEP which is an established institution (CBO) had gone ahead to mount in-house monthly M&E training for its staff in order to equip them with the basic M&E skills.

This means that a majority of staff from HAKISHEP and YDF lacked the necessary skills to undertake M&E of the project that they were implementing; let alone training the caregivers who were under their charge on how to undertake the same exercise. Some of the bottlenecks that emerged with regard to this challenge as narrated by the key informants and discussants are highlighted below. They appear to strongly corroborate what other respondents had indicated in the questionnaires as follows: Inability by the caregivers to establish the indicators by which they could monitor progress, inability by the caregivers to individually evaluate the performance of their businesses, lack of skills on book keeping for the GS&L activities which mainly entailed keeping and balancing the cash books especially at the end of the year; and inability by the caregivers to discriminate essential and non essential data for M&E.

Other difficulties that arose from lack of skills in M&E included lack of skills by the caregivers on how to prepare and file monthly reports which were required by the CBO staff, and lack of capacity by the CBO staff on how to analyze and interpret data collected from the caregivers. There was also lack of skills on how to condense the massive data that was collected into summarized reports for onward transmission to CARE-Kenya &
LLP staff, lack of ability for the majority to understand the ‘rollover’ component of their business activities, and failure to capture as well as document data related to business.

Moreover, some of the CBOs had a high turnover of staff and consequently, the new staff required training in M&E among other areas. This became an expensive exercise apart from the destabilizing delays and inefficiency that are always attendant to this situation of having inadequate staff for the M&E exercise. In cases where there was no training in M&E, staff tended to avoid the M&E activities of the project altogether.

Other than that, the respondents reported that in most cases after submitting the M&E reports, there was no feedback from the CARE-Kenya LLP staff about the M&E reports that they always submitted. In effect, the CBOs were left wondering if they were on the right course or not. This means that there was either the problem of failure by CARE-Kenya to interpret the reports and use the findings to improve the project; or failure to communicate how the findings of the M&E data were being used in the project. This is because it is possible that M&E data was being used to improve the project but due to communication related challenges, the caregivers had the impression that their M&E reports were not being used at all. Eventually, when the researcher interacted with the key informants from CARE-Kenya, it emerged that the M&E reports from the CBOs were always taken seriously and formed the basis for continual improvement of the project. According to them, what was lacking was time and a mechanism of constantly updating the CBOs on how their M&E reports were being used in the project.

Some of the key informants also pointed out that the tools that were being used to collect M&E data were highly skewed towards the capturing of quantitative data and ignored qualitative data. This is to mean that the tools focused on capturing the numerical data of the project and ignored such qualitative data like the changes in living standards, behavioural changes for the PLWHA, attitudinal change among the project beneficiaries, and even stakeholders’ perception of the role of the project in their lives.

The CBO staff further reported that they lacked modern data analysis tools that could make data analysis easier. An example is the SPSS and training on its application. In the
absence of such software, they complained of data analysis being a tedious and complicated undertaking owing to their current level of skills in the area of data analysis, coupled with the massive amount of data at their disposal that required analysis. It therefore emerged that in most cases, data was not scientifically analyzed in order to provide a sound basis for judgment and decision making. In some cases, most of the data was not analyzed at all.

Some respondents also indicated that the M&E tools that were adopted from CARE-Kenya were not detailed enough and therefore did not help to capture all the relevant and necessary data about the caregivers. Indeed, some of the CBOs had either come up with modifications on the tools in order to give it breadth and depth of coverage; or had entirely new additional tools. The researcher noted that whereas this was quite innovative, it removed the element of uniformity in how and what type of data the CBOs collected and analyzed for the purpose of LLP.

Related to high staff turnover, the respondents expressed concern that there was a high turnover of staff in the M&E department at CARE-Kenya. Moreover, when replacement took place, it took a long time for the new staff to get appraised about M&E of the Local Links Project. This always led to incessant delays in project implementation, escalation of project cost and time, and lack of corrective action where and when it was due. This - they said - had in some cases, adverse effects on the overall project outcomes.

### 4.4.4 Planning for PM&E and its Influence on PM&E of the LLP

This section presents findings about planning for PM&E and its influence on PM&E of the Local Links Project.

#### a) Quantitative Data

Table 4.9 presents findings about planning for PM&E and its influence on the PM&E of the LLP. The responses that are shown against each of the items from a) to g) are in percentage terms. At the top-right side of the Table, in the first row, is a scale showing
the degree of agreement of the respondents with each of the items. The table is as follows:

Table 4.9: Response about Planning for PM&E

<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
<th>AB</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) There was adequate planning for the Local Links Project.</td>
<td>23</td>
<td>34</td>
<td>22</td>
<td>14</td>
<td>4</td>
<td>3</td>
</tr>
<tr>
<td>b) I was involved in the planning of the Local Links Project.</td>
<td>17</td>
<td>16</td>
<td>9</td>
<td>30</td>
<td>10</td>
<td>18</td>
</tr>
<tr>
<td>c) There was adequate planning for the participatory monitoring and evaluation of the Local Links Project.</td>
<td>16</td>
<td>15</td>
<td>13</td>
<td>36</td>
<td>4</td>
<td>16</td>
</tr>
<tr>
<td>d) I was adequately involved in the planning of the participatory monitoring and evaluation of the Local Links Project.</td>
<td>13</td>
<td>8</td>
<td>6</td>
<td>47</td>
<td>7</td>
<td>19</td>
</tr>
<tr>
<td>e) There are enough resources to enable me take part in monitoring and evaluating of the Local Links Project.</td>
<td>21</td>
<td>20</td>
<td>10</td>
<td>24</td>
<td>25</td>
<td>0</td>
</tr>
<tr>
<td>f) Time allocated for monitoring and evaluating the Local Links Project is adequate.</td>
<td>19</td>
<td>15</td>
<td>13</td>
<td>28</td>
<td>12</td>
<td>13</td>
</tr>
<tr>
<td>g) I have a clear view of the monitoring and evaluation of this project and their timelines.</td>
<td>16</td>
<td>14</td>
<td>9</td>
<td>23</td>
<td>26</td>
<td>12</td>
</tr>
</tbody>
</table>

From the data given in Table 4.9, it is clear that generally, a small percentage of the respondents felt that the planning for PM&E of the LLP had been done well. For instance, 57% felt that there was adequate planning for the LLP while only 31% indicated that there was adequate planning for PM&E of the LLP. Further, only 21% of the respondents felt that they were adequately involved in the planning for the PM&E of the LLP. On the other hand, 41% indicated that there were adequate resources to enable them take part in the M&E of the LLP, while 34% felt that the time allocated for the M&E of the LLP was adequate (thus, 66% observed that the time allocated for M&E was inadequate). Only 30% had a clear view of the M&E activities of the LLP and their timelines.

Going by this analysis, it was concluded that planning for PM&E of the LLP was the most poorly done aspect of the project as compared to its other components. This would
partly explain why for instance the M&E tool sought to capture only quantitative data as observed by some of the key informants. The planning had thus been oblivious of the fact that qualitative data (such as change in the quality of living conditions, attitudinal change of the PLWHA, or even the emotional status of the OVC) was equally important in the monitoring, evaluation and continual improvement of the LLP.

The fact that respondents complained of lack of adequate time to undertake activities related to M&E was indicative of planning that did not realistically estimate the time requirements for the PM&E component of the LLP. Moreover, the lack of other resources like stationery for the M&E activity points to planning of PM&E of the LLP that was not well focused.

However, these factors that influenced PM&E of the LLP cannot wholly be attributed to the planning of the LLP. From the study, it came out clearly that in some cases, these challenges were not foreseeable. Take for instance the fact that membership within the groups that make up a CBO was open; meaning that the groups kept on expanding with regard to membership. Although members also departed from the groups, they were not as many as those who joined them. Therefore, some of the challenges to PM&E of the LLP (such as lack of adequate resources) could not be entirely attributed to poor planning.

b) Qualitative Data

From what the key informants divulged, only one out of the three CBOs that were studied had an M&E plan. This is the KICOSHEP. In this organization, all the stakeholders were involved in the development of the M&E plan for the LLP during a workshop that was organized specifically for this purpose. This way, it became easy for all the stakeholders to undertake monitoring and evaluation of the project since they had initially prepared for it. All the project activities were done according to schedule and since the success indicators had been clearly defined, it became easy to collect data that was used to monitor the progress and evaluate the success of the project. Where the caregivers had
problems, feedback from monitoring was used to undertake corrective measures that were coordinated at the CBO level.

One major advantage of planning for PM&E according to the key informant from this CBO (KICOSHEP) was that each stakeholder clearly understood his/her role in the entire M&E process. It was thus easy to successfully implement the M&E plan and therefore realize the project outcomes. Each of the categories of stakeholders had after the planning stage - clearly understood their role and details of the activities entailed in their role.

This was not however the case for the other two CBOs namely HAKISHEP and YDF. In these CBOs, there was no clear plan for monitoring and evaluating the LLP. As a result, monitoring and evaluation activities were not well coordinated especially in terms of addressing the challenges that the caregivers faced in the implementation of GS&L activities. A case in point is where particular problems had gone unresolved for a very long time. These included difficulties in: Computing of interest from sales, balancing of books of accounts, general record keeping, understanding of the ‘roll-over’ concept in GS&L initiative, definition and use of indicators, and report preparation and presentation.

When the researcher visited the two groups in May 2010 to collect data, these problems had not been resolved yet the project had been running for over two years. It was established that there was no formal method of rallying the caregivers to identify the problems that they faced and discussing their solutions within given timelines. There was therefore no way that the PM&E of the LLP in these two groups could have been effective with all the aforementioned challenges remaining unresolved. These challenges became an impediment and made it difficult for most of the caregivers to generate credible data that was so dearly needed in the M&E process. In conclusion, the two CBOs (HAKISHEP and YDF) did not have clear M&E plans and this negatively affected their PM&E in the sense that the caregivers were not sufficiently empowered to generate and provide reliable data for M&E that could be used to solve problems as they emerged.
The problem of lack of interest and commitment to LLP activities by some of the caregivers as was established (4.4.1 b), was also related to the planning of the LLP in the sense that there were so many NGOs and other donors operating in Kibera, and most of them offered similar interventions to the same people or households. These interventions were the school feeding programme for OVC, free schooling for OVC, provision of material and emotional support to PLWHA/OVC, and even income generating projects. Consequently, while CARE-Kenya’s approach in the LLP demanded input from the caregivers as a way of ensuring learning and empowerment, other agencies engaged in distribution of goods and services as free gifts!

The result was that the caregivers enlisted themselves into many projects and tended to give more attention to projects that freely gave them handouts. This had the attendant effect of reducing their level of commitment to the LLP, which in turn negatively affected its PM&E. The failure to prepare monitoring reports and the delay to submit them in time for many of the caregivers was attributed to this attitude of lack of commitment. In one of the key informant’s own words, it can be seen that the frustration is discernible:

...It is difficult to empower the people of Kibera and bring lasting change in their lives. There is a multiplicity of NGOs and other agencies giving out handouts and free gifts in Kibera on a daily basis and this unfortunately will not in any way empower the people of Kibera to work towards becoming self reliant. A better way of fostering development in Kibera has to be found...

The informant regretted that this state of affairs had not been foreseen; otherwise the LLP would then have just intervened on aspects that no other NGO was addressing; thus avoiding duplication of interventions with other NGOs and agencies that were already operating in Kibera. This perhaps would have required CARE-Kenya to carry out a situational analysis specifically aimed at establishing what other NGOs and agencies are involved in, in Kibera.

In a nutshell, although most of the challenges emanated from lack of proper planning for PM&E; it can not be generalized that all the challenges that retarded PM&E of the LLP
in HAKISHEP and YDF emanated from lack of planning for PM&E of the project. Some can be linked to other factors. For instance, as stated in section 4.4.4 a), there was no limit to membership of the CBOs. As a result, new members who were recruited from time to time found it difficult to understand the M&E activities and what their role was; mainly because of lack of training or induction in PM&E essentials.

4.5 Summary

This chapter has presented the analysis of the data that was collected and the findings that were arrived at from the analysis. The findings have been presented using the variable approach. The next chapter is the last chapter of this project report.
CHAPTER FIVE

SUMMARY OF FINDINGS, DISCUSSION, CONCLUSIONS AND RECOMMENDATIONS

5.1 Introduction
In this chapter, the summary of findings, discussion of findings, conclusions and recommendations that arise from the study that was conducted have been addressed.

5.2 Summary of Findings
This section briefly presents a summary of the major findings of the study as follows:

5.2.1 Participatory Monitoring and Evaluation Model Used in the LLP Project
The major finding on this issue was that the majority of the respondents were involved in the planning for and actual monitoring and evaluation of the LLP. Thus the bottom-up PM&E model of the PM&E approach was applied. However, many of the respondents did not get adequate skills on how to effectively collect data, record it, use it to make quick decisions, and report to project staff for further use in the M&E of the LLP.

5.2.2 Respondents’ Level of Education and its Influence on PM&E of the LLP
This study found out that 58% of the respondents had certificate level (class 8 or form four-level) of education, while 25% did not have any formal education at all. Moreover, it was found out that 58% of the respondents were unable to understand the evaluation component while 50% were unable to comprehend various concepts that are used in project M&E; and the respondents attributed this to their low level of education.

5.2.3 Respondents’ Level of Skills in M&E and its Influence on PM&E of the LLP
About the respondents’ M&E skills, the study established that 56% of them lacked M&E skills that were necessary in the monitoring and evaluating the LLP. The study also established that there were respondents who were unable to undertake various M&E
activities as discussed in section 4.4.3 of chapter 4; and the challenges were traced to the lack of skills in M&E of the project.

Lack of adequate skills in M&E was exacerbated by the finding that there was a high turnover of staff both at the CBOs and at CARE-Kenya due to the internship programmes and also normal departure of staff for ‘greener pastures’. This trend came to negatively affect PM&E of the LLP. As result, there were incessant delays in conducting M&E activities as the new staff required time to understand and become part of the project. The cost and time for training new staff was also something that the CBOs could not afford. This resulted to some staff being required to conduct M&E without the relevant skills, thereby reducing the extent and quality of their participation in the monitoring and evaluation of the project.

5.2.4 Planning for PM&E and its Influence on PM&E of the LLP

It was established that only 31% of the respondents were satisfied that there was adequate planning for PM&E of the LLP. Moreover, only 21% said that they were adequately involved in the planning of the PM&E of the project, while 41% indicated that there were adequate resources for the PM&E of the LLP. Only 34% found the project to have been given adequate time for its PM&E.

It is thus clear that a minority of the respondents felt that the PM&E of the LLP was generally well planned. Indeed, as demonstrated in this research, it later emerged that the project was to face difficulties given that the majority of the stakeholders were unable to find enough time and other resources to undertake M&E activities of the project. There were difficulties too in conducting the various monitoring activities like data collection, recording, report writing, and report presentation. Credit should however be given to the sponsors of the LLP (CARE-Kenya) for having provided enough funding for other major activities within the project.
Some of the key informants indicated that the monitoring tool for the LLP was not detailed enough as to help in capturing all the relevant data about the project. For instance, it did not have provision for information about an individual caregiver's household details like the age, occupation, monthly income, number of children, orphans under his/her care, school going children, non-school going children, location, and telephone contact. As a result, YDF was quite creative and had devised an individual data form and a group data form to help in capturing all the necessary details of the project beneficiaries. See appendix 4&5 on pages 104 and 105 respectively.

Other than that, it was reported by some of the key informants that the tool for monitoring of the LLP had been planned to focus on capturing of quantitative data and thus overlooked the importance of qualitative feedback. Consequently, there was no means of obtaining feedback on such aspects as the change in behavior of the PLWHA, quality of life after the inception of the GS&L project, students' overall performance in school etc.

It also emerged from the study that many other NGOs like USAID, AMREF, Carolina for Kibera among others; were offering similar interventions like those offered by the LLP. These included (but were not limited to) school feeding programme for OVC, material support for the OVC, free schooling for the OVC, and health related interventions. These were being offered by an estimated 6,000-15,000 NGOs that are reported to be currently operating in Kibera. (Warah, 2010). In most cases, this led to wastage of funds as there was duplication. This meant that there was multiple support for the beneficiaries who came to erroneously believe that the donor agencies were competing to support and please them. This was breeding a dependency syndrome amongst the caregivers. It was felt that the LLP had the capacity to avoid this through proper planning.

Another finding that relates to planning was that CARE-Kenya was struggling to offer services that it had least capacity to offer in Kibera instead of teaming up with the experts in that area, who were already operating in Kibera. A case in point is the intervention on offering of health services to the LLP beneficiaries where CARE-Kenya would have to
organize for medicine, health personnel and other related logistics in order to succeed. However, AMREF was also having this same intervention and it is - by its core mission - more suited to undertake it than CARE-Kenya.

It is worthy of noting that most of the problems that characterized the M&E of the LLP emanated from the unexpected change in the initial implementation strategy of the LLP. The programme manager had indicated that the initial plan was to have the CARE-Kenya staff implement the LLP. However, due to lack of adequate human capacity, CARE-Kenya opted to delegate the implementation of the project to the CBOs with CARE-Kenya retaining the supervisory role. Since there was not enough time to re-plan the whole project in view of the change, planning for PM&E was not sufficiently addressed in view of the reality that the responsibility of driving the PM&E of the LLP had actually come down to the level of the CBO staff. CARE-Kenya was not therefore not directly in control of the PM&E of the LLP; financially, technically, and even logistically.

5.3 Discussion of Findings
This section presents a discussion of study findings. The discussion is presented using the variable approach as it is the case in the presentation of other sections of this report.

5.3.1 Participatory Monitoring and Evaluation Model Used in the LLP Project
The major finding on this variable was that the LLP project used the bottom-up PM&E model to manage the project. What did not happen was that most of the stakeholders were not sufficiently empowered by way of training in M&E so as to effectively partake in the PM&E of the project as detailed in section 4.4.1 of chapter four. This reduced the output of the project. The need to empower stakeholders as a basis for meaningful engagement in development is supported by the literature that was reviewed where Freire (1973) emphasized the need for empowerment and social engagement of all stakeholders as the basis for community development. This has been echoed by many other researchers and development agencies such as UNDP (2001), Mulwa (2004), and UNFPA (2004).
5.3.2 The Influence of Stakeholder Level of Education on PM&E of the LLP

The findings on this variable were that most of the respondents were unable to understand the evaluation component and the various concepts that are used in project M&E; and they attributed this to their low level of education. This negatively influenced the M&E of the LLP as pointed out in section 4.4.2 of chapter four. The need to avoid this challenge is emphasized by Mangheni and Bukenya (2003) who recommend (as detailed in the literature review) that a certain level of education is necessary for effective PM&E of stakeholders in a development project. For their study, they used a careful selection process of community facilitators with emphasis on selection criteria in which the minimum requirement was primary seven level of Uganda’s system of education. They believe that the higher the level of stakeholders’ education, the more successful PM&E will become. Indeed, Mangheni and Bukenya’s (2003) research and this research have demonstrated that stakeholder level of education is critical in the success of development projects.

5.3.3 Respondents’ Skills in M&E and its Influence on the PM&E of the LLP

On this variable, the study also established that there were respondents who were unable to undertake various M&E activities as discussed in section 4.4.3 of chapter four; and the challenges were traced to the lack of adequate skills in M&E of the project. This led to underperformance of the LLP. This finding appears to be the main reason as to why many researchers and development agencies – some of whose work has been reviewed in chapter 2 of this report – insist on training of stakeholders for PM&E of development projects. These include UNFPA (2004), FAO (2010), Sambodhi Research and Communication Pvt Ltd (2010) and Kaaria et al (2010). Kaaria et al for instance hold that it is not only important to train the community in PM&E as a capacity building measure; but also the project staff and other stakeholders. For them, capacity building for beneficiaries in PM&E involves training on the use of participatory approaches for M&E within communities, and the skills of facilitation that are required to engage stakeholders especially the communities in the PM&E process.
5.3.4 Planning for PM&E and its Influence on PM&E of the LLP

According to this study, planning for PM&E of the LLP was generally not done well. As a result, many stakeholders encountered difficulties in conducting the various monitoring activities like data collection, recording, report writing, and report presentation. The majority of the stakeholders were unable to find enough time and other resources to undertake M&E activities of the project. Other than that, the tool for monitoring of the LLP was not exhaustive apart from having been planned to focus on capturing of quantitative data only; thus overlooking the importance of qualitative feedback. These findings on Planning for PM&E underscore the need to have concrete plans for PM&E as many researchers and practitioners in the area of development recommend. For instance Charities Evaluation services (2010) whose literature was reviewed in chapter 2, discusses the importance of planning for PM&E which helps to address the challenges that may face a development project that does not pay attention to this critical aspect.

Similarly, Mangheni and Bukenya's (2003) literature has empirically demonstrated the importance of involving all relevant stakeholders in the process of designing its methodology. They emphasize the centrality of making consultations with all relevant stakeholders on the ‘what’, ‘who’, ‘how’, and ‘when’ questions of the PM&E methodology if the information generated is to address the needs of all the relevant stakeholders. This they argue, would also ensure ownership of the results (both positive and negative) of the process by all the relevant stakeholders. This definitely underlines the need for adequate and relevant planning for PM&E. A development project thus, can only ignore the element of planning for PM&E at its own peril.

It is hoped that the findings that have been discussed in this section (5.3) will be of value not only to the LLP stakeholders, but also to stakeholders in other projects as well. It is also hoped that scholars, researchers, practitioners and development agencies in the fields of project management, and development studies will find this study to be of value to them.
5.4 Conclusions

The study came up with various conclusions based on the findings that have been elaborately discussed in chapter four, and summarized in section 5.2 of this chapter. The conclusions are as follows:

5.4.1 The Bottom-up PM&E Model as Applied in the LLP

Care-Kenya and the three CBOs that took part in the LLP should be commended for making the right choice to have used the bottom-up PM&E approach in enlisting the participation of its various stakeholders in the monitoring and evaluation of the project. However, most of the stakeholders especially the caregivers were not sufficiently empowered to engage in the PM&E of the project. Consider that a big percentage of them (70%) did not get training in M&E of the project, and this included those who joined the project while it was underway and were not sufficiently inducted into the project. Consequently, the affected stakeholders were unable to perform the very activities that they were required to perform in this bottom-up PM&E approach, as explained in section 4.4.3 of chapter four. Moreover, most of them were not consulted on the key elements of the M&E process like how much information to include in the M&E data forms.

In the LLP therefore, there was participation by beneficiaries in the M&E process but without sufficient empowerment, and this generally led to collection of inappropriate data, lack of the relevant data, and delay in filing-in of the data among other challenges; all of which negatively affected the project outcomes.

5.4.2 The Level of Education of Project Stakeholders

The level of formal education of the stakeholders played a critical role in their understanding and participation in the LLP; and that the low level of education of some of the stakeholders was a hindrance to project implementation. The study concluded that there were some aspects of M&E which some of the stakeholders were unable to understand due to their low level of education. These were in project monitoring and evaluation and some of the concepts used in M&E like outputs, outcomes, indicators,
5.4.3 The Technical Expertise of the Stakeholders in Monitoring and Evaluation

This study also concluded that 56% of the stakeholders in the LLP did not have the necessary skills for PM&E of the project. Although this was partly beyond the control of the project M&E plan, it had an adverse effect on the project as most of these people were unable to conduct M&E activities well or at all; and often did not meet the M&E timelines. This limited the attainment of all the project outputs and outcomes, other than leading to project cost and time overruns.

5.4.4 Planning for PM&E and its influence on PM&E of the LLP

From the research that was conducted, it was established that generally, planning for PM&E was not well conducted in the LLP. This confirmed the widely held perception that many projects do not pay much attention to the M&E component. Due to inadequate planning, in the LLP, training for M&E was not done to all the project stakeholders, some M&E tools were not valid, little or no PM&E budget (for some of the CBOs) was available, and time had not been clearly planned for this component. This largely resulted to lack of necessary data for M&E, inappropriate data, time and cost overrun, and failure to attain all the envisaged outputs and outcomes.

Related to planning, this study further concluded that the M&E tool did not seek to capture qualitative data about the various project activities that were being implemented. Hence, there was no way the M&E of the project was going to yield the true picture of the project outcomes.

Moreover, the researcher was convinced that CARE-Kenya was engaging in duplicative activities with other NGOs and development agencies and thereby limited its capacity to help many more needy households. This happened in cases where the same OVC or
households were receiving the same kind of support from CARE-Kenya and also from several other NGOs. Clearly, there was lack of an ante-evaluation that could have led to planning that could have in turn helped the project to avoid spending resources on activities that were already being taken care of by other development agencies.

Last but not least, the LLP - and by extension CARE-Kenya - was struggling to offer services that it had little capacity to offer in Kibera yet it would have easily done so by teaming up with the experts in that area who were already operating in Kibera. This is in reference to the provision of medical services to project beneficiaries instead of partnering with AMREF to co-fund the exercise and leave the implementation part to AMREF who have the institutional capacity to undertake this with a lot of ease. This way, CARE-Kenya and the CBO Local Links Project staff would have had ample time to concentrate on the M&E of this medical intervention; which was undertaken in Kibera from time to time. It is instructive to note that AMREF also operates in Kibera.

5.4.5 General Conclusion

Generally, the study concluded that Care-Kenya and the collaborating CBOs in the LLP were doing a noble undertaking in this project, especially by employing the PM&E approach. As a result, many OVCs and even households were now able to access or afford the basics of life like food, education and medical care. However, the PM&E of the project needed to be improved with reference to the areas that have been highlighted in this chapter.

5.5 Recommendations

Based on the conclusions of this study, the following recommendations are critical to various project stakeholders:

a) Project sponsors and staff should ensure that all project beneficiaries do not just participate in the M&E of projects; but also that their participation should be seen to empower them with the current PM&E skills that can not only enable them to effectively monitor and evaluate the project, but also capacitate them to benefit
from this kind of engagement in project work. It should be noted that participation in project M&E activities does not automatically guarantee empowerment of the project beneficiaries who are in most cases politically, socially and economically disadvantaged. In the LLP as it is the case in other development projects, these are the poverty stricken people and they are likely to participate in a myriad of projects without having their needs addressed. In this study for example, there were many caregivers who were participating in the PM&E of the LLP without the necessary empowerment to make them understand and drive the project to meet their needs. This trend should be reversed.

b) Project sponsors and staff should spend more time and assign more resources towards the training of project stakeholders who have low level of education, in PM&E of projects. This is because the level of education of the project stakeholders directly affects PM&E of the project. For the LLP, most of the caregivers had either class 8 or form 4 level of education; or had dropped out of school. The attendant difficulties of this state of affairs on the PM&E of the LLP (which have been discussed in section 4.3.2 of chapter 4) negatively affected the project. Of all the respondents in this study, 25% did not have any formal education at all, and it became difficult for them to effectively take part in the PM&E of the LLP. LLP therefore did not fully attain its objectives due to insufficient PM&E resources.

c) Project teams need to empower the stakeholders by adequately training them in PM&E approaches; for an effective and efficient participatory M&E exercise. All this should be reflected within the M&E plan which must be part of the entire project plan. Project teams should not therefore allow any project to proceed to the implementation stage without adequate training for PM&E.

d) Owing to the pivotal role of planning, project stakeholders must ensure that PM&E is planned for alongside the planning for the other components of a
project. In this case, planning for PM&E must take into account the following: Training for PM&E, tools and methods for data collection, data analysis techniques, procedure and format of reporting, feedback about findings and the timelines for the use of findings to improve the project, key personnel to oversee the PM&E exercise, time plan, and the funding. Funding for M&E activities is critical to the overall success of a project and this should be factored in the overall project budget.

e) When monitoring and evaluating a project, it is prudent for the project team to plan to collect both quantitative and qualitative data because both types of data compliment each other in explaining the phenomena under study. Just like it happened in the LLP, there is a tendency for many project M&E activities to focus on quantitative data yet there many aspects of a project that can not be measured in quantitative terms only. The level of changes in attitude is an example.

f) Project sponsors and planners should undertake thorough evaluation before commencing any intervention in order to avoid duplicating projects or aspects of projects that are being implemented by other NGOs or development agencies. This can partly help to cut down on wastage of resources. It can also help to address the situation whereby thousands of NGOs are operating on similar projects in a way that has ended up reducing the beneficiaries’ gainful participation in such projects.

g) There is need for the NGOs and other development agencies that are operating in the Kibera slums to come together – probably under the auspices of the NGO council of Kenya – in order to chart out a way by which they can partner in offering interventions in areas where each one of them is specialized. For instance, CARE-Kenya can partner with AMREF to offer medical services to its project beneficiaries instead of undertaking the exercise itself as it did in the LLP.
Obviously, CARE-Kenya lacked the technical and logistical capacity to effectively implement, monitor and evaluate medical interventions.

5.6 Suggestions for Further Research

There is need to conduct research aimed at the following:

a) Unraveling why there are so many thousands of development agencies working in the Kibera slums of Nairobi yet the standard of living for the majority of the slum dwellers has not significantly improved. IRIN (2010) discusses some of the deplorable conditions under which the people of Kibera live. According to estimates, there are between 6,000 and 15,000 NGOs working in Kibera alone (Warah, 2010).

b) There is need to undertake comparative studies involving development projects that have used CM&E on one hand and those that have used PM&E on the other; in order to measure the real outcome of the adoption of PM&E in development projects. This is because most of the available literature on PM&E has focused on the perceived benefits of PM&E from a theoretical perspective.

5.7 Summary

In this chapter, a summary of the study findings and their discussion have been presented. Conclusions that have been drawn from the findings and the ensuing recommendations also form part of this chapter. The chapter ends with suggestions for further research. This is the last chapter of this research report.
REFERENCES


Dear Sir/Madam,

This is to request you to participate in a study titled “Factors influencing the application of Participatory Monitoring and Evaluation Approach of Managing Development Projects in Kenya” that is focusing on the Local Links Project in Kibera (Nairobi).

The aim of this study is to seek your views about your level of involvement in the monitoring and evaluating of this project. The results of this study will be used to find ways of addressing the challenges that face projects that employ participatory monitoring and evaluation; and hence increase the productivity of our projects.

In this questionnaire, you are required to respond by circling the number which represents the correct answer or statement; or by putting a tick (√) in the space that corresponds to your response. We look forward to your esteemed contribution.

The researcher or his assistant will come back after 4 days to pick up the completed questionnaires. The information which you will provide will not be used for any other purpose other than this research and will be treated with utmost confidentiality. Thus, feel free to give your responses as honestly and as comprehensively as you can.

For further information and clarifications regarding this survey, feel free to contact the undersigned.

Thanking you for participating in this survey.

Sincerely

Muronga B. Kadurenge
P.O. Box 10300 – 00200
NAIROBI
Tel. 0722-354-756
E-mail: benmuronga@gmail.com
APPENDIX 2: QUESTIONNAIRE

Respond to the first 3 items by encircling the correct answer out of the options that have been provided.

Section A: Demographic Information

1. Indicate your sex:
   1  2
   Male  Female

2. What is your age bracket?
   1  2  3  4  5
   18 - 24  25 - 34 yrs  35 - 44  45 - 54 yrs  55 yrs+ above yrs yrs yrs yrs yrs

3. What role do you play in the Local Links Project (LLP)?
   1  2  3  4
   Project Manager  Project Staff  CBO Official  Care Giver

Section B: Participatory Monitoring and Evaluation

4. This section is about participatory monitoring and evaluation. You will respond by placing the mark (√) in the appropriate place to show your level of agreement or disagreement for each item based on the following five-point scale:

   SA = Strongly Agree
   A  = Agree
   N  = Neither Agree nor Disagree
   D  = Disagree
   SD = Strongly Disagree
### Section C: Level of Education

5. What is your highest level of education? (Respond by encircling your correct response).

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<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certificate</td>
<td>Diploma</td>
<td>Bachelors</td>
<td>Postgraduate</td>
</tr>
</tbody>
</table>

6. Indicate your response by placing the mark (✓) in the appropriate place to show your level of agreement or disagreement for each item based on the following five-point scale:

**SA** = Strongly Agree;  **A** = Agree  **N** = Neither Agree nor Disagree  **D** = Disagree  **SD** = Strongly Disagree
<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) My level of education enables me to understand monitoring easily.</td>
<td></td>
<td></td>
<td></td>
<td></td>
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</tr>
<tr>
<td>b) My level of education enables me to understand evaluation easily.</td>
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<tr>
<td>c) My level of education enables me to understand participatory monitoring and evaluation easily.</td>
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<tr>
<td>d) There are some concepts about monitoring and evaluation that I do not understand due to my low level of education.</td>
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</table>

Section D: Technical Expertise in Monitoring and Evaluation

7. Indicate your level of training in project management

   1 2 3 4 5
   None  Certificate  Diploma  Bachelors  Postgraduate

8. Indicate your level of training in Monitoring and Evaluation

   1 2 3 4 5
   None  Certificate  Diploma  Bachelors  Postgraduate

9. In this section, you will respond by placing the mark (√) in the appropriate place to show your level of agreement or disagreement for each item based on the following five-point scale:

   SA = Strongly Agree;   A = Agree   N = Neither Agree nor Disagree
   D = Disagree          SD = Strongly Disagree
<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) My expertise in monitoring and evaluation has enabled me to be effective in the monitoring and evaluation of the Local Links Project.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>b) My lack of skills in monitoring and evaluation curtails my ability to effectively monitor and evaluate the Local Links Project.</td>
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<tr>
<td>c) There are elements about monitoring and evaluation which I do not understand.</td>
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<tr>
<td>d) I know what my role is in the monitoring and evaluation of the Local Links project.</td>
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<tr>
<td>e) I wish to get training in monitoring and evaluation to improve my performance.</td>
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<tr>
<td>f) I wish to get additional training in participatory monitoring and evaluation to improve my performance.</td>
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</tbody>
</table>

10. State the areas in monitoring and evaluation where you require training:

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________


11. What problems do you encounter in the monitoring and evaluation of this project as a result of lack of enough skills in monitoring and evaluation?

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

Section E: Planning of the Local Links Project

12. Respond by placing the mark (✓) in the appropriate place to show your level of agreement or disagreement for each item based on the following five-point scale:

SA = Strongly Agree; A = Agree; N = Neither Agree nor Disagree; D = Disagree; SD = Strongly Disagree
<table>
<thead>
<tr>
<th>ITEM</th>
<th>SA</th>
<th>A</th>
<th>N</th>
<th>D</th>
<th>SD</th>
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<tbody>
<tr>
<td>a) There was adequate planning for the Local Links Project</td>
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<tr>
<td>b) I was involved in the planning of the Local Links Project.</td>
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<tr>
<td>c) There was adequate planning for the participatory monitoring and evaluation of the Local Links Project.</td>
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</tr>
<tr>
<td>d) I was adequately involved in the planning of the participatory monitoring and evaluation of the Local Links Project.</td>
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<tr>
<td>e) There are enough resources to enable me take part in monitoring and evaluating of the Local Links Project.</td>
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<tr>
<td>f) Time allocated for monitoring and evaluating the Local Links Project is adequate.</td>
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<tr>
<td>g) I have a clear view of the monitoring and evaluation of this project and their timelines.</td>
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</table>

13. State any aspects about monitoring and evaluation of the Local Links Project that you feel were not planned for.

i) ........................................................................................................................................

ii) ........................................................................................................................................

iii) ........................................................................................................................................

iv) ........................................................................................................................................


**END - THANK YOU**
Guiding Questions:

1. Which participatory monitoring and evaluation model was used in this project?
   a) Briefly explain how this model was used.
   b) Were the stakeholders involved in the choice of the PM&E model that was used in this project?
   c) What is the role of the various stakeholders in the entire PM&E process?

2. What is the minimum level of education of the various project stakeholders?
   a) Staff (indicate whether on permanent or temporary appointment)
   b) Caregivers
   c) Are there challenges on M&E arising from stakeholder level of education?
   d) Give suggestions of improvement.

3. What is the minimum level of M&E expertise of the project staff & other stakeholders?
   a) Did you conduct any form of M&E training for the project stakeholders?
   b) Are there challenges arising from stakeholder level of technical expertise?
   c) Give suggestions of improvement.

4. Was there planning for PM&E of this project?
   a) Are plans for this project available?
   b) Are PM&E plans for the project available?
   c) Were all the stakeholders involved in planning for PM&E of the project?
   d) How were they involved?
   e) Were external evaluators involved and what was their major role?
   f) Briefly explain any challenges that are being encountered in the PM&E of this project.
   g) Give suggestions for improvement.
**APPENDIX 4**

**YOUTH DEVELOPMENT FORUM**

**INDIVIDUAL DATA FORM**

Group Name........................................... Date..............................
Members Name...................................... Gender.............. Age........
Marital Status................................. Village................. Occupation..............
ID NO.........................................................
Explain the nature of occupation.................................
Name of Husband Wife (if married).................................
Occupation................................. Approx. Monthly income.................................
REGISTRATION FEE.................................

**CHILDREN DATA**

<table>
<thead>
<tr>
<th>No.</th>
<th>Name</th>
<th>Sex</th>
<th>Age</th>
<th>Orphans</th>
<th>Others</th>
<th>School going</th>
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</thead>
<tbody>
<tr>
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<td></td>
<td>M</td>
<td>F</td>
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<td>9.</td>
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</table>

Totals

Any more Information

Contact Mobile Address): ......................................................... Signature: .........................................................

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# APPENDIX 5

## YOUTH DEVELOPMENT FORUM

### GROUP DATA FORM

**Group Name:** _______________________

**Date Formed:** _______________________

**Village:** ___________________________

**Saving Contribution per Member:** ___________________________

<table>
<thead>
<tr>
<th>Name of Member</th>
<th>AGE</th>
<th>SEX</th>
<th>STATUS</th>
<th>DEPENDANT CHILDREN BELOW 18 YRS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M</td>
<td>F</td>
<td>S</td>
<td>M</td>
</tr>
<tr>
<td></td>
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</tr>
<tr>
<td><em>OWN TOTAL</em></td>
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<tr>
<td><em>ORPHANS TOTAL</em></td>
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<tr>
<td><em>OTHERS TOTAL</em></td>
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</table>

**School going age:**

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<th>Age</th>
<th>In</th>
<th>Out</th>
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</tbody>
</table>

**KEY, status:**

- S-single
- M-married
- W-widowed
- D-divorced
- SCHH-child headed household

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