

**ANALYSIS OF ZAMBIA'S WHOLE-OF-GOVERNMENT
MONITORING AND EVALUATION SYSTEM IN THE CONTEXT OF
NATIONAL DEVELOPMENT PLANS**

by

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Dedication

To my mother, Elizabeth Siandizya Kanyamuna, and to my late father, Tyson Kanyamuna Zambo, both of whom saw my intellectual gift at a very young age and unconditionally nurtured it. To the clans of my mother and my father. Intended to be a direct inspiration of focus and hard work to my children. Further, to the Zambian child in particular and to the kids of Africa in general—especially those who will propel the subject matter of monitoring and evaluation (M&E) as a pillar of good governance and decent life for all.

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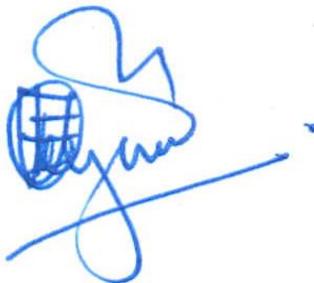
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Declaration

I, VINCENT KANYAMUNA do hereby declare that this doctorate thesis titled: **Analysis of Zambia's Whole-of-Government Monitoring and Evaluation System in the Context of National Development Plans** is my work. However, complete references are acknowledged and given regarding the sources consulted throughout the document. Therefore, I certify that the work herein has not been submitted for any other degree in any institution of higher learning as a whole or in part.



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Supervisor

This thesis is being submitted for examination with my approval.

SIGNATURE:..... DATE:.....
PROFESSOR D.A. KOTZÉ

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Abstract

This research study aimed to investigate and provide a comprehensive analysis of Zambia's whole-of-government monitoring and evaluation system (WoGM&ES) in the context of national development plans (NDPs) within the broader agenda of good governance and poverty reduction. The study considered the period 1964 to 2021—a period covering all the seven (7) NDPs for Zambia since independence. The study focused on monitoring and evaluation (M&E) arrangements in the public sector as articulated in these NDPs and other government policies as well as structural operations. The research was centred on five (5) secondary objectives, namely a) justifying the theoretical significance of Zambia's WoGM&ES to improve public-sector good governance and poverty reduction agenda through the theory of change; b) presenting Zambia as a case study in terms of the results-based WoGM&ES; c) identifying gaps inhibiting the implementation of a results-focused WoGM&ES for Zambia's public sector; d) establishing cornerstones necessary for building a results-based WoGM&ES for Zambia's public sector; and e) proposing a new model for the enhanced WoGM&ES for Zambia's public sector.

Striving for functional M&E systems is a global phenomenon that requires commitment by all stakeholders and M&E of development interventions has become a vehicle that assists development agencies globally to demonstrate results to show to their stakeholders and beneficiaries. Thus, the starting point was to contend that M&E had increasingly become a useful tool towards good governance and that more institutions and governments had adopted it. The study then demonstrates how an M&E system, and, more so, a WoGM&ES, was crucial to implementing a thriving M&E culture for any country or organisation. In terms of scope, the study drew respondents from across government functionaries at national, line ministry, province and district level. Respondents from non-state institutions and M&E practitioners were also part of the study. The research was exploratory and investigatory and used the qualitative research approach to guide its design, data collection, collation and analysis, conclusion, recommendations and presentation. Further, purposive sampling was used to select respondents from these various institutions. Data collection benefited through the use of closed and open-ended questions from both secondary and primary sources. Nvivo software, text analysis as well as the analytical tool called LEADS comprised of a 5-point scoring scale were adopted and used for discussion and analysis of field data and information.

The analytical instrument adopted to guide the research comprises of six components, namely: i) policy, ii) methodology, iii) organisation, iv) capacity, v) participation of actors outside government, and vi) the use of information from M&E. These components form the diagnostic checklist (analytical framework) used to assess the current status of Zambia's WoGM&ES. In many ways, Zambia's public sector system for M&E was found to be weak. At all levels—national, line ministry, provincial and district, M&E arrangements and practice were found to be poor. Both the supply side and the demand side of Zambia's country level M&E system were unable to provide stakeholders with required and adequate information to inform critical development processes, such as policy-making, decision-making, planning, budgeting, resource allocation and advocacy. Gaps were identified in all the six components of the diagnostic checklist and improvements will be necessary as suggested and recommended under each one of them to make the WoGM&ES viable to meet the expectations of stakeholders. While the supply side of the system was relatively found to be well developed, the demand side was worse off. On the supply side, the study found that the policy and methodology components were fairly well developed. However, the component on the use of information by stakeholders, on the demand side, was found to be poorly developed. Further, various capacities in M&E were acknowledged as lacking across the WoGM&ES. The participation of actors outside government in strengthening the country system for M&E was also found to be weak, in many cases presented with lots of parallel and fragmented stand-alone systems. The policy environment in support of M&E strengthening and expansion was equally reported as one of the key areas that required attention from both political and technical powers that be. Although Zambia's WoGM&ES was found to be weak in many aspects, it is noteworthy to mention that it has the necessary features for success. The study established that at national level, there were currently efforts to make M&E work in government. Such activities as creating a structure responsible for coordinating M&E across government, automating data management and information flows as well as developing a national M&E policy were reported to be ongoing efforts.

To improve and enhance Zambia's WoGM&ES, this study has proposed a model. Firstly, the new model recommends a structural shift in the manner M&E is coordinated at national level. The presidency was identified as the most appropriate location or entity to hold the responsibility of overseeing the WoGM&ES and in constantly as well as dedicatedly demanding for development results. The model is proposed as a transformational and long term strife and commitment by the current and successive governments. It was established that the

current arrangement where the Ministry of National Development Planning (MNDP) was overseeing the WoGM&ES had led to operational gaps related to weak funding to M&E activities and high level policy clout. Generally, there is lack of influence (both political and technical) to spur an M&E transformational agenda for the country, let alone within the public sector. Therefore, the proposed model advances that the presidency will have the motivation and capacity to resolve these weaknesses a great deal. Specifically, the model suggests the establishment of an evaluation structure under the presidency to work as an apex institution to drive and champion the cause for a robust results-based WoGM&ES for the Zambian public sector. To formalise this arrangement, a well-defined M&E legislation will be needed. In addition, the proposed model has made salient recommendations on how to build and strengthen both the supply side and demand side of Zambia's WoGM&ES. These two sides are considered vital for success of the country system for M&E and government and its stakeholders and partners will do well to invest in building and sustaining the supply and demand sides. In proposing a new architecture for Zambia's WoGM&ES, the proposed model has acknowledged and incorporated the current positive practices and arrangements.

Finally, the study has among others recommended that all government levels should create formal structures mandated to undertake M&E functions. These entities should be equipped with skilled staff in M&E, funding, technologies and relevant equipment. This research has also enriched literature on M&E and its relationship with good governance. Equally, a number of M&E issues such as political, technical and international best practices have been raised to prompt future research and development.

List of acronyms and abbreviations

7NDP	Seventh National Development Plan
AAA	Accra Agenda for Action
ABSA	Amalgamated Banks of South Africa,
ACC	Anti-Corruption Commission
ADC	Area Development Committee
AfCOP	African Community of Practice
AfDB	African Development Bank
AFrEA	African Evaluation Association
AFRI4R	Africa for Results
APRs	Annual Progress Reports
AWPs	Annual Work Plans
CAGs	Cluster Advisory Groups
CDF	Comprehensive Development Framework
CLEAR-AA	Centres for Learning on Evaluation and Results—Anglophone Africa
CO	Cabinet Office
CPs	Cooperating Partners
CPI	Consumer Price Index
CPS	Committee of Permanent Secretaries
CSO	Central Statistical Office
CSOs	Civil Society Organisations
CSPR	Civil Society for Poverty Reduction
DAC	Development Assistance Committee
DBSA	Development Bank of Southern Africa
DDCC	District Development Coordinating Committee
DDPs	District Development Plans
DFID	Department for International Development
DPA	Development Planning and Administration
DPOs	District Planning Offices
EMF	Economic Management and Finance
EU	European Union
FGDs	Focus Group Discussions
FNDP	Fifth National Development Plan
FOI	Freedom of Information
GDP	Gross Domestic Product
GRZ	Government of the Republic of Zambia
GTZ	German Technical Cooperation Agency
GW	Government-Wide
HDI	Human Development Index
HIPC	Highly Indebted Poor Countries
HLF4	Fourth High Level Forum
ICT	Information Communication Technology

IDA	International Development Association
IDPs	Integrated District Plans
IFMIS	Integrated Financial Management and Information System
IMF	International Monetary Fund
IEG	Independent Evaluation Group
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
INTRAC	International NGO Training and Research Centre
I-PRSP	Interim Poverty Reduction Strategy Paper
JSRs	Joint Sector Reviews
KPI	Key Performance Indicator
KRA	Key Result Area
LCMS	Living Conditions Monitoring Survey
LDCs	Less Developed Countries
LEADS	Little action, Elements exist, Action taken, largely Developed, Sustainable
LFA	Logical Framework Approach
LTO	Long Term Outcome
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MfDRs	Managing for Development Results
MIS	Management Information System
MLGH	Ministry of Local Government and Housing
MMD	Movement for Multi-Party Democracy
MMS	Management Monitoring System
MNDP	Ministry of National Development Planning
MOF	Ministry of Finance
MPSAs	Ministries, Provinces and other Spending Agencies
MTEFs	Medium Term Expenditure Framework
MTO	Medium Term Outcome
NDCC	National Development Coordinating Committee
NDP	National Development Plan
NDPs	National Development Plans
NGOs	Non-Governmental Organisations
NLTV	National Long Term Vision
NM&EP	National Monitoring and Evaluation Policy
NPF	National Performance Framework
NSDS	National Strategy for the Development of Statistics
NSO	National Statistical Office
NSS	National Statistical System
OAG	Office of the Auditor General
OECD	Organisation for Economic Cooperation and Development
OP	Office of the President
PD	Paris Declaration

PDCC	Provincial Development Coordinating Committee
PF	Patriotic Front
PFM	Public Financial Management
PFMR	Public Financial Management Reform
PFMRS	Public Financial Management Reform Strategy
PGDP	Provincial Growth Development Plans
PPU	Provincial Planning Unit
PRS	Poverty Reduction Strategy
PRSP	Poverty Reduction Strategy Paper
RBM	Results-Based Management
R-SNDP	Revised Sixth National Development Plan
SAGs	Sector Advisory Groups
SAPs	Structural Adjustment Programmes
SDGs	Sustainable Development Goals
SIPs	Sector Investment Plans
SMART	Specific, Measurable, Achievable, Relevant and Time-bound
SNDP	Sixth National Development Plan
SOs	Strategic Objectives
SPFs	Sector Performance Frameworks
SSPs	Sector Strategic Plans
SWOT	Strengths, Weaknesses, Opportunities and Threats
SZI	Smart Zambia Institute
TNDP	Transitional National Development Plan
ToC	Theory of Change
ToRs	Terms of Reference
TSA	Treasury Single Account
TWGs	Technical Working Groups
USAID	United States Agency for International Development
UN	United Nations
UNAIDS	United Nations Programme on HIV and AIDS
UNDG	United Nations Development Group
UNDP	United Nations Developemnt Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNIP	United Independence Party
UNISA	University of South Africa
UNZA	University of Zambia
UPND	United Party for National Development
WDC	Ward Development Committee
WoG	Whole-of-Government
WTO	World Trade Organization
WoGM&ES	Whole-of-Government Monitoring and Evaluation System
ZaMEA	Zambia Monitoring and Evaluation Association
ZDHS	Zambia Demographic and Health Survey

CHAPTER 1

Situating the Research Study

1.1 Introduction

This research study aims to investigate and provide a comprehensive analysis of Zambia's whole-of-government monitoring and evaluation system (WoGM&ES) in the context of national development plans (NDPs) within the broader agenda of good governance and poverty reduction. The study covers the period 1964 to 2018, analysing Zambia's public sector development planning, monitoring and evaluation arrangements (covering all NDPs between 1964 to 2021). Seven NDPs have been implemented during this period and the study focused on the functioning and evolution of the monitoring and evaluation arrangements across government structures. Therefore, Chapter 1 deals with the contextual information for this research study and provides the overall scope under which the research topic in particular and the thesis in general are anchored upon. First, the Chapter presents the geographical location of Zambia within African and the globe at large. Next, the Chapter discusses the rationale and background information for the research problem. The background section in a brief synthesis contextualises monitoring and evaluation (M&E) in the Zambian scenario and highlights how it is embedded in the framework of the government-wide (G-wide) or simply the WoGM&ES and as pursued within the scope of the NDPs. In that regard, the WoGM&ES is defined and described. The chapter then discusses the statement of the research problem. This aspect gives details about the discrepancy being investigated by the study. To have better understanding of the research topic and the study itself, the problem statement is presented. It also discusses the purpose and significance of the research study and does this by illustrating how relevant the findings of the research will be to M&E structures across government and to several non-state actors. The chapter provides justification and motivation for using Zambia as a case study country for this research.

Further, Chapter 1 discusses the research objectives, broken down into primary and secondary objectives. Additionally, it elucidates the overall scope and limitations of the research study process. Further, the Chapter gives a brief methodological approach adopted to guide the study. This section introduces the qualitative approach as the method used to conduct this research. Before the conclusion, the chapter presents a list of key M&E concepts used in this thesis.

1.2 Geographical location of Zambia

Zambia lies in a central position in southern Africa surrounded by eight other countries. It is a land-linked country between Angola in the west, Namibia, Botswana and Zimbabwe in the south, Mozambique, Malawi and Tanzania in the east, and the Democratic Republic of Congo in the north. In terms of size, Zambia is 752,614 square kilometres. The capital city of Zambia is Lusaka. It is a member country of a number of continental and regional development blocs including the African Union (AU), Southern African Development Community (SADC) and the Common Market for Eastern and Southern Africa (COMESA), among others. Zambia's location is between 8 and 18° South, and 22 and 34° East. Figure 1.1 below is a map showing the geographical location of Zambia in the African continent.

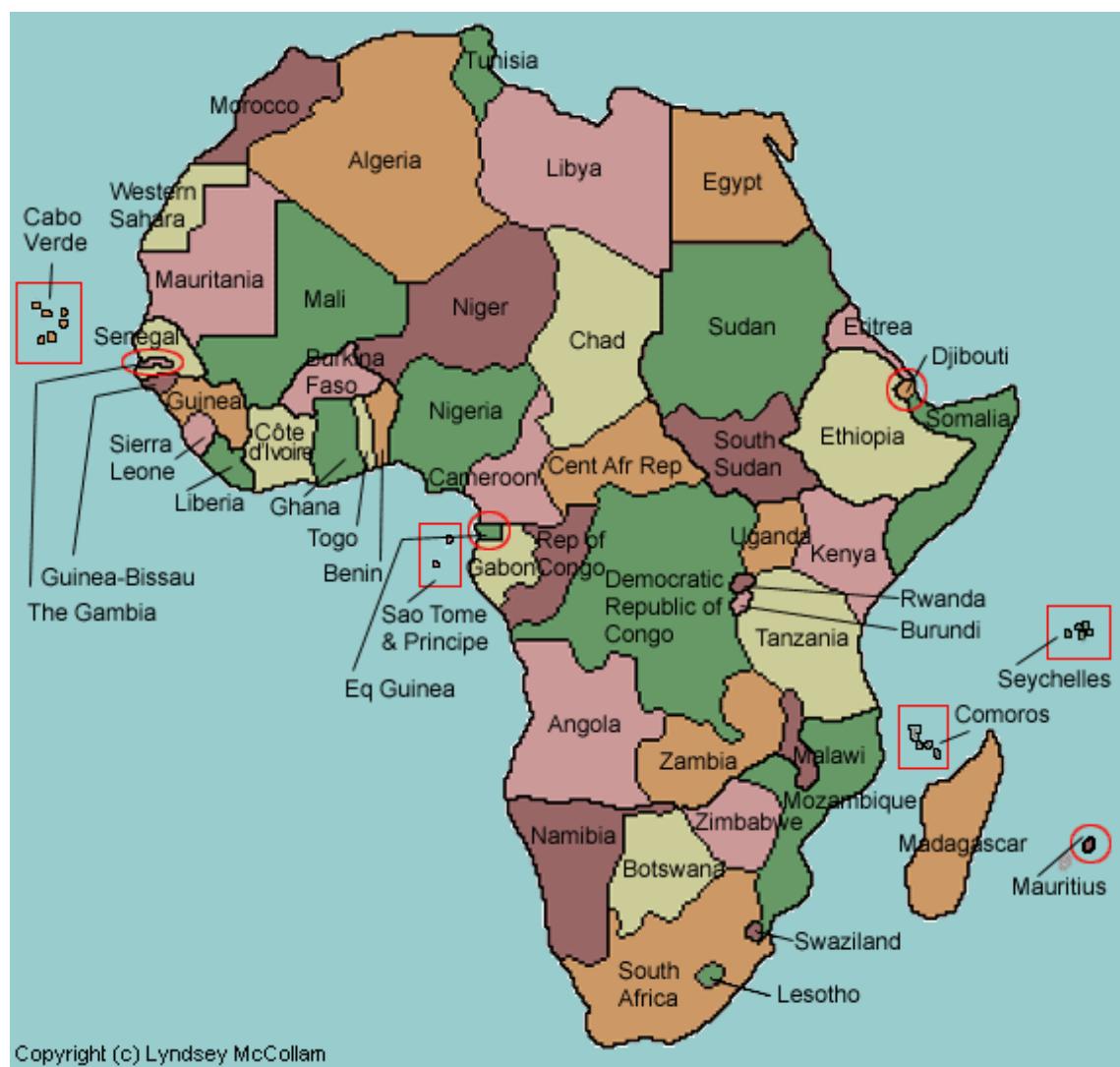


Figure 1.1. Geographical location of Zambia in Africa

Source: <http://anthrohealth.net/blog/this-is-africa/african-countries-map/>

1.3 Rationale for the research problem

Results, and in particular ‘development results’, have become more sought after and emphasised by those who need the development benefits and those who provide the desired development. Because of this increasing demand for development results, monitoring and evaluation pressure seems to be placed on the perceived providers of public goods and services to demonstrate some level of result or changes toward improving people’s wellbeing. The call for tangible development results has become a global phenomenon as a consequence.

In addition, the Organisation for Economic Cooperation and Development/Development Assistance Committee (OECD/DAC) (2006) observed that many countries, under the development approach called managing for development results (MfDRs), have embarked on ensuring that efforts to manage results need to be top of the development agenda at all levels of development activity. The prioritisation and situating of results at the centre of any development intervention is on the understanding that decision making and related processes should be anchored on evidence-based data and information. Since the Monterrey Conference on Financing for Development in 2002, development agencies globally have seemingly rallied behind the common agenda of pursuing development results as a product of well-clarified intervention goals. Essentially, the Monterrey Conference was demanding shared global responsibility regarding management strategies towards the achievement of development results. This was to be attained through a new partnership for development, and increased commitment from developing and developed countries. While the developed countries were encouraged to fashion their policy support towards more effective aid and trade with poor countries, the developing nations were challenged to increase their commitment to policies and actions that promoted economic growth and poverty reduction (World Bank, 1998; Schacter, 2000; Cammack, 2007; World Bank, 2007c).

Further, to have a clear context as to why and how this study would add value to Zambia’s public sector management and to the body of knowledge of M&E, it is important to appreciate the M&E function at global, continental (African) and national (Zambian) level. This is important in situating the problem and in appreciating the holistic evolution of M&E in the broader development discourse and particularly in Zambia. A number of development stakeholders and practitioners today believe that well-functioning systems for M&E could be

the link between unlocking the growth potentials of countries and organisations and realising desired poverty reduction goals. Segone (2010:22) states:

Within the social policy reform debate occurring in several countries [...] it appears that the real challenge is in implementing policy reforms to translate policy statements into development results for vulnerable populations, including children and women. Strengthening national social systems to implement policies is therefore paramount. For this, a strong country monitoring and evaluation system is crucial to provide essential information and analysis. A strong system will help to ensure such policies are being implemented in the most effective and efficient manner; to review policy implementation and design; and, to detect bottlenecks and to inform on adjustments needed to enhance systemic capacities to deliver results.

Striving for functional M&E systems has thus become a global phenomenon that requires commitment by all stakeholders. Therefore, monitoring and evaluation of development interventions has become a vehicle that assists development agencies globally to demonstrate results to show to their stakeholders and beneficiaries. According to OECD/DAC (2010) and Williams (2016), what constitutes a development ‘result’ is a describable and measurable change that emanates from a cause-and-effect relationship. Simply put, a result denotes an output, an outcome or an impact, which may be intended or unintended, and positive or negative, that pertains to a given development intervention. Today, development agencies are undertaking major efforts to implement a results-based M&E agenda. This results approach is being pursued by many developing and transition countries using mechanisms such as their national strategies, plans, policies, programmes and projects (Bedi, Coudouel, Cox, Goldstein & Thornton, 2006; Görgens & Kusek, 2009; World Bank, 2014).

Systems for M&E have been developed by governments and non-government actors as powerful management tools. According to Vietnam (2007), M&E systems are used by governments and organisations to show performance in terms of achieving desired outcomes and long-term development impact, more so in enhancing the function of accountability, feedback and learning. However, those who have made efforts to build M&E systems have stated that doing so is a long-term endeavour that demands a diversity of capacities from those who pursue such robust management and governance systems. Equally, Görgens and Kusek (2009) observed that governments and organisations around the world seem to be under constant and growing pressure from their internal and external stakeholders, who demand that there should be focused attention on good governance, accountability and transparency. More evidently, in the developing world, where governance systems are viewed as weaker and characterised by increasing poverty levels, inequalities, disease burden, poor educational services and corruption, the question of good governance has been top of the development

agenda for a long time. Other overarching socio-economic dilemmas in which these poor countries find themselves include broken-down justice systems, high unemployment levels, especially among the youth and women, weak institutions to deliver desired development, food insecurity and deteriorating political systems, leading to threatened democracies and economic stability. In Africa, these problems are rife, and governments and stakeholders are working towards resolving many of these problems. M&E functions are considered to be among the key ingredients to help resolve the dilemma.

Therefore, contemporary thinking and practice suggests that functional M&E systems, if implemented well, have the potential to achieve development effectiveness and delivery of tangible results towards poverty alleviation and sustainable development. In support of this view, the World Bank (1999) pointed out that through the use of effective M&E systems, tracking of performance for on-going activities at every level becomes feasible. This function makes a strong case for M&E as a crucial results-based management tool (RBM) that could promote feedback loops, learning and improved performance for development interventions. Table 1.1 gives details of the benefits that can be realised from functioning M&E systems. The M&E systems here are posited as tools that promote RBM not only in public sector services, but in all processes of development, whether state or non-state.

Table 1.1. Significance of monitoring and evaluation systems in the development process

Why results-based M&E systems?	Political conundrum of M&E systems
<p>M&E can be conducted at local, regional and national level. A functioning M&E system, at any level, provides a continuous flow of information that is useful internally and externally. Internal use of information from the M&E system is a crucial management tool that helps managers ensure that specific targets are met. Information on progress is all vital to managers who are striving to achieve results.</p> <p>Likewise, the information from an M&E system is important to those outside the public sector (or other organisations) who are expecting results and want to see demonstrable impacts. The information can build trust in a government or any other organisation that is striving to better the lives of its citizens or clients. M&E systems can help identify promising programmes or practices. They can help identify unintended, but perhaps useful, project, programme and policy results. M&E systems can help managers identify programme weaknesses and take action to correct them. M&E can be used to diminish fear within organisations and governments and to foster an open atmosphere in which people learn from mistakes, make improvements, and develop skills along the way.</p>	<p>Implementing results-based M&E systems can pose political challenges in developed and developing countries. It takes strong and consistent political leadership. Making results-based information available to the public can change the dynamics of institutional relations, budgeting and resource allocation, personal political agendas, and public perceptions of government. Strong, vested interests may feel threatened. There may be counter reformers within and outside the government/organisation who actively oppose M&E efforts. This makes the role of a strong champion key to ensuring the institutionalisation and sustainability of a results-based M&E system.</p> <p>Results-based M&E systems are essential components of governance structures, and thus are fundamentally related to political and power systems. They provide critical information and empower policymakers to make better informed decisions. At the same time, the information may limit the options that can be justified, constraining decision makers' room to manoeuvre.</p>

Source: Görgens & Kusek, 2009, p.3

According to Mackay and Gariba (2000), aside from governments, other stakeholders are demanding for results-based performance and good governance. These include civil society, parliaments, non-governmental organisations (NGOs), citizens, private sector, media houses, academia, international organisations and cooperating partners. In affirmation of this argument, Naidoo (2011) observed that for decades, there has been increasing demand for functional and performing governments and organisations from stakeholders across developed and developing economies. These demands have been uniform among stakeholders. At the centre, there have been increasing calls for more transparency, greater accountability and good governance from those who provide development interventions. The pressures have been around the desire to develop, implement and sustain results-based M&E systems. More specifically, governments and development agencies require systems that support the prudent management of policies, programmes, and projects (Görgens & Kusek, 2009; Mosse & Sontheimer, 1996). A further contention is that functional M&E systems are irreplaceable, just as governments require human resources, and financial and accountability systems to assist in improving performance in service delivery and in enhancing development feedback mechanisms and processes (Mackay, 2006a; Smith, Nutley, Davies & Smith, 2009).

Consequently, M&E systems can be viewed as tools of management that may bring about improvements in the performance of the public sector and other players in development spaces. Kusek and Rist (2004) assert that owing to heightened and unprecedented demand, the functions of M&E have become a new phenomenon that has been developed and pursued to contribute to the betterment of public service management and to help attain good governance and sustainable development. It therefore stands that the functions of ‘monitoring’ and ‘evaluation’ are effectively meant to determine the progress and performance of development policies and other interventions such as programmes and projects (World Bank, 2007c; Edmunds & Marchant, 2008; Hardlife & Zhou, 2013).

When M&E is properly initiated, developed, owned and sustained, it can lead to the realisation of development aspirations (Development Bank of Southern Africa, 2000; GRZ, 2017b; UNAIDS, 2009). Therefore, although governments are implementing various socio-economic reforms, including public finance, strategic planning, judicial systems and investment profiling, reforms in M&E are also fundamental. For example, in pursuit of good governance practices, many governments have embarked on strengthening their M&E functions.

Country-led systems of M&E are a concept whose time has come. A growing number of developing and transition countries and most, if not all developed countries are devoting considerable attention and effort to their national M&E systems. Many do not label it as such—it may be called evidence-based policy-making, performance-based budgeting, or results-based management for example—but at the core is an evidentiary system for public sector management that relies on the regular collection of monitoring information and the regular conduct of evaluations (Segone, 2009:169).

Segone's view makes a strong case for M&E reforms and does so by linking the global economy's preoccupation with enhancing good governance and poverty reduction to the phenomenon of M&E. There seems to be serious rethinking among countries in the developed world and their counterparts in the developing world about using M&E to improve their performances. Hardlife and Zhou (2013) also contend that the emerging consensus on institutionalising and embracing M&E comes from extensive discontentment in the performances of the majority of development programmes at the present moment. In particular, the emerging and seemingly deteriorating living standards of the masses, which constitute ill health, illiteracy, malnutrition, economic deprivation, among other challenges, have prompted governments and other development agencies to create systems for M&E. These unwanted and unwarranted vices are making the need for M&E greater across the globe (GRZ, 2017a; Mackay, 2006b; Kusek, 2011).

Hence, there seems to be an overarching point of decision by development practitioners that M&E requires attention at the core to achieve increased country growth and development. To that extent, Segone (2010) adds that broad-based consensus seems to have been reached among key stakeholders, including countries, donors and international agencies. The common agreement is that M&E systems for national development strategies and the implementation of policy reforms need not only to be spearheaded by the developing countries, but owned, controlled and sustained by them. While this was being achieved, the international development agencies and cooperating partners (CPs) were expected to assist in building the M&E capacities of developing countries. Consequently, the M&E crusade is believed to have swept through the globe, cascading down to Africa, to individual governments and single organisations (Naidoo, 2011; Kusek & Rist, 2004; ABSA, 2000; Asian Development Bank, 2011).

From the discussion about the possible benefits from stronger M&E systems, a case has been established for Zambia's quest to build, implement and sustain a functional M&E system for the entire public sector. The government today is challenged to rise to the occasion and pursue an ambitious reform agenda. Such a system is needed to enhance the good governance system of the country. In response, the Zambian Government is already implementing an M&E system that is aimed at providing evidence-based management and decision making information for development stakeholders. Creating M&E functions embedded in the framework of the public sector management has become inevitable because of internal pressure from civil society, parliament, academia, ordinary citizens, etc., which includes increased demand for transparency and accountability and external pressure, such as calls for effectiveness and efficiency in the utilisation of donor aid from multilateral and bilateral donors. The system for Zambia is referred to as the government-wide (G-Wide) M&E system, which is being implemented to track deliverables and results from across the public sector (GRZ, 2017b).

The government is optimistic that the G-Wide M&E system will work as a significant tool in enhancing the management of public resources and related development processes (GRZ, 2014a, 2017b). However, as to whether the G-Wide M&E system is currently fully functional is the reason that this research study has been commissioned. In this thesis, a disclaimer is made by this author that the name 'whole-of-government M&E system' (WoGM&ES) is preferred to the 'government-wide M&E system' (G-Wide M&E system). Thus, although the two names mean the same thing, 'whole-of-government M&E system (WoGM&ES) is preferred and will be used in this thesis to refer to the Zambian G-Wide M&E system.

Hlatshwayo and Govender (2015) define a WoGM&ES as a comprehensive system that represents an integrated all-encompassing framework of M&E principles and practices and standards to be used throughout government to improve poverty reduction interventions, which include policies, programmes, projects, processes and practices. Such a system operates at the highest level, but draws its information from lower-level functional components and government structures to deliver useful M&E products for its users. A functional WoG-M&E system should sustain development through appropriate and timely information for use to improve programme design and decision making in order to foster enhanced development impact and good governance (Bedi et al., 2006; Elkins, 2006; World Bank, 2007c; Guzman, 2014; Simister, 2009; Engela & Ajam, 2010). In other words, Edmunds and Marchant (2008) emphasise that an M&E system that is fully evolved not only fulfils the function of tracking

and measuring development results, but represents a central aspect in the holistic poverty reduction agenda.

Therefore, around the world, M&E has increasingly become popular in the implementation of poverty reduction strategies. This has been due mainly to the anticipated benefits that are associated with it (Kanyamuna, 2013; ADB, 2014). Similarly, Morra Imas and Rist (2009) observed that owing to internal and external pressures and demands to improve public management, many governments have employed results-based M&E to help track progress by demonstrating the effect of development policies, programmes and projects. For Naidoo (2011), M&E has become an evolutionary field of specialisation, especially in the past two decades. Suffice to say, there is a growing body of literature with a broadening community of practice in which professionals such as ‘evaluators’ are being recognised.

Therefore, given the importance of Zambia’s WoGM&ES to the country’s good governance crusade, it becomes crucial that the system should be fully developed to provide the much-needed information for all stakeholders when they require it. As a relatively new phenomenon in the public sector and in mainstream national development planning, the Zambian WoGM&ES may be functional in its current form, but is potentially lacking in particular critical areas. This suspicion led to the research study to make a comprehensive assessment of the WoGM&ES and an analysis to offer insight into what needs to be improved. It was important to undertake this research because the findings and recommendations could go a long way towards building, strengthening and sustaining Zambia’s public sector WoGM&ES.

1.4 Background to the research study

The contemporary evolution of M&E in the Zambian public sector can generally be traced back to the beginning of the new millennium in 2000, and in particular towards the end of the twentieth century in 1999. In that period, the World Bank, working alongside the International Monetary Fund (IMF), launched the Poverty Reduction Strategies (PRSSs) as an alternative to the controversial Structural Adjustment Programs (SAPs) of the 1990s, which saw most poor countries plunge into unsustainable external debt (Booth & Lucas, 2002; Hauge, 2001; Serra & Stiglitz, 2008).

In 2000, Zambia developed its Interim Poverty Reduction Strategy Paper (I-PRSP 2000—2002) and progressively, the full PRSP (2002—2004) was launched and implemented, together with other reforms in 2002. After the successful implementation of the full PRSP, Zambia qualified for external debt relief in 2004, as prescribed for a country that reached the Heavily Indebted Poor Country (HIPC) Initiative¹ completion point (David Booth, 2005; DBSA, 2000; GRZ, 2006; World Bank, 1999, 2005b).

In addition, some reforms were made and in 2005/6, Zambia reverted to the National Development Planning Approach, which was previously, discontinued from 1991 to 2001 with the change of the political regime from the United Independence Party (UNIP) government under Kaunda to the Chiluba regime of the Movement for Multi-Party Democracy (MMD). Essentially, Zambia had no national development plans (NDPs) for that ten-year period and favoured the market-led liberalised economy in which government was expected only to provide macroeconomic and fiscal policy stability frameworks (GRZ, 2006; Mulungushi, 2007). After Zambia's political independence from the British government in 1964, four NDPs were formulated up to 1991, of which the first three were implemented fully, while the fourth was implemented partially and cut short to make way for multiparty politics in 1991. Thus, after the general elections of 1991, NDPs were discontinued.

However, the Mwanawasa regime reverted to national planning in 2005/2006 to break away from the ten years of no NDPs under the Chiluba regime. The Fifth National Development Plan (FNDP 2006–2010) continued from the four NDPs that had been implemented under the Kaunda regime (1964–1991).² After the FNDP, Zambia implemented the Sixth National Development Plan (SNDP 2011–2015), which was revised (Revised Sixth National Development Plan (R-SNDP) 2013–2016) soon after the government of the Patriotic Front (PF) assumed power in 2011. Currently, the country is implementing the Seventh NDP (7NDP) covering the period 2017 to 2021 under the theme ‘Accelerating Development Efforts Towards Vision 2030 Without Leaving Anyone Behind’.

¹ Under the World Bank and IMF guidance, many developing countries were required to implement country-led poverty reduction strategy papers as a conditionality to access pardon of external debt from the late 1990s until the end of the 2000 decade. That meant reaching agreed-upon macro-economic and fiscal benchmarks under what was coined the Highly Indebted Poor Countries Completion Point (HIPC). For Zambia, the completion point was attained in 2004 and US\$4.8 billion external debt was pardoned.

² The fourth NDP was not fully implemented owing to economic instabilities that rocked the country during the entry of the multiparty system. This confusion led to the premature discontinuation of the fourth NDP in 1990/91.

Nonetheless, Zambia's return to national development planning in 2005/6 came after a fairly successful implementation of two poverty reduction strategy papers (PRSPs), which were prepared under the guidance of the World Bank and the IMF. PRSPs, however, in their original version are no longer implemented in Zambia. NDPs are the current national development vehicles to tackle poverty and are designed to help realise the country's national long-term vision (NLTV), currently Vision 2030—of becoming a prosperous middle-income nation by 2030, which is being pursued as the aspiration of the Zambian people (GRZ, 2006). Thus, all other development frameworks are anchored on the NLTV (GRZ, 2014b, 2017b).

The fundamental differences between PRSPs and NDPs lie in their formulation and implementation. Intrinsically, these strategies have a common objective, that of poverty reduction and citizenry empowerment. However, PRSPs in Zambia were medium-term plans that were prepared and implemented strictly under the guidance of the two Bretton Woods institutions, Word Bank and the IMF (Booth, 2005; Booth & Lucas, 2002; GRZ, 2006) The emphasis was for stakeholders such as the civil society, academia, parliament, ordinary people and interest groups to take part in the preparation, implementation, monitoring and evaluation of those PRSPs. Country ownership was the focus, whether perceived or realistic (GRZ, 2006).

NDPs are a significant shift from the PRSP concept, in that NDPs are first prepared within the context of fulfilling an NLTV (GRZ, 2005b & 2014a). Second, NDPs are formulated, implemented, monitored and evaluated by local stakeholders who agree on a common national development agenda. NDPs are not regulated by the World Bank, IMF or other external stakeholders, but the views of such cooperating partners are welcome in the planning, budgeting, implementation, monitoring and evaluation processes. Further, NDPs contain public investment programmes or simply capital investments, while PRSPs were targeted at funding recurrent expenditures that directly or indirectly supported poverty reduction, to the extent that programmes in the annual budgets were tagged Poverty Reduction Programmes (PRPs), hence ring-fenced (GRZ, 2000, 2002 & 2016).

Table 1.2 provides a summary of all the NDPs that have been implemented since independence in 1964. The key focus area for each plan is highlighted to indicate the effort pursued to reduce poverty and improve the lives of the majority of Zambians.

Table 1.2. National Development Plans for Zambia from 1964 to 2021

NDP	PERIOD	STRATEGIC FOCUS
First	1966–1970	Elimination of obstacles to economic and social development through establishment of conditions for dynamic and sustained growth
Second	1972–1976	Building up of the country's economic and social infrastructure while laying the foundations for a more balanced economic development of the country
Third	1979–1983	To address the sluggish growth performance and foreign exchange difficulties attributable mainly to disruptions caused to the country's supply routes, oil crisis, world recession and the collapse of copper prices experienced during the Second National Development Plan
Fourth	1989–1993	Growth with own resources: The focus was to restore the economic equilibria, achieve a more efficient allocation of human, financial and material resource, expand the productive base and capacity of the economy. This plan was discontinued in 1991
Liberalisation	1991–2001	No NDPs for the whole period. Economic growth was determined by the market forces while Government provided a thriving policy environment for the private sector. This approach was rescinded and NDPs were later re-introduced in 2005/2006
I-PRSP	2000–2001	The Interim Poverty Reduction Strategy Paper (I-PRSP) briefly outlined Zambia's past efforts towards poverty reduction. The I-PRSP mapped out Zambia's development goals and indicated the strategies that were to be employed to attain those goals. I-PRSP was done through the guidance of the World Bank and IMF
PRSP	2002–2004	The PRSP focused on measures to achieve a strong and sustained economic growth. A growing economy that creates jobs and tax revenues for the state was deemed a sustainable powerful tool for reducing poverty. Growth was to be broad-based, thereby promoting income-generation, linkages, and equity. The World Bank and IMF were at the centre of implementing the PRSP through various conditionalities. In 2004, Zambia was forgiven of its external debt in excess of USD5 billion
TNDP	2002–2005	The Transitional National Development Plan (TNDP) drew heavily on the invaluable work of the PRSP Working Groups by converting PRSP chapters into TNDP format. The theme of the TNDP was 'Sustained Growth, Employment Creation and Poverty Reduction'. The plan focused on agricultural development as the engine of income expansion in the economy.
FNDP	2006–2010	The theme of the Fifth National Development Plan (FNDP) was 'Broad based wealth and job creation through citizenry participation and technological advancement'. The focus of this plan was wealth and job creation. The FNDP was the first plan to be implemented after the economy was liberalised in 2001
SNDP	2011–2015	The theme of the SNDP was 'Sustained economic growth and poverty reduction'. This plan had a focus on accelerated infrastructure and human development, enhanced economic growth and diversification, and promotion of rural development. The main thrust was to promote policies, strategies and programmes that will contribute significantly to addressing the challenges of realising broad-based pro-poor growth, employment creation and human development
R-SNDP	2012–2016	The Revised Sixth National Development Plan 2013-2016 (R-SNDP) was the revision of the Sixth National Development Plan 2011–2015 to take on board the priorities of the Patriotic Front (PF) Government. The theme of the R-SNDP was 'People Centred Economic Growth and Development' and focused on public capital investments biased towards rural development and job creation so as to achieve inclusive growth
Seventh	2017–2021	The 7th NDP theme is accelerating development efforts towards the Vision 2030 without leaving anyone behind. Using an integrated multi-sectoral approach, the plan focuses on five (5) pillars of Economic diversification and Job creation; Poverty and Vulnerability Reduction; Enhanced Human Development; Reducing Development Inequalities; and Creating a conducive governance environment for a diversified economy

Compiled from Zambian planning documents by the author (2017)

M&E has been a core component in all the NDPs from 2006 (FNDP). However, none of the four NDPs under the Kaunda and UNIP regime articulated M&E functions, nor were there designated M&E chapters and sections in the manner we understand M&E today. To that extent, all these recent development plans (2006 to date) carried separately elaborated chapters on M&E, outlining the details of how the government and other stakeholders were going to holistically tackle the issue of NDP M&E arrangements. As a result, over the years the country has seen a lot of interest by stakeholders in public sector performance vis-à-vis the WoGM&ES. M&E seems to have become significant not only to the Zambian government, but also to the citizens and other stakeholders. Invariably, M&E is understood to be an effective instrument towards the determination of the extent to which outputs were achieving expected outcomes and impacts (Görgens & Kusek, 2009; GRZ, 2017b; Mackay, 2007; Pitman, Feinstein & Ingram, 2005). It would therefore be desirable that the Zambian Government should benefit from these positive attributes that accompany a functional M&E system across the public sector.

In addition, it could be observed that the development of a country-level system for M&E in the Zambian government is a relatively recent undertaking that emerged only in the early 2000s. OECD/DAC (2005, 2007, 2009, 2011) and World Bank (2005a), under its Comprehensive Development Framework (CDF), undertook some assessments to review how responsively Zambia's monitoring mechanisms³ functioned. In all the assessments, they allegedly found that Zambia had weaker monitoring arrangements against the targets set under the 2005 Paris Declaration (PD) and CDF. The CDF and PD are both international development agreements that represent an evolution in the roles of governments, donors, civil society, academia and the private sector in global development through empowering people to take charge of their lives; reaffirming that poverty is a phenomenon that results from lack of basic individual and social rights that allow people to lead the kind of lives they value (DBSA, 2000).

The findings from these assessments, coupled with local Zambian reports such as annual progress reports (APRs) and economic status reports, all claimed that Zambia's M&E arrangements were not functioning as desired. This overall assertion of a weak position for Zambia's national-level M&E arrangements is the motivation for this research study. The

³ The phrase 'monitoring mechanisms' here was used to mean the 'monitoring and evaluation systems' for a given country.

conclusions by these reviews need to be interrogated further with a scientific approach, deserving meticulousness and rigour. Undoubtedly, the OECD/DAC and World Bank are credible and authentic world-class institutions, whose findings are appropriate to be used as basis for a much deeper investigation, a local and critically inward-looking study to bring out underlying issues that could help build and sustain a stronger WoGM&ES for the Zambian public sector. Details of these study findings by the OECD/DAC and World Bank are discussed in section 1.4 below.

More efforts and reforms will be required to improve Zambia's WoGM&ES. The M&E problems that currently face the system come in various forms and scales and are spread across all levels of the civil service. Further, these M&E problems spill-over to non-state actors who have a stake and are partners in the provision of public goods and services (GRZ, 2015, 2016, 2017a, OECD/DAC, 2007, 2011 & World Bank, 2005a; Chigunta & Matshalaga, 2010). For instance, many government reports and other institutional findings have shown that Zambia's WoGM&ES is not sufficiently developed to offer the kinds of data, information and knowledge that are demanded to assist in decision-making processes such as in policy making, planning, budgeting and implementation of development interventions at many levels (GRZ, 2010, 2011b, 2012, 2013, 2014a, 2015, 2016 & 2017a). Thus, these obstacles pose a practical threat to the holistic re-engineering and strengthening of the WoGM&ES (GRZ, 2016 & 2017a).

In the absence of a detailed study to provide a comprehensive diagnostic investigation and analysis of these complex problematic aspects, attaining a stronger WoGM&ES becomes far-fetched. The motivation to pursue this study was to contribute to a functional WoGM&ES that would contribute to a better managed Zambian public sector, anchored on a sustained good governance culture, through the provision of quality stakeholder-specific, relevant and timely data and information for better governing. Given such a holistic system, there would be clear linkages and information flows among stakeholders that would inform all development efforts towards poverty reduction. Therefore, this research study was motivated to find out the M&E challenges that face Zambia's public sector. In addition to the broader challenges identified in reports, this study sought to undertake an in-depth and holistic assessment of M&E issues on which innovative insights and recommendations for future improvements and sustainability would be provided. The diagnosis was instituted to probe the root causes and provide holistic and targeted and appropriate suggestions for resolving the problems facing the WoGM&ES.

The pursuit of a robust, functional and sustained WoGM&ES for Zambia will be recommended to build a results-based information system that generates and makes available to all stakeholders a wealth of information and knowledge that is key to transformational sustainable development for the country. Such a process will be undertaken with a long-term horizon in mind, knowing the complex nature of building one WoGM&ES, especially implemented under limited resources.

The entry point for contributing to a strengthened WoGM&ES was to undertake a research study to establish to what level of development the M&E system for Zambia has evolved in relation to its expected functionality and support to the national governance system. As expressed by World Bank (2000:1), “readiness assessments can help countries diagnose their M&E capacity and thereby determine the resources available to support such systems in terms of where in government to begin from, what incentives are in place, and what demand exists for such information”.

Currently, no known research study has been undertaken at the level of doctorate degree in Zambia to offer a critical analysis and to suggest recommendations for improvement of a WoGM&ES. In addition, not only does this discrepancy exist in the academic fraternity in Zambia, but there is a dearth of structured and focused studies and holistic assessments that give thorough insight into the status of Zambia’s WoGM&ES. For example, a few years ago, an ad hoc exercise was conducted, with assistance from donors, to assess the gaps and challenges in implementing a good WoGM&ES in Zambia. The major limitation of that exercise in 2014 was that although it brought out important aspects pertaining to the country M&E system, the scope and audience were narrow, covering only a few stakeholders as respondents, drawn mainly from line ministries based in the capital city, Lusaka (GRZ, 2014d). Such approaches, which were undertaken in a context of weak scientific methodological designs, were constrained in producing evidence-based data and information that would prove crucial to reforming the M&E architecture in the country. That is why this study is crucial for Zambia. It will not only enhance current efforts, but will also work as a solid foundation for future studies in research and practice in the broader discipline of development studies, particularly under M&E specialisations.

This research study therefore sought to examine Zambia's WoGM&ES, identified gaps, and suggested salient improvements in building and sustaining stronger M&E arrangements for the

government. It was also interested in establishing best practices embedded in the current WoGM&ES. It was important to establish the positive aspects and gaps in the national system before suggesting new ways of strengthening the holistic system of M&E in Zambia.

1.5 Statement of the research problem

Monitoring and evaluation (M&E) have been supported by experts and practitioners of development management as important ingredients in the pursuit of good governance and in enhancing the achievement of poverty reduction objectives by governments and other development agencies. More so, stronger systems for M&E have come to be understood as fundamental requirements in good governance crusades around the globe (Kusek & Rist, 2004 & Mackay, 2007). Therefore, this research study strongly upholds this view and establishes that building and sustaining a stronger WoGM&ES for Zambia is the bedrock for a positive strife towards a better Zambia.

Despite many public sector reforms being implemented by the government to strengthen Zambia's public sector management, especially M&E arrangements and practice, more work remains to be done to make Zambia's country-level M&E system functional to meet the expectations of stakeholders across the economy and beyond. There are currently some notable indications suggesting that Zambia's WoGM&ES had a number of gaps which required fixing at various levels. The findings of the OECD/DAC surveys (OECD/DAC, 2005, 2007a, 2011b) and the assessment by the World Bank's CDF (2005) alleged that Zambia's WoGM&ES was weak. According to the OECD/DAC (2011) Monitoring Survey on the implementation of the Paris Declaration (PD) as measured under Indicator 11 (Managing for results⁴), Zambia scored a 'D' for its results-oriented frameworks in 2005, improving to a 'C' in 2007, and maintaining its 'C' score in 2011. This led to a shortfall in reaching the 2010 target of B or A. Despite this failure to reach the PD set target, the trend suggested that Zambia had made significant strides over the years towards bettering the M&E at national level. The scores of 'C' for 2007 and 2011 could be translated as Zambia having improved frameworks of M&E across the public sector. By implication, this could mean that Zambia was on course in terms of satisfying the PD agreement of having results frameworks that could be monitored.

⁴ 'Managing for results' refers to expected programme results and delivering programmes or services, monitoring and evaluating performance, and making adjustments to improve both efficiency and effectiveness and also it is about functional feedback mechanisms.

In addition, World Bank (2005a) in its CDF report noted that Zambia's monitoring framework was insufficient. After monitoring the four CDF principles, namely long-term holistic vision, country-led partnership, country ownership, and results focus, although there were signs of advancement for all, the principle of focus on results showed the least progress. This conclusion is crucial to Zambia's country-level M&E reform agenda.

Further, particular problematic areas identified concerned the quality of final reports, which contained many analytical gaps and inconsistencies in information flows. Such challenges emanated from weak data collection and analysis arrangements at all levels, and functional, coordination and linkage gaps between the national level M&E and line ministry M&E systems (Kanyamuna, 2013; Chigunta & Matshalaga, 2010; OECD/DAC, 2011a).

The challenges faced by Zambia's WoGM&ES have been evident in APRs. Evaluation and economic reports have highlighted problematic areas faced by the M&E arrangements in the public sector. These included limited evidence-based policy making and programme design; weak linkages between programmes in the medium-term NDPs and annual budgets; fragmented systems of data collection, analysis and dissemination; uncoordinated M&E activities; and multiplicity of IT systems arising partly from limited coordination between government and cooperating partners (CPs). The status of M&E across government is understood to be at different levels of development and application. This is coupled with erratic or no resources being allocated to M&E activities (GRZ, 2007, 2011b; 2015; AfCoP-MfDRs, 2014).

Therefore, there is a no scientifically grounded research study that offers sound process and record of the problems, and identifies where the problems are situated and what practical solutions and recommendations may help to strengthen the WoGM&ES. Although informative and insightful, the information from these assessments and reviews was not analysed succinctly and packaged for remedial improvements. At most, the reports and observations could be used only as pointers to the problems in the WoGM&ES. In their current situation, the broader problematic areas and recommendations in the assessments by the World Bank and OECD/DAC require further analysis and detail so that action points for improvement could be identified. Thus, to meaningfully reach the root causes of these purported weaknesses and challenges, a study should be undertaken that is holistic and comprehensive. A research study is needed to produce implementable recommendations aimed at bettering M&E practice at all

levels of government for Zambia's public sector. It was the aim of this study to achieve that objective. This research study was initiated and commissioned to provide this gap analysis. The results and findings offer a myriad of options to improve the general and specific challenges and aspects of the WoGM&ES for Zambia's public sector. To undertake this broad-based task, the study interrogated the functionality of the WoGM&ES in the context of NDPs and within the ultimate pursuant of objectives in Vision 2030.

The gaps in practice and the literature need to be bridged with new information from a contemporary study. Since the OECD/DAC and the World Bank are principally multilateral international organisations, their assessments of the Zambian M&E system and its functionality could have not been as intensive as possible to reach all aspects of the public sector—Ministries, Provinces and other Spending Agencies (MPSAs). Small samples of government and non-state institutions and structures were considered in the assessments at the expense of key aspects of the M&E arrangements at district, provincial and sector level (OECD/DAC, 2005, 2007a; World Bank, 2005a). Neglecting assessments at such structures denies an appreciation of the action points for improvement at those levels. Despite the shortfalls, however, the results of these assessments by the OECD/DAC and World Bank provided useful signs of gaps that demand more research to find means of remedying the weaknesses in the M&E arrangements.

Certainly, and with the obtaining socioeconomic hardships, the country was experiencing such as the high and fluctuating inflation rates, worsening exchange rates, high unemployment, and high inequalities, the Zambian government would be in a hurry to build and sustain a stronger WoGM&ES (GRZ, 2014a, 2017a). The M&E function in public administration is paramount in promoting poverty alleviation, gender equality, democratisation and equity, human rights, infrastructure development, thriving public service performance, urban development and environment. For that reason, many stakeholders are calling for strengthened M&E (Booth & Lucas, 2002; DBSA, 2000; Mackay & Gariba, 2000). Such a system would be vital for Zambia in bringing prudence and sanity to public resource management, in arresting wastage by public servants and systems, and ultimately in promoting accountability, transparency and good governance. Therefore, this research study undertook an in-depth investigation to ascertain why such weaknesses have been predominant over the years and to innovate ways of improvement.

The study sought to answer such core questions as:

- Why is it significant to implement a WoGM&ES for Zambia's public sector?
- Why is monitoring and evaluation important in good governance?
- What are the gaps that inhibit the implementation of a stronger WoGM&ES for Zambia's public sector?
- What ingredients are necessary for building a stronger WoGM&ES for Zambia's public sector?
- Why think differently? Does Zambia's WoGM&ES require an overhaul or a re-engineered framework for M&E?
- What are the recommendations for improvement at different levels of Zambia's WoGM&ES?

It is aimed that the research findings should assist in driving the reform agenda of building a robust, user friendly and sustainable WoGM&ES for the Zambian Government. It is also the goal of the study to contribute to the wealth of knowledge on the subject matter of M&E with regard to public sector M&E practice and holistically to good governance public management reforms.

In Zambia, particularly among public sector institutions, M&E systems are relatively new. Hence, there is not much literature on the evolution of M&E systems in government. However, the demand for results-based management and performance-related management by stakeholders has necessitated functional M&E systems at various levels of government (see section 5.7). A WoGM&ES has also been demanded for the public sector, on which all other M&E arrangements should be anchored.

Hence, this study should add to the limited body of literature on the evolution and functionality of M&E systems in Zambia's public sector. For the government of Zambia and interested stakeholders, the results of the study might set benchmarks to assist in designing and strengthening M&E systems. Knowledge of the importance of functional M&E systems would eventually reach the citizens, who should appreciate such systems as useful management tools in development programming as the country moves towards good governance and stable socio-economic stability (Palumbo, 1987; Hardlife & Zhou, 2013).

1.6 Research objectives

The following objectives have been formulated.

1.6.1 Primary objective

To analyse Zambia's public sector monitoring and evaluation arrangements in the context of national development plans to bring about a strengthened results-based whole-of-government M&E system. The analysis covered Zambia's National Development planning for the period 1964 to 2021 (Independence to date).

1.6.2 Secondary objectives

- i. To use the theory of change to justify the theoretical significance of Zambia's WoGM&ES to improve public-sector good governance and poverty reduction agenda.
- ii. To present Zambia as a case study in terms of the results-based WoGM&ES.
- iii. To identify gaps inhibiting the implementation of a results-focused WoGM&ES for Zambia's public sector.
- iv. To ascertain cornerstones necessary for building a results-based WoGM&ES for Zambia's public sector.
- v. To propose a new model for the enhanced WoGM&ES for Zambia's public sector.
- vi. To suggest and recommend improvements at different levels of Zambia's WoGM&ES.

1.7 Significance of the study

The question 'Why build a strengthened results-based WoGM&ES?' as a public sector management tool for Zambia is crucial for several reasons. Fundamental questions to help policy and decision makers determine whether development promises were kept and outcomes achieved could be provided by a functional results-based M&E system. To demonstrate whether these improvements have occurred and the reasons that certain results have been achieved, governments and organisations use M&E systems (Davies, Nutley & Smith, 1999; Mackay, 2008; Laguna, 2011).

As in many other African countries, this study is topical in Zambia and is being undertaken at a time that there is heightened interest in the assessment of government performance, locally and internationally (Kusek & Rist, 2004:2; see also GRZ, 2017b). Hardlife and Zhou (2013:72)

stress that “there has been an evolution in the field of M&E involving a movement away from traditional implementation-based approaches towards new results-based approaches”. The importance of national systems for M&E in helping governments to improve their service delivery to the public has been established, and an effort to link M&E to good governance practices has been made. According to GRZ (2014b), that is why NDPs have detailed M&E arrangements to emphasise the linkages between the plans and the desired results. When implemented successfully, the performance of all government policies, programmes and projects would be measurable using a well-organised and functioning M&E system (Mackay, 2010; Schultz, 2009; Gomez, Olivera & Velasco, 2009). Therefore, this research study will be significant at various levels of the Zambian WoGM&ES particularly at national, line ministry or sector, provincial and decentralised district level. Also, the study will provide M&E-related information to quasi government and non-state actors such as civil society, academia, cooperating partners and research institutions. The Zambian citizenry will utilise the findings of this research in appreciating the role of M&E in nation building and the ways in which the systems for M&E can be instrumental to the development cycle.

Past studies by the World Bank and OECD/DAC showed a gap in Zambia's WoGM&ES. These studies attempted to identify missing areas, but their conclusions and recommendations were too broad, making it difficult to use them practically for targeted improvements. For example, the studies identified general coordination weaknesses within the government-wide M&E arrangements and lack of analysis of information, without providing details about causes and possible remedies. Additional unclear aspects include non-specificities about the locations of the problematic areas in the WoGM&ES, and vague or no suggested actions for improvement. The findings were reported broadly and the absence of details led to problems in effecting corrections.

The literature does not specify what needs to be done at various levels of Zambia's WoGM&ES. Other areas that are not discussed in the literature involve M&E arrangements in parastatal and quasi-government institutions and among non-state actors. There is a problem with the way in which M&E issues are coordinated at these structures of government and with supporting institutions. Although it is understood that some efforts to have M&E activities in most of these structures are already in place, it has yet to be proven how adequately articulated and harnessed these developments could be in contributing to the evolutionary agenda for a modern WoGM&ES in Zambia. In the current literature, the roles of research institutions and

the central statistical office (CSO) are not clear in promoting the evolution of M&E culture. Again, if such efforts exist, the literature has not shown these interlinkages among critical government and non-state stakeholders in the Zambian economy.

This research study is aimed at bridging the lacuna in the literature. The research rationale contends that in the absence of a robust and functional M&E system across government and beyond, it is not feasible to track performance and learn lessons in future as a country (section 1.2). As a consequence, the country is more likely to spend public resources on a 'business as usual' basis, where poor accountability, corruption and bad governance prevail because a comprehensive M&E system that gives early warning signs is not in place. Table 1.3 demonstrates the significance of M&E in measuring development results.

Table 1.3. Power of measuring results

If you do not measure results, you cannot tell success from failure
If you cannot see success, you cannot reward it
If you cannot reward success, you are probably rewarding failure
If you cannot see success, you cannot learn from it
If you cannot recognize failure, you cannot correct it
If you cannot demonstrate results, you cannot win public support

Source: Kusek & Rist, 2004, p. 11

Therefore, this research study is significant and justifiable in many ways.

1.7.1 Transforming and promoting the results culture in Zambia

In conformity with the African Community of Practice (AfCoP) on Managing for Development Results (MfDRs) pursued under the Africa for Results (AFRIK4R) initiative, this research will help to inculcate a results culture in Zambia and enhance the results agenda that the African continent is currently promoting. All African countries are expected to vigorously adopt the MfDRs approach in all their development endeavours that are implementable through these six pillars:

- i. Leadership for results
- ii. Planning for results
- iii. Results-based budgeting
- iv. Institutional capacity for the delivery of goods and services
- v. Information and statistical capacities, monitoring and evaluation
- vi. Accountability for results

This study has come at an appropriate time to link Zambia's reform agenda with that of the continent in building stronger systems for M&E by focusing on results to help transform the lives of the impoverished and attain good governance for sustained socio-economic growth and development (AfCoP-MfDRs, 2014; IEG, 2007; Prennushi, Rubio & Subbarao, 2001).

1.7.2 Strengthening the monitoring and evaluation function at national level

At national level, this research study will provide clarity about why and how M&E arrangements are necessary to assist the government achieve its good governance and poverty reduction agenda. For the WoGM&ES to operate functionally, there must be an apex institution with systemic and expert capacities to play the role of oversight and champion for M&E regime. Anchored on a stable national policy, institutional, organisational and legal frameworks, this study aims to give guidance and suggestions for a capable national-level structure to be in full charge of lower-level M&E structural linkages (horizontal and vertical) (GRZ, 2017b).

In addition, the findings of this research will be useful in informing high-level structures of government, such as Cabinet Office, Ministry of National Development Planning, Ministry of Finance, Parliament and the Presidency of the benefits of investing in a functional M&E system across the public sector.

1.7.3 Strengthening the monitoring and evaluation function at sector level

Another crucial contribution of this research study will be at sector or line ministry level. The envisaged scope and functionality of the WoGM&ES is in such a way that the M&E linkages of all line ministries with national-level structure, lower-level structures of government and other stakeholders are clear and streamlined in terms of data flows and information sharing (c GRZ, 2014c & 2017a). To that extent, the study has made innovative suggestions about strengthening relationships and operations of M&E at all those levels, so that together, the arrangements are complementary and robust enough to support a functional WoGM&ES for Zambia.

1.7.4 Strengthening the monitoring and evaluation function at provincial level

The ten provinces of Zambia make up the greater part of government's mainstream structures of public goods and services provision. All provinces draw development resources from the national treasury. Therefore, the M&E arrangements at those levels are critical to the overall success of the WoGM&ES. The study therefore investigates and provides analysis for bettering M&E arrangements at provincial level in the context of the WoGM&ES. Operationally, provinces have designated development plans that contribute to the achievement of NDPs and subsequently in meeting national long-term visions, currently Vision 2030. Therefore, this research has provided implementable M&E recommendations for improvement, given the widespread locations and diverse functionalities of these provinces. The information flow to higher- and lower-level structures is another important aspect this study sought to clarify and improve.

1.7.5 Strengthening the monitoring and evaluation function at district level

The districts constitute an important component of national development for Zambia. Currently 110 districts are spread out in the 10 provinces. Each one is a centre of development activity for those geographical boundaries. Like the provinces, district centres obtain their development resources from the national treasury under decentralised policy arrangements. However, planning and budgeting for most of the district developments, especially capital investment projects and programmes, are mainly done centrally. Therefore, this study investigated the existing M&E arrangements at district level and analysed how linkages with higher levels are being implemented and coordinated. Being the lowest structure in terms of development action, this study has investigated the kinds of M&E opportunities and challenges districts experience, thereby, provided suggestions and recommendations for improvement.

This analysis is crucial to streamlining, building, strengthening and sustaining a stronger and more robust WoGM&ES for the Zambian public sector. And so the good practices of M&E and the challenges that exist at those levels will be important to inform targeted improvements. Thus, to the extent that gaps exist, innovative suggestions for improvement are provided.

1.7.6 Strengthening monitoring and evaluation functions in other state agencies

Aside from the line ministries, provinces and districts, quasi-governmental organisations or simply parastatals contribute to the attainment of national long-, medium- and short-term goals and objectives. The operations of these institutions are guided by government, even when they have some level of autonomy. They too receive resources from the national treasury and fully implement government policies and reforms. M&E arrangements in these institutions are crucial and the ways in which such practices of M&E fit in the larger context of the WoGM&ES are important. The information flow to and from these institutions becomes a matter of concern in the broader context of nation building. The work of parastatals therefore also falls within the overall framework of Vision 2030 and the development agenda. To that extent, this research was relevant by bringing on board the M&E functionalities of these quasi-government institutions. In pursuit of a robust, functional and sustainable WoGM&ES, this study attempts to clarify potential challenging aspects that require developing and strengthening.

1.7.7 Strengthening monitoring and evaluation linkages

The NLTV and medium-term five-year NDPs are not designed to guide government operations alone, but to provide development direction and aspirations to all stakeholders in the country. This means all development players in Zambia are required by policy to plan and implement interventions that are meant to achieve the overall objectives of these national policy documents and aspirations.

Thus, parliament, CSOs, academia and research institutions and cooperating partners (CPs) become key stakeholders in the success of the WoGM&ES. Additionally, the private sector represents a significant segment of development contribution to the economy as well. Like other stakeholders, the private sector helps to realise national goals as set out in the vision (that is, Vision 2030) and NDPs.

This research should be valuable in articulating M&E functionalities at these levels and assessing the linkages and coordination arrangements among them and with the rest of the WoGM&ES.

1.7.8 Promoting good governance in public service delivery for results

This study analyses how well the WoGM&ES is structured to support the good governance agenda to reduce poverty. The study findings help to clarify the challenges affecting the development and sustainability of a functional WoGM&ES for Zambia's public sector. The study also builds a case that a well-functioning M&E system is a useful requirement in promoting popular participation by stakeholders in the governance system of the country.

To the extent that Zambia is on course for achieving a thriving public sector management reform agenda, a functional M&E system at country level would be inevitable. A system that will operate as a sound governance feedback-loop is what the government of Zambia would require. The system will be a tool to promote a culture of results and practice intended to transform how outcome and impact level information is used as a contribution to the ongoing processes of good management of development interventions (Kusek & Rist, 2004; Stame, 2004).

Finally, the entire process of this research study was guided by the theory of change (ToC) as the anchor theoretical construct (see Chapter 3). Ultimately, the findings have inspired practically and theoretically sound suggestions for improvements in Zambia's WoGM&ES.

1.8 Justification of the choice of Zambia as a case study

Zambia was the case study country chosen to undertake this research. The topic of 'Analysing Zambia's whole-of-government monitoring and evaluation system in the context of national development plans' was carefully selected to explore the notion of M&E in a country that is striving to remain afloat developmentally. M&E is relatively new in theory and practice in many countries, particularly developing countries. In Zambia, which is a typical sub-Saharan country, M&E has been an emerging phenomenon and the government has pursued it as an important reform agenda in supporting good governance and poverty reduction.

Zambia, like most African countries, is putting most of its efforts into fighting poverty, which affects its citizens. Good governance reforms are being pursued as a way to attain this aspiration and M&E stands as one of the prioritised areas of reform that is perceived by the government (GRZ) to be a requirement in that process of transformation (GRZ, 2013, 2017a). For that

reason, Zambia was chosen as an appropriate case study country to investigate the subject matter of M&E evolution and assess its linkages with good governance and poverty reduction in a broader perspective. Further, being domiciled in Zambia, the author considered the country suitable to make a comprehensive assessment and analysis of the nation's WoGM&ES, using expert and experiential factors and insights.

1.9 Scope of the study

1.9.1 Research coverage

This study covered Zambia's public sector planning, monitoring and evaluation arrangements for the period starting at independence in 1964 to the Seventh National Development Plan (2017-2021). Thus, the scope of the research was confined primarily to public sector institutions of the Government of the Republic of Zambia. The units of analyses consisted of the designated levels of government structures, namely those at: i) national, ii) sector or line ministry, iii) provincial, and iv) district levels. Selected planning, monitoring and evaluation departments, units and sections were the entities from which the research sample was drawn. These four levels were those under which the implementation of development interventions and public resource expenditures take place, thus attracting the need for stronger M&E arrangements to help with systematic tracking of performance results.

Further, quasi-government institutions and other non-state actors, including parliament, civil society, academia, research institutes, donors or cooperating partners, development associations and many others, formed part of the research sample (see Appendix L for a detailed list of institutions). Figure 1.1 depicts the institutional scope of this research study.

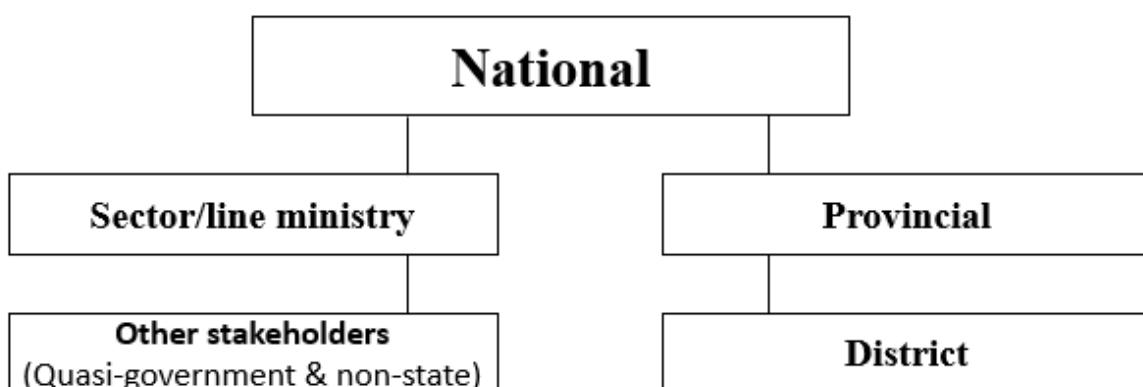


Figure 1.2. Scope of institutions covered in the study

Therefore, in terms of research design and methodology, the various government and non-state structures were used to inform this study. Respondents were drawn from government structures at national, line ministry, provincial and district level. In addition, non-state actors, which included parliament, civil society and academia, provided feedback about the ways in which the WoGM&ES needed to function in providing information for improved decision making at all levels of governance (see Chapter 6).

1.10 Methodological approach

The study design for this research was broad-based taking on board elements that were deemed key to answering the primary and stated secondary objectives. In that regard, the research design was investigatory and descriptive in nature. Particularly, the qualitative approach was adopted to guide the overall data collection, collation, analysis, interpretation and suggestions for improvement. The choice of the qualitative approach to inform this study was considered the appropriate one given the nature and dynamics of the research aim and scope itself. To meet the research objectives, a rigorous process was adopted involving desk-based research through consulting a wide range of literature on the topic as well as field-based research which meant acquisition of hands-on information (primary research). Among many others, secondary sources of data for the study comprised key government policy documents such as the NDPs, NDP Annual Progress Reports (APRs), evaluation reports, line ministry, provincial and district strategic plans and reports, Vision 2030 and various management reports and policies. In addition, a wealth of related M&E literature was used from international development organisations and development agencies as well as scholarly books, discussion papers, journal articles, working papers and research papers from experts and practitioners of M&E.

Furthermore, primary data were collected through key informant interviews and focus group discussions (FGDs) with stakeholders, particularly those concerned with public sector planning, implementation, monitoring and evaluation. To undertake analysis for the research findings, a number of techniques were employed. The major analytical tool called LEADS which is comprised of a 5-point scoring scale was adopted in this research study to guide collation and analysis. In addition, the Nvivo software and text analysis were too utilised for synthesising and enriching the research discussion.

1.11 Definition of key concepts

This section provides definitions of commonly used concepts. These definitions are given to provide a standardised understanding of the terms. Where there are several definitions for the same concept, alternative definitions are given in the document, but these definitions are given here for a common understanding of the concepts.

i) Monitoring

‘Monitoring’ refers to the continuous process of systematic collection of data on specified indicators in order to track progress made towards planned objectives and to assess the use of resources available (OECD/DAC, 2002:27).

ii) Evaluation

OECD/DAC (2002:21) defines ‘evaluation’ as the systematic and objective assessment of an ongoing or completed development intervention, be it a project, programme or policy, to ascertain the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability.

iii) Results-based management

Results-based management (RBM) means a management strategy with clear framework, methods and tools for strategic planning, performance monitoring and evaluation and risk management which is aimed at achieving desired changes in the way organisations function (Hauge, 2001; CIDA, 2000).

iv) Managing for development results

‘Managing for development results’ (MfDRs) refers to a management strategy based on sustainable development performance enhancements in a given country’s outcomes. RBM achieves this by utilising practical tools, which include strategic planning, progress monitoring and outcome evaluation and risk management. Through these, RBM tries to offer a coherent framework for development effectiveness, whereby performance information is used in various processes of decision and policy making of key stakeholders (OECD & World Bank, 2006).

v) Public sector

‘Public sector’ refers to the general government sector and public operations. In the context of Zambia, key public sector institutions include all ministries, provinces and other spending agencies (MPSAs) (GRZ, 2006, 2014b).

vi) Monitoring and evaluation system

An M&E system denotes an institutional or organisational set-up comprising management plans, processes, strategies, information systems, indicators, reporting lines, standards and accountability relationships, which allow development structures at national and provincial or regional levels such as departments, municipalities and other institutions to effectively perform their M&E functions (Republic of South Africa, 2007:67).

vii) Whole-of-government monitoring and evaluation system

The Republic of South Africa (2008) defines a WoGM&ES as a robust system that not only provides an integrated and all-encompassing framework of M&E practices, principles and standards to be used throughout government institutional structures, but also functions as an apex-level system for information and draws from the component systems in a framework meant to deliver essential M&E products tailored to satisfy information needs of users.

viii) Results-based monitoring and evaluation system

Hardlife and Zhou (2013) regard results-based M&E systems as tools for managing and tracking progress in the implementation processes of development interventions (that is, policies, programmes and projects). All the information pertaining to the successes and failures of development interventions in attaining desired outcomes is captured through a systematic reporting mechanism, which tracks progress towards desired development results.

ix) Result

A ‘result’, as defined by the OECD/DAC (2002), refers to changes in a way, state or condition resulting from a cause-and-effect relationship. These possible changes are at three levels of output, outcome and impact, whenever undertaking a development intervention, regardless of whether it is a project, programme or policy.

x) Good governance

Good governance means “the manner in which power is exercised in the management of a country’s economic and social resources for development” (International Fund for Agricultural Development, 1999:1).

xi) Results chain

A ‘results chain’ may be understood as an intervention logic or framework that stipulates the necessary sequential steps towards the achievement of desired objectives, starting with inputs, moving through to activities, outputs and culminating in a high level results of outcomes and impacts, and providing regular feedback to the affected or concerned stakeholders (OECD & World Bank, 2006, 2007).

xii) National long-term vision

The NLTV is a written long-term plan, with a 25-year horizon, that expresses Zambians’ aspirations. The vision seeks to articulate possible long-term development scenarios at various points, which would ultimately contribute to the attainment of citizens’ commonly desired socio-economic objectives and goals. Invariably, the NLTV provides a crucial anchor and linkage upon which medium-term plans are prepared (GRZ, 2014b).

xiii) National development plan

This concept refers to a five-year development strategy used to operationalise the long-term plans. It is a two-pronged process involving top-down and bottom-up approaches (GRZ, 2014b).

xiv) Poverty reduction strategies

Poverty reduction strategies are development plans that are or were meant to provide crucial links between the public sector policies being implemented, cooperating partner support and the overall desired development outcomes pursued to achieve national and global poverty alleviation objectives such as the MDGs (Booth, 2003; Booth & Lucas, 2002; Edmunds & Marchant, 2008; World Bank, 2003).

1.12 Outline of the thesis and chapter layout

This thesis is organised in nine chapters.

Chapter 1: Chapter 1 is the introduction and situates the research study within the broader problem. This is where the rationale and background to the research problem are discussed. Other aspects include the problem statement, research objectives, significance of the study, the scope and limitations of the study. The chapter ends by providing definitions of core concepts in the document.

Chapter 2: Chapter 2 is about monitoring and evaluation (M&E) for poverty reduction. The notions of monitoring and evaluation are discussed, starting with a historical perspective. The importance of M&E is also discussed and the chapter shows the linkages between M&E systems and good governance.

Chapter 3: In Chapters 3 and 4, the thesis presents the theoretical framework and conceptual framework, respectively. Under the theoretical framework, key theoretical constructs upon which this study is anchored are discussed. These include the theory of change (ToC), Results-based management (RBM), managing for development results (MfDRs) and the logical framework approach (LFA). Chapter 3 provides a theoretical synthesis, which settles for ToC as the theory that informs this research study.

Chapter 4: The focus is on bringing out the foundational components that form the basis for the conceptual framework of the research study. To that extent, the thesis discusses the two crucial sides of an M&E system, that is, the supply and demand sides. Also, Chapter 4 outlines the three cornerstones of a functional WoGM&ES, namely political, technical and ownership aspects of M&E systems.

Chapter 5: Chapter 5 discusses national planning, monitoring and evaluation arrangements in Zambia. It introduces Zambia as a country and discusses national development planning in that context. Thus, types of plans are outlined. Additionally, Chapter 5 discusses the implementation and coordination frameworks for the NDPs. After a discussion of the M&E arrangements in Zambia, the thesis describes under this chapter the roles and responsibilities of key institutions in managing NDPs.

Chapter 6: In Chapter 6, the thesis discusses the research design and methodology. Aspects include the choice of and justification for the research topic, research design, data sources, population and sample parameters, data collection instruments and data analysis techniques used. The last aspect looks at the ethical considerations of the study.

Chapter 7: Chapter 7 addresses the research findings. A systematic presentation of the findings is given and this is coupled with discussions of the findings.

Chapter 8: Chapter 8 presents the proposed model for the enhanced whole-of-government monitoring and evaluation system (WoGM&ES) for Zambia's public sector. This is a core component of the thesis. It represents the desired way of organising M&E in the public sector if success was to be attained and sustained.

Chapter 9: Chapter 9 involves conclusions, summary and recommendations for the way forward in building, strengthening and sustaining Zambia's WoGM&ES.

1.13 Conclusion

Chapter 1 set the overall scope in terms of rationale and the problem being investigated under this research study. The research topic, namely 'Analysing Zambia's whole-of-government M&E system', was discussed and contextualised within the ambit of NDPs and Vision 2030. It provided analytical information to justify the case for Zambia's WoGM&ES for the public sector vis-à-vis its importance towards the good governance agenda and ultimately its role in helping to achieve poverty reduction and improved living standards of Zambians. Further, the objectives have been clearly outlined, and so the study had a direction and designated aspects to investigate to bring forth suggestions and recommendations for improvements. Lastly, the chapter outlined the structure of the entire thesis for ease of navigating through the document and appreciating the brief summary of what each chapter covers.

The following chapter, Chapter 2, explores the concept of monitoring and evaluation (M&E) by giving details of the importance and relevance of M&E in enhancing good governance. The significance of systems for M&E in providing development information is also articulated.

CHAPTER 2

Monitoring and Evaluation for Poverty Reduction

2.1 Introduction

Chapter 2 deals with the concept of monitoring and evaluation (M&E) and provides a comprehensive discussion of ways in which M&E could be linked to the good governance agenda so that development agencies contribute to poverty reduction. The chapter articulates the general overview of M&E as a contemporary phenomenon that governments globally and other development organisations have pursued rigorously in their bid to implement results-based sustainable development. Here, the meanings of the terms ‘monitoring’ and ‘evaluation’ are defined and discussed. Further, the chapter considers a historical perspective of the notion of M&E by discussing the evolution of the concepts as they are currently understood.

Further, Chapter 2 discusses the reasons for governments to build and sustain stronger whole-of-government M&E systems (WoGM&ES). This section elaborates reasons that successful systems for M&E are inevitable for good governance and sustainable development. The conclusion summarises the issues covered in the chapter.

2.2 The notion of monitoring and evaluation

Today there is greater demand for M&E from many aspects of development spheres than ever before. The push for functional M&E has been pursued mainly to achieve development results. According to Bamberger (2010), policy makers and M&E practitioners in developed countries and other donor agencies need to evaluate, for instance, whether enhancements are taking place as a consequence of the intervention. In addition, M&E supports stronger governance systems across all government structures, thereby enhancing accountability relationships among development stakeholders (Mosse & Lewis, 2005; UN, 2013; Ahem et al. 2012). Further, when implemented successfully, M&E has the potential to build a stronger basis for achieving intended development results. Thus, M&E is considered a good tool for enhancing anti-corruption crusades in public sector institutions and bringing about a positive performance

culture that promotes better policy making, national planning and budgeting processes (Chabane, 2013; World Bank, 1999, 2000).

The two notions of 'monitoring' and 'evaluation' are significantly distinct, but complementary in application. The concepts are not synonymous, although many people use them interchangeably. Nonetheless, the intrinsic value is embedded in their differences. For monitoring, Kusek and Rist (2004) contend that it is about providing information on 'where' a given development intervention is in terms of its implementation status against targets and outcomes. On the other hand, evaluation is about the 'why' of development interventions, especially whether planned targets and desired outcomes have been realised. To that extent, evaluations concern themselves with attribution and causality (Hauge & Mackay, 2004; Smith et al., 2009). Patton (2003) also asserts that monitoring entails continuously observing the progress in a given development intervention, while Twersky and Lindblom (2012) consider it a process of tracking milestones regularly, measuring progress against expectations, and determining the purposes of compliance and improvements. Evaluations, on the other hand, are meant to systematically and objectively assess ongoing or completed development interventions, such as projects, programmes or policies, in attaining their design, implementation and results (Farell et al., 2002; Kahan & Goodstadt, 2005; OECD/DAC, 2002; Scriven, 2007; UN, 2013).

Therefore, evaluation results complement monitoring exercises in many ways. For example, when a monitoring system reveals that a certain intervention is off track, an appropriate evaluative information would provide clarity on the realities and trends observed through the monitoring system (Kusek & Rist, 2004). Table 2.1 presents a conceptual illustration of the complementary relationship between the functions of monitoring and that of evaluation.

Table 2.1. Complementary roles of monitoring and evaluation

Monitoring	Evaluation
• Clarifies programmes objectives	• Analyses why intended results were or were not achieved
• Links activities and their resources to objectives	• Assesses specific causal contributions of activities to results
• Translates objectives into performance indicators and sets targets	• Examines implementation process
• Routinely collects data on these indicators, compares actual results	• Explores unintended results
• Reports progress to managers and alerts them to problems	• Provides lessons, highlights significant accomplishment or programme potential, and offers recommendations for improvement

Source: Kusek & Rist, 2004, p. 14

‘Monitoring’ refers to a process that offers management and stakeholders of any development intervention under implementation with indicator information, but also a continuous function that uses systematic collection of data on specified indicators (OECD/DAC, 2002:27). On the other hand, ‘evaluation’ refers to the systematic and independent assessment of a policy, programme or project that is ongoing or has already been completed. In particular, evaluations aim to meet major objectives, including determining whether a given intervention was relevant, efficient, effective, impactful and sustainable, and ultimately whether the decision-making processes incorporated lessons learned. Görgens and Kusek (2009) view the evaluation function as the worth, value and significance of an ongoing or completed project, programme or policy. Furthermore, the functions of monitoring and evaluation are self-reinforcing. While monitoring refers to a management function that is ongoing, the notion of evaluation denotes the post-event function and gives feedback to management. Typically, when undertaking monitoring exercises, one is also carrying out some form of evaluating function because one is making an assessment about progress achieved and, based on this judgement, providing possible solutions. On the other hand, when conducting an evaluation, monitoring data are being utilised, upon which judgements are made based on the insights from the continuous process. Therefore, the complementary nature of the two concepts is not linear. Instead, the relationship is more dynamic, depending on the situation (Ravindra, 2004; UN, 2013; Hlatshwayo & Govender, 2015).

2.3 Historical perspective of monitoring and evaluation

Historically, monitoring and evaluation can be traced to various points in the past. However, one still has to distinguish between modern-day M&E and traditional M&E, which are practised by different generations and societies as the world continues to evolve. Every society in the past seems to have implemented some form of performance-tracking system. In other words, M&E systems have always been on the development reform agenda of many governments and institutions. In giving a more distant historical perspective of the importance and usefulness of M&E practice, Kusek and Rist (2004: 11-12) recounted:

there is tremendous power in measuring performance. The ancient Egyptians regularly monitored their country’s outputs in grain and livestock production more than 5,000 years ago. In this sense, M&E is certainly not a new phenomenon. Modern governments, too, have engaged in some form of traditional M&E over the past decades. They have sought to track over time their expenditures, revenues, staffing levels, resources, programmes and project activities, goods and services produced, and so forth.

From the days of the Ancient Egyptians, there has been a great deal of evolution in the philosophical orientation and conceptualisation of M&E. For example, in the 1960s, M&E practice underwent a substantial paradigm shift, which was predominantly quantitative in focus, reflecting the social scientific trend of the era. This domination continued in the social sciences in the 1970s, putting more emphasis on empowerment evaluation. The emphasis on empowerment approaches was based on lived experiences to represent and provide a voice to as many stakeholders as possible (Chambers, 1994). However, in the decades that followed, M&E methodologies shifted from an emphasis on quantitative to more participatory approaches and empowerment techniques (Chambers, 1994; Estrella & Gaventa, 1997; UN, 2013).

The increasing demand for M&E, even in contemporary governance systems, has resulted because of the critical benefits associated with the two notions. For example, benefits such as the provision of relevant information embedded in good feedback-loop systems are what results-based M&E systems offer decision makers and other stakeholders. Many governments and organisations have tracking systems that form part of their management toolkits: financial systems, accountability systems, and good human resource systems (Görgens & Kusek, 2009). Earlier development management efforts lacked the feedback component, which enables the tracking of implementation consequences. In that regard, building M&E systems has leveraged decision makers in the provision of much-valued feedback on policy, programme and project performance as a basis for future improvement (Lucas, Evans, Pasteur & Lloyd, 2004; Mackay, 2006b; Segone, 2008).

In addition, Hardlife and Zhou (2013) assert that contemporary M&E systems have their roots in the Results Based Management (RBM) approach, which is a management strategy centred on performance and achievement of outputs, outcomes and impacts for a policy, programme or project. OECD/DAC (2002) view M&E systems as toolkits of management meant to help institutions of development to realise intervention effectiveness through the delivery of results. Typically, RBM employs traditional tools such as strategic planning, results frameworks, monitoring, and programme evaluation to improve organisational performance (Castro, 2009; Kusek, Rist & White, 2004). The approach was popularised first among private sector organisations, development agencies and multilateral organisations, and later moved on to the public sector as part of reform efforts in the 1980s and 1990s. Today, most development interventions have adopted the RBM approach to inform processes such as planning, budgeting

and monitoring and evaluation (Chambers, 1994; Mackay & Gariba, 2000; World Bank, 2003a).

2.3.1 Monitoring and evaluation trends at global level

The evolution of contemporary M&E at global level could be traced back to the 1980s and later the 1990s. Globally, the desire to produce results-oriented M&E systems and frameworks emanated from the need to determine a country's progress towards its development goals. According to the World Bank (2004), initiatives such as the UN's Millennium Development Goals (MDGs), Poverty Reduction Strategy Paper policy, and Country Assistance Strategy mushroomed, each with a focus on results. Through these initiatives, it was desired that citizens of countries should obtain accountability feedback from their governments in terms of evidence from the implementation of public development interventions, especially resource allocation and expenditure and expected results.

For these reasons, it became common in the 1990s and increasingly in the 2000s for poverty reduction strategies (PRS) to be implemented by many countries, especially among the developing ones. The PRS approach was designed to provide a strong linkage between public sector policies, support from donors and the development outcomes required for meeting the MDGs (Booth & Lucas, 2002 and World Bank, 1999, 2004; Bollen et al., 2005). Five key principles characterised the PRS approach, namely promoting national ownership of strategies through broad-based participation of civil society, country driven; results focused and based on outcomes that would be of benefit to the poor; partnership oriented concerning coordinated participation of cooperating partners; recognising the comprehensive and multidimensional nature of poverty; and based on a long-term perspective or horizon for poverty reduction. Another prominent feature in the PRSP approach involved the recognition that the implementation of the strategy would demand close monitoring, with the national statistical office (NSO) playing an important role. The wider role of statistics in informing the upstream undertakings of problem identification, policy design, setting quantitative targets, and allocating resources among competing priorities was inevitable (Booth, 2005; Talbot, 2010; Raimondo, 2016). Additionally, the PRS approach demanded that countries created, implemented and sustained viable M&E systems and arrangements, not only at national level, but at sub-national level too. However, this was an extremely challenging proposition, given

the low technical capacity obtaining at lower levels in most developing countries (Booth & Lucas, 2002; DBSA, 2000; Kusek & Rist, 2004; OECD/DAC, 2007b).

This M&E evolution in the 1980s, 1990s and early 2000s escalated in 2005, when the Paris Declaration (PD) was signed by developed and developing countries, including key bilateral, multilateral, civil society and other development agencies. The declaration obligated countries and the donor community to aid effectiveness and strengthen their management approaches towards development results (OECD/DAC, 2005; IEG, 2009). All these efforts were meant to enhance the achievement of high-level development results (that is, outcomes and impacts) as opposed to focusing on lower level processes (that is, inputs, activities or physical outputs) (Mackay, 2011; Wong, 2012; World Bank, 2012).

The PD was followed by the 2008 Accra Agenda for Action (AAA), another resolve by the globe to make results orientation through functional M&E mechanisms a stamp of sound practice for good governance and sustainable development (OECD/DAC, 2008, 2011b; Chianca, 2008). The global development agenda for both the PD and the AAA focused on aid effectiveness. The common agenda was anchored on the five principles of alignment, harmonisation, ownership, mutual accountability, and managing for results.

A more recent global effort to promote strengthened M&E was the Fourth High Level Forum (HLF4) in Busan, Korea, in 2011. Like the PD and AAA, the Busan Partnership for Effective Development Cooperation focused on aid effectiveness under the principles of ownership, focus on results, partnerships, transparency and shared responsibility. The principle of focus on results promoted working towards a sustainable impact, and adopting this as a motivating factor behind investments and efforts in the process of policy making (OECD/DAC, 2011b; UNDP, 2015). These initiatives set a high tone on the global requirement for functional M&E development, strengthening and sustainability. The efforts have continued to provide a basis for enhancing M&E to even higher levels across the globe. Table 2.2 highlights the evolution of M&E globally.

Table 2.2. Summary of major global efforts towards results-based monitoring and evaluation for development (2000 to date)

Milestone	Issues of focus per milestone
Sustainable Development Goals (SDGs) (2016)	The Sustainable Development Goals (SDGs), otherwise known as the Global Goals, are a universal call to action to end poverty, protect the planet and ensure that all people enjoy peace and prosperity. The 17 goals build on the successes of the eight Millennium Development Goals, while including new areas such as climate change, economic inequality, innovation, sustainable consumption, peace and justice, among other priorities. The goals are interconnected, often the key to success involving tackling issues more commonly associated with another
Busan Declaration (2011)	In Busan, Korea, on the occasion of the Fourth High Level Forum on Aid Effectiveness (HLF4, 29 November to 1 December 2011), over 3000 delegates met to review progress on implementing the principles of the Paris Declaration. They also discussed how to maintain the relevance of the aid effectiveness agenda in the context of the evolving development landscape. The forum culminated in the signing of the Busan Partnership for Effective Development Cooperation by ministers of developed and developing nations, emerging economies, providers of South-South and triangular co-operation and civil society to mark a critical turning point in development co-operation
Accra Agenda for Action (2008)	The Accra High Level Forum on Aid Effectiveness set out to reform the way developed and developing countries work together, to ensure that development assistance is well spent and that it helps build sustainable economies that lift people out of poverty. Organised by OECD and the World Bank, and hosted by the Government of Ghana, the forum brought together ministers, heads of development agencies and civil society organisations from more than 100 countries. Examining the results of development aid, they examine what needs to change and how the international aid system could deliver the ‘best bang for the buck’
Paris Declaration (2005)	The Paris Declaration (2005) was designed to be a practical, action-oriented roadmap to improve the quality of aid and its impact on development. At the Paris meeting, more than 100 signatories – from donor and developing-country governments, multilateral donor agencies, regional development banks and international agencies – endorsed the Declaration on Aid Effectiveness
Marrakech Memorandum (2004)	Better development results required management systems and capacities that put results at the centre of planning, implementation and evaluation
Rome Declaration (2003)	Participants committed to specific activities to enhance aid harmonisation: <ul style="list-style-type: none"> • Deliver assistance in accordance with partner country priorities • Amend policies, procedures, and practices to facilitate harmonisation • Implement good practice standards or principles in development assistance delivery and management • Intensify donor efforts to cooperate at the country level • Promote the benefits of harmonisation among staff • Provide support to strengthen partner country governments’ leadership and ownership of development results • Streamline donor procedures and practices • Promote harmonised approaches in global and regional programmes
Millennium Development Goals (2000)	In a key effort to promote more effective development, in 2000, 189 UN member countries agreed to work toward reduction of global poverty and improved sustainable development. These global aims are reflected in the eight Millennium Development Goals (MDGs), with their 18 targets and 48 performance indicators. The MDGs provided specific, measurable targets that were gradually being adapted at the country level as the basis for country outcomes and then monitored over time to help gauge progress. In a key effort to promote more effective development, in 2000, 189 UN member countries agreed to work toward reduction of global poverty and improved sustainable development.

Source: Adapted from OECD, 2003; OECD & World Bank, 2008; OECD, 2011 & UNDP, 2015

2.3.2 Monitoring and evaluation trends in Africa

Similar to M&E trends globally, the African continent has made notable positive experiences in the spread of M&E. Generally, the emergence and growth of M&E in Africa has been gradual, to the extent that even today a number of countries are still in the initial stages of building their designated systems for M&E. For a long time in Africa, M&E was viewed as agenda driven and controlled by donors. However, this view is phasing out and countries are working towards building and sustaining their own practices and systems. Currently, many African countries have joined their counterpart countries in Latin America, including the Caribbean, and Asia in establishing systems for M&E in pursuit of good governance and poverty reduction based on evidence (Kanyamuna, 2013; OECD/DAC, 2011c; World Bank, 1999; El Baradei et al., 2014).

In addition, although formal traces of efforts to demand results and accountability in the contemporary understanding of M&E on the African context began in the late 1980s, more evidence can be traced in late 1990s onwards. In particular, an ambitious seminar was convened in Abidjan in 1998. One of the top priorities on the agenda was to take stock of progress and M&E capacity status in Africa in the context of public service delivery and overall performance. In fact, the 1998 conference was a follow-up to the earlier meeting of 1990 in Abidjan, Ivory Coast. Suffice to say, it was a ground-breaking event in the effort to articulate M&E in Africa by bringing together participants from twelve African nations and 21 international donor agencies. The seminar sought to appreciate the status of M&E capacity development in Africa with a view to re-engaging in innovative ways to grow the M&E function across the continent (Hwang, 2014; Mackay, 1998 & Mackay, 2006; Chouinard & Cousins, 2015).

However, other efforts in M&E had been advanced much earlier than the 1998 conference. In March 1987, OECD/DAC convened a conference in Abidjan, whose agenda was to have donors and beneficiary countries discuss the evaluation function in development. Thus, the 1987 conference birthed the 1990 and 1998 conferences, whose focus was on clarifying the needs of evaluation as considered by African member states and to explore opportunities for enhanced self-evaluation capacity (World Bank, 1999; DBSA, 2000; Mouton, 2010).

Conclusively, the 1998 conference, which was organised by the Development Bank of Southern Africa (DBSA), in collaboration with the African Development Bank (AfDB) and World Bank, had these key objectives, which are historic in the evolution of M&E on the African continent (World Bank, 1999:2):

- Providing an overview towards the progress made regarding the development of M&E capacities in Africa within the specific ambit of the public expenditure management framework and broadly the public sector reform regime
- Achieving a common continental position on key purposes, elements, including processes of M&E that support development
- Strengthening the M&E supply and demand sides by identifying strategies and supporting resources for building stronger M&E systems in African countries
- Promoting sharing of lessons learnt and experiences concerning M&E capacity development such as concepts, successes, challenges, and approaches
- Investing in tools for use in developing country M&E action plans and frameworks – by taking into account different circumstances in each individual country
- Creating stronger and effective country-specific and regional-collaborative integrated networks to encourage feedback and learning for all countries

In addition, the conference report indicated how participants were anxious to see African countries take a leading role in building their own sustainable systems for M&E, which would inform government resource allocations, permitting greater clarity in decision making in the planning and budgeting processes. Further, this demand for stronger M&E arrangements in Africa was not made by external stakeholders such as development partners and civil society alone, but by common citizens who perceived governance systems as being negative (Brushett, 1998; Burdescu, Villar, Mackay, Rojas & Saavedra, 2005; World Bank, 1999, 2011).

Bad experiences in most African governance systems included economic and political disasters, absence of a culture of accountability, lack of ownership, corruption, the poor quality of financial and other performance mechanisms, and the critical lack of M&E feedback loops to inform decision-making processes (Naidoo, 2011; World Bank, 1999, 2004). As a result of these negative perceptions, from relative obscurity the pursuit for good governance has risen to the top of Africa's development policy agenda with M&E reforms taking centre stage (AUC, 2015; DBSA, 2000; Briceno, 2010; Goldman et al., 2012).

An additional critical aspect of the evolution of M&E in Africa has been the constant demand by participants and stakeholders for more conferences and increased knowledge sharing forums at continental level as well as within member countries. There was a proposal to establish platforms to be used for building the M&E capacity in countries across the continent (Booth & Lucas, 2002; World Bank, 1999, 2003a). The seminar in 2000 for instance emphasised the urgent requirement for every African country to develop a national evaluation association. Further, the conference challenged countries and development partners to explore other regional and international opportunities, especially strategic cooperation and collaborations aimed at strengthening the transformational M&E agenda in Africa (DBSA, 2000; AUC, 2015).

The Third African Evaluation Association (AFrEA) Conference, whose theme was ‘Evaluation Matters, Africa Matters, Joining Forces for Development’, was held in 2004 in Cape Town, South Africa. In terms of attendance, 450 participants were brought together from 61 countries, with a large representation of members from among African governments. As part of the capacity-building initiative, this conference offered over 20 pre-conference training sessions on M&E-related capacity topics. In 2005, another development evaluation roundtable conference was held in Tunisia, which was attended by representatives from up to 21 African countries. The Third AFrEA conference was followed by two other events, one in Niamey in 2006 (AFrEAIV) and the other in Cairo in 2009 (AFrEAV). The AFrEAV event was momentous in that here, the AFrEA was formally constituted, with the potential to transform into a more vibrant African results-oriented association functioning beyond the biennial events in which it was most visible (Naidoo, 2010; 2011).

Under the AFrEA umbrella, many meetings and conferences have since been convened, all focusing on M&E evolution and strengthening in Africa. The latest, the Eighth AFrEA Conference, was held in March 2017 in Kampala, Uganda. Its aim was to encourage exchanges between academia, researchers, emerging evaluators and M&E practitioners on demand and supply of credible evaluative evidence in support of the Sustainable Development Goals (SDGs) in Africa. The conference also built the capacity of participants in designing, managing and utilising evaluation findings to help governments achieve their national and international development agendas around the SDGs and Africa Agenda 2063 (GRZ, 2017b) (OECD and World Bank Source Book, 2008; MfDRs, 2017).

Therefore, the core purpose of AFrEA is to commit to developing and strengthening indigenous evaluation capacities by providing high-level training across Africa by way of national professional associations that conducted peer-to-peer training exercises (DBSA, 2000). Consequently, it is anticipated that these associations would work with their own governments and other stakeholders to articulate national evaluation policies and functional frameworks and operational structures. In addition, AFrEA works to support the creation and strengthening of M&E policies at country level, and promotes awareness of and demand for development outcomes and impacts. Other objectives were focused on building infrastructural capacity and promoting the utilisation of M&E systems and information to meet the increased expectations from stakeholders. Through AFrEA, African member states are challenged to produce collaborative strategies and infrastructure capacities to support a functional pan-African M&E network, particularly one focused on reviewing good standard evaluation culture and practices for implementation in Africa (DBSA, 2000; AFrEA, 2017). Although there were several additional efforts at domesticating and localising M&E among African governments and other development stakeholders, these initiatives are the notable ones. Africa is therefore on the right track with regard to evolving M&E demand and growth.

2.4 Importance of monitoring and evaluation systems

An M&E system is a set of organisational or institutional arrangements comprising management plans, standards, strategies, processes, information systems, indicators, reporting lines and accountability relationships, which enable national and provincial departments, municipalities and other institutions to perform their M&E functions successfully (Naidoo, 2011; Republic of South Africa, 2007). Thus, the question is: Why would governments bother to invest, develop, build and sustain stronger whole-of-government (WoG) M&E systems? Obviously, this question is complex, but requires a comprehensive answer with appropriate justification for undertaking ambitious steps towards spending and committing huge public resources to building such systems. Kusek and Rist (2004:21) contend that “it is difficult to build strong economies based on weak governments”. Thus, results-based M&E systems are considered key to strengthening such governments by reinforcing the focus on demonstrable development results. Governments of developing countries may be overwhelmed in implementing policies, programmes and projects, without functional M&E systems to show what was working effectively and what was not (De Renzo, 2006; World Bank, 2007a).

In reality, there are several reasons for governments to invest in building functional WoGM&ESs. Factors such as internal organisational and political pressure, including potential external factors, to build effective M&E systems have been critical in demanding for such systems (Morra Imas & Rist, 2009 & Kanyamuna, 2013). Further, combating corruption, expanding the authority of the auditor general, and strengthening the role of the parliament have been cited as fundamental internal reasons for the demand for M&E systems. Other internally generated pressures may arise from political parties in opposition to the sitting government, who demand reforms in the public sector. External pressures from the international aid community, civil society and other stakeholders may also compel public sector reforms and create demand for M&E systems as tools for better management of public affairs (Bedi et al., 2006; Mackay & Gariba, 2000; World Bank, 2012b).

Another reason that it is critical to embark on building stronger public sector WoGM&ESs is that once such systems have been suitably institutionalised, they serve as an integral aspect of the development policy, programme or project cycle. Systems for M&E therefore bring improvements in the public sector performance (Hardlife & Zhou, 2013:72). Kusek and Rist (2004) add that good governance is more critical for less developed countries to pursue than for their counterparts in the developed world. Therefore, for many developing countries, M&E presents an opportunity to correct the problem and begin to build systems that will contribute to reduced poverty. In fact, it is regarded as an emergency for developing countries to create and sustain a strong and accountable governance environment. That is why Castro (2009:67) stresses that governance mechanisms are strengthened by functional M&E systems through improved transparency, accountability relationships, and by building a performance-based culture in support of better policy and budget decision making and management.

An example from India is apposite. Recently, India made an effort to pursue M&E from a practical angle and lessons can be learned for other developing countries such as Zambia. According to Mehrotra (2013), a surge had occurred in India's public expenditure, driven by growth in the national economy, which resulted in increased demand for M&E and performance management from central government (mainly ministries of finance and planning), programme implementers, international donor organisations, and civil society.

Arising from the economic growth, the government of India embarked on building a countrywide M&E system. This effort was undertaken to establish a firm and more

institutionalised nationwide setting for results-based M&E activities, which were continuous and tied to the planning, budgeting and accountability processes. The ministry of finance instituted outcome budgeting, and the planning commission created an independent evaluation office, which would subsume the commission's pre-existing programme evaluation organisation. Similarly, the cabinet secretariat created the performance management and evaluation system (Goldman, 2012; Chabane, 2013; Mehrotra, 2013). Indeed, the role of government becomes vital in leading the process of building a WoGM&ES that will be used to inform public management processes in the poverty reduction agenda. Such a commitment, though, seems to demand consistencies in terms not only of institutional capacity, but also of political will even in changes of regimes.

National M&E systems whose focus is to provide all concerned development stakeholders with credible information are complex and require careful attention by governments that incorporate them. In support of this view, Bedi et al. (2006) added that M&E systems involve institutional activities that take the form of data and information collection, analysis, dissemination, reporting and feedback into policy processes, among others. There are many actors on the supply and demand sides of M&E systems and these create motivation and incentives to create and sustain successful systems. Key actors that benefit from M&E information include government-wide line ministries, CSOs, NGOs, parliaments, the donor community and private consultants. Others are research institutions, universities and the general public.

Essentially, building and sustaining a functional M&E system should be understood as a process and one that takes relatively longer. Acevedo, Rivera and Rivera (2010) add that creating an M&E system should be considered a means, and not an end in itself, and is best linked to the process of public policy planning and management. Such a system would enjoy a balanced supply of quality information (that is, on the supply side) and its utilisation in such processes as planning, budgeting and management (that is, on the demand side).

A summary of reasons for building and sustaining stronger WoGM&ESs is now given.

2.4.1 Tools for poverty reduction

The implementation of stronger M&E functions is understood by many stakeholders as being key to enhancing poverty reduction efforts because they assist inculcating good governance,

transparency and accountability tenets in development institutions. Castro (2009) and World Bank (2007) argue that M&E systems have been demonstrated to be useful tools in supporting poverty reduction efforts for most governments and development organisations. The implementation of results-based M&E systems plays an important role in providing a feedback loop, which, according to Görgens and Kusek (2009), offers a systematic way of tracking progress of any given intervention, thereby strengthening policy and decision-making processes.

2.4.2 For informing national planning

Planning is a fundamental requirement for successful organisations. When all planning processes are well grounded on evidence, development institutions tend to thrive by achieving their organisational objectives. In addition, when such planning is anchored on clearly defined results, stakeholders show support for such institutions. Therefore, results-based M&E systems are designed to strengthen the planning function (Booth & Lucas, 2002; World Bank, 2007c; Burdescu et al., 2005; Segone, 2008).

Mackay (2007) observed that ordinary citizens had gone to the extent of exerting pressure on their governments to demonstrate development results for their work, which was often perceived to fall short of people's expectations. In many cases, goods and services delivered by government institutions were taken to be of poor consumption quality and products of misappropriation of public resources causing mass deprivation and poverty. In that regard, systems for M&E are meant to enhance the planning function so that priorities and sequencing of development choices are done in the most appropriate manner, in the spirit of doing more with less (Görgens & Kusek, 2009; Khan, 1990). Therefore, it has become difficult for governments of developing countries to avert these pressures, and the incorporation of M&E systems in their mainstream operations has opened hope for better implementation of public development interventions (Mackay, 2007; Mark & Pfeiffer, 2011; World Bank, 2007b).

Further, since national planning does not start and end only with local citizens of a country, additional pressures arise from the civil society and the donor community. Civil society demands that governments should be open to all forms of public accountability through the creation of forums in which the general public are told how public resources are being utilised. Donors also want governments to show through results how foreign aid is being utilised to

improve human lives (Booth, 2005; Booth & Lucas, 2002; Liverani & Lundgren, 2007; Mackay & Gariba, 2000).

Thus, in all these situations, M&E systems would help governments to generate inclusive development policies, strategies, plans, programmes and projects centred on national priorities, based on evidence and incremental learning.

2.4.3 For enhancing government transparency and accountability

Good M&E systems promise enhanced transparency and accountability on the acquisition, distribution and utilisation of public resources (UNDP, 2002). Similarly, Mackay (2007) argues that governments are able to demonstrate to interested stakeholders the attainment of desired development results. A further viewpoint is that without strong accountability relationships, there would be minimal incentives to stimulate performance improvement by organisations and governments.

However, for M&E systems to serve as instruments of public transparency and accountability, dissemination channels such as regular stakeholders' forums, reports and Internet should be used to increase the accessibility of M&E information produced by the systems (Zaltsman, 2006; Trucano, 2005). In many cases, key stakeholders such as CSOs and donors press governments to demonstrate how public resources are being utilised in relation to poverty reduction plans. Governments may find such stakeholders' demands problematic in the absence of well-functioning M&E systems. Booth and Lucas (2002) assert that un-negotiated demand for M&E information by different stakeholders is the basis for a successful crusade towards meaningful accountability and transparency. That way, it is considered an effective approach to make those responsible for policy to account.

Consequently, M&E systems can be used as powerful platforms for stakeholders to hold government leaders accountable for the mobilisation, allocation and utilisation of public resources. Clements, Chianca and Sasaki (2008) also noted that the donor community and taxpayers in aid-dependent poor countries have limited means to hold to account those who allocate and manage donor resources, even when it is clear that such officials have incentives to enhance the wellbeing of the poor. In such cases, functioning M&E systems would provide performance-based incentives and enable donors and other stakeholders to overcome the

challenges and learn what approaches were suitable for certain contexts (Mackay, 1999; Naidoo, 2011; Shadish, Cook & Campbell, 2002).

Further, when information from M&E systems is used properly, internally and externally based stakeholders will have a clear appreciation of policies, projects and programmes statuses (Hauge & Mackay, 2004; Hwang, 2014). As a result, there could be increased popular and political support arising from such a demonstration of positive development outcomes and engagements. Görgens and Kusek (2009) subscribe to the idea that while there may be risks associated with the implementation of results-based M&E systems such as organisational and political costs, there are crucial undesirable implications and risks in doing away with such systems.

2.4.4 For informing budget allocation and fighting corruption

Budgets are the main instruments that are used to invest in poverty reduction programmes in developing countries and elsewhere. Thus, it is important that M&E systems should collect complete budgetary data and information to inform other development interventions and decision-making processes. When M&E system findings and budget allocations are not integrated, it is difficult to make proper linkages between the intended outcomes of agencies and programmes and the budget classification (Zaltsman, 2006; World Bank, 2007c; Robinson, 2009). These challenges arise from lack of causal chain links between M&E and budget processes. One way to address this disconnect is to adopt a programme or objective-based budget classification.

Increasing cases of corruption are among the major hindrances to the development efforts of many aid-dependent poor countries (Mackay, 2006a). The resources that are supposed to be invested in transformational policies, projects and programmes that are targeted at reducing poverty and improving the welfare of the poor majority are sometimes mismanaged. Such corrupt practices are of concern not only to the stakeholders and citizens of developing countries, but to the international community as well. Therefore, because of this, many stakeholders have regarded M&E systems as important tools in the anti-corruption crusade (Mackay, 2007; Abraham & Torres, 2004). This kind of information tracking may lead those in charge of public resource management to avoid misapplication and focus on operatives that enhance human development.

2.4.5 For supporting policy-making and improvement

In the same manner as projects and programmes are used as instruments of development, policies are significant vehicles upon which governments and other institutions deliver their development aspirations. Liverani and Lundgren (2007) state that M&E systems produce valuable information that feeds into development policy and organisational learning, and ultimately improves the effectiveness of development cooperation. Therefore, governments of aid-dependent developing countries would do well to build functional M&E systems and use the information to formulate public policies that are pro poor and evidence based (Goldman et al., 2012; Talbot, 2010; World Bank, 2007b).

Socio-economic policies are supposed to be products of a well-informed government process to generate positive effects on poverty reduction and national growth (World Bank, 2003b). Since developing countries may not have well-functioning M&E systems, their policies may be the products of less informed processes (Booth, 2005; World Bank, 2009). It is therefore important to build systems that seek to provide this needed information to feed into development policies and programmes. Despite the weaknesses faced by many developing countries with regard to building and sustaining coherent and functional M&E systems, there is hope for improvement. Like most developed and transition countries, it will be possible for aid-dependent countries to show evidence of their social and economic achievements.

In addition, the essence of successful designing of results-based M&E systems is to assist in monitoring and evaluating development interventions at all levels of their implementation. Information and data from a given intervention could therefore be collected with matching analysis at any stage to offer regular feedback. Consequently, M&E functions should be conducted institutionally all through the life cycle of a programme, project or policy, and after completion of an intervention (Görgens & Kusek, 2009; Saasa, 2003).

2.4.6 For management information

Monitoring and evaluation (M&E) systems support the management function of development institutions by providing valuable information that is critical to decision-making processes. The systems are used as management toolkits for tracking and demonstrating progress of a given policy, programme or project against expected results. Systems for monitoring and evaluation

should both be implemented successfully because a mismatch between them may lead to the managing of programmes and projects being derailing, hence, failure to track progress becomes a norm (Hardlife & Zhou, 2013; Simson, Sharma & Aziz, 2011). According to the DBSA (2000), M&E is a development management tool whose ultimate objective is to promote a culture of futuristic learning and improvement of organisational policy and decision making for various users through the utilisation of evidence-based information.

Developing countries have become aware that to achieve meaningful social and economic development, prudence in the management of resources is essential. Therefore, M&E systems have become important factors in the development processes of aid-dependent developing countries. This is a ‘management challenge function’ that M&E systems are designed to offer governments and other institutions of development. For Mackay (2007), it is for that reason that M&E systems have been created and strengthened by a growing number of governments. Thus, the ultimate motivation for creating such systems is anchored on performance management for development results.

Smith et al. (2009) add that M&E systems help in identifying the most efficient use of resources. This represents another management function that is attributed to systems for M&E. The information about performance indicators may be used at various management levels to direct resources to needy activities. M&E information allows performance comparisons such as benchmarking among government structures (that is, administrative units, provinces and districts) (Grun, 2006; Görgens & Kusek, 2009; Lopez-Acevedo, Krause & Mackay, 2012).

2.4.7 For enhancing organisational learning and feedback

Feedback constitutes an essential component of M&E processes through the provision of linkages between activities of the past and those in future (Lahey, 2011; Srivastava et al., 2003; OECD/DAC, 1991). In that context, well-developed feedback loops are needed for results of evaluations to be utilised in future policy and programme developments. When well strengthened and developed, the learning aspect is fundamental to the attainment of sustainability and improvement of M&E systems themselves. Usually, this kind of feedback occurs during the utilisation of M&E information, especially when results are presented (Fereday & Muir-Cochrane, 2006; Holvoet & Rombouts, 2008). Therefore, feedback from M&E systems helps managers to promote institutional learning, following a cycle that involves

reflecting on progress and perfecting the course of projects or programmes where need is required (Kusek & Rist, 2004; Simson et al., 2011).

A well-functioning feedback mechanism operates as an early warning system to development management in that when problems are identified, questions about the assumptions and strategy behind a development intervention are raised and possible solutions put in place. In that aspect, providing pointers forms the primary function of M&E and this improves the understanding of what works and what does not work and to some extent why (Savedoff, Levine & Birdsall, 2006; Baum & Tolbert, 1985; Hardlife & Zhou, 2013; Naidoo, 2011).

However, Pitchett, Samji and Hammer (2012) caution that sustaining the learning function of M&E is usually not easy, particularly given its complex nature, which involves a process of cultural and political dynamics of continuous and systematic management of public affairs. These authors contend that although it has been demonstrated implicitly that M&E functions result in some desired learning and reflection, it is not always so, and this requires that organisations regularly integrate information in such complex development situations (Bemelemans-Videc, Marie-Louise, Rist & Vedung, 2007; Naidoo, 2011).

Similarly, Mayne and Zapico-Goni (2007) argue that the utilisation of evaluation in organisations remains unpredictable and hard to sustain for several reasons, among them political or contextual, technical (that is, methodological) and organisational bureaucratic dynamics. All these factors are necessary if the learning function is to take place successfully. In that way, Mackay (2006) and Pollitt (1998) regard M&E as a management tool that supports the quality of information for use in decision-making processes, thus helping to build learning organisations (see also Carlsson & Engel, 2002; Savedoff et al., 2006; Carrier, Bonnet-Laverge & Dixon, 2017).

2.5 Linking monitoring and evaluation systems to good governance

There is an increasing linkage between M&E systems and good governance, which comes from providing governments and other stakeholders with the desired information on the relevance, efficiency, effectiveness and quality of government policies, projects and programmes (DBSA, 2000). Information from M&E systems contributes to the enhancement of the public sector's accountability, feedback and learning functions. Here, good governance refers broadly to

aspects such as accountability, transparency, combating corruption, inclusiveness and participation, and legal and judicial reforms (World Bank, 1999; Naidoo, 2011; Simson et al., 2011). This increase in demand for M&E information can be attributed to the increasing demand for good governance from providers of goods and services.

For the past two decades, internal and external development stakeholders have pushed their governments for results, demanding outcomes and impact of implemented policies, programmes and projects. These stakeholders are asking for evidence-based feedback on the status of current and ongoing development interventions. For example, since the mid-2000s, M&E has become more popular among international development organisations and the focus has since been on results and impact of development assistance (INTRAC, 2011; Kusek & Rist, 2004).

An M&E system provides evidence-based information that is important in informing development policy processes such as planning, targeting, prioritisation, budgeting and expenditures (Valadez & Bamberger, 1994). A similar argument is posited by Segone (2009) and Mehrotra (2013) that M&E systems are important and relevant not only to individual development agencies, but to many institutions and at different levels of development interventions and processes, regardless of their size and location.

As a result, countries around the world seem to have consensus on the urgent need for functional WoGM&ES as useful tools for promoting good governance and poverty reduction. To that extent, observations have shown that many countries are building and implementing M&E in pursuit of satisfying growing needs from their citizens and other interested stakeholders (Mackay, 2007). Although these efforts are justifiably being implemented at various levels of development owing to divergent in-country dynamics, that something was being done signified how M&E has been accepted globally as an essential ingredient towards improved public sector management, poverty reduction and overall sustained good governance practices. The benefits associated with M&E come from the use of a range of tools that are supposed to be applied appropriately, depending on the nature of an intervention. DBSA (2000) points out that M&E uses ongoing or continuing performance monitoring, real-time evaluations supporting continuous learning at all levels of development, performance and financial audits and ex-post evaluations. Furthermore, one of the collectively agreed positions in the 2000 report titled ‘Can Africa claim the 21st century?’ was that improved governance among African

countries was one of the most basic requirements for fast-tracking the African development results-based agenda. The report argued in support of improved management, better distribution of economic resources, stronger institutions and programmes that make it possible to compel governments accountable to their citizens (Gomez et al., 2009; World Bank, 2000; Casley & Kumar, 1988).

Good governance is not an abstract notion; it is a way of conducting affairs that are in the public interest and should be democratically enriching (Weiss, 2000; Chevalier & Buckles, 2013). Good governance relates to a way of doing things or conducting activities that are proper, transparent and accountable. Furthermore, researchers at the World Bank distinguished six dimensions of good governance, namely voice and accountability, government effectiveness, lack of regulatory burden, rule of law, independence of the judiciary, and control of corruption (Kaufmann, Sanginés & Moreno, 2015).

M&E thus plays a significant role in the transformation process of public sector management systems by inherently advancing the ideals of good governance. Naidoo (2011) affirms that M&E strengthens concepts of transparency, accountability and improvement at strategic and operational levels and that these resonate well with the tenets of good governance. Further, according to Krause (2010), M&E has been known to support performance management at various levels, thereby contributing to a results-focused approach by providing methodological options in support of the performance management process itself. In addition, Figure 2.1 shows fundamental conditions that are useful for supporting and measuring good governance, of which effective M&E systems is a crucial aspect.



Figure 2.1. Fundamental conditions for supporting and measuring good governance

Source: Naidoo, 2011, p.21

2.6 Conclusion

Chapter 2 discussed the concepts of ‘monitoring’ and ‘evaluation’. Its focus was on articulating M&E in the context of good governance in pursuit of a results-based sustainable development. In particular, the chapter discussed reasons for governments to invest in building and sustaining functional and results-based WoGM&ESs to give a holistic picture of the perceived and experienced benefits of embracing M&E at various levels of governance. If governments and their development counterparts fail to develop functional systems for monitoring and evaluation, the cost would be huge. The point was made that governments need to dedicate more time and resources to strengthening institutional and human capacities towards building stronger and more sustainable WoGM&ESs. For the Zambian government and other development stakeholders, the chapter presented a solid foundation on which not only to inculcate M&E skills in a few technical people, but to reform the entire culture of governance, one that would be driven by a strengthened WoGM&ES.

Chapter 3 focuses on the theoretical framework, which deals with the guiding principles of the study. It discusses four theoretical perspectives: theory of change (ToC), results-based management (RBM), managing for development results (MfDRs) and the logical framework approach (LFA). These theoretical constructs are discussed as anchors of the subject matter of M&E and upon which M&E systems are promoted.

CHAPTER 3

Theoretical Framework

3.1 Introduction

Chapter 3 articulates the theoretical framework, which provides the fundamental guiding principles for this research study. It clarifies from the theoretical perspective the basis on which the concepts and practice of monitoring and evaluation (M&E) are built. To do so, it discusses four contemporary theoretical perspectives that explain the logic and practice behind M&E. Thus, theory of change (ToC), results-based management (RBM), managing for development results (MfDRs) and the logical framework approach (LFA) are discussed as constructs that form the broader theoretical basis and guidance for this research. The chapter starts by discussing the ToC phenomenon as the overall theoretical framework that has been adopted to guide this research study. It then discusses the phenomena of RBM, MfDRs and the LFA. For each, it provides background information and definitions and then discusses how the paradigm is linked to and helps to understand M&E. These discussions are regarded as important because the whole-of-government M&E system (WoGM&ES) for Zambia is expected to be developed and guided by the principles entrenched in clearly defined theoretical foundations (GRZ, 2017b; Mackay, 2007).

Theory of change (ToC) was adopted to guide this study. However, Chapter 3 describes the other theoretical approaches (that is, RBM, MfDRs and LFA) to provide a broader understanding of ToC and the relationships and linkages between the concepts and practice of M&E. This is to demonstrate how a functional and a well-institutionalised WoGM&ES contributes to the attainment of good governance towards the achievement of higher-level goals of poverty reduction and sustained socio-economic development. A cause-effect relationship between a country-level WoGM&ES and the ultimate desired development results of poverty reduction and improved wellbeing of people is presented in the framework of the ToC. Chapter 3 also provides a synthesis of the theoretical framework of the research. It clarifies that although the ToC provides the overall theoretical perspective for the study, RBM, MfDRs and LFA help to amplify the understanding of the need, relationships and linkages between M&E and the good governance agenda of governments and development agencies towards poverty reduction.

3.2 Theory of change

The field of M&E strongly inspires the theoretical foundations of the ToC, which equally provides the theoretical basis for M&E (Weiss, 2000). There seems to be a chicken- and- egg dilemma relationship. In the literature of development studies and materials on management of development interventions, ToC is the predominant contemporary theory guiding phenomenon in pursuing the success of such efforts.

Consequently, ToC, also known as programme theory, forms the theoretical framework for this research study. Many theorists and M&E practitioners and scholars have attempted to provide meaning to the concept of ToC. Rogers (2008:30) describes it as follows:

Theory of change, variously referred to as programme theory, programme logic (Funnell, 1997), theory-based evaluation (Weiss, 1995, 1998; Albert et al., 1998), theory-driven evaluation (Chen, 1990), theory-of-action (Schorr, 1997), intervention logic (Nagarajan & Vanheukelen, 1997), impact pathway analysis (Douthwaite et al., 2003b), and programme theory-driven evaluation science (Donaldson, 2005) refers to a variety of ways of developing a causal model linking programme inputs and activities to a chain of intended or observed outcomes, and then using this model to guide the evaluation.

ToC denotes a systematic visual way of presenting and sharing an understanding and perspective of the relationships among the resources available to operationalise a programme, planned activities and changes or desired results (W.K. Kellogg Foundation, 2004). Many development commentators have advocated for the adoption and utilisation of the ToC. According to Brousselle and Champagne (2011) and Rogel (2012), ToC has received a great deal of attention in programme evaluation for over two decades, signifying its important role in the implementation of development interventions and to the poverty reduction agenda.

Figure 3.1 illustrates the thinking behind the ToC, demonstrating how a development intervention's inputs lead to executing activities and how these activities help to achieve the high-level results of outputs, outcomes and desired impacts. The main thrust of the ToC is the cause-effect relationship of development results (that is, inputs-activities-outputs-outcomes-impacts).

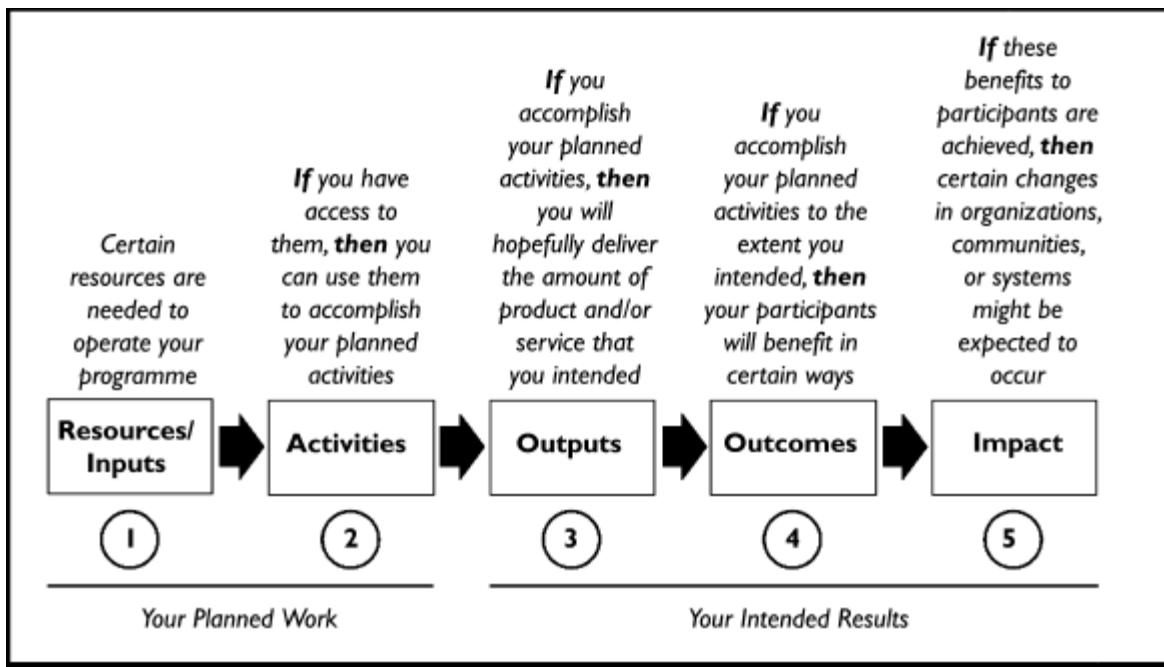


Figure 3.1. Basic representation of theory of change thinking

Source: Adapted from W.K. Kellogg Foundation, 2004, p.3

To understand the concept of ToC, it is perhaps important to appreciate the concept of the ‘black box’, which was popular before ToC became ‘the buzz words’ in M&E. For many years, black box theory was used to initiate, design, implement and evaluate development interventions such as projects, programmes and policies (Rey, Brousselle & Dedobbeleer, 2012). It did not concern itself fully with the understanding or clarification of the cause-effect relationship in development programming, but the focus was on the resources or inputs required to undertake a development action. As described by Jacob and Ferrer (2000:1), ‘the black box is a plan-of-work programming that assembles the inputs, delivers them, then proceeds to measure the outputs. Thus, if the black box represents the real world, we find ourselves on the outside, trying to look in. We stand outside the black box, delivering the “inputs” and expecting the “outputs”. We have no idea why the programme may be a success or failure, it all happens inside the black box.’ The main interest in the black box approach was to mobilise inputs or resources, deliver them, and expect immediate results. This was done without a deliberate well-conceived understanding of the interlinkages and causal relationships between inputs and the anticipated outputs. Because of the absence of linking aspects or elements that help achieve the intended development results, rethinking became inevitable. ToC was therefore a new way of looking at the efficient conceptualisation and achievement of development results, hence going beyond black box thinking.

Vogel (2012) regards ToC as an approach based on outcome-level results in which critical thinking is applied to designing, implementing, monitoring and evaluating development initiatives. Worldwide, ToC is used by stakeholders such as multi-lateral and bilateral development agencies, civil society organisations, governments, international non-state actor organisations and research programmes to support development outcomes. Rogers (2011) adds that ToC refers to the process by which change comes about for an individual, organisation or a community, while Sridharan and Naikama (2010) agree that a programme theory should ideally describe the hypothesised processes by which a programme can bring about change. For W. K. Kellogg Foundation (2004), a programme logic model represents a roadmap of programme highlights in terms of how it is expected to work and the required activities, including how desired outcomes and impact will be achieved. Thus far, the ToC has much to offer to development discourse. As long as there is full stakeholder participation when developing development interventions, ToC may guarantee shared planning and understanding of organisational and programme goals. In addition, rigorous testing of assumptions may be made in the process of planning, budgeting and implementing such deliverables, thereby improving accountability and learning functions (Bickman, 1987; Leeuw, 2003; McLaughlin & Jordan, 1999; Rossi, Lipsey & Freeman, 2004; Treasury Board of Canada Secretariat, 2012; White, 2009; Wholey, 1983, 1987).

TOC has been used for a long time by stakeholders to define their intended development interventions. Provided that a programme or any development intervention has been described in terms of the logic model, Chen (2012), Funnell and Rogers (2011) assert that critical measures of performance can be identified and determined. A sequence of cause-and-effect relationships could effectively be illustrated using logic models, which represent a systems approach to communicating pathways to achieving desired development results. Furthermore, Rogers (2014) and the International Network on Strategic Philanthropy (2005) simply sees the ToC as a clear explanation of how activities are perceived in terms of producing the intended higher-level outcomes and impacts for any given development effort.

This research study intends to demonstrate that M&E are important functions of good governance and that building stronger WoGM&ESs by governments becomes inevitable and a much-desired undertaking. That way, development decisions at all levels would be enhanced because they would be informed by timely and relevant information. For that reason, results of this research will be useful towards the improvement of Zambia's public sector M&E

arrangements. The ToC is a helpful construct to conceptualise success by using a clear pathway to realising desired results and overall improved living standards of the people, especially the poor and marginalised majority.

Governments and development agencies often have ambitious goals, and so planning and implementing specific on-the-ground strategies to those goals is not an easy undertaking. In such instances, theories of change are vital to development programming and evaluation success for a number of reasons. To gain desired results, development programmes need to be grounded in good theory. Therefore, by developing a ToC based on good theory, managers and implementers can be better assured that their programmes are delivering the right activities for the desired outcomes. Thus, by creating a ToC programmes are easier to sustain, bring to scale, and evaluate, since each step—from the ideas behind it, to the outcomes it hopes to provide, to the resources needed—are clearly defined within the theory. Figure 3.2 below shows a flow of how different results for a development programme can be achieved—desired vision can be attained through putting in place appropriate inputs, activities, outputs, outcomes and impact.

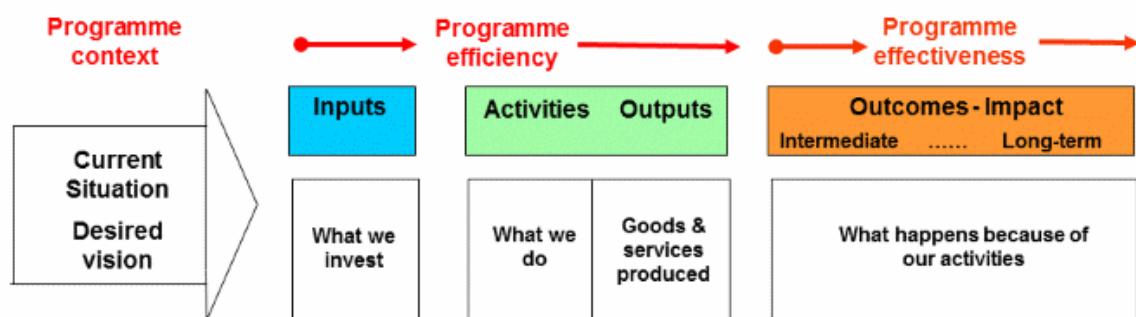


Figure 3. 2. Theory of change depicting the flow of different levels of results

Source: <http://learningforsustainability.net/theory-of-change/>

Figure 3.2 below provides an illustration of the ToC for building a national-level M&E system that is meant to contribute to poverty reduction and sustainable development. The representation is significant in that success is conceived in a simplified manner. ToC signifies a results-chain that brings together fundamental elements of development action, harmonising and connecting them to achieve higher-level goals and objectives, in this context, the outcomes and overall development impact.

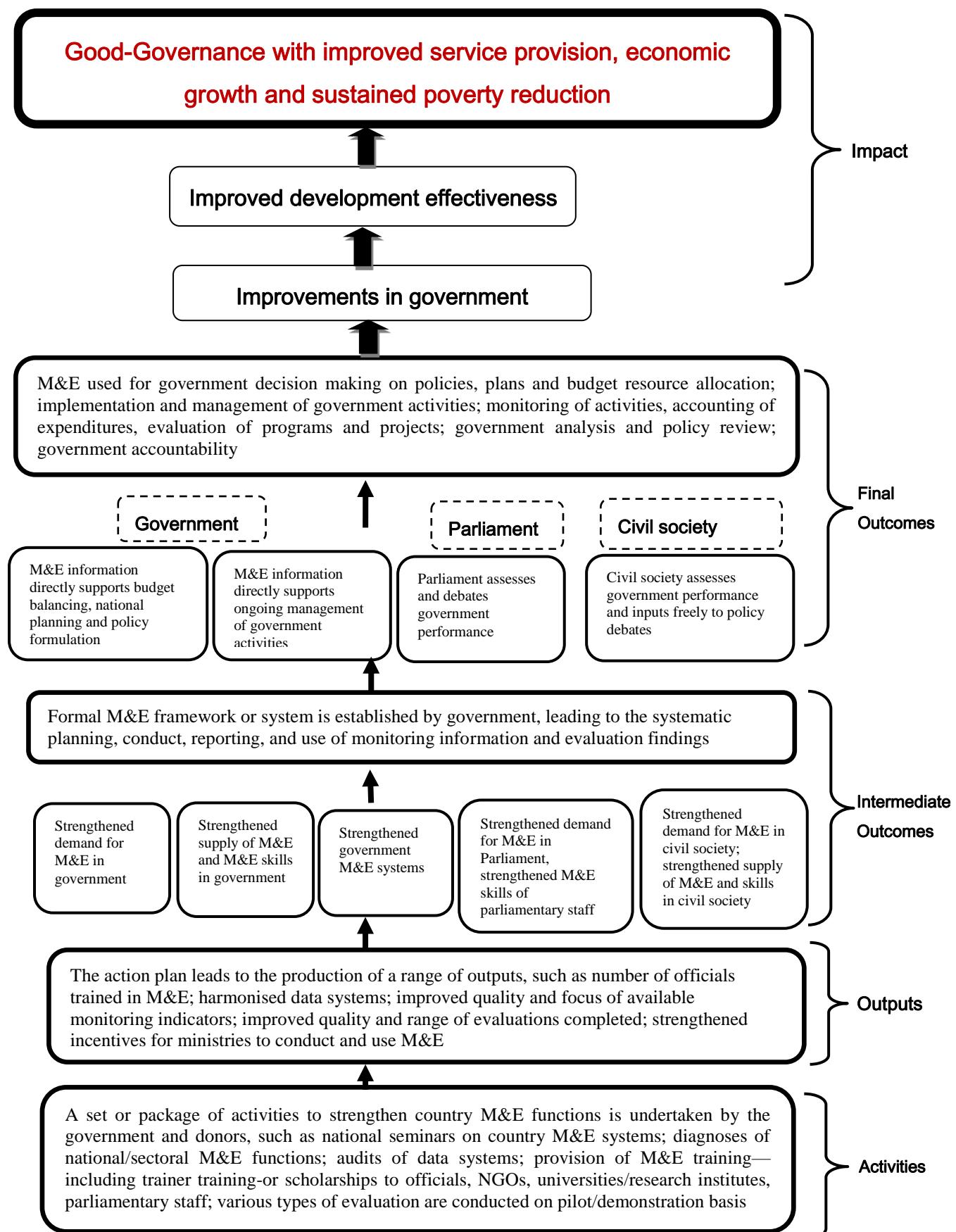


Figure 3.3. Theory of change for building a whole-of-government M&E system
 Adapted from Mackay, 2007, p. 76

M&E systems are not only directly related to, but are important determining elements in the poverty reduction agendas of successful countries. The cause-effect relationship is a strategic theoretical way of appreciating long-term results from the planning point of view. Figure 3.2 demonstrates that a country's M&E system should be able to capture data and information from all activities of government interventions to impact level. However, the M&E system should be a public system that allows non-governmental actors such as the civil society, academia and donors to take an active part in analysing government operations and utilising M&E information. Other key arms of governance such as parliament should be strongly linked to the M&E system in utilising the M&E information.

M&E systems fulfil an important function in the good governance agenda of aid-dependent developing countries, especially in their bid to reduce poverty for citizens. Mackay (2007:9) asserts that M&E can provide unique information about government performance of projects, programmes and policies. Because M&E provides performance information of donors that support the work of governments, it assists in identifying what works and what does not work, and in making us understand the reasons. Thus, ToC becomes a crucial and appropriate theoretical phenomenon for this research study to provide a pathway to the attainment of development results through a stronger WoGM&ES for Zambia.

3.3 Results-Based Management

The evolution of the Results Based Management (RBM) approach from the 1990s onwards seemingly contributed to the effective and efficient delivery of goods and services by public sector and other development agencies. Today, the RBM approach is being used widely in the developed and less developed countries (LDCs) as a practically oriented management approach, including results frameworks or logic models, results-based strategic planning, risk management, results-focused budgeting, and results-based M&E (OECD & World Bank, 2006, 2007, 2008). In line with the ToC, the concept of RBM is based on the cause-and-effect relationships in which inputs and activities of an intervention lead logically to higher orders of results. In this context, development results entail well-sequenced and time-bound changes connected to a series of management phases in the programming cycle for a development policy, project or programme (Mackay, 2007; Raimondo, 2016). The main emphasis of RBM is the realisation of higher-level outcomes that are meant to improve the wellbeing of people. In other words, RBM is concerned with how accountable development interventions and their

programming are in attaining desired medium and long-term results (World Bank, 2007b; OECD & World Bank, 2006, 2007, 2008).

RBM represents a management strategy that is characterised by clear and distinctive framework and tools for organisational strategic planning, performance monitoring and evaluation, risk management meant to measure and attain significant changes in the way development agencies operate (Hauge, 2001). The main purposes of RBM include the fulfilment of accountability obligations through performance reporting and improving the organisational learning function (Mackay, 2007; Meier, 2003; World Bank, 2007a; OECD & World Bank, 2006).

RBM is a management strategy that is used widely by private, public and non-profit making organisations around the world. For instance, as a result of the popularity and positive gains anticipated from M&E systems, several international initiatives have sprung up to enforce the implementation of the RBM approach. Such initiatives as the Millennium Development Goals (MDGs) and their successor the Sustainable Development Goals (SDGs), Highly Indebted Poor Country (HIPC) Initiative under the Poverty Reduction Strategy approach spearheaded by the World Bank and IMF, Paris Declaration (PD), World Trade Organization (WTO) membership, International Development Association (IDA) funding, European Union Structural Funds and Transparency International, European Union (EU) enlargement and accession have embraced M&E (World Bank, 2012a). These provide strong backing for functional M&E systems. In fact, the MDGs were pioneers in adopting the most ambitious global initiative of using a results-based approach to poverty reduction and improving people's living standards (Hardlife & Zhou, 2013:72).

At best, therefore, RBM emphasises the performance of a development intervention and results. It is holistic and futuristic in practice and intent in that it endeavours to provide current evidence and future information about development interventions under implementation (UNDG, 2010; UNESCO, 2015).

Thus, RBM is a tool that is implementable through the development and usage of functional M&E systems. These systems are meant to enable governments to plan and meet the aspirations of their citizens and other stakeholders in terms of results such as improvements in human development and economic growth. Therefore, in view of implementing a results-based

management system for better governance, a country or institution may build and sustain functional M&E systems by strengthening existing ones or building new ones.

In addition to defining and describing the concept of RBM, linking RBM to the functions of M&E is an important aspect. Thus, the linkages between RBM and M&E are inevitably stronger. M&E refers to the systematic collection of performance information pertaining to a given intervention against stated desired objectives (OECD & World Bank, 2007). Consequently, such information is then used as input in internal and external organisational management decision- and policy-making processes for purposes of improvement. To that extent, M&E offers strong operational models, frameworks and tools that are useful for measuring performance, which ultimately and comprehensively leads to increased effectiveness and efficiency in the implementation of development interventions (Astbury & Leeuw, 2010; Coleman, 1987; Rogers, 2008; World Bank, 1997). Hence, it can be observed that the two notions of M&E and RBM resonate, despite the practical challenge of a seemingly chicken-and-egg dilemma⁵ relationship, which tends to exist between the concepts. Schultz (2009) and UNDG (2010), in affirming this view, assert that RBM represents a strategy for enhancing the M&E function and its culture, particularly in the context of strengthening a country's WoGM&ES, while the activities of M&E could effectively assist in realising the objectives pursuable under RBM.

More precisely, M&E has been increasingly adopted to assess the achievement of development results since the 1990s. This was the period in which RBM approaches came into wider use by public institutions and international development agencies. In the same period, the RBM approach became predominant. Thus, the application of M&E could have brought about the emergence and popularisation of the RBM approach among development agencies, including governments (Schultz, 2009).

Therefore, the relationship between RBM and M&E is intrinsic and the two are a fundamental way of achieving great development results. In that sense, it is crucial to ensure that M&E is pursued within the broader context of RBM, and vice versa, and that practitioners and learners

⁵The chicken or the egg causality dilemma is commonly stated as ‘which came first: the chicken or the egg?’ The dilemma stems from the observation that all chickens hatch from eggs and all chicken eggs are laid by chickens. ‘Chicken-and-egg’ therefore is a metaphoric adjective describing situations where it is not clear which of the two events should be considered the cause and which one is the effect.

of both take this important relationship into account. The conceptualisation of success in development management in the context of RBM and M&E is significant, thus, building and sustaining a stronger WoGM&ES is essential for the Government of the Republic of Zambia.

3.4 Managing for Development Results

Managing for development results (MfDRs) is another concept that has become common among practitioners of M&E around the globe. Like the ToC and RBM approach, MfDRs has become a widely adopted and practised paradigm among public sector and non-state development actors. Like the RBM approach, MfDRs is understood broadly as a management strategy whose emphasis is the achievement of development results at all levels of an intervention. The approach uses performance information to support enhanced decision-making processes through the utilisation of technical tools for strategic planning, progress monitoring, outcome evaluation and risk management (AfCoP-MfDRs, 2014). At the core of the MfDRs strategy is the concrete and continuous utilisation of evidence to inform all phases of development processes. Typically, the approach involves shared tenets of good governance, which include objective setting, transparency, evidence-based decision making, and constant adaptation and improvement (World Bank, 2007a; OECD & World Bank, 2006, 2007).

The utilisation of results in informing development processes is the central focus of the MfDRs strategy. This is so because governments and other development agencies usually find themselves undertaking efforts to alleviate poverty without using evidence generated from systems of monitoring and evaluation or indeed any accountability feedback. In that regard, the MfDR strategy puts an emphasis on the acquisition of evidence by those in charge of public policy and decision making and directly utilise such information for development purposes. The strategy contends that in the midst of scarce resources in the custody of development agencies, including governments, it is incumbent upon public managers and agencies to seek and use evidence for planning and designing development interventions.

Table 3.1 below illustrates the significance and historical evolution of MfDRs as a good governance strategy for effective development management towards poverty reduction.

Table 3.1. Managing for development results – a historical perspective

At the International Conference on Financing for Development in Monterrey, Mexico (2002), the international community agreed that it would be important to provide more financing for development – but more money alone was not enough. Donors and partner countries alike wanted to know that aid would be used as effectively as possible, and they wanted to be able to see that it was, in fact, making a difference. This threw into sharp relief the need to measure results throughout the development process, and the need to demonstrate that results were achieved. Soon afterward, the World Bank convened an International Roundtable on Measuring, Monitoring, and Managing for Results (2002), at which development practitioners grappled with concepts, approaches, and practical issues related to getting development results.

At the Second International Roundtable on Managing for Development Results, in Marrakech, Morocco (2004), more than 60 representatives of partner countries met with representatives of bilateral and multilateral development agencies to discuss the challenges of managing for development results (MfDRs). Participants endorsed a set of core principles on how best to support partner countries' efforts to manage for results, and agreed on a costed and time-bound action plan for improving national and international statistics – without which baselines cannot be established and progress cannot be measured.

At the Paris High-Level Forum on Aid Effectiveness (2005), 60 partner countries and 60 donor agencies endorsed the Paris Declaration, committing to specific action to further country ownership, harmonisation, alignment, managing for development results, and mutual accountability for the use of aid.

In 2007, the Third Roundtable on Managing for Development Results in Hanoi, Vietnam, focused on country-to-country learning. Representatives from 45 countries, 32 development agencies, and 30 civil society and private sector partners shared experiences and charted a course for continuing efforts.

In 2008 the Third High Level Forum on Aid Effectiveness took place in Accra with the participation of about 1,700 participants, including more than 100 ministries and heads of agencies from developing and donor countries, emerging economies, UN and multilateral institutions, global funds, foundations, and 80 civil society organisations. The high-level engagement at Accra helped bring about the Accra Agenda for Action which expressed the international community's commitment to further increase aid effectiveness.

Busan HLF

Source: Managing for Development Results, 2017

(Online: <http://www.MfDRs.org/Sourcebook.html>)

The historical perspective in Table 3.1 shows how MfDRs as a concept has emerged over the years and how it has led to the transformation of the global development agenda.

Furthermore, there has been an evolution at global level of the adoption and utilisation of the MfDRs approach by development agencies and governments in their efforts to lower poverty levels, attain equitable and sustainable economic growth, and improve the definition and measurement of development results. In its broader scope, development effectiveness refers to countries and agencies being able to meet their collective development outcomes using the right tools to measure progress towards desired results, report on them, and improve performance by continuously using the lessons learned (Mackay, 2007; OECD & World Bank, 2006).

MfDRs, like related concepts such as the RBM and LFA, is focused on the achievement of development results. Since the Monterrey⁶ Conference of 2002, there has been a focus on managing the work of the development community (which comprises partner countries and donors) to achieve the maximum development results. Thus, although there were efforts before 2002, the new era of a shared and strengthened understanding concerning the need to think about results and ways to sustainably realise them from the beginning to the end of an intervention has become the emphasis. However, this demands regular monitoring of progress in order to continue shaping the effort so that the expected results were achieved as planned (Mackay, 2007; Meier, 2003; World Bank, 2007b).

In 2004 at the Second Round Table Meeting on Managing for Results, principles for the MfDRs were agreed by development stakeholders. MfDRs has stipulated principles that guide its practice and these include aligned programming results-based M&E; keeping simplified measurement and reporting; managing for results, not managing by results; and learning and decision making using information from results (Schacter, 2000 & Mackay, 2006).

OECD and World Bank (2006, 2007, 2008) and Kusek and Rist (2004) add that although in the current understanding, RBM is synonymous with MfDRs, accountability has been the only core focus of some approaches to RBM. Instead, MfDRs departs from this basic undertaking by incorporating newer and more innovative ideas about country ownership, harmonisation, collaboration, partnership, and alignment. In addition, MfDRs focuses continuously on country outcome performance, which is a higher management standard than giving prominence to short-term results only. Table 3.2 shows the three core focus areas for MfDRs.

⁶ The Monterrey Consensus was the outcome of the 2002, United Nations International Conference on Financing for Development in Monterrey, Mexico. It was adopted by heads of state and government on 22 March 2002. Over fifty heads of state and two hundred ministers of finance, foreign affairs, development and trade participated in the event. Governments were joined by the heads of the United Nations, International Monetary Fund (IMF), World Bank and World Trade Organization (WTO), prominent business and civil society leaders and other stakeholders.

Table 3.2. Core areas for Managing for Development Results

Areas of Action
In the global community, action on MfDRs is taking place in three broad areas:
1. Strengthening Country Capacity to Manage for Results. The quest for development results begins with developing countries, which must manage their development processes to achieve the outcomes they want. They need to define the results they want to attain and – working in partnership with development agencies, civil society, and other stakeholders – design policies and programmes to achieve those results. Countries need information on which to base this work, and statistical capacity and monitoring and evaluation systems to generate the information. The role of development agencies is to support developing countries in strengthening their capacity to manage for development results
2. Improving the Relevance and Effectiveness of Aid. For most development agencies, managing for development results means going beyond their traditional focus on input delivery and output quality to focus on the achievement of outcomes – that is, a more explicit consideration of the contribution that an agency makes to country results. To this end, agencies are introducing results frameworks into their cooperation strategies and programmes, shifting their internal incentives to focus on sustainable country results, and developing reporting systems on results
3. Fostering a Global Partnership. Some of the greatest challenges in managing for development results can be best addressed through a global partnership – for example, a global effort is needed to support countries in generating reliable and timely data to assess progress on the Millennium Development Goals and other country goals; to strengthen international reporting mechanisms; and reduce the burden on countries of multiple, agency-driven reporting requirements and monitoring and evaluation systems. Through partnership, the international community can make it easier for developing countries to manage for results

Source: Managing for Development Results

(Online at: <http://www.MfDRs.org/Sourcebook.html>)

The information in Table 3.2 illustrates how the MfDRs approach has emerged as a centrepiece of efforts at global level to improve public management. At best, MfDRs is broadly considered an example of best practice in development management. Unequivocally, in an attempt to achieve desired development results, MfDRs focuses on improving all financial, technological, human, and natural resources, internal and external. In that regard, it becomes inevitable to view MfDRs not only as a methodology, but as a way of thinking and acting, built and linked on a practically oriented toolbox for enhanced public management (OECD & World Bank, 2007, 2008).

Therefore, to achieve success, it is crucial to invest in the development and nurture of a ‘performance culture’ that could be attained operationally through full implementation of the MfDRs approach. Nevertheless, this kind of development achievement can come effectively by creating incentivising results-focused management systems and internal preconditions through targeted human resource and organisational development (AfCoP-MfDRs, 2014). However, capacity development alone would not be enough, thus requiring a stronger and sustained leadership and political buy-in, of which both are essential ingredients in pursuing the fuller benefits of institutionalising a MfDRs approach. Consequently, the role of leadership remains central to constantly clarifying the essential organisational objectives and functions

through setting the development course. Additionally, a visionary leadership provides a clear model of operation and works to inculcate a transformational development agenda at individual and institutional levels pursuant to a results orientation. In that regard, sound leadership develops and seeks to sustain an incentive structure that assists in realising a change in institutional and cultural conduct (Meier, 2003). Further, Hauge (2001) affirmed that the MfDRs approach is essential in that it represents an essential shift in such key aspects as policy process, predominantly in the nature of thinking, acting and overall management in the wider scope of the public sector. In the absence of prudent public management approaches like MfDRs, governments will tend to perform poorly in good governance tenets of accountability, transparency and reward mechanisms.

Therefore, MfDRs denotes a strategy for prudent management and measurement of development performance, and emphasises sustainable improvements in country-specific and organisational results. In that context, a result is a describable or measurable development change emanating from a cause and effect relationship (OECD/DAC, 2004). According to the World Bank (2007) and Mackay (2007), MfDRs contributes to processes of policy- and decision-making improvement by making available evidence-based information on results. This is achieved through a range of tools and techniques, which include strategic planning, progress monitoring, risk management, and outcome evaluation. To a large extent, MfDRs is aimed at holding development actors such as governments, international agencies and individuals accountable for delivering desired results to the citizens they serve. Therefore, country systems are required to promote the managing for results agenda in order to have an improved and sustainable country development results (OECD & World Bank, 2006, 2007, 2008).

MfDRs has recently evolved to incorporate a range of policy issues, including country ownership, harmonisation and alignment of donor efforts, international goals and standards, accountability for development results, and the participation of civil society and other interest groups (Davies et. al., 2009; Hassan, 2005). Therefore, advocates of good governance see this approach as a way for governments to be accountable to their own citizens and to donors. Further, as can be seen in Figure 3.3, MfDRs ensures that all development efforts must be informed from inception by the end result. Such a long-term planning horizon is useful in allocating all forms of resources and efforts in a focused and meaningful way.

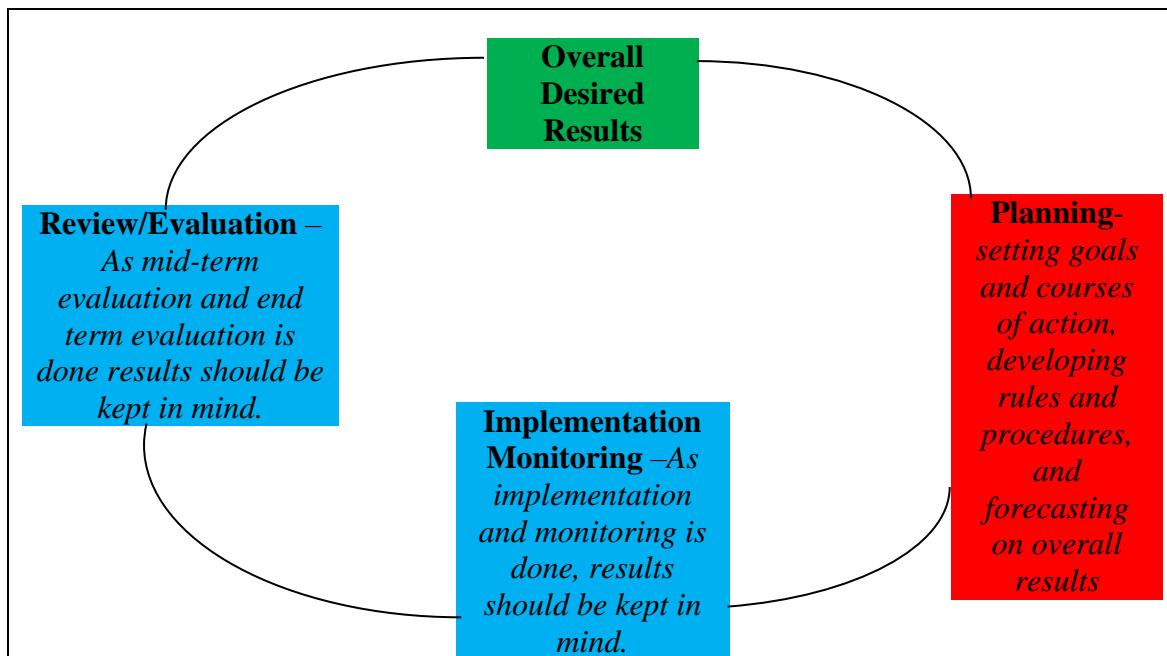


Figure 3.4. Managing for Development Results cycle: importance of results at all levels

MfDRs interrogates a number of critical development aspects and these assist in achieving results. Information flow, mainly in terms of its supply and demand, is a central aspect of the MfDRs approach. In particular, the capacity of a country to provide credible and well-analysed statistical data and information, and ultimately how these are put to use by users, becomes pertinent to success (Hauge & Mackay, 2004; Lucas et al., 2004).

The linkages between MfDRs and M&E can be demonstrated in a number of ways. Like ToC, RBM and LFA, MfDRs is premised on the elements of a results chain, namely the inputs, activities, outputs, outcomes and impacts, as illustrated in Table 3.3. It is also upon these elements that M&E is conducted properly and thus the linkages between MfDRs and M&E could be easily appreciated.

Table 3.3. Linking monitoring and evaluation and managing for development results

How should this be implemented?		What should be produced?	What outcomes do we expect from this investment? (How are outputs used?)		Why should we do this?
Inputs	Activities	Outputs	Short-term outcomes	Medium-term outcomes	Long-term impacts

Source: Adapted by author, 2017
(Online at: <http://www.mfdr.org/Sourcebook.html>)

The linkages between MfDRs and M&E are critical in many ways, and are self-reinforcing. While M&E provides useful techniques, tools, methodology, data and information to achieve

the desired results under MfDRs, the results of the MfDRs approach become a significant feedback for strengthening and undertaking M&E exercises successfully (Mackay, 2007; World Bank, 2007b).

M&E offers a strong foundation for anchoring performance measurement tools and models, which ultimately contribute to increased effectiveness in the development and management of interventions (Brushett, 1998). For instance, since the 1990s, M&E has become the most used way of assessing the achievement of results. This was at a time that approaches for results-based management (RBM) came into wider utilisation in country-level public institutions and international development agencies. This evolution of adopting and using results-based M&E continues today and is a major component of the MfDRs toolbox, helping governments and agencies to systematically measure project and programme outcomes (Hauge & Mackay, 2004). In that regard, M&E is viewed as an important component in helping achieve the objectives of MfDRs.

To practically embrace and institutionalise MfDRs as a results-oriented and management strategy, leaders of development institutions and governments should propagate and promote the agenda. At the same time, leaders are supposed to develop transformational systems of M&E, which provide relevant information for other development processes. Lopez-Acevedo, Krause and Mackay (2012) and Hwang (2014) caution that a lot of challenges are faced by national leaders in putting in place stronger M&E systems under the broader MfDRs reform agenda. Instead of focusing on the utilisation of lower-level traditional process results of inputs, activities and outputs, it is important for agencies of development to have a long-term horizon of desired development results (Mackay, 2007; World Bank, 2007a).

3.5 Logical framework approach

In addition to the theoretical understanding of the efforts that contribute to clarifying the practice and meaningfulness of M&E in the development discourse, the Logical Framework Approach (LFA) is a key management tool. Simply put, an LFA is a technical management technique that comprehensively summarises significant information associated with given development interventions. In other words, it is a matrix or simply a table covering such categories as inputs, activities, outputs, outcomes and impacts (that is, objectives); indicators (or objectively verifiable indicators); and the means of verification; and assumptions/risks

(Coleman, 1987). According to the World Bank (1997), LFA is practised by many organisations in project planning and management.

Further, World Bank (1997) asserts that the evolution of the LFA is traceable to the 1970s. Since then it has been utilised widely by managers in processes such as planning, budgeting and management of development interventions. Other attributions state that it originated from the US military planning approach. May et. al (2006) explain that before being adopted and used by USAID for development projects over fifty years ago, the LFA was adapted for the US space agency NASA. Logical frameworks are thus widely used to strengthen the internal logic of activity design, implementation and evaluation. In other words, a logical framework matrix (often simply called the ‘logframe’) serves to translate this broader LFA theoretical understanding into action, and as a document forms the basis of an actionable work plan to guide implementation through the project or programme lifecycle. In that regard, the LFA becomes a critical management tool upon which M&E could be premised.

Through a thorough LFA, once a project has been described in terms of the logic model, critical measures of performance can be identified. The logframe thus assists directly in establishing the development pathway by which:

- Objectives will be reached
- The potential risks to achieving the objectives are identified
- The ways in which outputs and outcomes might best be monitored and evaluated are established
- A summary of the activity is presented in a standard format, and
- Suggestions are made for M&E activities during implementation

In addition, a logical framework could be understood as a set of concepts that are interlinked and used conjointly to elaborate a well-conceived project or programme, described in terms of objectives and from which it will then be possible to evaluate the results (World Bank, 2007b; May et al., 2006; Engela & Ajam, 2010; World Bank, 1997). According to Coleman (1987:56), an LFA was described by its developers as ‘a set of interlocking concepts which must be used together in a dynamic fashion to permit the elaboration of a well-designed, objectively described and evaluable project’. Further, the International Finance Corporation, Germany Technical Cooperation and Department for International Development state that the LFA is a management tool that identifies strategic elements of inputs, activities, outputs, outcomes and impact (IFC, GTZ & DFID, 2008). These elements are regarded as having causal relationships

with indicators and assumptions or risks that may influence success and trigger failure of an intervention. The LFA therefore facilitates the key processes of effective planning, budgeting, implementation and monitoring and evaluation of policies, programmes and projects.

Therefore, the LFA can be considered a tool that supports RBM in systematically managing projects and programmes and by focusing on high-level results. Further, the LFA not only logically establishes project objectives and defines their cause-effect relationships, it also fundamentally describes external factors that influence success, namely assumptions and risks that require critical attention to safeguard the smooth implementation of development interventions. Thus, through the identification of performance indicators that help determine the status of implementation and progress for a given intervention, the LFA can effectively be attributed to supporting the enhancement of regular monitoring and evaluation (M&E). Table 3.4 illustrates an LFA by showing the linkages and interlinkages of key concepts.

Table 3.4. Elements of logical framework approach

Narrative summary of objectives	Objectively Verifiable Indicators (OVIs)	Means of verification (MoV)	Critical Assumptions/risks
Overall objective (Impact) WHY?	WHAT AND WHEN DO WE MEASURE?	HOW, WHERE, AND BY WHOM?	(Specific objective Overall Objective)
Specific objectives (Outcomes) WHY?	WHAT AND WHEN DO WE MEASURE?	HOW, WHERE, AND BY WHOM?	(Outputs Specific objectives)
Outputs WHAT?	WHAT AND WHEN DO WE MEASURE?	HOW, WHERE, AND BY WHOM?	(Inputs outputs)
Inputs/Activities WHO & HOW?	HOW MANY or HOW MUCH?	HOW, WHERE, AND BY WHOM?	PRELIMINARY CONDITIONS

Source: Adapted by author from Coleman, 1987

Further, the simplicity of the logical framework seems to be deceptive. On the one hand, a logframe can be described as a 4 x 4 matrix, characterised by rows representing the levels of project objectives, including the means necessary for their achievement (that is, the vertical logic). On the other hand, it has columns that indicate how the achievement of these various objectives could effectively be verified (that is, horizontal logic).

a) Vertical logic

Vertical logic refers to the factors that a stated project intends to achieve. This is done by clarifying relationships between project means and ends. The causal relationships are made in the context of uncertainties that concern the project itself and associated environmental factors such as social, physical and political. Much of the work is embedded in the process of ensuring that all concepts in the logframe are considered holistically to give the kind of vertical logical explanation that is expected. These vertical linkages and explanations would include checking the hierarchy of project objectives, the causal linkages across the hierarchy and whether the important assumptions have been taken into account. The vertical logic include these elements, as shown in Table 3.5:

Table 3.5. Elements of vertical logic

Objective/element	Description
Goal	The reason for undertaking the project: the ultimate objective of the programme to which the specific project will contribute
Impact	The broader and high-level result of a programme over a longer term. Are people's lives improved? Is public health improved as a result of the intervention (e.g. the availability of drugs to combat HIV/AIDS? Is asthma reduced as result of the drop in carbon emissions in a country (or in a particular region/city)?
Purpose/Outcome	What the project is expected to achieve in development terms once it is completed within the allocated time. What behavioural changes have occurred in the population as a result of the intervention?
Output	The physical outputs produced by the development intervention (the kilometres of all-weather paved roads built, the number of power plants constructed, the number of health clinics built and quantities of medicines distributed)
Activity	The activities to be undertaken and the resources available to produce the outputs
Input	The financial, human, and material resources used for the development intervention (amount of dollars, the number of teaching staff, the number of textbooks delivered to schools).

Source: Adapted from Coleman (1987) and World Bank (1997)

b) Horizontal logic

The primary significance of horizontal logic is to provide some measurement of resources and results of development interventions. These measurements are done using what are known as objectively verifiable indicators (OVIs) together with the means of verification (MoV). Horizontal logic provides details about results to be obtained at each of the higher levels of the hierarchy of objectives, namely the output, outcome and impact. Table 3.6 provides a description of the elements for the horizontal logic:

Table 3.6. Elements of horizontal logic

Element	Description
Objectively verifiable indicators	These are referred to as OVIs and represent a set of criteria that indicate in concrete terms that the expected results have been achieved. Their content adds precision to the statement of intent given in the narrative summary. For each level of the vertical logic there is a set of OVIs that are appropriate to the objectives at that level and constitute proof of achievement at that level
Means of verification	Means of verification (MOV) ensure that the previously defined OVI can be measured effectively. They confirm that the indicators are realistic, since they specify how the indicators can be verified. MoV are the sources of information
Important assumptions/risks	The important assumptions concern conditions that could affect the progress or success of the project, but over which the project manager has no control. This lack of control may arise from many sources. One of the most important is that projects take place in a natural environment (rather than in a laboratory where ‘external’ elements can be controlled) and are therefore subject to natural variations

Source: Adapted from Coleman (1987, p. 256)

LFA does not comprise an integrated set of procedures or guidelines for evaluating a particular form of project. Instead, it focuses on providing a clear structure for project planners and evaluators to specify the components of their activities and to help in identifying logical linkages between sets of means and corresponding ends (Engela & Ajam, 2010). For that reason, it is imperative to view the LFA as a mechanism that supports logical thinking and as a means through which a project may be structured and described for analytical purposes (Coleman, 1987; World Bank, 1997).

The relationship and linkages between the LFA and the concept and practice of M&E are clear and sustainable. At best, the LFA could be understood as functionality within the broader practice of M&E. In that event, M&E becomes the overall platform under which one may design and fully implement the LFA. In that case, the logframe becomes a technique that is useful in actualising the results clarified in an M&E framework. M&E focuses on the attainment of results using a clear pathway informed by evidence. Through that, the LFA assists in making this important development aspiration a reality, and practitioners and implementers of interventions for development pursue the LFA seriously. Hence, the logframe matrix summarises key information that feeds into M&E processes:

- What the project should achieve, from the level of an overall goal to specific activities
- The performance questions and indicators that are used to monitor progress and overall achievement
- How these indicators are monitored or where the data can be found

- The assumptions behind the logic of the way in which activities will contribute to the goal, plus associated risks for the project if assumptions are incorrect
- LFA deals with seven key questions: Why? What? To whom? How? Who? When? How much? (World Bank, 1997:9).

3.6 Theoretical synthesis

In this chapter, Chapter 3, a number of concepts were discussed with the intention of anchoring M&E on a solid theoretical foundation. Therefore, as theoretical constructs that are linked to M&E—ToC, RBM, MfDRs and LFA were also discussed. However, although these approaches were discussed contextually, ToC is the theory on which this research is built. It articulates in a systematic way how strategies, projects, programmes and policies contribute to a set of outcomes through a series of intermediate results (Vogel, 2012). Consequently, the pursuit for a strengthened WoGM&ES for the public sector in Zambia is theoretically made relevant. Inherently, the ToC describes the pathway through which change will come about (Astbury & Leeuw, 2010; GRZ, 2017b).

With well-developed and sustained WoGM&ES, governance profiles of many governments would stand high chances of improvement as long as the information from such systems is embedded appropriately in decision-making processes. Strengthened M&E activities for any country would lead to a sustained economy and reduced poverty for the majority poor (Clements et al., 2008; Kusek et al., 2004).

Therefore, the point of departure is that M&E, and more so meaningful and predictable investment in strong and sustainable WoGM&ES, is a theoretically critical choice for governments in their long-term bids for good governance and poverty reduction. This resonates well with what Burdescu et al. (2005) observed, namely that countries such as those in Latin America, with documented evidence of struggle in building and institutionalising functional systems for M&E, had leveraged themselves from implementing interventions that were not informed by evidence-based results. Thus, it becomes crucial for governments to always have a long-term horizon of strategic thinking and planning, one that is based on the theory of change and on the approaches of RBM, MfDRs and LFA (Castro, 2009; Segone, 2008; De Renzo, 2006).

3.7 Conclusion

Chapter 3 gave the theoretical framework on which this research study is premised. The chapter aimed at demonstrating that M&E notions are not abstract and arbitrary concepts that agencies of development around the globe are pursuing, but are well founded and grounded on sound theoretical perspectives. ToC was identified as the appropriate theoretical construct to anchor M&E and is the basis for building and strengthening WoGME systems for countries, and in this case for Zambia's public sector M&E arrangements.

In addition, the chapter discussed salient concepts that support and clarify the theoretical relevance of M&E as an instrument that contributes to good governance and ultimately to the poverty reduction agenda of governments. Hence, RBM, MfDRs and LFA were discussed in relation to M&E. Collectively, these concepts were articulated to bring home the point that when well developed and sustained, stronger WoG M&E systems would predominantly assist nations to achieve the much-desired higher development results.

Finally, the chapter established that M&E has a longer historical perspective, embedded in theory and practice, and would provide a rare opportunity to development actors globally to generate information that was useful to improving processes such decision and policy making. Therefore, the aim of this study is to ascertain whether Zambia is on the right path for developing and strengthening its WoGM&ES within the broader context of the country's national long-term visions and NDPs.

The next chapter, Chapter 4 discusses the conceptual framework, which provides a stronger basis for M&E in broader dimensions of effective development management in pursuit of good governance and sustained poverty reduction.

CHAPTER 4

Conceptual Framework

4.1 Introduction

Chapter 4 discusses the conceptual framework for this research study. In general terms, Chapter 4 is about understanding the conceptual underpinnings of monitoring and evaluation systems and how these systems are supposed to be organised if they are to provide information that would help to transform a country's good governance reform agenda. The conceptual framework therefore represents a significant section of this study by clarifying areas of success that need to be embraced as Zambia works to develop and sustain its whole-of-government monitoring and evaluation system (WoGM&ES). In addition, the framework provides a basis on which the overall assessment and analysis of the research objectives and findings are anchored.

Therefore, Chapter 4 gives an overview of and background information about the framework, focusing on the two sides of an M&E system, in the context of this thesis, the WoGM&ES. These are the supply side and demand side. In addition, the chapter articulates the essentials deemed crucial to a successful WoGM&ES. These include the political and technical issues associated with implementing systems for M&E. Another essential is the ownership of M&E systems. Further, the chapter presents a comprehensive section showing the fundamental ten steps for developing a functional WoGM&ES. The conclusion stresses the importance of these aspects.

4.2 Overview and background

The case for a stronger WoGM&ES has been stressed (see section 2.4). The Zambian Government must build a functional and robust WoGM&ES that seeks to comprehensively provide the much-needed information to support development processes at all levels of governance, namely a system that will meet the development expectations of players and stakeholders in the economy and beyond.

The significance of functional national level M&E systems is that benefits are widespread, including giving crucial decision making information in the course of policy, programme and project implementation. When used properly, information from these systems could help to stimulate development debate through constructive brainstorming on challenges affecting an intervention. In that regard, development managers obtain valuable information for improving their deliverables, thereby assuming control and ownership of development processes (Bamberger, 2010; OECD/DAC, 2005).

Since government business is generally implemented across the country, a functional WoGM&ES is needed to help with resource allocation to the neediest areas through evidence-based data and information and results-focused feedback loops (Castro, 2009). Once this is achieved, it is envisaged that the Zambian Government's predictability in terms of positive public service delivery should be well anchored on a results-based management approach and the capability of sustaining the desired national development path should be pursuable realistically.

A strong view is held among M&E advocates and practitioners that countries should always deliberately try to lead and sustain the building of their WoGM&ESs. It is even preferred that such systems should be owned and led by key stakeholders in the country so that external stakeholders such as donors do not enforce their interests (Segone, 2010). Elements such as determining what is to be evaluated, which evaluation questions must be asked, which methods should be used and which analytical approaches should be employed are important for countries to own and control. In addition, the manner in which M&E findings are communicated, shared and used is supposed to be in the jurisdiction of the government and its internal structures.

4.3 Demand and supply sides of monitoring and evaluation systems

Monitoring and evaluation (M&E) systems comprise two parts: the supply side and demand side. From the supply side, information that feeds into decision-making processes is generated and disseminated to those that use it on the demand side of the system. Therefore, a good match is required between the supply and demand sides when building and sustaining systems for M&E (Engela & Ajam, 2010; Feinstein & Zapico-Goñi, 2010; Porter & Goldman, 2013).

The supply side involves human skills and capacity development, including adapting appropriate technologies and tools and supporting institutional frameworks (DBSA, 2000). In other words, the supply side of an M&E system generally refers to a range of systemic and institutional aspects such as data collection, capacity, sequencing, leadership, coordination, regulation and oversight (Naidoo, 2011). Further, the demand side is concerned with the use of M&E information by actors that include governmental agencies, parliaments, NGOs, civil society organisations, research institutions, universities, the donor community and the general population (Kanyamuna, 2013; Naidoo, 2011; Kanyamuna et al., 2018). Similarly, this means that the ways in which these entities are involved to stimulate demand for information could be useful in strengthening the demand side of an M&E system (Bedi et al., 2006; Picciotto, 2008). Therefore, care should be taken by ensuring that M&E standards, procedures, tools and principles conform to local requirements. For instance, indicator choices are better developed when they are anchored on country-specific values and norms. Where they are employed from international agencies, indicators must be appropriate and adapted to local conditions (DBSA, 2000; World Bank, 1996).

However, developing M&E systems that respond to the expectations of stakeholders is not easy. For that reason, governments and stakeholders must have solid plans and incentives to compel them to invest in such systems. Building an M&E system is not a one-off activity, but a long process that requires focus and commitment from government and stakeholders. Section 4.4 outlines some of the key aspects that governments must address when building M&E systems. These are considered essentials for building successful M&E systems for the public sector. This is followed by a discussion of the ten steps for building a robust WoGM&ES.

4.4 Essentials of a functional whole-of-government monitoring and evaluation system

4.4.1 The political aspect of monitoring and evaluation

Monitoring and evaluation (M&E) issues are predominantly politically motivated. This aspect is usually embedded in the nature of information that M&E systems provide. Monitoring information and evaluation findings tend to give detailed indications of how public resources are being utilised. However, most implementers do not like to place such information in the public domain for fear of being victimised or condemned by the public and other stakeholders for possible misappropriation. Kusek and Rist (2004:20-21) concluded that when results-based

information is brought into the public arena, it could change the dynamics of institutional relationships, personal political agendas, planning, budgeting and resource allocations, and general public perceptions of government effectiveness. As a consequence of these strong and deep-rooted vested interests, counter-reformers may emerge in and outside government to oppose all efforts to build systems for M&E.

Governments need to ensure that there are strong institutional arrangements so that the M&E function is implemented with the expected quality. But this requires a long-term M&E system characterised by sustained strategising and planning. M&E systems are often considered threats to government officials and project managers because staff reductions, budget cuts and criticism from higher levels such as donors and civil society groups may arise after poor evaluation findings (Valadez & Bamberger, 1994; Lahey, 2010; Briceno, 2010; Bamberger, 2013). These political dynamics in the management of M&E systems, if not managed well, could lead to poor governance with a broken-down public accountability system allowing vices such as corruption and misapplication of resources. As a result, developing countries have to address this aspect if their WoGM&ESs are to function well (Mackay, 2011; Leiderer, 2013).

4.4.2 The technical aspect of monitoring and evaluation

The technical issues surrounding the functionality of M&E systems are crucial aspects that require good care by governments and organisations. The areas of concern when designing and building an M&E system include producing relevant, trustworthy and timely information about the performance of government projects, programmes, and policies. Relevant and adequate institutional capacities and skills are also significant in determining a well-performing M&E system. For instance, capacities of successful and comprehensive construction and utilisation of performance indicators denote an important competence (Kusek & Rist, 2004).

Consequently, governments should have well-trained employees who are able to carry out these functions effectively. For many developing countries, this may be a challenge, but governments need to invest significantly in these areas to ensure M&E responsibilities are handled by technically qualified civil servants. The World Bank (2012a) cautions that failure to have in place technically skilled managers and government officers in building successful national M&E systems that are credible and trustworthy to bring high-quality information is a challenge.

4.4.3 Ownership of monitoring and evaluation systems

The incapability of developing countries to build and sustain their own M&E systems is probably the leading factor in creating institutions and systems that promote good governance and poverty reduction (World Bank, 1999; DBSA, 2000; Naidoo, 2011). There are notable levels of satisfaction from among development actors around the globe that control and ownership of M&E systems by governments themselves would provide stable and sustainable enjoyment of the benefits offered by such systems (Kanyamuna et al., 2018 & Kanyamuna, 2013). But the reality is that many poor countries rely on donor support to conduct M&E functions and build M&E systems. It is even more problematic because these countries borrow almost every aspect of M&E from the developed countries (Kusek & Rist, 2004). This is not to say it is unnecessary to seek improved ways of building M&E systems, but the challenge concerns the dependence that poor countries have given themselves to developed nations.

“Countries in the developing world often look to the richest countries, the members of the OECD, and adopt the public sector management tools that these countries typically employ, such as M&E and performance budgeting” (Mackay, 2007:1). This situation is obviously going to lead to more problems regarding the sustainability of these M&E systems in developing countries. As a better and more sustainable alternative, Kusek and Rist (2004:32) contend that developing countries first need to create greater demand for M&E information and to utilise it proactively to inform policy and decision-making processes. Through such use of M&E, these countries would then inculcate a culture of building and strengthening their own results-based M&E systems in their institutions, and this would lead to stronger ownership of these systems. This will be unavoidable because the experience of creating these M&E systems would differ in dynamics and scope between the developing countries and their counterparts in the developed countries, despite the practical lessons that could be drawn from successfully implemented systems in developed countries (Mark & Pfeiffer, 2011; Wong, 2012).

4.5 Ten steps for building a whole-of-government monitoring and evaluation system

The work that goes into building and sustaining a functional WoGM&ES is immense and long term in nature. The clear steps on how to build such systems are still matters of debate among practitioners because countries are at different stages of developing M&E systems. However, M&E practitioners and experts in the field have elaborated stages that are crucial

to developing functional M&E systems. It is therefore important in this research study to bring out the general aspects that comprise steps towards building and sustaining a country's WoGM&ES. When assessing and analysing Zambia's WoGM&ES, appreciating the stages the system has undergone or requires to undergo becomes significant. Kusek and Rist (2004:39-161) have elaborated a classical ten-step process to consider when building a national M&E system for governments. Figure 4.1 below elaborates.

This study therefore adopts the ten steps and uses them to establish a basis for understanding the process of building and sustaining a successful WoGM&ES for Zambia's public sector.

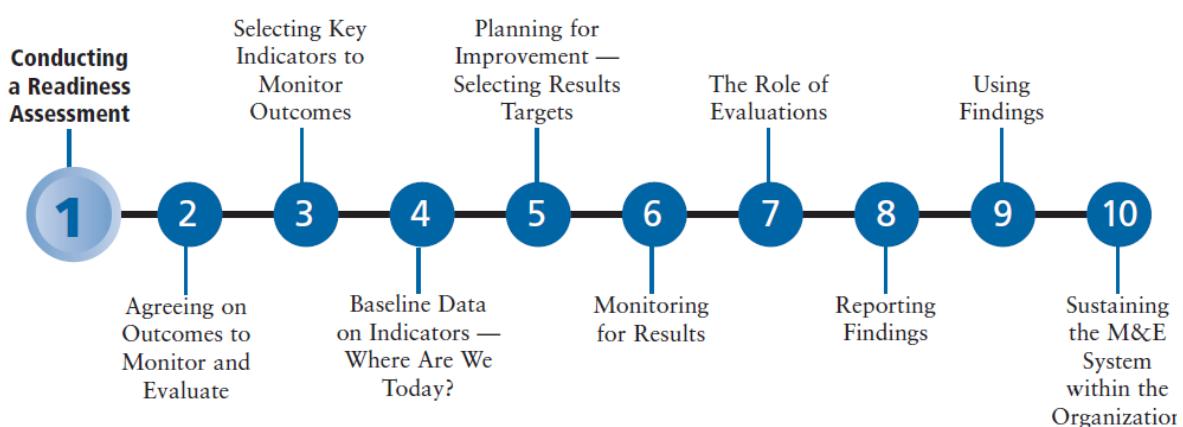


Figure 4.1. Ten generic steps for building a country monitoring and evaluation system
Source: Kusek and Rist, 2004, p.39

Step 1: Conducting a readiness assessment

A readiness assessment is the first critical aspect that needs to be considered when building any strong and sustainable M&E system (Kusek & Rist, 2004; Shepherd, 2011). Likened to the construction of a building, the readiness assessment stage represents an important part, beneath the ground, not seen, yet critical in holding all that is above it. The focus of this stage is on undertaking a thorough assessment of a country's current status in terms of understanding, capacity, and use of existing M&E arrangements. The readiness assessment is therefore the analytical framework on which the holistic status of a country's M&E capacity is determined and a plan for improvement is drawn and implemented (Mackay, 1999; Schultz, 2009; World Bank, 2012a). Therefore, the undertaking of a readiness assessment is not intended to examine whether a country may develop a WoGM&ES, but to assess the current status of that country's M&E arrangements.

To that extent, a readiness assessment usually considers such aspects as existing organisational, political, policy, legislation and cultural factors and contexts. In other words, a readiness assessment addresses issues such as whether M&E champions were present, the barriers threatening the creation and building of M&E systems, ownership issues and who was likely to oppose the systems (Görgens & Kusek, 2009; Talbot, 2010). For Goldman et al. (2012), these complexities and nuances of the wider country contexts are usually ignored, yet are critical for the rest of the preceding stages. Hence, Kusek and Rist (2004) observe that many approaches recommend governments and organisations to go straight into building systems for M&E, disregarding the critical step of readiness assessment. Thus, without first taking stock of what is working and what is not leads many development agencies into building systems that fail to give expected information, thereby becoming redundant and unsustainable in the long run (Mackay, 1999; World Bank, 2003b; Liverani & Lundgren, 2007; Segone, 2008).

Further, the readiness assessment step is explicit in what it aims to achieve. This stage advances a strong argument against most experts, who look only at the ‘what’ questions: for instance, What are the goals? What are the indicators? Such experts forsake the critical ‘why’ questions, for example, why do we want to measure something? Why is there a need in a particular country to think about these issues? Why do we want to embark on building sustainable results-based M&E systems? It is because of these pertinent ‘why’ questions on which the readiness assessment step is premised (Kusek & Rist, 2004). There is more work to actualise this kind of objective, yet the results of such efforts are key to the development of a successful results-based M&E system (World Bank, 2003a; Kusek & Rist, 2004; Castro, 2009).

Step 2: Agreeing on outcomes to monitor and evaluate

Governments implement development interventions with the aim of achieving results that influence citizens’ living standards positively. Otherwise, without being certain of the intended outcomes, government efforts would not be challenged for quality assurance by stakeholders. In *Alice’s Adventures in Wonderland*, Lewis Carroll (1865) stated: ‘If you do not know where you are going, any road will take you there’ (Bamberger, 1991). Step 2 builds on the first and assumes that a country or organisation is in a position to move forward in building a results-based M&E system. The second important undertaking is to agree on the outcomes so that where the country is going in the long term is known.

For a given WoGM&ES to be built and sustained, it is essential that outcome setting is done appropriately. Such results-based M&E systems are developed according to a deductive approach in which inputs, activities, and outputs are all derived and flow from the setting of outcomes and the ultimate desired impact(s). Kusek and Rist (2004) add that indicators, baselines and targets (covered in subsequent steps), including all crucial elements of the performance framework are derived from and based on the setting of clear outcomes. Thus, the setting and articulation of outcomes first provides a good platform for designing measurable performance indicators (UNDP, 2002; World Bank, 2003b; Görgens & Kusek, 2009).

A government, in consultation with stakeholders, thus has the task of ensuring that appropriate outcomes are well chosen and defined. A WoGM&ES that is developed with good outcomes has a high chance of collecting, analysing and providing information (feedback) that is useful to influence various processes for stakeholders positively (Mackay, 1999; Hwang, 2014).

Step 3: Selecting key performance indicators to monitor outcomes

A successful M&E system is supposed to have a well-chosen and collectively shared set of performance indicators to serve as the basis for change or result measurement. ‘Indicators’ refer to variables that are quantitative or qualitative, simply and reliably designed to measure achievement of a given intervention under implementation (Kusek & Rist 2004; WHO, 2012). The tracking of performance changes is made in relation to an organisation’s stated outcomes (Kumar & Casley, 1988; Mackay, 1999; World Bank, 2012b). After the outcomes are determined in the process of building a WoGM&ES, the next task is to choose and define the indicators. Essentially, indicators should be developed for all levels of a results-based M&E system to have certainty that those indicators are in place to monitor and measure progress against all the elements of a results chain (that is, inputs, activities, outputs, outcomes and impacts). This kind of indicator tracking and measurement is critical to providing evidence-based feedback, on which transformational improvements would be made (World Bank, 1996; Kusek & Rist, 2004; May, Shand, Mackay, Rojas & Saavedra, 2006; Ongevalle, Huyse & Boutylkova, 2012).

Indicator selection and definition are important requirements for a successful WoGM&ES. Otherwise, it becomes challenging to recognise success or achievement when it occurs. Also, the assurance as to whether institutional effort is leading towards achieving outcomes is not

certain in the absence of clearly defined indicators (Kusek & Rist, 2004; Görgens & Kusek, 2009; World Bank, 2012a). Governments need to be precise and committed to the process and type of overall and specific indicators adopted in their WoGM&ES (Brushett, 1998; World Bank, 2012a; GRZ, 2015).

Step 4: Setting baselines and gathering data on indicators

When the identification and selection of key performance indicators (KPIs) to monitor outcomes are done, the next crucial phase is establishing baseline data (Step 4). During this step, the present status of a given indicator relative to the overall outcome is measured and appreciated. For Kusek and Rist (2004), the significance of this stage is that no one can project progress or any form of performance into the future (target setting) without establishing an appropriate baseline. According to Talbot (2010), the first measurement of an indicator is what denotes a baseline. Thus, this condition assists in determining or projecting future changes and upon which progress tracking is anchored. Therefore, by using well-measured baselines, decision makers and other development actors get to know about current circumstances long before they project targets for an intervention. In this way, setting realistic targets works for all development efforts, giving governments an edge in leading the process of nation building and inclusive development because they understand the recent levels and patterns of performance (Karel & Holvoet, 2000; Kusek & Rist, 2002; Kusek & Rist, 2004).

The process of determining the baseline starts by i) establishing or generating baseline data on selected indicators; ii) building information for each indicator baseline; iii) identifying data sources for indicators; iv) designing, planning and comparing chosen data collection methods; v) establishing the significance of conducting pilots; and incorporating vi) data collection and use of lessons from successfully implemented WoGM&ES (Kusek & Rist, 2004; Görgens & Kusek, 2009).

Step 5: Planning for improvement and setting realistic targets

A target is “a specified objective that indicates the number, timing and location of that which is to be realized” (IFAD, 2002 sited in Kusek & Rist, 2004: 91). In other words, targets are the quantifiable and qualifiable levels of the indicators that a country, society or organisation wants to achieve by a given time (Kusek & Rist, 2004; Mackay, 2007). The process of determining targets against stated indicators is another significant task for a successful WoGM&ES. To be

precise, target setting is the final step in the process of building performance frameworks. Target setting follows a deductive process of breaking down the selected indicators into what is achievable in a specified period towards the attainment of a given outcome (Burdescu et al., 2005; Castro, 2009).

Hence, an M&E system with indicators whose targets are not well selected and defined will not provide credible information for use in decision making. Targets are vital for measuring changes against the agreed-upon indicators throughout the process of implementing an intervention (World Bank, 1997; Mackay, 2007).

Step 6: Monitoring for results

Step 6, monitoring for results, follows the selection of targets and completion of the performance-based framework. In this step, a system that ensures that the data required to inform various processes of decision making are described and collated. Thus, the data from this system are used as evidence for performance tracking and measurement of changes for development interventions. The primary intention of this step is to appreciate requirements for a results-based M&E system. Such a system is understood to be necessary to inform and better manage all governmental and organisational resources (World Bank, 2003c; Kusek & Rist, 2004; Görgens & Kusek, 2009). In addition, at this stage it becomes significant to acquire and critically manage all programme and project inputs, activities, outputs and the intermediate outcomes. Stern et al. (2012) share this view when they emphasise that often development implementers use a variety of organisational tools such as inputs, staffing plans, budgets and activity plans. However, for this kind of management to work, a results-based WoGM&ES would require appropriate alignment with annual plans and other organisational strategies.

The crucial aspects of emphasis under Step 6 include: i) identifying key monitoring types and levels; ii) providing linkages between implementation-monitoring and results-monitoring; iii) incorporating key principles in building an M&E system; iv) identifying the needs of every system for M&E; v) taking into account the data quality triangle; vi) performing data analysis; vii) attaining results using partnership; and viii) conducting pre-tests for data collection instruments (Kusek & Rist, 2004).

Step 7: Evaluative information to support decision making and results culture

In the previous steps, the focus was on ‘monitoring’, and not on ‘evaluation’. The emphasis was on articulating the need to organise a robust M&E system that could provide continuous tracking of performance to help managers administer their duties informatively (Kusek & Rist, 2004; Mackay, 2007; World Bank, 2012a, 2012b). However, since monitoring data do not provide the basis for ascribing causality and attributions for change, evaluation findings become critical to bridge this gap. OECD/DAC (2002) defined evaluation as an assessment of a planned, ongoing or a completed intervention with a view to determining its relevance, effectiveness, efficiency, impact, and sustainability. The incorporation of lessons learned into decision-making processes is the major intention of commissioning and undertaking evaluations for development interventions. Thus, it is now appropriate to examine the evaluation function in M&E systems. The emphasis should be on the complementarity of evaluation to monitoring exercises. Therefore, as complementary and methodologically different undertakings, it is important that governments that should seek to develop their results-based WoGM&ES should attend fully to both monitoring and evaluation. More importantly, these systems need to be built with a known intention, that of obtaining evidence-based evaluation findings and information for use by government officials and partners on informing decisions such as those pertaining to public resource management (Kusek & Rist, 2004; Castro et al., 2009; Harry, 2010).

Step 8: Analysing and reporting findings

“Reporting is too often the step to which evaluators give the least thought” (Worthen et. al., 1997 cited in Kusek & Rist, 2004:129). To that extent, analysis and reporting ensure that performance information, which is derived from monitoring and evaluation, is utilised as a tool for management. The undertaking and commitment to in-depth analysis and reporting performance findings is supposed to be given prominence since they determine a number of success factors, such as the content of reports, periods of reporting, and the targeted audience for disseminating the reports. In addition, the technical capacities of government and organisations are assessed based on the methodological dimensions of gathering, assessing, analysing and reporting (World Bank, 2012a; 2012b).

Aspects of focus under Step 8 include: i) utilisation of monitoring information and evaluation findings; ii) identifying the audiences and providing them with appropriate information; iii) presenting performance data in a non-technical and understandable format; and iv) managing poor performance results appropriately (Kusek & Rist, 2004; Görgens & Kusek, 2009).

Step 9: Using the findings

The fundamental aim of building and sustaining a stronger WoGM&ES is to utilise the results and findings generated from it. Such results-based M&E systems are crucial to performance improvement by development agencies, including governments. Organisations and governments endeavour to create M&E systems not only to produce continuous results-based data and information, but ultimately to have those results and feedback in the domains of appropriate users in a timely manner to inform public management processes (Kusek & Rist, 2004; Görgens & Kusek, 2009; Lahey, 2010).

In summary, therefore, the focus of Step 9 is on: i) the way in which performance findings are used; ii) the added benefits of utilising the findings; and iii) the availability of strategies for information sharing (Kusek & Rist, 2004).

Step 10: Sustaining the monitoring and evaluation system within government

Step 10 is the final stage of the model and has to do with sustaining the WoGM&ES. The emphasis is that instead of being regarded as short-term undertakings, M&E systems should be seen as long-term efforts (Kusek & Rist, 2004). Thus, sustaining such systems in governments and organisations recognises the long-term process involved in ensuring M&E data and information uptake.

Of particular interest under Step 10 are i) six critical components of sustaining WoGM&ESs, which are results oriented (demand clear roles and responsibilities, trustworthy and credible information, accountability, capacity, incentives); ii) the role of incentives and disincentives; iii) challenges in sustaining a results-based M&E system; iv) evaluation and validation of M&E systems and information; and v) positive cultural change experienced or stimulated by M&E in governments and organisations (Kusek & Rist, 2004; Görgens & Kusek, 2009).

4.6 Conclusion

The main aim of Chapter 4 was to provide the conceptual framework of this research study. Accordingly, it articulated the most important aspects by providing an understanding that M&E systems are crucial to keeping up with good governance tenets of transparency and accountability and inclusive and participatory sustainable development towards the attainment of poverty reduction and improved living standards of people. Conceptually, the chapter highlighted elements that governments must address if their WoGM&ESs are to be robust, sustainable and relevant to their development processes and aspirations.

Chapter 4 discussed the need for governments to ensure that the supply and demand sides of their M&E systems were fully developed in a balanced manner. Should an M&E system have a more developed supply side than a demand side, it risks being redundant for non-uptake of its results. Another challenge involves a strengthened demand side, while the supply side is weak. In such instances, stakeholders or users may continue to make decisions informed by information without evidence, thereby implementing failed policies, programmes and projects (Booth & Lucas, 2002; Booth & Lucas, 2005; Bedi et al., 2006; USAID, 2009). In addition, the chapter cautioned that political and technical issues and ownership of M&E systems constitute central determinants of success.

Chapter 4 listed the ten steps that are significant when building a robust WoGM&ES (Kusek & Rist, 2004; Görgens & Kusek, 2009; Naidoo, 2011). Therefore, it is on this conceptual framework that this research study is anchored when undertaking the data collection and analysis and providing recommendations to improve the WoGM&ES for Zambia's public sector.

In Chapter 5, Zambia is discussed as a case study country for this research. The context of the chapter is situating M&E arrangements in the framework of Zambia's National Development Plans (NDPs) and poverty reduction agenda.

CHAPTER 5

Planning, Monitoring and Evaluation Arrangements in Zambia

5.1 Introduction

Chapter 5 represents the arrangements for national planning, monitoring and evaluation in the Zambian public sector. It introduces Zambia as a country and as a case study and gives reasons for choosing Zambia as a suitable case study for this research. Two aspects are considered crucial here—firstly to express the geographical composition of the country showing its ten (10) provinces that yearn for equal socio-economic development from public resources. Secondly, the section situates Zambia within the Southern African Development Community (SADC) region so as to contextualise this research study conducted in Zambia within the African and global geo-political perspective.

Chapter 5 shows the types of plans that the government implements for poverty reduction and sustained socio-economic growth. These plans are explained comprehensively because they form the bedrock on which monitoring and evaluation (M&E) theory and practice are anchored. However, although many development plans are being pursued at various levels in Zambia, this chapter focuses on the National Development Plan (NDP), which is the basis for implementing the whole-of-government (WoG) monitoring and evaluation (M&E) system. In addition, the NDP is the poverty reduction strategy, a policy document that pronounces the nation's development aspirations for a stipulated five-year period.

Further, Chapter 5 articulates the core aspect of this research study, which is M&E arrangements in Zambia. It discusses the evolution of M&E in the country in the context of NDPs. This section gives details of how M&E functions and their implementation are being undertaken. It concludes by highlighting salient issues pertaining to the national planning, monitoring and evaluation arrangements for the Zambian public sector.

5.2 Zambia: An overview

Zambia is a land-locked or in other views land-linked country, centrally situated in the southern Africa region. Eight countries share borders with Zambia. These include Malawi to the east, Tanzania to the north-east, Angola to the west, Zimbabwe, Botswana, Namibia, and Mozambique to the south, and the Democratic Republic of Congo to the north. In terms of location, it is situated between latitudes 8° and 18° south and longitudes 22° and 34° east and has a total surface area of 752,612 square kilometres.

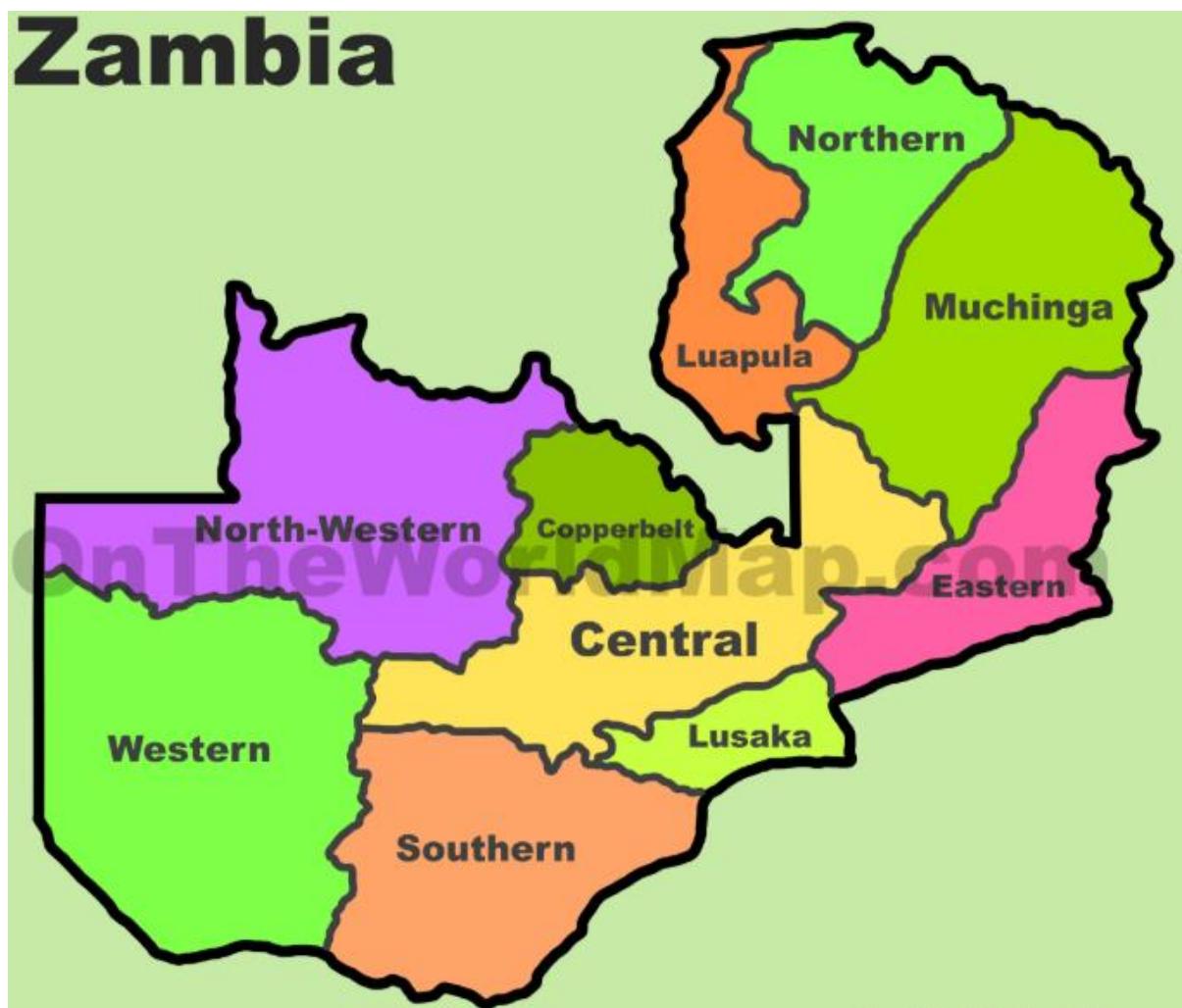


Figure 5.1. Map of Zambia showing provincial boundaries

Source: <http://ontheworldmap.com/zambia/zambia-provinces-map.html>

Zambia is a member of the SADC region and shares common development prospects with neighbouring countries. In that regard, the country enjoys social, economic, political and cultural relationships with these countries and a stronger M&E culture and practice in Zambia would

increase Zambia's development engagements with them. Figure 5.2 below is the locational map depicting Zambia at the centre of the southern African region.

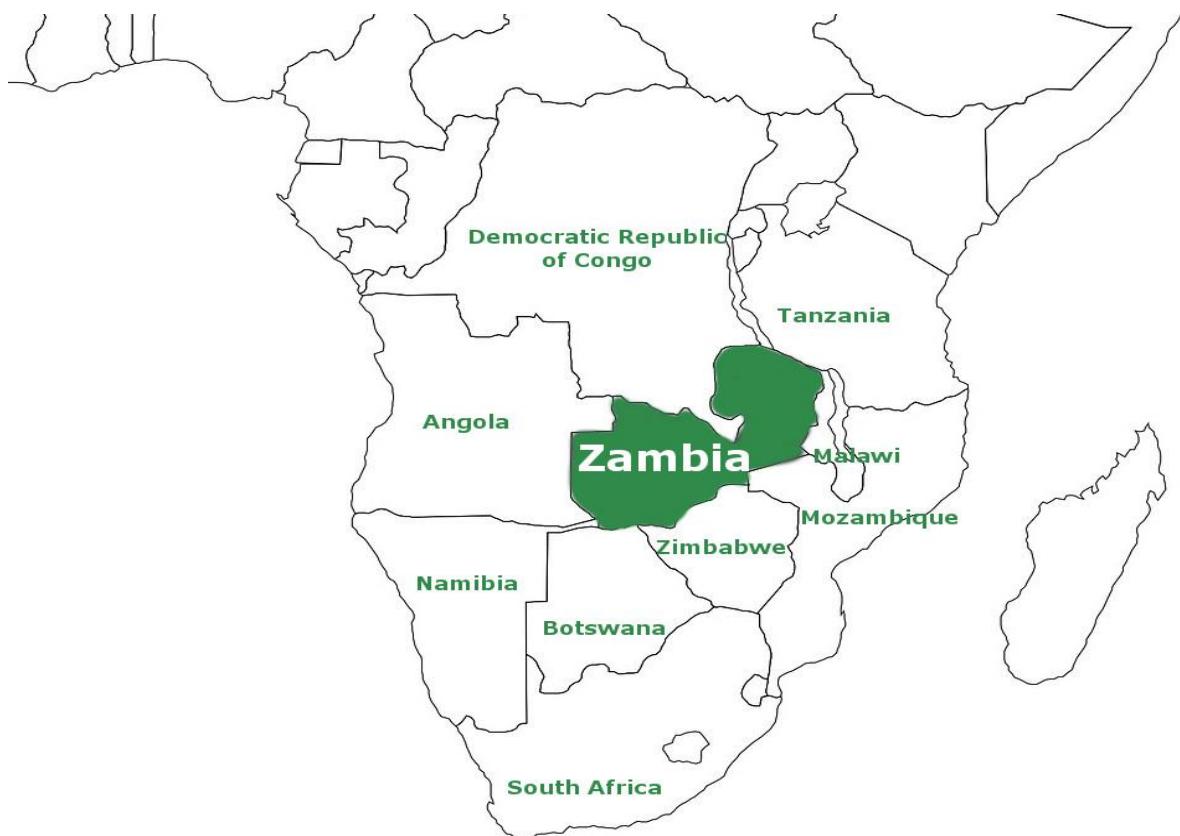


Figure 5.2. Map showing location of Zambia within the SADC region
Source: <https://www.victoriafalls-guide.net/zambia-geography.html>

On 24 October 1964, Zambia gained independence from Britain through its first republican president Dr Kenneth David Kaunda. Upon gaining political independence, the new government embarked on a structured approach to national growth and development through the Interim National Strategic Plan in 1964, which was succeeded by the First National Development Plan (FNDP 1966 – 1970). Other successive NDPs were implemented, but the first NDP yielded positive results and to date is regarded as having presented a successful development story that led to Zambia being classified as a middle-income country in 1969. During that period, the gross domestic product (GDP) per capita for Zambia became one of the highest in Africa, and exceeding those of South Korea, Malaysia, Brazil, and Turkey. This came at a time that Zambia was the third largest world producer of copper (after the Soviet Union and the United States) and largest producer among the developing nations by producing 12.2 per cent of total world copper (Bostock & Harvey, 1972 cited in Haglund, 2010:84). Despite these gains in the early years of Zambia's political emancipation, economic growth

and development prospects continued to dwindle. The living standards of the majority of Zambians leave much to be desired and this is happening in the advent of democratic tenets and more budgetary allocation to public projects and programmes. As at the close of 2017, national socio-economic statistics for Zambia looked gloomy (see Human Development Index (HDI), Gross Domestic Product (GDP), Corruption Index, per capita income, national poverty, rural/urban poverty, etc). Since independence, Zambia has implemented seven NDPs, including the current Seventh National Development Plan (7NDP 2017 – 2021). This period, covering the NDPs implemented from 1964 to the current 7NDP (2017-2021) forms the basis for this study's analysis about the arrangements and functionality of Zambia's public sector WoGM&ES.

5.3 National development planning in Zambia

In Zambia, national development planning represents the basis for public programming, resource mobilisation, distribution and allocation, implementation of development interventions and monitoring and evaluation (M&E) (GRZ, 2014b). It thus becomes important to understand or discuss M&E in the correct context of national development planning.⁷ Therefore, the NDPs become a valuable feature in appreciating the functions and notions of M&E in the country's development process and architecture.

National development planning covers all aspects of social and economic planning in Zambia. Thus, several planning streams occur at different levels within the broader spectrum of government, be it at national, sector or line ministry, provincial, district and sub-district level. This holistic scope of development planning forms the basis on which an understanding of the dynamics of M&E operations in Zambia rests. The national planning logic in Zambia flows as shown in Figure 5.3.

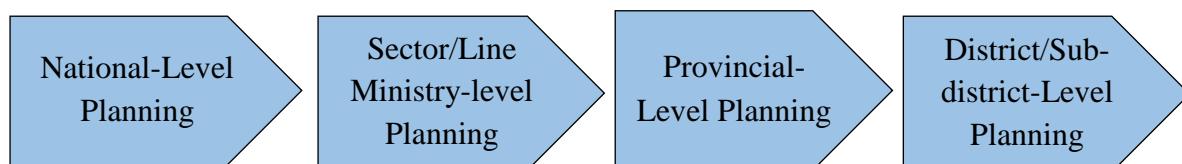


Figure 5.3. National planning levels in Zambia
Adapted from the National Planning and Budgeting Policy, GRZ, 2012

⁷ National development planning on the part of government has been in existence for a long time – in both pre and post-independence epochs. The colonial and post-colonial governments have always prepared and implemented definite forms of planning to advance the country's development agenda. There may be some differences in the actual planning architecture, but the fundamentals of national development planning have not changed. Zambia obtained its independence from Great Britain on 24 October 1964.

The National Planning and Budgeting Policy of 2014 articulate the national development planning arrangements for Zambia. The policy outlines the types of plans that are crucial to the overall poverty reduction agenda of Zambia (GRZ, 2014b, 2015). Therefore, since M&E is a function that is anchored on the national planning architecture, the plans that the Zambian government implements become paramount and are discussed in the sections that follow.

5.4 Types of development plans

National development planning in Zambia comprises of:

- long-term,
- medium-term, and
- short-term plans.

a) Long term

Long-term plans consist of the development of the National Long Term Vision (NLTV) and the integrated district plans (IDPs).

b) Medium term

In the medium term, five-year National Development Plans (NDPs) are developed, which operationalise the attainment of long-term plans.

c) Short term

For the short term, annual budgets and work plans are prepared and implemented to attain the medium- and long-term plans.

Table 5.1 below shows a comprehensive scope of various types of plans in the Zambian national development planning architecture or arrangement.

Table 5.1. Level and type of plan, timelines and purpose – 1964 to 2021

Level	Plan	Timeline	Purpose
National /Sector	National Long Term Vision (NLTV)	25 year plan	<ul style="list-style-type: none"> ✓ Defines the long-term national policy pronouncements ✓ Outlines the long-term national aspirations and goals of the citizenry ✓ Defines long-term national development scenarios ✓ Guides long-term and medium-term sectoral and provincial planning processes ✓ Guides the integrated district plan formulation processes
	National Development Plan (NDP)	5 year plan	<ul style="list-style-type: none"> ✓ Operationalises the long-term vision ✓ Provides medium-term policy framework ✓ Guides sectoral planning processes ✓ Guides provincial and district planning processes ✓ Guides national annual planning and budgeting ✓ Ensures that major capital projects and recurrent programmes undergo appraisals before inclusion in the plan and budgets
	Sector Strategic Plans	5 year plans	<ul style="list-style-type: none"> ✓ Operationalises the national vision ✓ Operationalises the national development plan ✓ Outlines medium-term sectoral development programmes ✓ Actualises sector-specific medium targets
	Sector Investment Plans	10 to 20 year plans	<ul style="list-style-type: none"> ✓ Operationalises the national vision ✓ Outlines long-term sectoral investment programmes ✓ Actualises sector specific long-term targets
Provincial	Provincial Growth Development Plan or Provincial Development Plan	5 year plan	<ul style="list-style-type: none"> ✓ Identifies provincial potentials/comparative advantage ✓ Enhances multi-district initiatives ✓ Aggregates/identifies programmes
District	Integrated District Plan (IDP)	10 year plan	<ul style="list-style-type: none"> ✓ Operationalises the national vision ✓ Operationalises sector investment plans ✓ Guides district development planning and budgeting processes
	District Development Plan (DDP)	5 year plan	<ul style="list-style-type: none"> ✓ Operationalises the national vision ✓ Operationalises the integrated district plans (IDPs) ✓ Operationalises the NDP ✓ Actualises sector investment plans

Source: National Planning and Budgeting Policy (GRZ, 2014, p. 18) & 7NDP, 2017

5.4.1 National-level planning

Plans at national level include the NLTV, NDPs and sector investment plans (SIPs). The NLTV is the highest development aspiration of the Zambian people on the long-term horizon, while the NDPs are the next highest targeted strategies for the medium-term category. Both are meant to provide a unified development strategic position. Essentially, the NLTV is operationalised by the NDPs, through which the SIPs are operationalised, under an appropriate coordination mechanism to ensure consistency and coherence.

a) National Long-Term Vision

NLTV is a written long-term plan, with a 25-year horizon, which expresses Zambia's development aspirations. It articulates possible long-term scenarios, which would contribute to the attainment of socio-economic objectives and goals. It also provides the basis on which medium-term plans are prepared.

The process for the preparation of the NLTV commences four years before the expiry of the existing vision. In the first two years, an evaluation of the existing vision is undertaken to inform the formulation of the subsequent vision. In the third year, the evaluation report is shared with all stakeholders to solicit proposals for a new vision. This process is followed by the preparation of the successor vision, which is submitted to cabinet for approval and launch in the final year (GRZ, 2014b).

b) National development plans and sector strategic plans

The NDP is a five-year development framework, which is used to operationalise the long-term plans, in this case the NLTV and the IDPs. The preparation of the NDPs is undertaken in a two-pronged process involving top-down and bottom-up approaches.

The top-down process commences two years before the expiry of the existing plan, with a mid-term evaluation of the current plan, complemented by the final evaluation of the preceding plan, annual NDP progress reports, government policy pronouncements and sector performance reports. These review processes provide evidence on which the development priorities and policy direction are established. Government then provides policy and development guidance towards the development of the plans and budgets at all levels in the fourth quarter of the election year.⁸

In the first quarter after an election year, a concept paper on the NDP is tabled before cabinet for approval. After approval, the bottom-up process is finalised with the drafting of district plans, which are consolidated into provincial development plans, which form part of the NDP. This is preceded by the finalisation of the review of the performance of district, provincial and

⁸ In the National Planning and Budgeting Policy of 2014, the five-year cycle for the NDPs has been harmonised or aligned with the five-year political cycle. This was done to address the specific political manifesto of a ruling government – new or continuing.

sector plans and preparation of the situational analysis in the first and second quarters of the election year, respectively (GRZ, 2014b).

When approved by cabinet in the second quarter as a draft NDP in the form of a green paper, it becomes a policy and strategy document, with costed sector action plans that incorporate the plans of districts and provinces for functions that are devolved to them and drafted in the context of the resource ceilings, policy frameworks and service standards provided by central government. The programmes to be used in subsequent medium-term expenditure frameworks (MTEFs) and annual budgets are fully aligned with the programme classification in the NDP (GRZ, 2014b).

The plan is then finalised and launched by the president. The final plan is submitted to the National Assembly as part of the documentation used to support the first budget fully prepared by the new administration and for use in the subsequent budget considerations throughout the plan period. Once the NDP has been launched, draft provincial and district development plans are finalised in line with the approved NDP and, each line ministry, province and district then prepares a five-year institutional strategic plan, showing how it will contribute to the achievement of the development targets as set out in the NDP. These plans then form the basis of the MTEF and annual budget estimates of each line ministry, province and district (GRZ, 2014b).

c) Sector investment plans

Sector investment plans (SIPs) last from 10 to 20 years, and address issues in the sector at all levels. They are used as an inference point for prioritising policies and programmes for the sector and lower-level structures, which include provinces, districts and sub-districts. SIPs help to operationalise the NLTV and NDPs.

5.4.2 Provincial-level planning

With policy guidance from the Vision and the NDP, the province is able to develop the five-year provincial growth development plans (PGDP) to cover multi-district development programmes in their mandates. PGDPs also consider the comparative advantage of the province and the districts and its development needs. The province coordinates provincial development (GRZ, 2014b, 2014c, 2015, 2017a).

5.4.3 District-level planning

Development at district level is guided by 10-year integrated development plans (IDPs), which draw from the policy guidance of the Vision and the NDP and SIP programme outlay (GRZ, 2014b). IDPs are comprehensive development plans for the districts and provide a broad view of district physical development structure on which the socio-economic plans are anchored. IDPs, NDPs and PGDPs provide programme and policy guidance to the development of the five-year district development plans (DDPs). In that regard, IDPs take care of all sub-district level development planning issues.

5.5 Implementation and coordination frameworks for National Development Plans

To attain the NDP development outcomes, an implementation framework and a coordination framework must be in place. This entails that institutional arrangements have to be clarified, together with assumptions upon which the success of the NDP rests. Ultimately, these frameworks provide clear linkages of the Vision, priorities, people's aspirations and the physical institutions. They therefore provide a system for accounting for development results, thereby helping in informed decision making (GRZ, 2017b).

5.5.1 Implementation framework

The NDPs are implemented largely through prescribed institutional arrangements. The Ministry of National Development Planning (MNDP) represents the apex institution responsible for NDP formulation and coordination. At local level, ward development committees (WDCs) have been established, while the district development coordinating committees (DDCCs) and provincial development coordinating committees (PDCCs) are responsible for overseeing implementation of development interventions at district and provincial level, respectively. At sector level, cluster advisory groups (CAGs), which are an assembly of sectors that share common objectives, oversee implementation. At central level, cabinet, through the National Development Coordinating Committee (NDCC), plays the implementation oversight role (GRZ, 2017a, 2017b).

5.5.2 Implementation plans

The NDPs stipulate that all sector ministries, provinces and districts should develop their own implementation plans. This process is expected to be informed by the main outcomes as articulated in the NDPs. This means that every sectoral strategic implementation plan is expected to draw from the programme outcomes in the NDP and as prescribed in the national constitution. The same process of drilling down the development deliverables and results is supposed to be followed by all the provinces and districts (GRZ, 2013, 2016, 2017a). Thus, provincial implementation plans and district implementation plans are drawn up and guided by the implementation plan of a given NDP and the national constitution.

5.5.3 Coordination framework

GRZ (2017b) ascertains that the coordination mechanism for NDPs is harmonised with the NLTv and government's strategic focus and development outcomes, and is cascaded down to physical institutions. In so doing, it will guide organisations in a manner that will deliver results. The coordination of the implementation of NDPs is undertaken at broadly five levels, as shown in Figure 5.3 below. A discussion of each level follows thereafter. These levels of coordination include the following:

- National level coordination and implementation arrangements
- Sectoral level coordination and implementation
- Provincial-level coordination and implementation
- District-level coordination and implementation
- Ward development committees

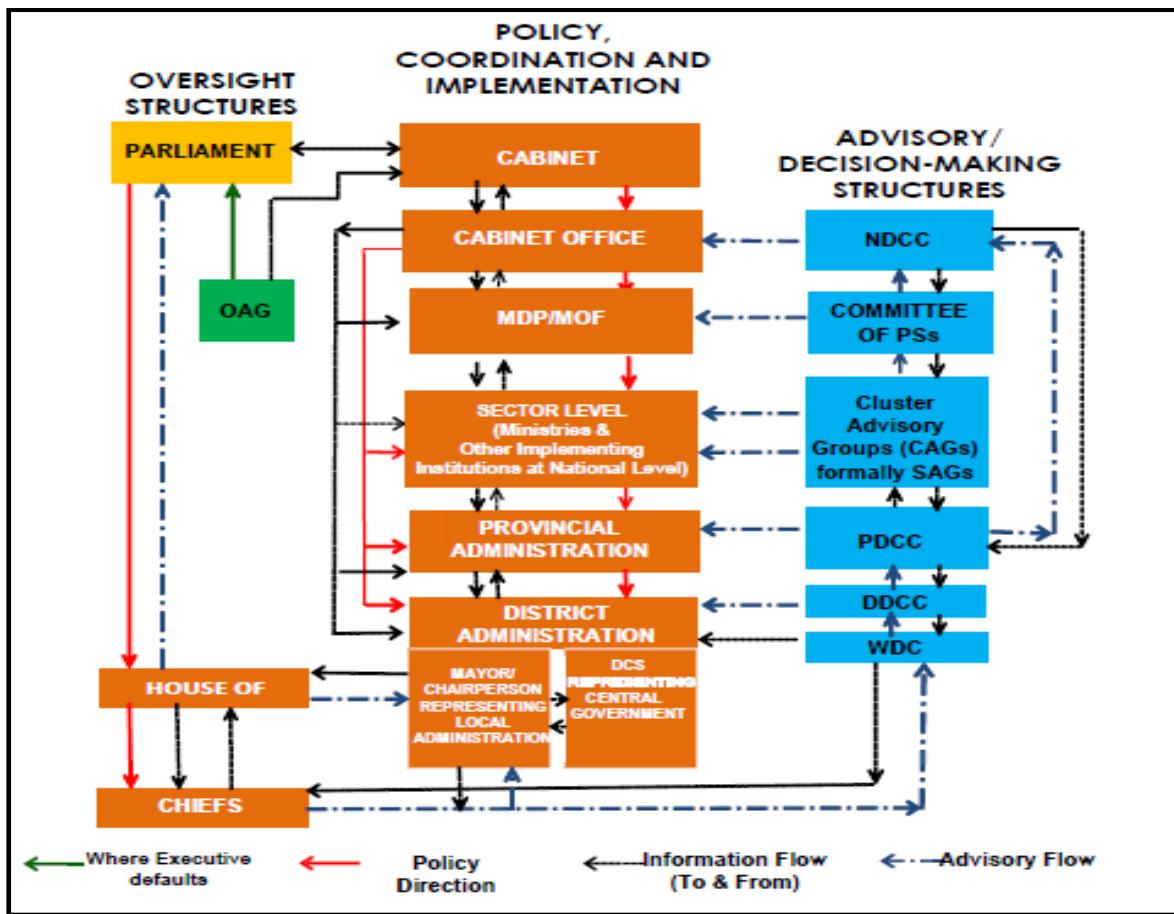


Figure 5.4. Institutional arrangements for coordination of NDP implementation

Source: GRZ, Seventh National Development Plan, 2017, p. 127

a) National level coordination and implementation arrangements

The current coordination arrangements for implementation of NDPs reside within the Ministry of National Development Planning (MNDP), which has authority over other line ministries to oversee the coordination function. MNDP thus has a mandate to coordinate the development contributions of government institutions and other development partner agencies involved in implementing NDPs. Through this kind of structural arrangement, it becomes feasible to ensure that all development benchmarks articulated in the NDPs are put in context and embedded in the plans of sectors, provinces, districts and sub-districts. To enhance synergies and galvanise the participation of all stakeholders in the development process, regardless of whether they are state or non-state institutions, it is critical to have established national-level coordination in place. That way, the coordination of planning, implementation, monitoring and evaluation of NDPs at all levels of development interventions would be made practical and participatory (GRZ, 2016, 2017a, 2017b).

The NDCC is a high-level establishment that is designed to meet bi-annually to consider issues emerging from the implementation of the NDPs. Chaired by the secretary to the cabinet (SC), the NDCC has a mandate to make policy recommendations to cabinet and oversee monitoring and evaluation of programmes in the NDPs (GRZ, 2016, 2017b).

b) Sectoral level coordination and implementation

The rationale for sectoral level coordination and implementation is to ascertain that all sectors that implement programmes and interventions under a development objective and outcome area of an NDP are grouped as one. Following this shared development agenda, the strengthening of intra and inter-sectoral integration to attain a common development strategic area of the NDP becomes realistic. To that extent, sectors are encouraged to approach all development issues collectively, and invest in means of collaborating and strengthening functional synergies among themselves. Such coordination and collaborative efforts can be focused on such undertakings as joint planning, harmonising financing plans and interfacing on various programme implementation, monitoring and evaluation exercises (GRZ, 2016, 2017b).

Therefore, Cluster Advisory Groups (CAGs) have been formed at sector level. According to GRZ (2017b), a CAG is a consultative forum, comprising representatives from key stakeholders active in a particular sector/cluster (state and non-state actors). Having been involved in the NDP processes from the formulation stages, CAGs would have a major role to play in the implementation and monitoring stages. By rule, all CAGs are supposed to be consisting of M&E sub-committees to give sector monitoring and evaluation strategic guidance and provide a coordinated M&E perspective. These sub-committees are expected to stimulate utilisation of M&E information across stakeholders, particularly in key decision-making processes.

Further, it is significant that sectors are working to interface with structures at lower level on related programmes to their given mandates through the provision of policy guidance and oversight. As a result, feedback from such discussions on development issues will be addressed and reported, and work as a basis for further refinement and improvement by platforms such as CAG meetings and sector planning departments and units (GRZ, 2016, 2017b).

Within a line ministry or sector, M&E activities are coordinated and spearheaded by M&E personnel, who are also responsible for management information systems (MIS) (GRZ, 2009, 2017a, 2017b). Thus, every line ministry has a ‘department, unit or section of planning’, whose main responsibility is sector-specific planning, implementation, monitoring and evaluation⁹. These departments and sections are designed to work with the national M&E under the MNDP and to collaborate with other stakeholders in a line ministry.

c) Provincial-level coordination and implementation

The roles that provinces play are not restricted to what goes on at their level, but they oversee the implementation of district plans in their regions and perform this function by ensuring that districts are guided to work progressively towards meeting the national and district-specific development targets, as set out in the NDPs. These provincial and district level linkages and cascading of development actions ensure that all average targets and outcomes achieved at those levels are implemented to meet set benchmarks, as stipulated in the NDP (GRZ, 2014a; 2014c, 2014d).

At province level, there are advisory bodies called provincial development coordinating committees (PDCC). PDCCs are meant to ensure that monitoring and evaluation findings feed into the provincial planning and budgeting processes (GRZ, 2010). Thus, each PDCC is serviced by a monitoring and evaluation (M&E) sub-committee to give strategic guidance and provide a coordinated M&E perspective. Further, aside from their oversight function, the provincial administrations have the role of implementing programmes and projects derived in accordance with their functions as designated in the national constitution and Decentralisation Policy¹⁰ in an integrated manner. The provincial planning units (PPUs), whose presence is in all 10 provinces, provide technical backstopping and progress reporting as secretariats to the PDCCs. All provinces have PPUs that are charged with the responsibility of carrying out M&E functions in addition to their core planning function. Operating in conjunction with the PDCC, the PPUs operate as information bridges between national and district and the sub-district levels (GRZ (2013, 2017a, 2017b)). In addition, provinces are encouraged to have forums at which issues of common development undertakings are discussed and implemented jointly.

⁹ This is however only the ideal situation. Practically, M&E functions or activities have no substantive staff dedicated to conducting them.

¹⁰ The Decentralisation Policy, revised in 2013, prioritises fiscal devolution. Negligible progress recorded so far.

d) District-level coordination and implementation

Unlike provincial level administration, districts implement development interventions devolved to them under the tenets of decentralised planning, monitoring and evaluation, following the guidelines under the municipal and district councils in the country. Through district-specific plans, it is envisaged that development challenges are being appropriately addressed. To that extent, districts are expected to design their own plans, together with unified M&E systems, to promote integration of development priorities at local level, while linked or anchored to provincial and national strategic key result areas (GRZ, 2016, 2017a). To that extent, every district has an established advisory body called a district development coordinating committee (DDCC). A DDCC is a lower-level decentralised structure and plays a key role in ensuring that monitoring and evaluation information and findings feed into the district planning and budgeting processes. By establishment, each DDCC is supposed to be serviced by an M&E sub-committee which provides a coordinated M&E perspective (GRZ, 2010). Further, IDPs of the municipalities and district councils represent the basis for designing district-specific planning, monitoring and evaluation of programmes, while mainstreaming and domesticating national, regional and other international development obligations. This entails that district strategies and operational systems are drawn from and linked to national and international targets and results on developmental issues. This should be achieved through provincial administration structures and coordination arrangements (GRZ, 2005a, 2017b).

Therefore, the District Planning Units (DPUs), working as secretariats to the DDCCs, play a crucial role in ensuring that technical backstopping and the coordination of programmes are adequately provided. Feedback from other high-level structures to the districts is obtained through designated channels at provincial and national level (e.g. PDCCs and NDCC) (GRZ, 2017a; 2017b).

e) Ward development committees

Ward development committees (WDCs) at sub-district level are established advisory bodies created under the Decentralisation Policy and have the mandate to plan, monitor and evaluate projects that are planned at that level, together with interventions at provincial or national level that are being implemented in their localities. Through these lower structures, the citizens at community level are expected to channel their input into the national development agenda for

the country and add their voice to the implementation of NDPs and ultimately the attainment of Vision 2030 (see Figure 5.3 above which shows the overall institutional arrangements for coordination).

5.6 Roles and responsibilities of key institutions in managing national plans

The results-based management (RBM) approach, whose emphasis is to promote the provision of development results by ensuring timeliness in delivery of those results, has been the adopted principle or strategy that informs the implementation of NDPs in Zambia (that is, especially the 7NDP). However, it is a requirement that all institutions conform to the provisions and guidelines as stipulated in legal and policy frameworks such as the 2014 National Planning and Budgeting Policy, 2008 Finance Act, and the Zambian constitution (GRZ, 2017b).

a) Parliament

In NDP implementation, monitoring and evaluation, the role of parliament is recognised in planning and budgeting processes as being overseer of public financial management (PFM). To that extent, parliament is expected to play a central role in annual budget approvals and through access to annual progress and evaluation reports. It is expected to also closely monitor the implementation of NDPs. As representatives of the electorate, parliamentarians are expected to be NDP overseers. Overall, parliament plays an oversight role by ensuring that government, through the executive arm, pursues all development aspirations and results based on the principles of good governance (GRZ, 2010, 2017a, 2017b).

b) Cabinet

The development functions of leadership and policy direction are enshrined in the constitutional mandates of the cabinet (GRZ, 2017b). In performing this function, cabinet is supposed to establish a developmentally supportive system that is responsive to the political and socio-economic environment, leading to a smooth and timely implementation of NDPs. In that regard, cabinet is tasked with the important role of spurring national growth and development through inculcating a culture of results orientation in the population and in all actors in the development space in the country, at the same time, leading the process of

transforming all national institutions towards the provision of good governance and wellbeing for all.

c) Cabinet Office

The function of the Cabinet Office (CO) is to provide guidance in the implementation of various policies (GRZ, 2017b). Most importantly, CO has the mandate to endorse the establishment of functional e-government platforms to support the government-wide M&E management information system (MIS). Coupled with this, CO is responsible for endorsing the establishment of M&E departments and units with adequate staff and financial as well as physical resources in all Ministries, Provinces and Spending Agencies (MPSAs).

d) Ministry of National Development Planning

The Ministry of National Development Planning (MNDP) through the Department of Monitoring and Evaluation (M&E) has a mandate to coordinate the implementation, monitoring and evaluation processes of the NDPs and to ensure that remedial measures are effected on programmes that are not on course at national level. The ministry is responsible for the coordination of the work of all advisory bodies by ensuring that they contribute to the achievement of development outcomes in the NDPs. In doing so, the ministry, in collaboration with Cabinet Office, oversees implementation, monitoring and evaluation processes and ensures that the uptake of development results provides remedial measures (GRZ, 2017b).

e) Ministry of Finance

The Ministry of Finance (MOF) is in charge of budget execution and facilitating resource mobilisation for financing to support interventions in the NDPs. These functions are undertaken in collaboration with the MNDP. In that regard, the MOF remains key to the success of the WoGM&ES since it holds and controls the budget function (GRZ, 2017b).

f) House of Chiefs

One of the constitutional mandates of the House of Chiefs is to work in collaboration with the National Assembly through initiating, discussing and making recommendations about socio-economic development in the province. The House of Chiefs does similar collaborative works

with the local authority, focused on the welfare of communities in a municipality or council. In both cases, the role of the House of Chiefs is to ensure that parliament and local authorities incorporate development issues from the communities in line with the objectives of NDPs in the broader context of decentralisation (GRZ, 2017b).

g) Committee of Permanent Secretaries

The Committee of Permanent Secretaries (CPS) comprises institutions that implement programmes and projects in the NDPs. The secretary to the cabinet chairs committee meetings, whose main agenda is to consider issues that emanate from the implementation of projects using information and findings from M&E processes (GRZ, 2013, 2017a, 2017b).

h) National Development Coordinating Committee

The National Development Coordinating Committee (NDCC) is the apex body for promoting a coordinated approach to development programmes. It is responsible for providing overall policy direction to the CAGs, PDCCs and DDCCs on the implementation of development activities and an established framework for managing and reporting on programmes at sectoral, provincial and district level (GRZ, 2017b).

The NDCC's function is to provide policy direction on recommendations and other matters raised by the CAGs, PDCCs and DDCCs and their implementation. It also promotes synergies, efficiency and effectiveness in planning, budgeting and the entire development process among sectors, ministries, departments, and local authorities. Further, the NDCC ensures participation of cooperating partners, civil society organisations and other non-state actors. It defines responsibilities of the consultative bodies in line with the planning, budgeting and implementation of developmental programmes to avoid duplication of efforts. In addition, the NDCC recommends policy decisions for cabinet approval (GRZ, 2017b).

i) Office of the Auditor General

The Office of the Auditor General (OAG) has the ultimate responsibility of undertaking financial audits and value for money evaluations to provide an independent perspective on the utilisation of resources allocated to achieve the goals set in NDPs (GRZ, 2010). Although the

OAG focuses on financial audits and evaluations, the findings are crucial for the overall national M&E of the government.

5.7 Monitoring and evaluation in Zambia

Monitoring and evaluation (M&E) of public policies, programmes and projects has been recognised as a critical element in Zambia's development efforts for some time. Among other key undertakings, this is demonstrated through the establishment of an M&E advisory function in the presidency, and functions for policy monitoring and evaluation in Cabinet Office and the recently creation of the Ministry of National Development Planning (MNDP), with a division mandated to oversee and promote the M&E function at national level (GRZ, 2010, 2016, 2017b). Such political support from government is important for success if benefits from M&E are to be experienced. M&E thrives on sound political support. It is seldom to be a spontaneous uptake by organisations or agencies simply because it possesses rational and persuasive appeals (Naidoo, 2011:13).

Suffice to say, in 2016, the separation of the national planning function and the budgeting or finance function through the creation of the MNDP was an effort to strengthen M&E functionality (GRZ, 2016, 2017a, 2017b). Moreover, since 2006 each NDP has contained a monitoring framework to guide the ways in which sector ministries, provinces and other government spending agencies undertake M&E for the NDP. Thus, M&E is recognised as being useful in facilitating the timely provision of accurate information on programme performance to policy and decision makers and to other stakeholders. M&E is important in enhancing development accountability and service delivery, in addition to the financial accountability reforms that the government has been implementing since 2005.

Reforms in M&E have therefore been incorporated as a component under the Public Financial Management Reform Strategy (PFMRS) on which GRZ embarked in 2013. The M&E component includes the enhancement or establishment of M&E functions in all ministries, provinces and other spending agencies (MPSAs) and the establishment of integrated MISs (GRZ, 2015, 2016). Such high-level political pronouncements and policy actions are significant internationally, and help to strengthen M&E practice in a country (Kusek & Rist, 2004; Taylor & Balloch, 2005; Mackay, 2007). One role of the MNDP is to collect M&E information from the planning departments of the sector ministries and other spending agencies

(MPSAs) each month to produce quarterly monitoring reports on NDP achievements. Furthermore, the ministry produces annual progress reports (APRs) and mid-term review reports, which compared and evaluated achievements against the targets of NDPs.

In terms of architecture, the WoGM&ES consists of four main components, namely demand¹¹ for performance monitoring and evaluation information, supply of competent monitoring and evaluation services, the practice of utilising M&E results and an institutional framework for securing confidence in monitoring and evaluation. Therefore, in an attempt to clearly appreciate how M&E is arranged in Zambia, it is important to look at trends in the evolution of the M&E practice in the country over the years of implementing NDPs.

5.7.1 Evolution of monitoring and evaluation in Zambia

In 2005, the Government of the Republic of Zambia, under the regime of the late president Levy Patrick Mwanawasa, developed the Fifth National Development Plan (FNDP), which was implemented between 2006 and 2010. For the first time in the history of national development planning in Zambia, the FNDP contained a full chapter on M&E arrangements. However, before the FNDP, the country implemented two poverty reduction strategy papers (PRSPs) between 2000 and 2004, after which there was an Interim Development Plan in 2005. Currently, Zambia is implementing its Seventh National Development Plan (7NDP) 2017–2021 and in line with the NDPs from 2006, it has a full chapter on M&E arrangements. (The first four NDPs did not have chapters articulating M&E arrangements.)

The institutionalisation of the concepts and practice of M&E in the Zambian public sector is a recent phenomenon compared with other countries in the southern region and in other regions on the African continent. But despite the practice of M&E not being old, expectations of M&E arrangements to provide information to support processes of planning and budgeting for instance are high (GRZ, 2014c, 2016, 2017a, 2017b). However, because of the youthful nature of Zambia's M&E arrangements and practices, practical challenges have been perpetuated with regard to obtaining the much-needed information from the arrangements (GRZ, 2012, 2014c, 2017a).

¹¹ M&E systems consist of two sides, the supply side and the demand side. On one hand, the supply side is concerned with the production and provision of data and information. On the other hand, the demand side is about the use of M&E information to inform various processes and stakeholders.

Further, to develop a functional government-wide M&E system, government recently developed and articulated the National Performance Framework (NPF). The framework provides a national strategic direction towards the realisation of the goals of NDPs and ultimately the attainment of Vision 2030.¹² The NPF also identified key result areas (KRAs) with key performance indicators (KPIs), which should enable MPSAs and other stakeholders to align their development plans and budgeting with the NDP and the Vision 2030. The NPF has been planned to be supplemented with sector performance frameworks (SPFs) to link the outputs of sector ministry plans and programmes with the NDPs and ultimately the NLTV (GRZ, 2014a, 2014c, 2015) (see also section 1.6, sub-section 1.6.3).

The development of the NPF goes in tandem with the ToC (see section 3.2). Therefore, in line with ToC thinking, the government was able to develop the NPF. Using the ToC perspective, it was easier to define the long-term horizon enshrined in Vision 2030. This enabled the identification and determination of the outcomes in the NPF. Therefore, Zambia's WoGM&ES continues to gain from the utilisation of the ToC and the RBM approach. Countries such as Canada, Australia, Colombia, Chile and South Africa have used the ToC to enhance their systems for M&E and ultimately improved their governance performances (Booth & Lucas, 2002; Kusek & Rist, 2004; see also OECD/DAC, 2007b, 2011a).

5.7.2 Current monitoring and evaluation arrangements in Zambia

The monitoring and evaluation framework for NDPs is premised on the theoretical constructs of theory of change (ToC), results based management (RBM), logical framework approach (LFA) and managing for development results (MfDRs) (GRZ, 2017b) (see also Chapter 3). Although the earlier plans (that is, NDPs) were not strongly developed with ToC, there was sufficient knowledge of the theory, as could be seen from the indicator system (especially of the current 7NDP). These plans had KPIs for every sector, which were adopted to measure performance. Improvements in the performance measurement framework continued to be enhanced from one plan to another. Consequently, there was a significant shift in the preparation process of the Seventh National Development Plan (7NDP 2017-2021).

¹² Vision 2030 as defined under the types of planning in Zambia is a 25-year plan that contains the aspirations of Zambians. The vision statement is ‘to become a prosperous middle income country by 2030’.

Thus, using the ToC, RBM, LFA and broadly the MfDRs, 7NDP was developed and stipulated cause-effect relationships in terms of development interventions (development outcomes/pillars, result areas, strategies, programmes & projects). The performance measurement framework (M&E framework) therefore has stated indicators at three levels, namely outputs, outcomes and KPIs, across all the five development outcomes of the plan: i) economic diversification and job creation; ii) poverty and vulnerability reduction; iii) reducing development inequalities; iv) enhancing human development; and v) creating a governance environment that is conducive to a diversified economy) (GRZ, 2017b:5). Figure 5.4 below depicts the M&E framework for Zambia's 7NDP.

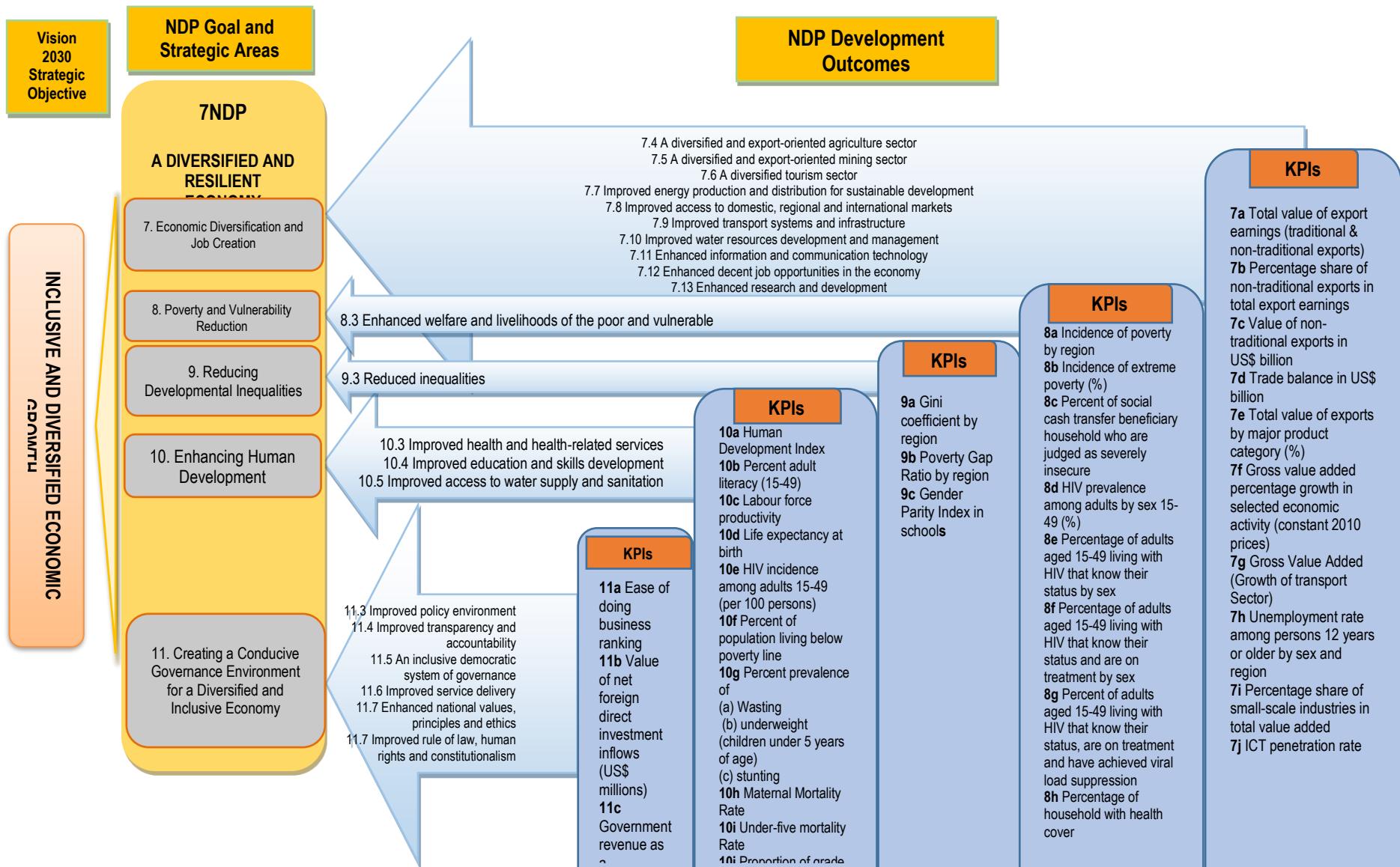


Figure 5.5. Seventh National Development Plan measurement framework
Source: GRZ, Seventh National Development Plan, 2017, p.132

Thus, the emphasis is on clarifying results throughout the planning, implementation, monitoring, evaluation and reporting stages; defining expected results first and activities later; ensuring that all stakeholders are contributing towards the results; and prioritising performance monitoring. As such, the NDPs generate their outcomes also as stipulated in the NPF, which articulates a series of results required to achieve Vision 2030. In addition, SPF_s, aligned with the NPF, are currently being developed to guide strategies for implementation of programmes at sector level. The SPF_s are derivatives of the NPF. The SPF represents a measurement tool to track progress at sector level towards the attainment of medium-term contributions and aspirations against the long-term development desires, contained in the national vision. To operationalise the NPF and the SPF_s, there is a government-wide M&E system (that is, WoGM&ES). This is a whole-of-government system that transcends all government institutions and informs decision making at all levels of governance (see Figure 5.5 and Figure 5.6 below).

a) National Performance Framework

The ToC and RBM were used to guide the articulation of the NPF for Zambia (see GRZ, 2016). The government is working to enhance the establishment of a results-oriented WoGM&ES to improve tracking of what is being done, and whether various efforts – including reforms, policies, programmes, projects, and capacity development – are making the improvements and changes in the lives of those they are intended to benefit. In that regard, the NPF has been developed to effectively coordinate a government-wide system of tracking progress toward the achievement of development goals (GRZ, 2016). Figure 5.5 below illustrates the way in which the NPF breaks down Vision 2030 into meaningful and implementable objectives and goal results at various levels.

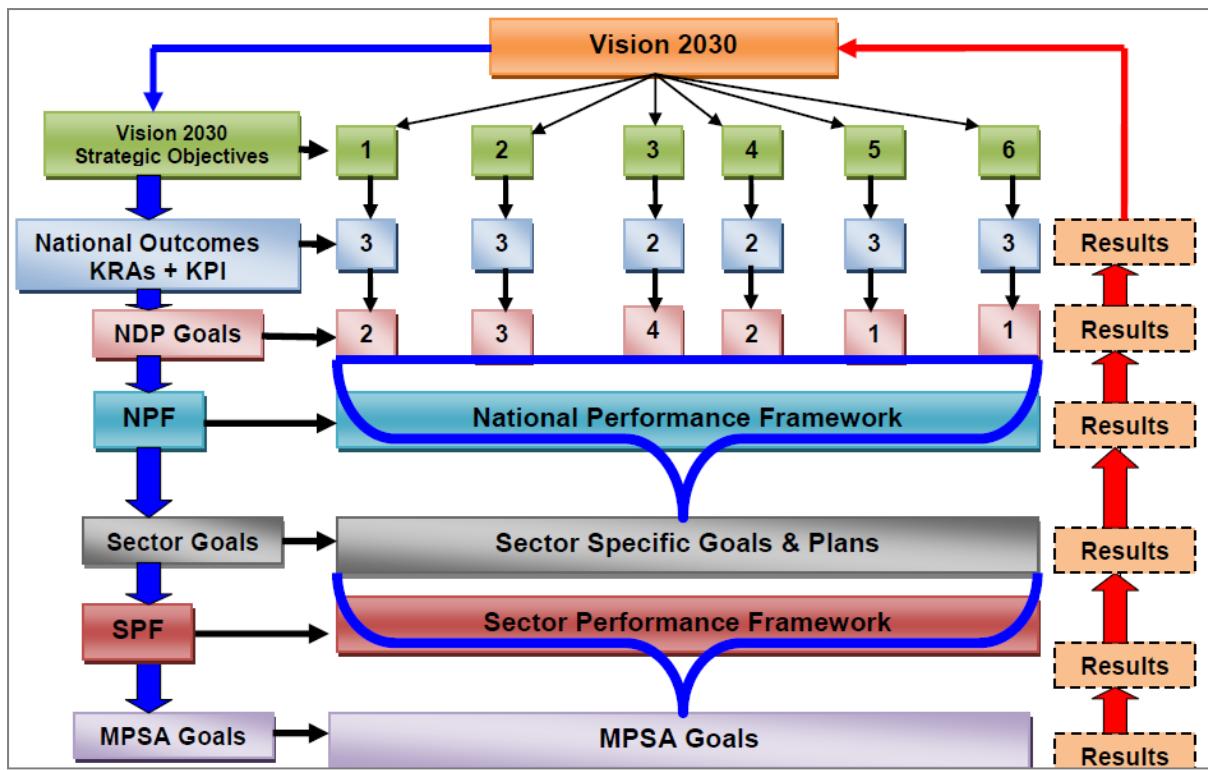


Figure 5.2. Cascading Vision 2030 into implementable objectives and results

Source: GRZ, National Performance Framework, 2016, p. 10

According to GRZ (2016), the specific objectives of the NPF include these aspects:

1. To articulate the strategic objectives to realise the Vision 2030's long-term goals and aspirations
2. To state the long-term objectives and appropriate key performance indicators to be used in tracking progress
3. To outline the medium-term measurements or sub-outcomes to be tracked through National Development Plans with clear linkages to Vision 2030 objectives and outcomes
4. To provide a framework within which the medium-term development plans would link to the long-term development goals for the country

The aim of the NPF is to coordinate policies, programmes, and projects to achieve the medium-term efforts necessary to attain Vision aspirations. It has been designed to translate Vision 2030 into Strategic Objectives (SOs) and KRAs or simply long-term outcomes (LTOs), which are to be achieved through a stated set of medium-term outcomes (MTOs). The NPF was elaborated only in 2016, meaning that the earlier NDPs were implemented without the clarified outcomes for the Vision. Therefore, in the absence of an NPF, each NDP was formulated in ways that were not logically linked to the Vision. The absence of an explicit performance framework at national and sector level also posed a challenge for government in implementing entities to review the realisation of Vision 2030 objectives.

The NPF is developed to support the planning, monitoring, evaluation, and budgeting of medium-term NDPs from 2016 to 2030. The NPF adopts four SOs, seven LTOs, and 30 MTOs, the achievements of which are to be measured by 41 KPIs and 180 NMIs (GRZ, 2016).

Therefore, depending on the level, there are differences in the manner in which M&E arrangements for the NDPs are set up. For instance, national level institutions consistently report on higher level indicators such as KPIs, outcomes and impacts. Further, the implementing institutions generate, collect and document performance data that are useful for measuring progress and reporting on the basis of their functions and do so in an interrelated and integrated manner towards the attainment of NDP outcomes. This is a government-wide M&E framework with set-out stakeholder roles and responsibilities in the practice of M&E undertakings to contribute towards the measurement of overall development progress in the country. Figure 5.6 demonstrates the linkages between the NPF and the NDPs in the broader perspective of achieving the development aspirations in Vision 2030.

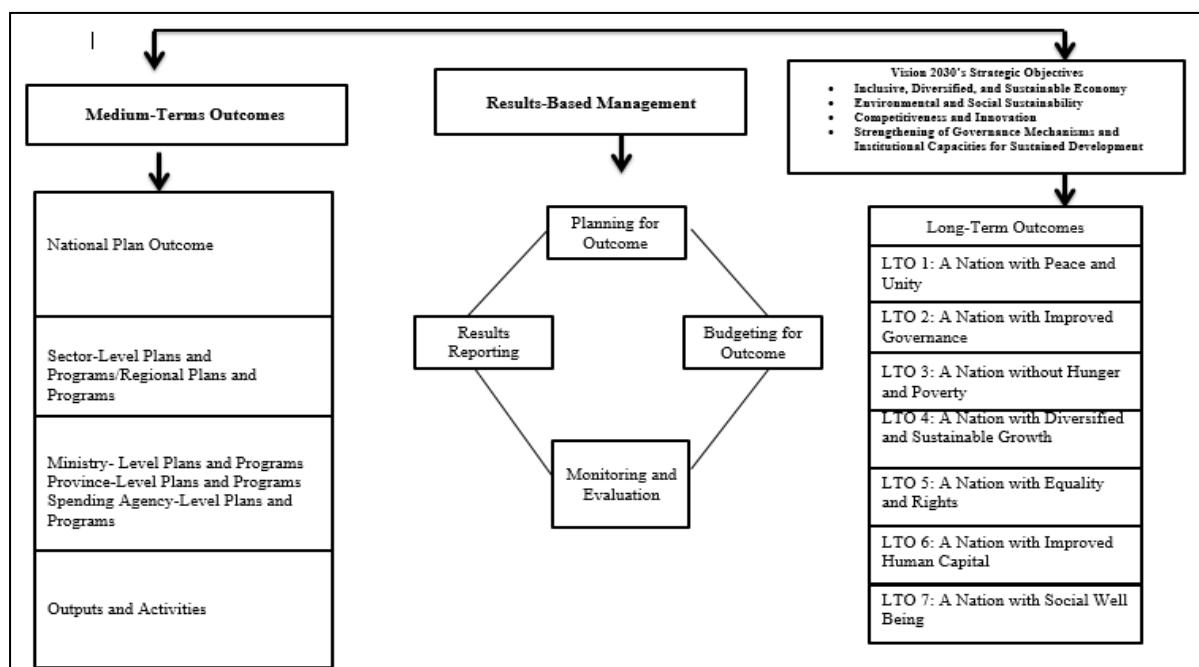


Figure 5.3. Linkages between National Performance Framework and National Development Plans
Source: GRZ, National Performance Framework, 2016, p. 44

LTOs are drawn from the Vision's SOs, upon which the NDP's MTOs are identified and defined (see Figure 5.6). The NDP outcomes then inform sector, provincial, and district level plans and strategies. From these, the lower-level results of outputs and activities are defined and implemented. RBM, through the broader ToC, then provides guidance on the overall

implementation, monitoring and evaluation of the NPF and NDPs. Once these take place, the objectives of the NLTV have been attained.

b) Government-wide monitoring and evaluation system

To effectively monitor, evaluate and report on results generated by the implementation of NDPs, a WoGM&ES system has been developed by the Zambian Government. The institutional set ups for M&E in this system are organised to ensure that processes of planning and M&E are interconnected, standardised, fully internalised and applied by the key institutions to generate coordinated development results that feed into decision-making processes. Further, the M&E processes for the NDPs ensure that there are synergies between the existing M&E systems and those to be developed in the various sectors during the implementation periods of NDPs. These include the institutionalisation of the NPF and the SPF; establishment of M&E management information systems; strengthening the national statistical system (s); developing M&E standardised and structured tools and systems; developing a dissemination and communication strategy for sharing M&E products; and strengthening relevant institutions through capacity development. The WoGM&ES is therefore considered a robust system that provides an integrated, all-encompassing framework of M&E principles, practices and standards to be used throughout government; and functions as an apex-level information system, which draws from the component systems in the framework to deliver useful M&E products for its users (Republic of South Africa, 2008 & Castro, 2009)

The WoGM&ES for Zambia has been developed and is currently being strengthened using ToC and the RBM approach. These theoretical constructs inspired the articulation not only of 7NDP, but the NPF and SPF as well (see Chapter 3). Together, the NPF and SPF are considered crucial aspects in operationalising the WoGM&ES (GRZ, 2017b).

c) Monitoring function

The government facilitates the monitoring of activities and programmes of NDPs, including the intended and unintended impact of development interventions on the economy and population. Implementation of NDPs is closely monitored using reports on budget execution and monthly and quarterly tracking of output indicators, while annual progress is measured through agreed KPIs. The government ensures the establishment and implementation of a

WoGM&ES, which include setting up and strengthening M&E and management information systems in MPSAs. Further, CAGs offer a structure to monitor progress towards the realisation of NDP outcomes and ultimately the long-term objectives of Vision 2030 (GRZ, 2017b).

The Committee of Permanent Secretaries ensures integrated implementation and monitoring of development interventions under NDPs, and provides regular cluster updates to the secretary to the cabinet. In addition, the NDCC at national level, PDCCs at provincial, DDCCs at district, and WDCs at sub-district level support the enhanced function of monitoring. Other institutions that implement interventions under the NDPs also provide systematic updates and data for monitoring the projects and programmes. Further, parliament provides oversight on implementation processes through various mechanisms, including committees of parliament and requests for ministerial statements and updates.

d) Evaluation function

NDP implementation and impacts are evaluated at mid-term and end-term intervals (GRZ (2017b). Evaluation exercises involve analyses of process and impact to create evidence towards informing the development, strategic focus and execution of future development plans. The government commissions evaluations, which are usually conducted by independent entities or experts in evaluation competencies of NDPs.

Key strategies utilised in evaluation include building capacities among the staff members across government and in research and academic institutions to support the increased evaluation needs of NDPs. In addition, implementation guidelines and evaluation plans are developed to deliver a framework within which development interventions in NDPs are evaluated.

Further, the research and academic institutions are among the key stakeholders in providing complementary programme and policy evaluations and strategic research. Together, these processes assist in generating evidence that constitutes valuable input into the review and reorganisation of NDP interventions to enhance the accomplishment of planned results.

Censuses and surveys conducted by the Central Statistical Office (CSO) and other research institutions are the basis for generating evidence for direct and indirect evaluations of the NDP's impact on the economy and population. Surveys, such as the Living Conditions

Monitoring Survey (LCMS), post-harvest surveys, Zambia Demographic and Health Survey (ZDHS), and the censuses of population and housing give socio-economic, demographic and health indicators of population wellbeing, attributable to development programmes under the NDPs. Several other indicators, such as those from economic surveys provide indicators that are attributable to the impact of NDPs on the national economy. In addition, strong stakeholder collaboration towards evaluations and research should be promoted between the CSO, the government's planning and M&E agencies, research institutions and the academia. This involves the development of strong governance mechanisms for data generation, analysis, storage and dissemination to promote and support collaborative efforts of divergent stakeholders involved in M&E processes. This is done to assure high credibility to the evidence produced through this collaboration, and provides opportunities for uptake of development results (GRZ, 2017b). Figure 5.7 illustrates information flows for decision-making processes.

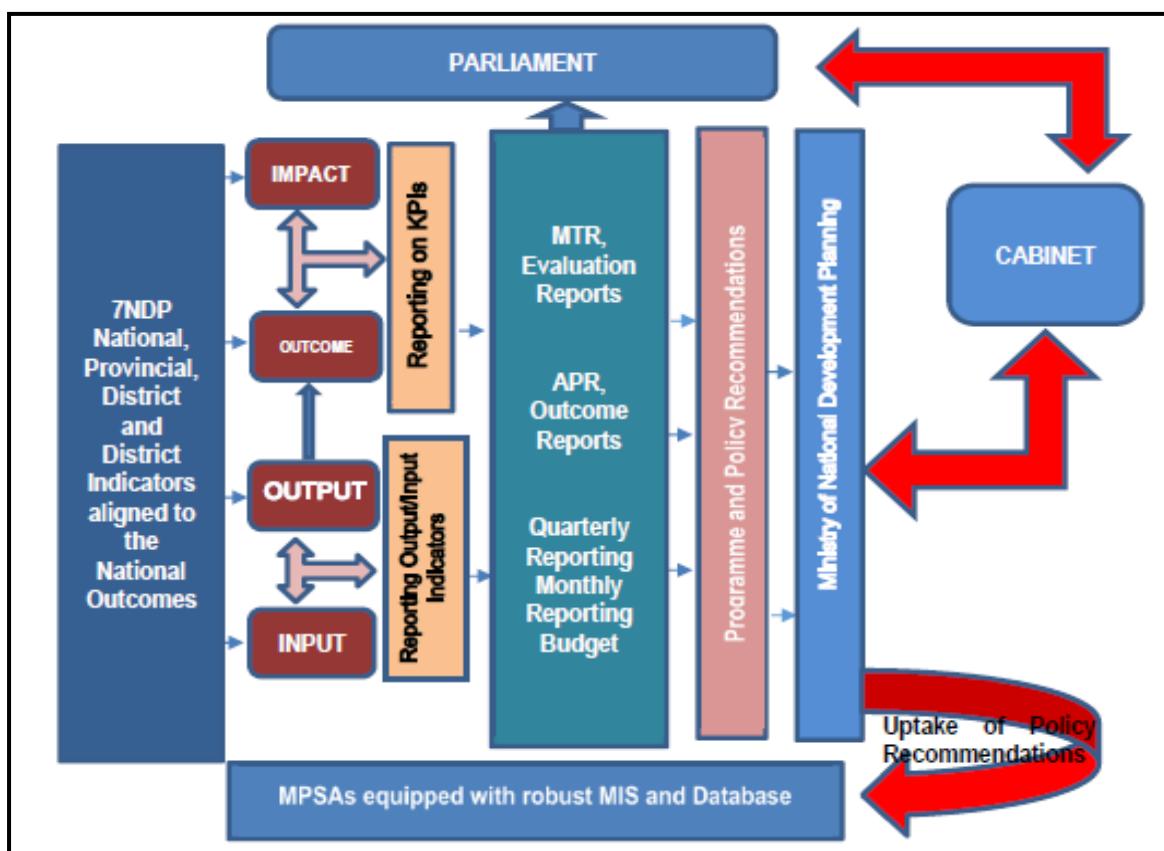


Figure 5.4. Flow of information for decision making

Source: GRZ, Seventh National Development Plan, 2017, p. 134

The collaborative process for the uptake of development results is entrenched in the effective utilisation of results. In the NDPs, national, provincial and district indicators are expected to be aligned with national level outcomes. These indicators are then measured at all levels of the

results chain – inputs, activities, outputs, outcomes and impacts. Further, policy recommendations from the reports are produced with feedback and are given to implementers for action, while those who make policies and the general public are similarly provided with information using appropriate channels and modes.

5.7.3 Recent efforts to improve national monitoring and evaluation

In 2014, the government approved the National Planning and Budgeting Policy aimed at strengthening the planning and budgeting functions, and providing for effective coordination between planning and budgeting for national development. To improve on the financial governance and accountability in accordance with the Public Financial Management Reform (PFMR) objectives, the government has computerised budget execution (procurement and payment) by implementing the Integrated Financial Management and Information System (IFMIS) and Treasury Single Account (TSA).

The government has developed the National Strategy for the Development of Statistics (NSDS), which aims at strengthening the National Statistical System (NSS), to support among others the WoGM&E/MIS functions. The government has also established Smart Zambia Institute (SXI) to coordinate and harmonise IT systems in government. In addition, as part of the wider PFMR programme launched in 2014, the government, with support from CPs, embarked on M&E reforms to strengthen ‘development accountability’. This included the phased-out approach of setting up of the WoGM&E/MIS, starting with selected line ministries.

Further, the government has developed the NDP and Vision 2030. The NPF has also identified KRA with KPI that should enable MPSAs and other stakeholders to align their development plans and budgeting with the NDP and Vision 2030. The NPF will be supplemented with sector performance frameworks (SPF) to link the outputs and outcomes of sector ministries plans and programmes to the NDP and Vision 2030.

Since 2017, the government embarked on the formulation of the National Monitoring and Evaluation Policy (NM&EP). The NM&EP is being developed to provide a framework to measure and track progress in the implementation of policies, plans, programmes and projects. The policy will help to institutionalise and standardise M&E principles, procedures and

guidelines in all development processes. Once in place, it will provide for the establishment and strengthening of institutional M&E structures and capacity development.

The policy will also be a tool for facilitating and strengthening accountability among all development stakeholders, and promoting good governance based on transparency and information sharing in development undertakings. Thus, the policy will contribute towards the attainment of value for money for all development policies, programmes and projects and help in improving service delivery to the Zambian population.

5.8 Conclusion

Chapter 5 presented details of Zambia's national planning, monitoring and evaluation arrangements in the public sector. It described how M&E functions are expected to be executed across government institutions, that is, national, line ministry/sector, provincial and district level. The key aspects included the introduction of Zambia as a country of choice upon which this research study is premised. Zambia has been identified as appropriate to undertake an in-depth investigation of the topic under study.

The chapter presented details of Zambia's national development planning dispensation. In doing so, the chapter showed the types of plans that form the holistic planning architecture in Zambia. These plans exist at various levels of government. Although there are plans at various levels, the NDP is the strategy together with the NLTV upon which the WoGM&ES is anchored. The other key components articulated in the chapter were the two frameworks of implementation and coordination. These frameworks have been deemed significant in the overall success of Zambia's WoGM&ES. In addition, the chapter looked at the roles and responsibilities of key institutions to the implementation of the WoGM&ES.

Further, the chapter expressed in detail the M&E arrangements in Zambia's public sector. Linked to the NDPs, the chapter illustrated the evolution of the M&E phenomenon over the years. Similarly, the chapter discussed how the theoretical framework of the study is related to the theoretical constructs on which the country's WoGM&ES is anchored. In that regard, ToC, RBM and the LFA were used to inform the design of the 7NDP 2017–2021. At the same time, the chapter discussed and put in context the concept of MfDRs by explaining their influence in the positive evolution, building and strengthening of Zambia's WoGM&ES.

Finally, the chapter showed how existing M&E arrangements in Zambia are structured. In all, Chapter 5 represented how M&E is currently implemented in Zambia. This formed the basis for this research study, which is to ascertain the functionality of the WoGM&ES, and identify gaps, on which suggestions and recommendations for improvement are based.

Chapter 6 discusses the research design and methodology for the study. It focuses on broader and specific aspects of the research design, discussing elements such as the choice of and justification for the area of study, data sources, target population, sampling design, data collection and analysis parameters.

CHAPTER 6

Research Design and Methodology

6.1 Introduction

Chapter 6 concerns the research design and methodological dimensions of this study. It gives reasons for the choice of and justification for pursuing a research study in the field of monitoring and evaluation, in analysing Zambia's whole-of-government M&E system (WoGM&ES). It then provides the research design for the study, which is guided by the qualitative approach. The qualitative method is justified as being the most appropriate approach to investigate the chosen research topic and questions.

In addition, Chapter 6 describes the data sources for the study, the target population, study units and the sampling design. Data collection procedures and instruments are also discussed. Four assessment checklists have been articulated by practitioners for use in assessing any given WoGM&ES. Of the four, the diagnostic checklist articulated by Holvoet and Renard (2005), Holvoet and Inberg (2012) and Holvoet, Gildemyn and Inberg (2012) was used as the instrument of data collection, compilation, collation and analysis for the research study. The idea of discussing the four checklists was to illustrate that several diagnostic checklists have been elaborated by M&E practitioners, but that it is important to choose the one appropriate to a given diagnostic analysis, in this case Zambia's WoGM&ES. In addition, the adopted assessment checklist formed the basis for the analytical framework for the research study.

The chapter ends by stipulating how data analysis was undertaken. The use of qualitative techniques to analyse data from primary and secondary sources is discussed. The LEADS system of analysis is presented alongside the text-analysis technique. Further, ethical considerations are discussed to show how ethically sensitive the study procedures had been throughout the research process. Finally, the chapter presents limitations experienced during the study.

6.2 Diagnostic checklists to assess Monitoring and Evaluation systems

A number of practitioners and protagonists of M&E have developed analytical tools to assess M&E systems (Holvoet & Renard, 2005; Holvoet & Inberg, 2011; Holvoet et al., 2012). Three diagnostic checklists were added to that of Holvoet et al. They are discussed here, but the choice of the diagnostic checklist by Holvoet et al is justified for this research study. Thus, four checklists are discussed:

1. Assessment checklist for country-level M&E System by Holvoet and Renard, 2005; Holvoet and Inberg, 2011; and Holvoet et al., 2012.
2. Country Readiness Assessment Framework by the Managing for Development Results (MfDRs) and Africa for Results Initiative (AfriK4R) (2013)
3. Checklist of topics to consider in preparing a monitoring and evaluation diagnosis for a country by Lopez-Acevedo, Krause and Mackay (2013)
4. Monitoring and evaluation diagnostic and guidance tools for practitioners by Bedi et. al. (2006)

The reason for discussing these diagnostic checklists is to illustrate that a great deal of effort was utilised to find practical ingredients to assist in building and strengthening country level M&E systems for governments. It is world practice to undertake diagnostic assessment or needs assessment to identify areas that needed scaling up and those that need to be introduced (Mackay, 2007).

6.2.1 Diagnostic checklist for country-level monitoring and evaluation systems

There are comprehensive and distinct vital elements that may be presented in form of a checklist and used in conducting rigorous country assessments for M&E systems (Holvoet & Renard, 2005; Holvoet & Inberg, 2011; Holvoet et al. 2012). In their work, these authors undertook a wide review of published and unpublished literature on elements that would constitute a critical checklist for determining a successful M&E system, especially for public institutions (that is, governments). Expert consultations were undertaken with M&E practitioners from various countries and institutions before they decided on what they considered the fundamental ingredients to look for in a government M&E system (Holvoet & Renard, 2005).

Consequently, the country level M&E checklist comprises six criteria or components, namely: i) policy, ii) methodology, iii) organisation, iv) capacity, v) participation of actors outside government, and vi) use of information from M&E. Each criterion has a set of questions that are necessary to understanding the M&E issues pertaining to it. The checklist has been prepared and articulated with a view to helping governments and other development stakeholders concerned with public sector-related M&E systems to examine the areas of weakness and strength and use such information to have targeted M&E reform agendas. For that reason, this candidate found the checklist appropriate for use in this research study. Table 6.1 below presents a summarised checklist for use to assess country level M&E systems as presented by Holvoet and Renard (2005); Holvoet and Inberg (2011); Holvoet et al. (2012). See also Appendix F for a complete checklist.

In order to fully appreciate the dynamics considered in assessing the functional status of a given country's M&E system, there are several sub-components under each component. At the same time, there are many questions which are asked under each sub-component to bring out different aspects of a government-wide M&E system. It is this kind of structure that makes it comprehensive to give meaningful information regarding how strong or weak a national system for M&E would be assessed. The questions under each sub-component are quite exhaustive in terms of the issues considered and the responses are taken seriously to determine the courses of action with regard to strengthening a WoGM&ES. For instance, when gaps are identified under the 'methodology' component, remedial actions are recommended.

Table 6.1. Diagnostic checklist for government monitoring and evaluation systems

No.	Component /Ingredient		Sub component/questions
1	Policy		1 Monitoring and Evaluation (M&E) plan 2 Monitoring and Evaluation (M versus E) 3 Autonomy & impartiality (accountability) 4 Feedback 5 Alignment planning & budgeting
2	Methodology		6 Selection of indicators 7 Quality of indicators 8 Disaggregation 9 Selection criteria 10 Priority setting 11 Causality chain 12 Methodologies used 13 Data collection
3a	Organisation: structure		
		14	Coordination and oversight

		15	Joint Sector Review
		16	Sector Working groups
		17	Ownership
		18	Incentives
3b	Organisation: linkages		
		19	Linkage with Statistical office
		20	'Horizontal' integration
		21	'Vertical' upward integration
		22	'Vertical' downward integration
		23	Link with projects
4	Capacity		
		24	Present capacity
		25	Problem acknowledged
		26	Capacity building plan
5	Participation of actors outside government		
		27	Parliament
		28	Civil Society
		29	Donors
6	Use of information from M&E		
		30	Outputs
		31	Effective use of M&E by donors
		32	Effective use of M&E at central level
		33	Effective use of M&E at local level
		34	Effective use of M&E by outside government actors

Source: Adapted from Holvoet & Inberg, 2011

Details about the aspects of concern under each of the six components or ingredients are now discussed.

a) Policy

Under this component, the proponents of the checklist present a number of aspects that need to be in place for a functional M&E system for a government (Holvoet & Renard, 2005; Holvoet & Inberg, 2011 & Holvoet et al., 2012). The presence of a clearly elaborated M&E plan is a required ingredient, one that is comprehensive, and indicates what to evaluate, why, how and for whom. Such a policy plan should acknowledge and distinguish the differences between 'monitoring' and 'evaluation' (simply the 'M' and 'E'). Another key aspect is the existence of autonomy and impartiality of the M&E practice and a strong commitment to the principle of accountability. The checklist therefore asks whether the need for autonomy and impartiality is mentioned explicitly in the government policy? Are tough and sensitive issues allowed to be analysed? What about an independent budget for M&E? (Holvoet & Inberg, 2011).

Further, the checklist seeks to assess feedback loops across government and non-state institutions. Here, it is asked whether there is an explicit and consistent approach to

coordination, reporting, dissemination and integration. Lastly, under this component, the checklist assesses the evidence of alignment between planning and budgeting. The interest is to determine whether M&E results are integrated into the planning and budgeting processes.

b) Methodology

This component deals mainly with questions focused on indicators, data collection and the methodologies used to define and undertake these parameters and processes. The selection of measurement indicators is one aspect that the checklist seeks to have clarified. Is there clarity on what to monitor and evaluate? Are indicators clear for monitoring and evaluation purposes? Is there a clear indicator list? Is there a harmonised indicator system (or indicators themselves) for sectors with those in the NDPs? The quality of indicators is another concern. To that extent, does it assess whether indicators are SMART (specific, measurable, achievable, relevant and time-bound)? Additionally, the checklist analyses whether baselines and targets for these indicators are attached.

Additional aspects are important for assessment under the topic of methodology. The disaggregation of the selected indicators into categories such as sex, region, and socio-economic status is diagnosed as well. Other aspects include the indicator selection criteria and whether there is a priority setting strategy for indicators at various levels of government. Is there evidence of the need to set priorities and limit the number of indicators to be monitored? (Holvoet & Renard, 2005, Holvoet & Inberg, 2011). Also, the checklist seeks to establish the appreciation and utilisation of ToC thinking and the RBM approach by assessing whether the causality chain is followed. So some questions are asked, for example, are different levels of indicators (input-activity-output-outcome-impact) explicitly linked (vertical logic). Similarly, for the data collection ingredient, the checklist inquires whether the sources are clearly identified and the indicators are linked appropriately to the sources of data collection (horizontal logic). The methodologies used to conduct ‘monitoring’ and ‘evaluation’ are significant aspects of assessment under this checklist. Therefore, a check is done to ascertain whether ways in which to monitor and evaluate are clear. This is coupled with the assessment of the way in which the methodologies were identified and mutually integrated (Holvoet & Renard, 2005).

c) Organisation

The topic of organisation has two components, structure and linkages. Key questions under the structural organisation are centred on coordination and oversight, joint sector reviews at line ministry level, sector working groups, ownership and incentives. Thus, the checklist asks whether there is a suitable institutional set-up for coordination, oversight, support, analysis of data and feedback at national and sectoral level and with different stakeholders? What is its location? Further, do the joint sector reviews (JSRs) cover accountability and learning needs for systemic and substance issues? Are sector working groups active in monitoring and what is their composition? What incentives stimulate data collection and use of M&E information? Importantly, does the demand for strengthening the M&E system come from line ministries, a central ministry or from external actors (e.g. donors)? Is there a highly placed ‘champion’ in the sector ministry who advocate for the strengthening of the M&E system? (Holvoet & Renard, 2005; Holvoet & Inberg, 2011).

On the topic of organisational linkages, the checklist covers a wide range of aspects. Unlike the structural organisation component, this topic looks at the linkages with statistical office(s), horizontal and vertical integration, and assesses linkages of various projects implemented within the ambit of government. Several questions are asked to determine the status of these important M&E aspects. For instance, is there a linkage between sector M&E and the statistical office? And is the role of the statistical office in M&E at different levels clear? Further, are there M&E units in different sub-sectors and semi-government institutions, and are these relayed properly to the central sector M&E unit of ministry? Are there M&E units at decentralised levels, and are these relayed properly to the sector and central ministry M&E system(s)? Is there evidence of efforts to coordinate with donor M&E mechanisms for project and vertical funds (Holvoet & Renard, 2005; Holvoet & Inberg, 2011)? These are critical questions the checklist attempts to have answered so that the responses may be used to build, strengthen and sustain Zambia’s WoGM&ES.

d) Capacity

Building capacity in M&E is an important ingredient for a successful WoGM&ES (Holvoet & Renard, 2005; Kanyamuna, 2013). Therefore, the checklist is explicit in seeking aspects that need capacity building. In terms of present capacity, these are some of the questions: What is the present capacity of the M&E unit at central line ministry, sector level, sub-sector level and

decentralised levels, particularly in skills, financial resources, etc? Also, are the problems and weaknesses of M&E capacity across government clearly acknowledged? Another crucial aspect is the capacity-building plan. Are there plans or activities to address remediation with regard to identified capacity deficits such as training needs and appropriate salaries? The checklist brings out these questions to identify opportunities and problematic points that would then lead to an informed approach to building strengthened and sustainable systems for M&E.

e) Participation of actors outside government

Holvoet and Renard (2005) and Holvoet and Inberg (2011) identified three stakeholders that are important in building a strengthened WoGM&ES. These are parliament, civil society and donors. Under each, questions are asked principally about their contribution, or lack of it, to the overall success and failure of a given country's WoGM&ES. The checklist assesses whether the role of parliament is properly organised and there is alignment with parliamentary control and oversight procedures. Does parliament take part in joint line ministry reviews and in activities of sector working groups? Similar questions are asked of civil society and donors. Responses are used to identify areas of improvement in terms of how best to engage with these stakeholders.

f) Use of information from monitoring and evaluation

The use of information from M&E is the sixth and final topic under this checklist by Holvoet and Renard, 2005; Holvoet and Inberg, 2011 and Holvoet et al., 2012. It is the most definitive aspect in determining the creation and strengthening of any given WoGM&ES. What the checklist seeks to achieve is who demands and who uses the information and results from M&E products. For example, is there a presentation of M&E results? Are results compared to targets and does the analysis of discrepancies exist? Are M&E results differentiated to different audiences? In addition, the checklist assesses the utilisation status of M&E information by donors, central level institutions, local levels and by actors outside government. Consequently, are donors using the results of the WoGM&ES for their information needs? Also, are the demands for M&E data from donors coordinated? Are the results of M&E activities used for internal purposes and is the M&E system used as an instrument of policy making, policy influencing and advocacy? The checklist also examines whether the results of M&E are being utilised to hold government accountable (Holvoet & Inberg, 2011).

6.2.2 Country Readiness Assessment Framework for Africa

The Africa for Results (AfriK4R) initiative readiness assessment framework was developed by the African Community of Practice on Managing for Development Results (AfCoP-MfDRs, 2014). Like the checklist articulated by Holvoet and others, the assessment framework has six pillars, namely: i) leadership for results, ii) planning for results, iii) results-based budgeting, iv) institutional capacity to deliver goods and services, v) information systems, statistics capacity and monitoring and evaluation, and vi) accountability for results.¹³ Table 6.2 shows the components under this checklist.

Table 6.2. Managing for Development Results country readiness assessment framework

No.	Pillar/component	Question/area of focus	
1	<i>Leadership for Results</i>		
		1	Policy Leadership
		2	Openness and Transparency
		3	Change Management
2	<i>Planning for Results</i>		
		4	Government Strategic Plan (GSP)
		5	Operational Planning
		6	Participatory Planning
		7	Sector Planning Capacity
3	<i>Results-Based Budgeting</i>		
		8	Program-based budgeting
		9	Medium-Term Budgetary Perspective
		10	Fiscal discipline and credibility
		11	Budget Transparency and Information Dissemination
		12	Financial Controls
4	<i>Institutional Capacity to Deliver Goods and Services</i>		
		13	Departmental Work Planning
		14	Human Resources Capacity
		15	Goods and Services Delivery and Client Satisfaction
5	<i>Information Systems, Statistical Capacity, and Monitoring and Evaluation</i>		
		16	Statistics Framework and Capacity Building
		17	Management Information Systems (MIS)
		18	Monitoring Results Framework
		19	Evaluation Results Framework
6	<i>Accountability for Results</i>		
		20	Participation
		21	Effective accountability institutions
		22	Feedback to decision-making
		23	Partnerships

Source: Adapted from Managing for Development Results assessment tool (2014, pp. 3-10)

¹³ Although the two checklists each have six components, the elements are not the same. The contents in each checklist are similar in many respects, but their presentation is different. The difference in presentation also may affect the way information can be collected and analysed.

Briefly, this checklist covers these issues:

a) Leadership for results

Three aspects are critical under this criterion, namely policy leadership, openness and transparency, and change management. Here, the framework assesses whether leadership for results is in place. Policy leadership is concerned with the delineation of the three arms of government, that is, legislature, executive and judiciary, for example which arm drives strategic planning and which coordinates government policies. Openness and transparency is concerned with the availability of permanent structures for public involvement in decision making and the participation of such stakeholders as civil society and parliament becomes paramount. Equally, this element is about whether there are legal frameworks to support registration and free participation of NGOs. Another issue concerns the freedom of decision-making processes.

Change management involves regular structured organisational changes to improve performance. Does the government have comprehensive civil service reform and a performance improvement programme? A leadership for results would be interested in putting in place initiatives to support human capacity development, especially in RBM.

b) Planning for results

Planning for results has four components, namely government strategic plan, operational planning, participatory planning, and sector planning capacity. In terms of government strategic plan, one concern is whether there is a long-term plan that articulates the vision of the government and is backed by a legal framework. The assessment framework is concerned with the availability of a government line ministry or entity that is directly mandated with the preparation and implementation of a comprehensive strategic plan. Undertaking evaluations for projects and programmes and their contributions to the attainment of government objectives are also assessed.

Operational planning and participatory planning are the types of focus under the planning for results criterion. Operational planning establish whether the government strategic plan has identified clear programmes that help to achieve objectives. The participation of parliament, civil society and the general public in the preparation and execution of the government strategic

plan is significantly assessed. In what ways do these key stakeholders access the government strategic plan?

Sector planning capacity examines the availability of comprehensive strategic sector plans that are approved and in execution. These plans are supposed to be products of stakeholder participation and to contribute to the attainment of the overall government strategic plan.

c) Results-based budgeting

The component of results-based budgeting has five aspects, namely programme-based budgeting, medium-term budgetary perspective, fiscal discipline and credibility, budget transparency and information dissemination, and financial controls.

The results-based budgeting component is concerned with whether public budgets are based on prioritised programmes and objectives as identified in the government strategic plan. It assesses whether every programme budgeting for future years is based on results of past performance. Under medium-term budgetary perspective, the focus is on establishing whether there is a medium-term expenditure framework (MTEF), which is a three-year rolling financial plan. In addition, the relationships among programmes, projects and objectives in the government strategic plan, annual budgets and MTEF are assessed.

Further, the fiscal discipline and credibility element among other issues looks at whether there is a fiscal responsibility law that sets the limits to debt growth and current expenditure growth. The component on budget transparency and information dissemination examines whether the budget information is available to the public through the Internet when the budget proposal is presented to parliament. Another concern is whether this information on the budget makes it possible to identify budget allotments according to categories based on programmes and objectives in the government strategic plan.

The financial controls component involves checking whether the national audit agencies are capable of verifying the accounts of all line ministries, local governments, and public agencies. The public audits are assessed to see whether they conform to international standards. The component is also concerned with how rules and regulations that govern public procurement are organised. The component also scrutinises whether the legislative branch of parliament has

an accounts committee or other mandate to provide oversight on government expenditures, for instance through review of audited financial statements of public agencies.

d) Institutional capacity to deliver goods and services

The fourth pillar is the institutional capacity to deliver goods and services. It has three components, namely departmental work planning, human resources capacity, and goods and services delivery and client satisfaction. The departmental work planning component assesses whether the goals in the national strategic plan and sector strategic plans have been broken down into annual goals. Are line ministries required to have clearly articulated and intra-departmentally shared mission statements? The other assessment is to check whether policies, programmes and projects are clear and logical, and based on cause-effect relationships. Thus, departmental plans are assessed to establish whether they are linked to higher order outcomes. The verification of whether cost-benefit-analyses are conducted as part of preparing projects and programmes and government strategic plans is also important.

With the human resource capacity component, the focus is on assessing whether government institutions have contracts to measure the performance of their employees in their sector departments and units. This component also checks the availability of clear policies and meritocratic systems to promote and reward senior officials with bonuses. Do government institutions hire senior officials within transparent competitive processes? What about clear and up-to-date terms of reference (ToRs) or job descriptions for each position in government institutions? Further, the component checks whether or not senior officials' prompt capacity building and training of civil servants in quality delivery of goods and services existed.

For goods and services delivery and client satisfaction, the main concerns are the clarity of outputs that the departments in the line ministries should implement in their contribution to the national outcomes. These come in the form of targets and benchmarks against agreed KPIs. Another crucial aspect concerns the existence of forums for coordination among interdependent public institutions, such as line ministries. Are public consultation mechanisms in place to introduce improvements to the delivery process of goods and services?

e) Information systems, statistical capacity, and monitoring and evaluation

The fifth pillar addresses three aspects, namely statistics framework and capacity building, MIS, monitoring results framework, and the evaluation results framework. The statistics framework and capacity building concern whether government has a legal and operational framework for its statistical activities. Also the availability of technical standards and guidelines with methodologies is assessed for all entities and units in charge of producing statistics. Other aspects include verifying whether the statistical data that is generated is broad enough to measure all indicators related to government's programme goals. Further, the component on statistics assesses whether there is a legal mandate, funding base, and pool of skills for the national statistical office. This is coupled with examining government's capacity to analyse statistical data for forecasting and to feed into other decision-making processes.

MIS is another aspect of interest. An assessment is made of whether there are household and other comprehensive socio-economic surveys, for example for five years; whether line ministries MISs capture data on client satisfaction and the impact of service delivery; and whether these service delivery surveys show trends in client satisfaction. Line ministries are assessed as to whether they produce quarterly or annual reports against their plans and budgets. A critical factor is the availability of the MIS to the public through the Internet.

In addition, M&E results frameworks form an important aspect. An assessment is made of the existence of legal frameworks that carry out mandatory M&E of the government strategic plan. Is a government entity in charge of monitoring the implementation of the government strategic plan using KPIs? Does this entity possess formally established guidelines with methodologies and technical standards? Is the monitoring information of the objectives and goals of the government strategic plan available to the public? Further, the evaluation results framework seeks to assess whether the legal framework establishes responsible agencies, their objectives, and resources for the evaluation of the government strategic plan and its programmes. Is there an official public document that establishes the evaluation guidelines with methodologies and technical standards? The component similarly assesses whether the evaluation reports are made available to the public and how widely the evaluation findings are disseminated. Are government policies, programmes and projects subject to regular independent evaluation and other reviews of effectiveness?

f) Accountability for results

Accountability for results has four elements, namely participation, effective accountability institutions, feedback to decision making, and partnerships. Under participation, an assessment is made regarding whether the civil society and the private sector have been able to provide meaningful inputs to formulating government strategic plans. Equally, are media independent and able to investigate and provide critical judgements that can deter illegal and unethical behaviour? Stakeholders' perceptions of the level of public dissemination of information by government are important.

Is there an independent ombudsman with powers to adjudicate disputes? Is the legislative branch able to monitor the executive branch of government effectively? Is the judiciary independent and free of the influence of politicians and powerful business interests? To that extent, the component assesses whether government has an anti-corruption agency backed by appropriate legislation, financial resources and technical skills.

Another important element is feedback to decision-making processes, which probes the utilisation of output and outcome information in decision making. This process questions whether policy objectives and priorities are revisited regularly in the light of research, statistics, and other facts and analyses regarding changes in the status of development outcomes. It also considers whether lessons are learned from reviews and evaluations and are systematically embedded in new project and programme designs. Are options for improved effectiveness of service delivery sought, considered, and acted upon? Do progress and performance reports lead to changes in service delivery strategies? In addition, is feedback on service delivery from clients acted upon? Are there learning networks domestically or internationally that are sought for lessons and experiences? Partnerships form the last aspect under this pillar. This component assesses government's functional partnerships with donors. It examines whether donor priorities are derived from national planning processes. Are there formal government-led mechanisms for donor-to-donor coordination? Also, government's capacity to ensure effective alignment and coordination of donor projects and programmes with those in the government strategic plan is assessed. Another aspect of interest is to ascertain whether donors' mechanisms are aligned with national reporting procedures and standards.

6.2.3 Monitoring and evaluation diagnostic checklist

The third checklist for conducting diagnoses of M&E systems and capacities was developed by Lopez-Acevedo, Krause and Mackay in 2012. It has a number of components that are considered instrumental to understanding the status of a country's M&E system. Table 6.3 outlines the diagnostic checklist.

Table 6.3. Checklist for preparing a monitoring and evaluation diagnosis for a country

Block A. The national environment for M&E	
Topic	Questions
Topic A1 The national policy and institutional framework	How are policies made? What role do donors play? Is political power wielded in the public interest? Do policies create a demand for M&E? How decentralised is the country? How has the relevant policy environment evolved over time?
Block B. M&E systems	
Topic B1 Historical development	
	How and why did the system develop? Who championed it and who opposed it? What kind of implementation strategy was adopted?
Topic B2 Objectives (announced, implicit, or revealed)	These can include budget support, support to policy making and program improvement, or accountability.
Topic B3 Processes, tools, and products	What is produced (indicators and evaluations by type and numbers, and so on)? What are the selection criteria? What is the production cycle? How is the information used (dissemination, reward, sanction, or correction)? How is the quality of the information controlled? What are the tools used to collect, manage, and analyse information and are they appropriate?
Topic B4 Relationship with other systems	How are systems interconnected, if at all? Monitoring with evaluation? M&E with the budget? Ministry or sub-national monitoring systems with national systems? Monitoring with information systems? M&E with quality-management systems?
Topic B5 Institutional architecture:	How do the system's components fit together? How is cooperation (exchange of information, willingness to act on results) achieved within the system? How centralised is the system?
Topic B6 The organisational characteristics of public agencies that are part of the system:	What is the historical reform/policy-change process? The tasks of the agency? Its resources (budget, incentives, expertise, training, donor support, etc.)? Its sources of authority (the legal framework, roles of stakeholders)? The obstacles it faces (information, coordination problems)?
Topic B7 Results	What are the quality, credibility, and accessibility of the products of M&E? What is the impact of these products? Where there are multiple objectives, are there multiple impacts?
Block C. Findings	
Topic C1 Conclusions and recommendations	What is working and not working, and why? What reforms are underway? How can things be improved?

Source: Lopez-Acevedo, Krause and Mackay, 2012, p. 49

Lopez-Acevedo et al. (2012) identified three components that are critical to assessing and strengthening a country's M&E system. They framed them as 'blocks' and these include Block A: National environment for M&E; Block B: M&E systems, and Block C: Findings.

Block A: National environment for monitoring and evaluation

The topic of concern in Block A is the national policy and institutional framework for a country's M&E system. Do national policies exist and what processes are followed? Stakeholders involved in developing such policies are assessed to appreciate whether inclusivity is a common requirement. For example, the role of donors and civil society in policy formulation is assessed. Issues of political biases and interests are also assessed. Further, overall policy formulation and implementation is diagnosed as to whether the processes demand M&E functions. Decentralisation of a country and how the policy environment have evolved over time are issues of interest under this block.

Block B: Monitoring and Evaluation systems

Block B describes the M&E systems, and probes the historical development of these systems. How and why did the M&E system develop? Who championed it and who opposed it? What kind of implementation strategy was adopted? It assesses the objectives of an M&E system. Was it developed to enhance budget support, to support policy making or for programme improvement and accountability?

In addition, Block B examines processes, tools and products that emanate from M&E systems. Issues include the types of indicators and their selection criteria. The way in which information from these M&E systems is controlled for quality and utilised to inform other development processes is of interest. The appropriateness of the M&E information is assessed from the tools that are used to collect it and its management to analysis and dissemination. Another matter regards the relationship of a country M&E system with other systems that may be running in parallel, for instance M&E and quality-management systems; ministry and sub-national monitoring systems with national systems?

Another topic is the institutional architecture of M&E systems in a country. Structurally, the diagnosis checks the harmonisation and fragmentation of M&E components in a country's

WoGM&ES. This also refers to semi-autonomous government institutions. Thus, issues pertaining to the manner in which the coordination and cooperation of information exchange in a national M&E system are also examined. Whether a given M&E system is centralised also forms the basis for assessment.

The results represent another component of the M&E systems block. What are the credibility, quality, and accessibility of the products of M&E? What are the impacts of these M&E products? Where there are multiple objectives, are there multiple development impacts?

Block C: Findings

Block C represents the M&E findings. Interesting topics are conclusions and recommendations. Issues of what works and do not work make up core aspects. In addition, the block is concerned with reform areas to enhance M&E systems and practice. The three blocks therefore, constitute the complete assessment checklist that is used to diagnose the functionality of a given country level WoGM&ES (Lopez-Acevedo et. al., 2012).

6.2.4 Monitoring and evaluation diagnostic and guidance tools for the practitioner

The fourth assessment checklist is called ‘Monitoring and evaluation diagnostic and guidance tools for the practitioner’ by Bedi et al (2006). Its authors listed important elements to consider when assessing a country’s M&E system for purposes of building and strengthening (see Table 6.4).

Table 6.4. Monitoring and evaluation diagnostic and guidance tools for the practitioner

S/n	Component	Issues /Questions	
1	Institutional Context and Design of the Monitoring and Evaluation System		
	1	The design process for the monitoring and evaluation system	
	2	Institutional leadership	
	3	Coordination: mechanisms	
	4	<i>Coordination: Oversight</i>	
	5	Coordination: Liaison with local government	
	6	Coordination: Liaison with line ministries	
	7	Coordination: Liaison with civil society	
	8	Coordination: Liaison with development partners	
	9	Legislation and regulation	
	10	Outputs and links to policy-making processes	
	11	National statistics	
2	Ability to Supply Information		
	12	Capacity for data production	
	13	Capacity for data collection: Definition	
	14	Capacity for data collection: Sources	
	15	Capacity for data collection: Relevance	

		16	Capacity for data collection: Standards
		17	Capacity for data collection: Coordination
		18	Capacity for data collection: Manpower
		19	Capacity for data collection: Resources
		20	Capacity for data collection: Dissemination
		21	For public expenditure data
		22	For regional government data
		23	Capacity for analysis
		24	Capacity for evaluation
		25	Outputs and dissemination
		26	Capacity building and funding
3	Demand for Monitoring and Evaluation System Information	27	Poverty reduction strategy
		28	Budget and planning
		29	Local government and agencies
		30	Line ministries
		31	Parliament
		32	Development partners
		33	Civil society

Source: Bedi, Coudouel, Cox, Goldstein & Thornton, 2006, pp. 59-73

Three categories are crucial in diagnosing a country's M&E system, namely i) institutional context and design of the monitoring and evaluation system; ii) ability of the monitoring and evaluation system to supply information; and iii) demand for and use of the monitoring and evaluation system information. Each component is meant to assess areas of strength and weakness. This information is used to enhance the practice of M&E arrangements across government structures.

(i) Institutional context and design of the monitoring and evaluation system

The M&E system for a national development plan (NDP) should consist of a well-developed, supportive and sustained institutional context and design (Bedi et al., 2006). Issues that require assessment include a record of a clear design process that was followed to develop the existing M&E system. Thus, this component is concerned with checking whether the system underwent thorough diagnosis before being designed and developed. Stakeholder analysis, needs assessment and data diagnostics are important elements to assess institutional suitability for a functional M&E at national level.

Other items are designed to assess the national leadership capacity to support the design and strengthening of M&E. To that extent, the availability of political leadership and champions that drive the M&E agenda are assessed. The existing leadership environment then leads to an analysis of M&E coordination issues across government. The element of coordination covers a range of issues such as assessing coordination mechanisms; oversight; liaison with local

government, line ministries, civil society and development partners (DPs). Legislation and regulation, outputs, how they are linked to policy making and the role of the national statistics are among the core aspects that are assessed under this component.

(ii) Ability to supply monitoring and evaluation information

The second aspect involves the ability of an M&E system to supply information that is relevant to stakeholders. The issues here are capacity related. An NDP monitoring system need to be checked for its capacity for holistic data production (Bedi et. al., 2006). Aspects of concern are capacities for data collection, definitions, sources, relevance, standards, coordination, workforce, resources and dissemination.

In addition, this component assesses the capacities to track government business and services rendered at levels such as national and sub-national. Other important elements are the capacity to analyse M&E data and information and to undertake evaluations. The capacity to analyse data and information is crucial because the credibility and reliability of M&E products are dependent on this process. And the capacity to evaluate development programmes, projects and policies is pertinent to the success of any country M&E system. To that extent, the entity that undertakes the data and information analyses and evaluations becomes a matter of interest.

Other elements include a catalogue of development outputs and a dissemination strategy for these outputs. ‘Outputs’ refers to important M&E results that are supposed to be tracked and information disseminated in a structured manner to stakeholders using a functional communications strategy (Bedi et. al., 2006). Capacity building and funding are other important aspects. Human capacity issues such as skills and financial capacities for M&E activities at all levels of government are assessed. These aspects then form the basis for contribution towards the sustainability of country M&E systems (Mackay, 2007). Capacity building is assessed at various levels such as the involvement of stakeholders as development partners, in-country training institutions and other government agencies.

(iii) Demand for monitoring and evaluation system information

Bedi et al. (2006) identified the component of demand for and the utilisation of a country M&E system information as a significant aspect towards building and sustaining such systems. The

need for M&E information in the development processes of programmes, projects and policies has been discussed as a desired element throughout this thesis. Under this component, an assessment is required to check the type of information needed for the preparation of NDPs and sub-national plans, particularly indicator information. Similarly, the component is concerned with the use of M&E in budget processes such as resource allocation, releases and other appropriations, for example whether the ministry of finance, local government and agencies, line ministries, parliament, development partners and civil society all demand for M&E results in their operations. The way in which information flows happen among these institutions and how they are linked to the national-level M&E system and coordination framework are central concerns.

6.3 Choice of the country-level monitoring and evaluation diagnostic checklist

Four diagnostic checklists that assess the status of country M&E systems have been discussed (section 6.2). The discussion showed elements that M&E practitioners consider important in understanding the functionalities of M&E systems. Although they differ in presentation and in content, the checklists are aimed at giving important information for building and strengthening government M&E systems. The four diagnostic checklists were discussed to illustrate that more than one diagnostic instrument was available for assessing government M&E systems. The checklists are a demonstration by development practitioners around the world that M&E is a vital ingredient in strengthening institutions for good governance and poverty alleviation. Therefore, this research study adopted the checklist articulated by Holvoet and Inberg (2011), Holvoet and Renard (2005) and Holvoet et al. (2012) for these reasons.

- **Comprehensive:** It covers six broad areas of assessment. Most of the issues covered in the other three checklists are incorporated in this tool.
- **Coherent:** It has clear topics accompanied by well-formulated questions which, when properly administered, would give a holistic appreciation of an M&E system. The systematic presentation of the topics and questions renders it easy to administer and carry out meaningful analyses, conclusions and recommendations.
- **Specific:** The checklist has few or no ambiguities. The topics are clear and the questions under each component are attainable. It is easy to apply to Zambia's WoGM&ES.
- **Simple:** It is not complicated. It is expressed in user friendly language, yet is comprehensive and concise in content and presentation.

Therefore, the diagnostic checklist was used to collect data and information from all the respondents in the study. The application was done in two ways: i) it was administered as a complete checklist to collect data and information from the review of secondary documentation through a desk research approach, and ii) questions were selected from the checklist and appropriate interview schedules were developed, which were administered to key informants¹⁴ and in focus group discussions (FGDs). Participants were drawn from government and non-state institutions across structures at national, line ministry, provincial and district level. The three other checklists were used to a limited extent to inform questions in the interview schedules and questionnaires. Otherwise, the adopted checklist (by Holvoet et al) was used as the instrument of data and information collection for the research study.

6.4 Choice and justification for the area of study

Good governance and a genuine pursuit of poverty reduction remain imperatives among governments, especially those in developing countries such as Zambia (Arora, 2013; Bullivant, Burgess, Corbett-Nolan & Godfrey, 2012). Troubled with challenges that include deteriorating economic growth, high unemployment levels, especially among the youth and women, a poor human development record, and generally weak socio-economic outlay, the Zambian Government has been making sustained efforts towards poverty reduction for many years (GRZ, 2006, 2017b).

Monitoring and evaluation (M&E) is one of the core tools deemed significant to help contribute to the good governance crusade and to put Zambia on a positive path for poverty reduction and sustained socio-economic growth and development. To that extent, this research study sought to investigate and strengthen the whole-of-government M&E system (WoGM&ES) for the public sector, which is supposed to offer a platform for evidence-based decision making and policy formulation and implementation. The WoGM&ES is already in existence, but is not functioning as desired (see chapter 1). For that reason, it became necessary to undertake this study to investigate and suggest salient steps that could be effected to make it robust to benefit the economy in future.

¹⁴ ‘Key informants’ refers to individual people who were considered to have specialised information relevant to this study. They hold influential positions in M&E from government and non-government institutions.

The case study of Zambia's WoGM&ES was a preferred choice of interest for this candidate. Case studies are frequently used in programmes, policies and projects, and are useful for describing what an intervention looks like in practice and why things happen as they do, and focuses on the effects of an intervention (Imas & Rist, 2009; see also Bryman, 2012; Yin, 1993). Thus, like many developing countries, Zambia requires a stable and predictable governance system that tackles poverty issues using evidence from M&E arrangements and products across the public sector. Just as the country needs well-functioning systems in public finance, public procurements, audit and judiciary, Zambia requires a stronger WoGM&ES that will provide quality information for all processes of development (GRZ, 2017b; Kanyamuna, 2013).

Zambia's national long-term vision (Vision 2030) of becoming a prosperous middle-income nation by 2030 is the focus for government, working alongside its development partners. The five-year national development plans (NDPs) are used as vehicles to realise the Vision. Further, to achieve this visionary status, a number of reforms and efforts by stakeholders have been identified and are currently being implemented. For instance, strengthening the public sector M&E function is among the prioritised reform areas for government (GRZ, 2017b). This study takes keen interest in exploring the M&E arrangements further. The analysis of Zambia's WoGM&ES in the context of national development plans is of interest since it offers an opportunity to improve governance, transparency and accountability of public resources and public affairs, and creates some high levels of confidence in the populace (see section 1.2 and section 1.6).

6.5 Research design

Research design denotes an overall strategy chosen to integrate the components of a research study in a coherent and logical way, thereby ensuring the effective address of a given research problem (Babbie & Mouton, 2006; Creswell, 2009). It consists of the overall plan for the collection, collation, measurement and analysis of data (Black, 1999). Therefore, a representation of the chosen research design for this research study is described in section 6.5.1 below.

6.5.1 Qualitative research approach

The primary objective of this research study was to examine Zambia's M&E arrangements in the context of NDPs to ascertain ways of strengthening the WoGM&ES. To achieve this goal, the research design was broad based by taking on board elements that were deemed key to answering the primary and stated secondary objectives (see section 1.5.). To fulfil that aspiration, the research design was investigatory and descriptive in nature. This means that the qualitative approach was adopted to guide the overall data collection, analysis, interpretation and recommendations.

A research design is a plan of the proposed research work and represents a compromise dictated by practical considerations (Ghosh, 1992; Yin, 1993; Creswell, 2003). It is the arrangement or condition for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy or reasonable flexibility in procedure (Ghosh, 1992). It was also understood in this methodology that the research design remained tentative in the sense that as the study progressed, new facts, new ideas and new conditions appeared, which necessitated changes in the original paradigm.

A two-tier research approach to data collection and analysis was adopted. On one hand, desk-based research was used, mainly to consult literature (secondary research) on the topic of M&E, while on the other hand, the study used field-based research (primary research) to acquire hands-on information. Further, the secondary sources of data for the study comprised key government policy documents such as the NDPs, NDP Annual Progress Reports (APRs), evaluation reports, line ministry, provincial and district strategic plans and reports, Vision 2030 and various management reports and policies. In addition, the research used M&E-related literature from international development organisations such as World Bank, Organisation for Economic Cooperation and Development (OECD), United Nations, non-governmental organisations (NGOs), International Monetary Fund (IMF) and other multilateral and bilateral agencies. Equally, scholarly books, discussion papers, journal articles, working papers and research papers were consulted to enrich the discussion, analysis and drawing of conclusions and recommendations for improving Zambia's WoGM&ES. Websites and online databases and engines were also consulted and provided insightful information for the research study.

Furthermore, primary data were collected through key informant interviews and focus group discussions (FGDs) with stakeholders, particularly those concerned with public sector planning, implementation, monitoring and evaluation. The respondents were divided between key informants through the use of interviews, while information from other respondents was obtained through FGDs (see sections 6.8 & 6.9). Accordingly, the research design remained flexible enough to accommodate any necessary changes in conditions during actual field experiences.

6.5.2 Justification for using the qualitative approach

Qualitative research is based on description and theory telling (Ghosh, 2013). It helps to find out the truth about phenomena using various interactive data collection techniques (Ghosh, 2013; Bamberger, Rao & Woolcock, 2010; Tashakkori & Teddlie, 1998). While quantitative research depends on experiments and rigorous mathematical analysis of data for making generalisations and conclusions, qualitative research focuses on in-depth and descriptive information, mostly from the people who experience directly or indirectly the conditions being investigated (Adato, 2011). Therefore, since this study was exploratory and descriptive, qualitative methodology was selected as being suitable to provide the expected information and the analysis.

Another benefit from using the qualitative research approach is that it is based on observations and utilises the inductive method of enquiry (Stake, 2000; Wolcott, 2001; Boyce & Neale, 2006). At best, it covers types of research methods that do not use numerical sophistication for the analysis of data. Instead, it is interested in finding conceptual meanings of forms of entities and explanations of different types of phenomena (Kanbur, 2001). As a qualitative case study, it goes beyond descriptive questions to answer the ‘how and why’ questions (Yin, 1993). This research study thus was exploratory in nature, and sought explanations for questions related to the M&E-good governance-poverty reduction relationships. Qualitative research also allows researcher’s insights to be fed into the analysis. It allows for analytic generalisations, and has the potential for theory building (Babbie & Mouton, 2006). To that extent, this study was not a hypothetical exercise, but was exploratory in nature as it assessed the influence of several forms of oversight on the case study of Zambia’s WoGM&ES to understand internal processes.

Qualitative research was preferred for this study because it possessed a higher degree of validity compared with quantitative research because the data in qualitative research are derived from various sources through triangulation (Ghosh, 2013; see also Suri, 2011; Wolcott, 2001). Baker (1999) describes triangulation as a method of gathering data from sources using different types of techniques. Triangulation is commonly considered one of the best ways to enhance reliability and validity in qualitative research, and can partly overcome the deficiencies that flow from using one type of method (Merriam, 2002; Babbie & Mouton, 2006). In this research, triangulation was employed through the use of data collection instruments such as semi-structured survey questionnaires, document reviews and interview schedules. The information collected was synthesised to give a richer discussion and conclusions on a particular issue than would have been possible if only a single data source or data collection instrument had been used.

Therefore, the choice of qualitative research gave an understanding of details concerning the current nature and status of Zambia's WoGM&ES in a comprehensive manner. At the same time, qualitative research provided a platform to articulate the notion of M&E in a much more expressive and open-ended way.

6.6 Secondary research data sources

The sources of data for secondary information in this research study were obtained from published and unpublished sources. This document literature review was drawn from a wide range of sources—from across government and non-government literature sources.

6.6.1 Published sources

Information from various sources has been used throughout the study. In particular, published books, journal articles, periodicals and other literature were consulted to give a rich literature review for the study. In addition, reports from organisations such as World Bank, government and individual experts and practitioners in the field of M&E were employed to enhance the discussion. For example, the study benefited from a review of key national, regional, and global documents that state development aspirations for the world, Africa, and Zambia. Key documents included Zambia's Vision 2030, Zambia's key policy strategy documents – the First, Second, Third, Fourth, Fifth, Sixth, Revised Sixth and Seventh NDPs – and regional and

international development framework documents such as Africa Union Vision 2063, United Nations 2015 Millennium Development Goals (MDGs) and the 2030 Sustainable Development Goals (SDGs). In addition, government and institutional websites and online databases constituted a significant source of information.

6.6.2 Unpublished sources

Several unpublished sources of data were consulted for this research study as well. These included books, journal articles, government and organisational reports, mainly from World Bank, UN, various governments and NGOs. Other sources were reports by individuals, such as theses and dissertations, including working and discussion papers. Importantly, Internet-based information was also used.

6.7 Primary research data sources

Various types of respondents provided information for this research study. Respondents were drawn mainly from designated government and non-state institutions, such as government line ministries, parliament, cabinet office, office of the auditor general, provinces, districts, academia, civil society, and development partners and donors. In addition, the study benefited from respondents who were not initially planned for in the research design. These included practitioners in the field of M&E, while others were authorities and experts in the implementation of public development, such as non-governmental organisations (NGOs). Largely, these respondents provided valuable information that was relevant to the study findings, discussions and recommendations. Table 6.5 (section 6.8) gives details of the respondents who participated in this study.

6.8 Target population, study units and sampling design

This research was conducted within the confines of the Government of the Republic of Zambia (GRZ), the public sector to be specific. In terms of the sample size, Table 6.5 provides the numbers of respondents from various structural levels of government, quasi-government and non-state stakeholders (also see Table 6.6 & Appendix L). To reach a suitable sample size, purposeful non-probability sampling techniques were employed in determining the

respondents from the various categories and structural levels of government and non-state institutions.

A total of 142 respondents were targeted in the study, consisting of 33 respondents at national level, 15 at sector (line ministry) level, 54 from provincial and 25 from district (25) levels. Other targets were from civil society (3), cooperating partners (2), academia and research institutions (3), development associations (2) and other assorted stakeholders (5) using the same instruments (or adapted). However, the total number of respondents who took part in the study increased to 201. Owing to the specialised nature of their M&E related roles and responsibilities, the purposive sampling technique was employed to select the respondents.

Table 6.5. Sampling design, research units and planned respondents

No.	Sources of information (literature reviewed and institutions consulted)	Targeted respondents	Number of respondents
1	National level institutions (key informants)		
	• Cabinet Office	Planning & policy division (1)	1
	• Ministry of National Development Planning	• Directorate of Planning (3) • Directorate of Monitoring & Evaluation (4) • Central Statistical Office (3)	10
	• Ministry of Finance	• Budget Office (2) • Accountant General [Internal Audit] (1)	3
	• Parliament	• Monitoring and Evaluation section/unit (1) • Members of selected committees (2) • Selected parliamentary constituency offices (10)	13
	• Office of the Auditor General	• Auditor General (1) • Directorate of Planning (1)	2
	• National Development Coordinating Committee	• Permanent Secretaries (4)	4
	Total		33
2	Line ministry level institutions (key informants)		
	• Line ministries (members of cluster advisory groups)	• Selected line ministries (directorates of planning and M&E) (15)	15
	Total		15
3	Provincial level institutions		
	• Members of the Provincial Development Coordinating Committees (PDCCs)	• Selected members of the PDCC in 4 provinces - members excluded PPUs (40): 10 officers per province	40
	• Provincial Planning Units (PPUs)	• Provincial Planning Units (PPUs)	10
	• Office of the Auditor General – Provinces	• Office of the Auditor General - officers from 4 provinces (4)	4
	Total		54

4	District level institutions		
	• Members of the District Development Coordinating Committees (DDCCs)	• Selected members of DDCCs from 5 districts (Planning and Monitoring Units) (25): 5 officers per district	25
	Total		25
5	Selected institutions (key informants)		
	○ Academia and research institutions	• Academia and research institutions (3)	3
	○ Cooperating Partners (donors)	• Cooperating Partners (donors) (2)	2
	○ Development Associations	• Development Associations (2)	2
	○ Civil Society	• Civil Society (3)	3
	Total		10
6	Other key informants/stakeholders		
		• Independent M&E practitioners, consulting development firms, individuals, etc (5)	5
	Total		5
	GRAND TOTAL		142
7	Literature & document review		
	Zambia's Vision 2030 National Development Plans (1 st to 7 th NDPs: 1964 to 2021) National Performance Framework for Zambia Annual Progress Reports Line ministry Strategic Plans and Reports Provincial Plans and Reports District Plans and Reports Other relevant literature (reports and publications)	Literature review of relevant documents	Assorted sources/documents

Source: Compiled by author, 2018

6.9 Data collection procedures and instruments

Essentially, four (4) data collection methodologies and three (3) types of data collection instruments were used in the entire study. The methodologies included a literature review of various documents, interviews, focus group discussions (FGDs) and a survey, while instruments for data collection comprised the diagnostic checklist, self-administered (survey) questionnaires and adapted interview schedules (used for interviews and FGDs) (see Table 6.6 for details). Interview schedules consisted mainly of open-ended questions. The survey used a self-administered semi-structured questionnaire comprising both open-and-close-ended questions. Customised interview schedules were used to guide discussions of seven FGDs, each comprising between 5 and 10 respondents. A number of documents (published and unpublished) were reviewed using the adapted diagnostic checklist articulated by Holvoet et al. (see 6.2.1). Apart from government officials, additional key informant interviews were conducted with respondents from civil society (3), cooperating partners (2), academia and

research institutions (3), development associations (2) and other assorted stakeholders (5). For those organisations, adapted interview schedules were used to collect responses. The diagnostic checklist was used as the major semi-structured questionnaire or tool to assess and analyse Zambia's WoGM&ES (Holvoet & Renard, 2005; Holvoet & Inberg, 2011 & Holvoet et al. 2012). Additional tools such as interview schedules and questionnaires were adopted and adapted from similar analysis tools in the field of monitoring and evaluation.¹⁵ For details about the full diagnostic checklist, see appendix F.

For primary data collection, adapted questions (interview schedules) were administered to research respondents, namely key informants from across government and the standard questionnaire assessment checklist used for desk review of various documents. Therefore, these choices of methodologies determined the selection of data collection instruments. Further, semi-structured self-administered survey questionnaires and interview schedules were used. Again, both of these instruments were derived from the adapted diagnostic checklist by Holvoet and Renard, 2005; Holvoet and Inberg, 2011; and Holvoet et al., 2012. It was important to adapt the instruments according to the specific audiences. See appendices A, B and C for the detailed adapted questionnaires to respondents in ministries, provinces and districts.

For the interview methodology in particular, appropriated semi-structured one-on-one interviews with interview schedules were used to collect information from key informants across government and non-government structures (see appendices D & E). The schedules consisted of closed and open-ended questions. In addition, FGDs undertaken at provincial and district level were conducted using the same interview schedules with closed and open-ended questions. FGDs were used to help bring together those officers responsible for the function of planning, implementation, monitoring and evaluation to discuss and highlight issues of M&E arrangements and practice in government structures. A total of ten FGDs, comprising of between 5 and 10 people in each focus group, were organised and interviewed in the study. In total, the number of people who participated in the FGDs in the entire research was 91 (see Table 6.6 below).

¹⁵ Although the diagnostic checklist by Holvoet and others was used as the main assessment and analytical instrument, some questions from similar lists by other authors were adopted and appropriated to the study. For example, some questions were used from the assessment checklists by Bedi et. al. (2006), Lopez-Acevedo, Krause and Mackay (2013), MfDRs (2013).

Table 6.6 clarifies the data sources for the research study and shows the nature of data collection methodologies and instruments used to capture information from the sources. This is important in that research findings were supposed to be scientifically linked to empirical sources using clearly defined research approaches and tools (Cousins, 1986; Simelane, 1990, Mackay, 2007; World Bank, 2006). In that regard, the sources of information in this research were drawn from various government institutions at national, line ministry, provincial, district, selected institutions and from key informants as well as various document literature review.

Table 6.6. Data collection sources, respondents, methodologies and instruments used

No.	Sources of Information (Literature reviewed and Institutions consulted)	Targeted respondents	Total planned respondents	Total actual respondents	Data collection methodology	Data collection Instrument
I	National level institutions (key informants)					
	• Cabinet Office	Planning & policy division	1	1	Interview	<i>Interview schedule</i>
	• Ministry of National Development Planning	<ul style="list-style-type: none"> • Directorate of Planning <ul style="list-style-type: none"> ◦ Planned (3), actual (5) • Directorate of Monitoring & Evaluation <ul style="list-style-type: none"> ◦ Planned (4), actual (7) • Central Statistical Office <ul style="list-style-type: none"> ◦ Planned (3), actual (4) 	10	16	Interviews	<i>Interview Schedule</i>
	• Ministry of Finance	<ul style="list-style-type: none"> • Budget Office <ul style="list-style-type: none"> ◦ Planned (2), actual (3) • Accountant General [Internal Audit] <ul style="list-style-type: none"> ◦ Planned (1), actual (2) 	3	5	Survey	<i>Semi-structured questionnaires/questions</i>
	• Parliament	<ul style="list-style-type: none"> • Monitoring and Evaluation section/unit <ul style="list-style-type: none"> ◦ Planned (1), actual (1) • Members of selected committees <ul style="list-style-type: none"> ◦ Planned (2), actual (2) • Selected parliamentarians/constituency offices <ul style="list-style-type: none"> ◦ Planned (10), actual (5) 	13	7	Interviews	<i>Interview Schedule</i>
	• Office of the Auditor General (OAG)	<ul style="list-style-type: none"> • Auditor General <ul style="list-style-type: none"> ◦ Planned (1), actual (1) • Directorate of Planning <ul style="list-style-type: none"> ◦ Planned (1), actual (1) 	2	2	Interviews	<i>Interview schedule</i>
	• National Development Coordinating Committee	<ul style="list-style-type: none"> • Permanent Secretaries <ul style="list-style-type: none"> ◦ Planned (4), actual (8) 	4	8	Interviews	<i>Interview schedule</i>
	Total		33	39		

2	<i>Line ministry level institutions (key informants)</i>						
	<ul style="list-style-type: none"> • Line ministries (members of Cluster Advisory Groups) • Selected line ministries (directorates of planning and M&E) <ul style="list-style-type: none"> ○ Planned (15), actual (24) 		15	24	Survey	<i>Semi-structured questionnaires/questions</i>	
	<i>Total</i>		15	24			
3	<i>Provincial level institutions</i>						
	<ul style="list-style-type: none"> • Members of the Provincial Development Coordinating Committees (PDCCs) • Provincial Planning Units (PPUs) ○ Office of the Auditor General – Provinces 		<ul style="list-style-type: none"> • Selected members of the PDCC in 4 provinces - members excluded PPUs (40): 10 officers per province <ul style="list-style-type: none"> ○ Planned (40), actual (53) • Provincial Planning Units (PPUs) <ul style="list-style-type: none"> ○ Planned (10), actual (14) • Office of the Auditor General - officers from 4 provinces <ul style="list-style-type: none"> ○ Planned (4), actual (4) 	40	53	Focus Group Discussions (FGDs)	<i>Interview schedule</i>
	<i>Total</i>		54	71			
4	<i>District level institutions</i>						
	<ul style="list-style-type: none"> • Members of the District Development Coordinating Committees (DDCCs) 		<ul style="list-style-type: none"> • Selected members of DDCCs from 5 districts (Planning and Monitoring Units) (25): 5 officers per district <ul style="list-style-type: none"> ○ Planned (25), actual (38) 	25	38	Focus Group Discussions (FGDs)	<i>Interview schedule</i>
	<i>Total</i>		25	38			
5	<i>Selected institutions (Key Informants)</i>						
	<ul style="list-style-type: none"> • Academia and research institutes • Cooperating Partners (donors) ○ Development Associations ○ Civil Society 		<ul style="list-style-type: none"> • Academia and research institutes <ul style="list-style-type: none"> ○ Planned (3), actual (6) • Cooperating Partners (donors) <ul style="list-style-type: none"> ○ Planned (2), actual (2) • Development Associations <ul style="list-style-type: none"> ○ Planned (2), actual (3) • Civil Society <ul style="list-style-type: none"> ○ Planned (3), actual (7) 	3	6	Interviews	<i>Interview schedule</i>
	<i>Total</i>		10	18			

6	<i>Other key informants</i>	<ul style="list-style-type: none"> • Independent M&E practitioners, consulting development firms, individuals, etc <ul style="list-style-type: none"> ○ Planned (5), actual (11) 	5	11	Interviews	<i>Interview schedule</i>
	Total		5	11		
	GRAND TOTAL		142	201		
7	<i>Various literature & document reviewed</i>					
	Zambia's Vision 2030	Literature review of relevant documents	Assorted sources	Assorted sources	Desk research/reviews	<i>Diagnostic checklist</i>
	National Development Plans (1964 to 2021)					
	National Performance Framework for Zambia					
	Annual Progress Reports					
	Sector/line ministry Strategic Plans and Reports					
	Provincial Plans and Reports					
	District Plans and Reports					
	Other relevant literature (reports and publications)					

Source: Compiled by author, 2018

6.10 Data analysis

6.10.1 Data analysis strategies

To undertake a thorough discussion and analysis of the research findings, a qualitative analytical tool known as the LEADS system was adopted. This tool or strategy goes together with the diagnostic checklist by Holvoet et al. which was used to gather data and information for this research study. The LEADS data analysis method uses a five-point system of scoring: Little action (1), Elements exist (2), Action taken (3), largely Developed (4) and Sustainable (5).

The LEADS system is a matrix with components that correspond to the elements in the checklist by Holvoet and Renard, 2005; Holvoet and Inberg, 2011; Holvoet et al. 2012, namely: i) policy, ii) methodology, iii) organisation, iv) capacity, v) participation of actors outside government, and vi) use of information from M&E. See appendix K for a complete LEADS matrix with analytical details under each topic.

In this research study, the two tools were used together. First, the diagnostic checklist was fully administered to all respondents, which included a review of documentation. All the responses under each component in the checklist were compiled in readiness for discussion and analysis. This included all findings from the review of secondary data sources and information from key informants and from FGDs. Second, the LEADS system was used to assess the findings by scoring. This was done in accordance with the responses obtained under each topic for the six components. Although the scoring exercise was relatively subjective, resulting from the triangulated qualitative data and information from the field, value addition to the data was realised. This helped to enrich the discussion and analysis of the findings.

When all the questions had been answered and the scoring done, the discussion and analysis of the findings were undertaken. This involved the identification of aspects of good and poor performance in the WoGM&ES for the Zambian public sector. For instance, the research results from the LEADS system were tabulated to show which M&E component was well developed against those poorly developed. Both aspects of the findings became important in suggesting ways of improvement by informing which best practices needed to be replicated, scaled up and

sustained. In addition, the study employed qualitative data-analysis strategies such as Nvivo software package and text analysis to analyse and interpret the data from the field in an effort to understand the dynamics within the data. NVivo, a Qualitative Data Analysis (QDA) computer software package produced by QSR International, significantly improves the quality of research through its usability to collate and analyse qualitative data and information (Hilal & Alabri, 2013).

6.10.2 Ways to ensure validity and reliability

To ensure that all the research processes – namely preparation, design, data collection, collation, analysis, interpretation and presentation of findings maintained high levels of credibility and reliability, the scientific process was adhered to throughout the study. Internal validity¹⁶ and to some extent external validity¹⁷ issues were taken into account by ensuring that the research results were recommended for use only in the institutions from which the sampled respondents were drawn. This meant using credible data collection instruments and utilising appropriate scientifically proven analytical techniques and overall process.

6.10.3 Plans for pilot studies or testing of data-gathering instruments

The nature of this study did not warrant pre-testing of data-gathering instruments because the instruments were pre-designed with categories and questions. The diagnostic checklist was developed in 2005 and its proponents had administered it elsewhere with success.¹⁸

6.11 Ethical considerations

Because the study was conducted on a wide scope from various institutions and involved many respondents, formal ethical clearance was obtained by the candidate from the University of South Africa (see appendix G). During engagement with the study units and subjects, there were issues of concern about confidentiality with regard to the functionalities of several institutions. To ensure

¹⁶ Internal validity refers to how well an experiment is done, especially whether it avoids confounding (more than one possible independent variable [cause] acting at the same time). The less chance for confounding in a study, the higher its internal validity is.

¹⁷ External validity refers to how well data and theories from one setting apply to another.

¹⁸ Since 2005, the diagnostic checklist had been used to analyse the government M&E systems for 13 sub-Saharan countries, including Uganda, Rwanda, Ivory Coast, Mali, and Ghana.

that the entire research process was conducted in a scientifically acceptable environment, ethical consent documentations were prepared and given to the research subjects and entities that required them. However, few ethical issues were raised during the research.

The candidate is a professional M&E practitioner, who for the most of the period during this research study was employed by the Government of the Republic of Zambia. While working at the Ministry of Finance (MOF) and later at Ministry of National Development Planning (MNDP), the candidate was under the Monitoring and Evaluation Department, whose principal responsibility was to coordinate the M&E function at national level. It was important that this position was not abused in securing cooperation for personal academic research. Thus, prior to conducting the research, letters of permission were sent to the respondents and confidentiality was sought and assured. In all the communications, it was made clear that the research was not done on behalf of government, but for personal academic purposes. A letter signed by the permanent secretary in the MNDP was secured to give permission for the research exercise in all government and non-state institutions (see details of the letter in appendix J). For other consent letters, see appendices H and I. If respondents decided not to take part in the research study, their choices were respected. To uphold high levels of confidentiality, names of respondents were not used in the data.

6.12 Limitations of the study

This study was undertaken using two approaches of data collection, namely desk-based research and field-based research. Given the nature and methodology of the study, few limitations were encountered during the investigations. At most, challenges had to do with limited access to and availability of information from units of analysis. Further, since the research data were collected from multiple sources at national, sector/line ministry, provincial and district level, there were difficulties with access to information that required confidentiality clearance. These expected limitations, however, were resolved by various means. Triangulation of data sources was used to minimise information gaps in the research study (see section 6.5.2 for details on triangulation). To that extent, the use of primary and secondary data sources increased the credibility of the research findings, analyses and recommendations.

Limitations included irregular communication between the candidate, who is based in Zambia, and the supervisor, who is based in South Africa. However, this limitation was resolved through communication channels such as email, university interaction forums, telephone and Skype. Whenever necessary, the candidate travelled to South Africa (Unisa) to meet the supervisor to clarify aspects of the study. Additionally, financial constraints to facilitate the travels of the candidate to provinces and districts to collect data were experienced. However, information was obtained from the same sources by other methods through a process of triangulation (that is, use of multiple research methods and techniques).

6.13 Conclusion

Chapter 6 discussed the research design and methodology for this study. The focus was on the choice of and justification for the research topic. The qualitative approach was adopted as the method of undertaking the investigation. The sources of data were identified as primary and secondary. Primary sources included information from respondents through FGDs and in-depth interviews using interview schedules. Under the secondary sources, information was collected from books, reports, articles and other literature references. Further, Chapter 6 described the target population for the research and study units. The sampling design was also discussed. This was followed by a description of the instruments for data collection. The chapter has presented the diagnostic checklist used to collect research information under its six thematic elements, namely: i) policy, ii) methodology, iii) organisation, iv) capacity, v) participation of actors outside government, and vi) use of information from M&E. For analysis, the chapter also presented the LEADS scoring system, an instrument of research data and information synthesis with its five-point scores— Little action (1), Elements exist (2), Action taken (3), largely Developed (4) and Sustainable (5). Thus, both the checklist and LEADS scoring system where discussed as the main tools employed to guide this qualitative based research study. Before the ethical considerations, the chapter discussed the methods used to interpret the data from the field. The limitations experienced in the entire study were also presented. Chapter 7 presents the research findings, after which a discussion and analysis are done.

CHAPTER 7

Diagnosis of Zambia’s Whole-of-Government Monitoring and Evaluation System

7.1 Introduction

Chapter 7 presents the findings of the study, which was an in-depth diagnostic exercise about the functionality of Zambia’s Whole-of-Government Monitoring and Evaluation System (WoGM&ES). Further, it discusses the results by adding analytical value to the findings with a view to articulate and offer broad-based alternatives to the building and strengthening of Zambia’s public sector WoGM&ES.

The chapter comprises four parts. The first is the introduction. The second part provides a summary of the research findings according to the LEADS scoring system. It gives a quantitative presentation of the results and the scores are displayed according to the six dimensions of the diagnostic checklist. The third section presents a comprehensive discussion and analysis of the study findings. Details of the strengths and weaknesses of Zambia’s WoGM&ES as found in the study are discussed. The discussion and analysis of what works, what does not work, and the reasons are then used to inform suggestions and recommendations for improvements of Zambia’s WoGM&ES. The conclusion highlights major aspects and issues covered in the chapter.

7.2 Summary presentation of research findings

In this research study, the main objective was to assess the functionality of Zambia’s WoGM&ES by tracking what works, what does not, and why. This was done to produce feasible suggestions for improvement and further learning. Data were collected from reviews of secondary data sources and primary data sources.

The presentation of findings and analysis follows the six components of the adopted diagnostic checklist. The five-point LEADS system of scoring was used as a quantitative way of making the

results analysis and discussion clearer. The LEADS scoring system has five-point categories: L (Little action: 1), E (Elements exist: 2), A (Action taken: 3), D (largely Developed: 4), and S (Sustainable: 5). The diagnostic checklist and the LEADS scoring system were used conjointly. Therefore, the assessment tool comprised six components, 34 sub-components and 385 questions for guiding the assessment of an M&E system for a government (see Appendix F). These questions are then regrouped under the six headings. Using the questions from the diagnostic checklist, data collection was done using semi-structured interviews through self-administered (survey) questionnaires, FGDs and key informants. Rigorous document review was also used.

Table 7.1 presents the results of the assessment of Zambia's WoGM&ES to illustrate the status of the M&E system. It gives a summary of the Zambian public sector M&E system as diagnosed in the study. Although the study used the qualitative approach, this quantitative scoring system was employed to provide substance analysis and arrive at areas of improvement for the system.

Table 7.1. Summary presentation of diagnostic results

No.	COMPONENT	TOPIC	SCORES
1	POLICY		2.2
		M&E plan	2
		M versus E	2
		Autonomy & impartiality (accountability)	2
		Feedback	3
		Alignment to planning & budgeting	2
2	METHODOLOGY		2.9
		Selection of indicators	2
		Quality of indicators	3
		Disaggregation	3
		Selection criteria	3
		Priority setting	2
		Causality chain	3
		Methodology used	3
		Data collection	4
3	ORGANISATION		1.9
	a) Structure		1.6
		Coordination & oversight	2
		Joint sector reviews	1
		Sector working groups	2
		Ownership	2
		Incentives	1
	b) Linkages		2.2
		Linkage with statistical office	3
		'Horizontal' integration	2
		'Vertical' upward integration	2
		'Vertical' downward integration	1
		Link with projects	3

4	CAPACITY		2.0
		Present capacity	2
		Capacity building plan	2
		Problem acknowledged	2
5	PARTICIPATION OF ACTORS OUTSIDE GOVERNMENT		2.0
		Parliament	2
		Civil Society	2
		Donors	2
6	USE OF INFORMATION FROM M&E OUTPUTS		1.4
		Outputs	2
		Effective use of M&E by donors	1
		Effective use of M&E at central level	2
		Effective use of M&E at local level	1
		Effective use of M&E by actors outside of Government	1

Source: Diagnostic study score results compiled by author (2018)

The level of implementation status for the components of Zambia's WoGM&ES varies across the criteria (see Table 7.2). Although the results in Table 7.1 show variances across the 34 sub-components, it is interesting to observe how the overall picture varies from 'little action taken' to 'elements exist' and ultimately to 'action taken'. None of the dimensions scored 'largely developed' (4) or 'sustainable' (5).

Table 7.2. Status of Zambia's Whole-of-Government Monitoring and Evaluation System

Dimension	Status of implementation on LEADS scoring system ¹⁹	
Policy	2	Elements exist
Methodology	3	Action taken
Organisation	2	Elements exist
Capacity	2	Elements exist
Participation of actors outside government	2	Elements exist
Use of information from M&E	1	Little action
Average status of implementation	2	Elements exist

Source: Scores from study findings compiled by author (2018)

Overall, the diagnostic results indicate that the methodology component of Zambia's WoGM&ES is comparatively more developed with a score of 2.9 (rounded to 3) out of a possible total of 5, while the least developed component is the use of information from M&E outputs at 1.4 (rounded to 1). The organisation dimension (structure and linkages combined) had a score of 1.9, which was closer to those for capacity and participation of actors outside government (both have a score of

¹⁹ For ease of scoring and comparability, the scores have been rounded up to the nearest whole number. For example, the 2.2 score for the policy dimension is 2.0, the methodology dimension becomes 3.0, and so on.

2). The policy dimension scored 2.2. Although it was compiled holistically, the results reveal important dynamics. For the methodology component, five sub-topics scored 3 points (that is, quality of indicators, disaggregation, selection criteria, causality chain and methodologies), signifying that important M&E actions had been taken in this dimension across the WoGM&ES. The data collection sub-component scored the highest (4 points), meaning it was the most developed under the methodology dimension, while the selection of indicators and priority setting sub-components scored 2 points, meaning that only elements of M&E existed for those aspects of the methodology dimension.

The next relatively well developed component was policy (with 2.2 score), but a closer look at the intra sub-component dynamics gave notable aspects of analytical interest. For example, while the topic on feedback has a score of 3 points (action taken), the rest of the sub-components (M&E plan, M&E, autonomy and impartiality, and alignment with planning and budgeting) scored 2 points each. This may mean that although the policy component seems to be fairly or well developed at a 2.2-point score, Zambia's WoGM&ES fared poorly in its accountability function. This is also true of the sub-dimensions of alignment of M&E with planning and budgeting processes (a 2-point score).

All three actors, namely parliament, civil society and donors, had a 2-point score each for the component of participation of actors outside government (with overall score of 2 points). This signifies that only elements of M&E existed in these development actors and ultimately could mean that their participation and contribution to matters related to the WoGM&ES were weaker. The capacity dimension also had an overall 2-point score (that is, only M&E elements existed). It is worrisome to note that all three sub-components under this dimension (that is, present capacity, problems acknowledged and capacity building plan) possessed only elements of M&E and none was largely developed (4) or sustainable (5). The second lowest scoring component was the organisation dimension (combining structure and linkages) with an aggregated score of 1.9. Organisational linkages scored better, with an average 2-point score, than the organisational structure, with an average score of 1.6.

For the component of use of information from M&E outputs, the diagnostic results show that while M&E outputs may be available, their access and utilisation for management functions remain challenging across government structures and institutions outside government. Thus, the effective use of M&E outputs at local or decentralised levels scored a dismal 1 point (little M&E action was taken). Similarly, the effective use of M&E outputs by actors outside government scored 1 point, while the use of M&E at central level had a 2-point score. Again, these low scores suggest that currently the WoGM&ES did not inspire the demand for and utilisation of M&E information for decision- and policy-making processes by key stakeholders in the country.

In all, the presentation of these results opened up a number of discussion points. The positive aspects and the gaps would both stimulate opportunities to identify and strengthen aspects of Zambia's WoGM&ES. Taking time to consider these aspects in the assessment would generate critical action points. Section 7.3 attempts to address this concern in a more coherent and consistent, yet analytically in-depth way.

7.3 Discussion and analysis

To appreciate the details of the findings, a fuller discussion and analysis of the results follows. For consistency and in conformity with the study design, the six dimensions are used as headings. Table 7.3 shows the scores for each sub-dimension according to the LEADS system.

Table 7.3. Individual scores for the implementation status of sub-dimensions

Dimensions	Sub-dimensions	Individual sub-dimension status
1. Policy	M&E Plan	Elements exist
	M versus E	Elements exist
	Autonomy & impartiality (accountability)	Elements exist
	Feedback	Action taken
	Alignment to planning & budgeting	Elements exist
2. Methodology	Selection of indicators	Elements exist
	Quality of indicators	Action taken
	Disaggregation	Action taken
	Selection criteria	Action taken

	Priority setting	Elements exist
	Causality chain	Action taken
	Methodology used	Action taken
	Data collection	Largely developed
3. Organisation: a) Structure	Coordination & oversight	Elements exist
	Joint sector reviews	Little action taken
	Working groups	Elements exist
	Ownership	Elements exist
	Incentives	Little action taken
3. Organisation: b) Linkages	Linkage with statistical office	Action taken
	'Horizontal' integration	Elements exist
	'Vertical' upward integration	Elements exist
	'Vertical' downward integration	Little action taken
	Link with projects	Elements exist
4. Capacity	Present capacity	Elements exist
	Capacity building plan	Elements exist
	Problem acknowledged	Elements exist
5. Participation of actors outside government	Parliament	Elements exist
	Civil Society	Elements exist
	Donors	Elements exist
6. Use of information from M&E	Outputs	Elements exist
	Effective use of M&E by donors	Little action taken
	Effective use of M&E at central level	Elements exist
	Effective use of M&E at local level	Little action taken
	Effective use of M&E by actors outside of Government	Little action taken

Source: Diagnostic scores from the research study compiled by author (2018)

The study findings are presented under the 34 sub-dimensions of the six major dimensions.

7.3.1 Policy

According to the diagnostic checklist by Holvoet and Inberg (2011), five sub-components are considered when assessing the quality of a country's M&E system from a policy perspective.

These elements involved checking the existence of an M&E plan, checking whether the difference between ‘monitoring’ (M) and ‘evaluation’ (E) was acknowledged and articulated, and assessing whether autonomy and impartiality were prioritised. The diagnosis also assessed the feedback mechanisms and checked whether M&E was aligned with planning and budgeting processes.

Sub-dimension 1: Monitoring and evaluation plan

The total score for this sub-dimension was 2.0, signifying that only elements existed regarding the M&E plan for Zambia’s WoGM&ES. The “existence of acceptable national planning, budgeting and M&E systems, or at least observable improvements in such systems, and trust in a recipient country’s policy priorities is in principle necessary for the effective and successful move towards a shift from donor control to recipient control” (Holvoet & Renard, 2005:7). Thus, it was established that Zambia had a number of documents that articulated M&E issues. The National Planning and Budgeting Policy of 2014 provided high-level guidance for M&E practice and implementation for the public sector. However, the policy did not offer clear and holistic guidance on M&E implementation across government. There was also a draft national performance framework (NPF), which articulated strategic objectives and outcomes that were significant in realising Vision 2030. NPF is the framework that clarifies the theory of change (ToC), illustrating how the implementation of NDPs and the measurement of progress were envisaged to happen. In supporting such an effort, Mackay (2007) argued that many governments have realised that without a structured results orientation in the manner governments did their business, not much development could be achieved. Hence the focus was on development of national performance frameworks. In that regard, the NPF could map key result areas and outcomes that are cascaded downwards at sector level with KPIs, baseline values and targets to guide the implementation, monitoring and evaluation of programmes (GRZ, 2015). There were also line ministry strategic plans that articulated M&E activities at that level (GRZ, 2006, 2011, 2013, 2014 & 2017). However, some line ministries, provinces and districts had not developed their strategic plans.

It was acknowledged that a whole-of-government monitoring and evaluation system (WoGM&ES) was in place. Nevertheless, the system was not unified. There was no common definition and understanding of the WoGM&ES across the public sector institutions consulted. Zambia has a national long-term vision (NLTV), namely Vision 2030, which expresses citizens’ aspirations of

becoming a prosperous middle-income country by 2030. The NLTV is the basis on which all plans and budgets should be anchored. Zambia also has a national development plan (NDP), which a five-year medium-term plan is derived from the NLTV aimed at helping to achieve the vision. An NDP is a detailed policy strategy from which monitoring and evaluation (M&E) is derived. Currently, Zambia is implementing the 7NDP (2017–2021), which has defined development outcomes, strategies, programmes and objectives to be achieved by 2021. Unfortunately, government had not defined strategies and objectives to be achieved at province and district level by the end of the plan.

Many M&E systems across government were fragmented. Only draft national M&E policy, performance frameworks and automated monitoring and evaluation information management systems (M&E-MISs) have been formulated so far. Currently there is a mechanism that facilitates the tracking of delivery of public services and assessment of impact and appropriateness of policies and programmes. However, the system is not effective because of the lack of management information systems (MISs) in institutions that were mandated to provide data and information. Therefore, overall, Zambia has an M&E plan in place, but it is not comprehensive enough to state what to evaluate, how, and for whom. For instance, no document explicitly indicated the prioritised interventions for evaluations (that is, no evaluation plan was in place). However, the M&E plan was clear about the reasons for evaluation (that is, to enhance accountability, feedback and learning) (GRZ, 2010, 2017).

Sub-dimension 2: Monitoring versus evaluation

The notions of ‘monitoring’ and ‘evaluation’ were acknowledged and differentiated only to some extent in all government documents. As a result, a score of 2.0 was given, denoting that only elements existed. A section in 7NDP was dedicated to defining and describing the meaning of each concept (GRZ, 2017). In addition, the two functions were not understood to be different in the 7NDP, they were also acknowledged as being complementary (GRZ, 2014, 2015, 2017). While this was clear in the NDP, understanding of the differences between the notions at levels such as line ministry, province and district was found to be weak. At those levels, there was a tendency to put them together as though they were synonymous. Further, there was a great deal of effort at all

levels to describe in detail monitoring tasks to be undertaken as opposed to those concerning evaluation.

Policy framework(s) in institutions across the WoGM&ES made M&E of institutional plans and programmes mandatory. But there was no framework to ensure data quality and relevance. Nor were there formal structures to facilitate the use of performance information for programme management and evidence-based decision making.

As a consequence, units, section and departments in charge of M&E based their measurement and achievement of objectives and goals on performance indicators (KPIs), though in some cases these were weak or non-existent. In addition, evaluations were ad hoc and rarely undertaken. Likewise, all MPSAs acknowledged that none had an official public (legal framework) document that established the evaluation guidelines with methodologies and technical standards to guide institutional plan evaluations. Project and programme evaluations were rarely conducted across MPSAs, a factor which caused institutions to score poorly in evaluative practice and culture.

Sub-dimension 3: Autonomy and impartiality

A score of 2.0 was given to this sub-section, entailing that elements of autonomy and impartiality existed in the WoGM&ES for Zambia. An assessment was made of whether the need for M&E autonomy and impartiality was mentioned explicitly and whether the M&E plan allowed for tough issues to be analysed and reported. Additionally, the assessment investigated whether there was an independent budget or fund allocation for M&E. It was found that the need for autonomy and impartiality of M&E was not mentioned explicitly. In all four NDPs that were reviewed (FNDP, SNDP, R-SNDP and 7NDP), autonomy and impartiality of M&E were not mentioned categorically or acknowledged as being important for a successful WoGM&ES or for good governance (GRZ, 2006, 2011, 2013, 2017). The annual progress reports (APRs) did not mention the need for M&E functions to be treated with autonomy and impartiality. In all documents and interviews, M&E functions were described as being undertaken by ordinary departments, units and sections within government structures without any demand for autonomy and impartiality. Perhaps, the only element of autonomy and impartiality that was mentioned in some NDPs and APRs was the need for ‘evaluation exercises or processes’ to be led by external consultants or experts – not necessarily

establishing formal external evaluation structures (GRZ, 2011, 2012, 2015, 2016 & 2017). In addition, organisational or structural issues of M&E were not covered prominently in the documents. No mention was made of the need to locate the function of monitoring and that of evaluation in one place or in different locations.

With regard to the analysis and reporting of tough issues arising from the implementation of development interventions, there was no mention of what needed to be done. As a result of weak analyses in APRs for instance, details to inform practical correctional actions were lacking. In the documents, there was sporadic attention to budgets that were meant to finance M&E functions and particular activities. There were no independent and predictable budgets across public institutions for M&E activities. Evidence of budget cuts and non-release of funds for M&E-related activities in most institutions was repeated. Whenever institutional budget cuts were done, budget lines for M&E activities suffered most – signifying that less importance and priority were attached to M&E. Except for a few line ministries (National Development Planning, Health, Education, Agriculture, Fisheries and Livestock), the budget allocations for supporting M&E activities in most public institutions were reported to be small and fragmented. More so, even in those few institutions with small budgets for M&E, allocations seemed to be focused only on limited monitoring activities and almost nothing for evaluation undertakings (GRZ, 2006, 2011, 2013, 2014, 2015, 2016 & 2017).

Sub-dimension 4: Feedback

The assessment score of 3.0 was given, implying that action was taken pertaining to feedback loops. Feedback mechanisms constituted another element that was assessed. Here it was interesting to check whether there was an explicit and consistent approach to reporting, dissemination, and integration. The Zambian policy environment and M&E plans and frameworks had mixed positions on approaches to reporting, dissemination and integration of M&E (in all four NDPs – fifth, sixth, revised sixth and seventh). The APR, based on the reporting performance of the NDP was the main feedback M&E output for the WoGM&ES. Once produced, it was disseminated to stakeholders, particularly government institutions, for possible use in organisational development processes. Dissemination of NDPs and APRs was done through meetings, workshops and the ministerial website (GRZ, 2006, 2011, 2013 & 2017) and occasionally through newspapers, radio

and television. Ministry of Finance (MOF) indicated that budget information was available to the public through the Internet by the time that budget proposals were presented to parliament. MOF also posted this information on its website for the public.

However, although dissemination to stakeholders and integration of M&E results into decision-making processes were mentioned, no details were given on how this was done (GRZ, 2006, 2007, 2011, 2013, 2014, 2015, 2016 & 2017). Quarterly and annual reports were available from MPSAs, but dissemination to stakeholders was said to be limited. Further, data dissemination was reported to be done through media briefings, posters, reports and postings on the institutional (CSO) website. Other disseminations were done at stakeholders' request. Some products were disseminated to MPSAs and to other non-state actors such as universities and parliament. Nonetheless, it was acknowledged that these platforms catered only for urban-based stakeholders, while those in rural set-ups had no easy access.

Sub-dimension 5: Alignment to planning and budgeting

A total score of 2.0 was given for this sub-dimension. It means that only some elements of alignment to planning and budgeting existed. The integration of M&E products into the processes of planning and budgeting was found to be mixed. Some M&E integration was traced or mentioned in the process of designing NDPs. For example, APRs, evaluations and reviews were used to inform the formulation of the SNDP and 7NDP. But this evidence seemed to end only at the planning stage – and not the decision-making level.

However, the most significant problem was with the budgeting. Although there was mention of attempting to use the NDPs to inform budgeting, evidence was weak or missing altogether. In some cases, budgeted and funded programmes and projects were not contained in the NDPs or line ministry budgets (GRZ, 2013, 2014 & 2016). APRs showed that most fund releases from NDPs in the budgets were unreleased by MOF. There was no evidence of integration of M&E information into the resource allocation. MOF rarely or never used M&E feedback to determine fund allocation and release, if so, the link was weak (GRZ, 2014 & 2016). Further, MPSAs were required to present M&E information in support of their budget and medium-term expenditure framework (MTEF) submissions – but to a lesser extent and it was characterised by a weak management

structure. Every year, MPSAs were asked to submit a policy brief for their previous budget's expenditure performance to MOF. In those briefs, institutions presented their budget performance reports with some semblance of M&E information.

Nevertheless, there was no strong evidence of integrating M&E information, for instance in informing critical decisions across government processes, such as budgeting and resource allocation by MOF. With regard to whether programme/project output information was used in decision making across government structures, a number of MPSAs acknowledged that they did so, but did not give details of how this was done. At the same time, some institutions stated that the use of output and outcome information in decision making was not regular, coherent or consistent.

In addition, Medium Term Expenditure Frameworks (MTEFs) were not implemented effectively for they were changed or adjusted annually, depending on resource availability. Further, budgetary decisions were carried out without necessarily taking into account the results produced by the performance indicator-system of the NDP(s). Budget decisions were driven by the resource availability in a given year and based on the guidance of cabinet. No incentives were in place to encourage the demand for M&E information by MOF from agencies to accompany their budgetary requests or support. MPSAs were not obligated to present their M&E information in support of their budgets and MTEF submissions. It was reported that there was no such requirement by MOF. The biggest challenge was that most (if not all) MPSAs lacked robust M&E systems to deliver this kind of information. There was also a lack of M&E champions in MPSAs to demand M&E results to inform planning and budgeting decisions and processes. Lack of incentives was said to have led to delays in institutionalising M&E in most MPSAs. Only to a certain extent was it acknowledged that MOF engaged line ministries and other MPSAs in dialogue on their policy choices, based on performance information. This was done through the policy and budget hearings at which MPSAs were invited to dialogue with the treasury on their proposed policies. This gave MPSAs an opportunity to justify, and seek clarity on their proposed policy priorities. In addition, it was reported that, despite such efforts, this did not influence significant policy choices, as did the availability of resources in the treasury.

For the limited engagements by the MOF with MPSAs, it was confirmed that the nature of information required when submitting budget proposals included retrospective and prospective information on ministry spending; information on ministry outputs; and to a limited extent on outcomes and impacts. Also, infrequently information on results of formal evaluations and reviews was requested. It was gathered that these engagements were never results or performance based. No evidence existed of linking performance information of MPSAs and policy hearings by MOF. It was not even clear if MOF had a results approach in the implementation of the short- and medium-term financing frameworks. The MNDP was mandated to coordinate national development planning and it was reported to demand various types of information from MPSAs. Such information included prospective and retrospective information on ministry spending; information on ministry outputs; information on institutional outcomes and impacts; and on results of formal evaluations and reviews, though in many cases outcome and impact level information was missing.

7.3.2 Methodology

In reviewing the quality of the M&E methodology, eight topics or sub-components were considered in the diagnostic checklist (Holvoet & Inberg, 2011). Focus was on the selection of indicators, quality of indicators, indicator disaggregation, selection criteria and priority setting. Others included assessing the linkages among the indicators and data sources and the degree to which indicators formulated at different levels (input-activity-output-outcome-impact) were integrated into one causality chain. Finally, specific M&E methodologies and data collection sources were reviewed.

Sub-dimension 6: Selection of indicators

A score of 2.0 was given to this sub-dimension, entailing that elements existed for the selection of indicators. In the NDPs and APRs, what to monitor was clear from programmes that used stipulated performance indicators. However, what to evaluate was clear only from the indicator information level, and which programmes and projects were earmarked for evaluation was not indicated in the NDPs or other plans. At national level, a list of indicators was available and it was reported that these indicators were not easily changed yearly. Those national-level indicators were

said to be embedded in NDPs. However, at line ministry, provincial and district level, the availability of indicators was fragmented. In some cases, performance indicators were missing altogether. Further, changes in indicators were reported to arise at times owing to continuous data unavailability. R-SNDP and 7NDP contained clearly selected and prioritised indicators in their implementation plans (IPs), especially for output level indicators. KPIs were reported to have been agreed upon by stakeholders and documented in NDPs.

IPs (usually referred to as volume II of NDPs) are documented indicators that cut across all development spheres of focus in the NDP. Lists of indicators in the 7NDP IP were on KPI, outcome and output level. These were generated from programmes and projects. The unapproved draft national performance framework (NPF) also had listed KPIs linking NDP level indicators with Vision 2030 strategic objectives.

Sub-dimension 7: Quality of indicators

A score of 3.0 was given for the quality of indicators sub-dimension, denoting that action was taken. In addition, there was a weakness with sector-level indicators. Several line ministries did not have clear lists of indicators, making it difficult to determine what to monitor and evaluate. Equally, there were no clear lists of performance indicators at provincial and district level. Apparently these were still under development by stakeholders in provinces and districts. Because of the weak indicator system at line ministry level, indicator harmonisation with NDP level indicators seemed problematic. Sector Performance Frameworks (SPFs) were still being developed in a few line ministries (most of them did not have performance frameworks). Until these are well developed, harmonisation of indicators between those in sectors and NDPs will remain a challenge. Thus, the harmonisation of indicators between those in sectors, provinces, districts and NDPs was weak and, in some cases, non-existent. However, efforts were there to strengthen or bridge this gap through encouraging sectors to participate in selecting indicators in NDPs and maintaining some at sector level. Nevertheless, at provincial and district level, apparently no indicators existed. Hence, linking development progress and performance with the NDPs at those levels was reported to be a challenge.

In terms of performance indicators, most of them were SMART, that is specific, measurable, achievable, realistic and time bound. To a large extent, indicators in the NDPs were developed in a SMART way. Those in the IPs of R-SNDP and 7NDP were SMART to some extent. However, some indicators were pitched too low at process (activity) level instead of being pitched to measure high-level development results at outcome and impact. In addition, the availability of baseline information for most indicators in the NDPs was mixed. In most cases, baselines and targets were attached and fairly well articulated, but unfortunately for other indicators no such information was included. In the 7NDP for instance, some indicators did not have baselines, making it difficult to measure NDP progress over time (GRZ, 2017). Most indicators had meaningful baselines and targets. However, there were concerns about the realistic nature of some baseline and target information. In some instances, there was too much under-targeting and in other cases over-targeting. Weak indicator systems were found at line ministry level and this posed challenges in ascertaining whether all the indicators were SMART. Also, the lack of indicators at provincial and district level rendered the review and appreciation of whether the indicators were SMART difficult.

Sub-dimension 8: Disaggregation

A score of 3.0 was given, indicating that action was taken in indicator disaggregation. The assessment endeavoured to establish whether the indicators in the WoGM&ES were disaggregated by sex, region, socio-economic status, etc. Some indicators were found to be disaggregated by sex, region, socio-economic status and other categories of measurement. For instance, some indicators in NDPs (FNDP, SNDP, R-SNDP and 7NDP) were disaggregated by sex and region, and others by socio-economic status. Nonetheless, disaggregated data and information were problematic, despite the availability of disaggregated indicators. Also those indicators in the NPF were disaggregated in a number of appropriate forms (that is, sex, region, socio-economic status). However, in the NDPs and NPF, some indicators were not appropriately disaggregated by sex, region and socio-economic status (GRZ, 2006, 2011, 2013, 2015, 2016 & 2017). Specific provincial and district level indicators did not exist, yet they were key to measuring poverty reduction programmes and projects. Therefore, this mixed status of indicator disaggregation in the NDPs and other frameworks made performance measurement and the fuller appreciation of the impact of development interventions a challenge.

Sub-dimension 9: Selection criteria

The selection criteria sub-dimension was given a score of 3.0, meaning action was taken. The diagnostic checklist involves assessing the selection criteria for indicators in the WoGM&ES. This aspect involved these questions: Are the criteria for the selection of indicators clear? And who selects the indicators? The criteria for indicator selection were said to be clear to some extent, while it was not fully clear who was involved in the selection process. Not all relevant data collectors and users were involved in the selection process of indicators at various levels. The criteria, however, were broadly understood to be participatory, inclusive and done at all levels of development results.

In developing the IPs for the NDPs, mention was made in NDPs, interviews and FGDs that only ad hoc arrangements existed in terms of who was involved in the selection of indicators. Line ministries, research institutions, CSO, civil society, donors, academia, etc, were among the instrumental stakeholders in indicator selection for the NDPs (GRZ, 2006, 2011, 2013, 2017). Similarly, several consultations were undertaken in developing and selecting indicators in the NPF (GRZ, 2017). Further, the review established that the participation of non-state actors was only ‘fair’ and not too clear. For instance, a few non-state actors, predominantly the UN system in Zambia, were involved in the indicator selection process for the 7NDP. The UN’s main interest was to ensure that 7NDP domesticated the Sustainable Development Goals (SDGs) by including indicators for tracking in the entire implementation process (GRZ, 2017). There was also mention among respondents that development partners (DPs) or donors who participated (especially the UN group) in the 7NDP process put too much emphasis on the adoption of SDG indicators and less demand on unique country-specific indicators. Further, the lack of or weak participation of provincial and district level stakeholders in indicator selection remained a significant gap in Zambia’s WoGM&ES.

Sub-dimension 10: Priority setting

A total score of 2.0 was given for the priority setting sub-dimension, denoting that elements exist. Priority setting in the development and selection of indicators to be included in the WoGM&ES and NDPs was another critical aspect. The key question was: Is the need acknowledged to set

priorities and limit the number of indicators to be monitored in Zambia's WoGM&ES? These were partly acknowledged in the documents and in the interviews and FGDs. However, the number of indicators in 7NDP for example was found to be too high, even when it was said to be a prioritised list (that is, 848 at output level, 144 at outcome level & 75 KPIs). It is unlikely that large numbers of indicators could be monitored by overstretched public systems. In most cases, however, it is not really clear whether all the indicators were effectively monitored, and what was done with the monitoring information (McGranahan, Pizarro & Richard, 1985; World Bank, 2008; Manning, 2009; Cabral, 2009). However, sector, provincial and district level indicator systems remained weak owing the lack of specific or disaggregated indicators at those levels.

Sub-dimension 11: Causality chain

For the causality chain sub-dimension, a score of 3.0 (action taken) was given. The existence of a clear causality chain in the methodology component of the WoGM&ES was assessed. This characteristic forms the basis on which ToC is anchored. A diagnosis was made to ascertain the levels of indicators (input-activity-output-outcome-impact) and how they were explicitly and logically linked (or not) horizontally and vertically using programme theory (Holvoet & Renard, 2005; Holvoet & Inberg, 2011). Thus, it was found that various levels of indicators were specified and linked to some extent, but not explicitly so. Succinctly, indicators in 7NDP were defined at three levels of the results chain, that is, output, outcome and impact, with prioritised KPIs. At the same time, sector/institutional indicators were specified at input and activity/process levels (though evidence was weak) with less attention at outcome and impact levels. In addition, the NPF promoted the setting of indicators following the ToC, particularly the complete causality-chain. Thus, the linkages and harmonisation of indicators at various levels was not consistently and coherently presented (GRZ, 2015, 2016, 2017).

However, at provincial and district level, no indicators existed (at least in the context of NDPs). In the 7NDP, the ToC was acknowledged as having informed the plan preparation process. However, there was a lack of details on the complete use of the entire causality chain.

Sub-dimension 12: Methodology

The sub-dimension of the methodology was scored with a 3.0, representing that action was taken. Further, the checklist looked at methodologies to determine whether how to undertake monitoring exercises and evaluation processes was clear. Similarly, the identification of appropriate methodologies and determining how these methodologies were mutually integrated was important in the assessment. Clearly identified methodologies to use when undertaking monitoring and evaluation processes, were mentioned to some extent – although this remained mixed. It was acknowledged in 7NDP IP that appropriate methodologies needed to be devised at every level of the causality chain to collect data and information. For example, monitoring methodologies such as field visits, daily entries of data, meetings and reports were proposed as key for success. Others included administrative data collection tools for monitoring information and censuses, surveys and reviews for evaluation findings. Although various methodologies were mentioned, it was not clear whether there was a preference for qualitative or quantitative methods or, better still, mixed approaches. However, the challenge was with the integration of methodologies which was less emphasised, uncoordinated and mixed.

Sub-dimension 13: Data collection

A score of 4.0 was given to the data collection sub-dimension. This high score means that the aspect was largely developed. It was gathered from the documents and interviews that clearly identified sources of data were in place – in some cases with indicators linked to sources of data collection. Population-based surveys and day-to-day administrative data from MPSAs were identified as sources of data and information for measuring indicators in the NDP and other institutional performance measurements. The main sources of data for the WoGM&ES, among others, were administrative records, budgets, population censuses and household surveys. Administrative data was reported as the most used source because household surveys were expensive and conducted irregularly (GRZ, 2011, 2012, 2013, 2014, 2015, 2016, 2017).

Further, the assessment involved checking whether the WoGM&ES was able to supply quality data and analysis needed by users and to what extent the M&E framework could provide adequate resources and other capacities (finances, skills, etc.) for M&E processes. In addition, the diagnosis

assessed the frequency and periodicity of data collection on particular issues. The WoGM&ES was reported not to be fully able to supply the data and analysis needed by users. This was because the national system was not yet developed to those levels (it was still in its infancy). For instance, the system was not available in some MPSAs (no structures, staff, etc.) and Internet connectivity in some parts of Zambia was poor. Equally, the system was reported not to have the capacity to provide resources (finances, skills, equipment, etc.). More training was needed for M&E officers in MPSAs. There were still challenges of low staffing and weak institutional capacities, which the MNDP expected to be resolved once the National M&E Policy (NM&EP) was approved by cabinet. Also, there was currently too much dependence on DPs for financial and technical support. The periodicity of data collection on particular issues was conducted at different moments. For example, population censuses were held every ten years, various surveys were done every two, four and five years, while the consumer price index (CPI), inflation and trade data were being conducted every month. As for the gross domestic product (GDP), it was collected and computed quarterly and annually.

Other aspects of assessment involved checking the length of time between the reference period and the distribution and use of the data and information. The focus was to ascertain whether this lag was too long, limiting the utilisation of the data for decision making and improvement. Further, checking whether processes and procedures in data compilation adhered to professional and ethical standards was of interest in the assessment. Research data revealed that the time lag between the reference period of data collection and its use was still quite long with some data, taking almost two years from its reference period to the publication time. However, inflation data were published within the month that they were produced. Although a time lag was experienced, there were efforts to improve, since time lags were usually due to delays by MPSAs to provide data. Further, processes and standards in data compilation adhered partially to professional and ethical standards. Often, internationally agreed recommendations and principles were used to compile and analyse data. In those efforts, CSO was reported to be responsible for enforcing the standards. However, Part IV of the 1964 Census and Statistics Act, Chapter 425 (Chapter 127 in the 2016 amended constitution) of the Laws of Zambia was said to be weak and outdated on this aspect of providing enough powers to CSO to enforce adherence by actors to data standards. For that reason, it was reported to be under revision.

The methodological component included the assessment of the availability of arrangements within the WoG-M&E to track poverty-related expenditures. In that regard, government had systems in place to track poverty-related expenditures through the implementation of the integrated financial management and information system (IFMIS) through the MOF. To some extent, government institutions had additional forms of public expenditure tracking. The statistical institution (that is, CSO) had a unit that was responsible for tracking public expenditure-based information. Line ministries and other government agencies also had functions of tracking their own expenditure information quarterly and annually. Further, the Office of the Auditor General (OAG) was reported as being vital to monitoring, tracking and reporting public expenditures.

The roles of central, sector, provincial and district level governments in monitoring and evaluation of decentralised services were also assessed. Focus was on the sorts of data that were collected by each actor at these levels. Administrative data was collected by MPSAs as they undertook their day-to-day activities. Population censuses and household surveys were mostly undertaken by the national statistical institution (that is, CSO). However, some MPSAs were allowed to spearhead undertakings of surveys in collaboration with CSO. Further, the MNDP was reported as doing much of the consolidation and analysis (though this function remained weak within the ministry of planning because of incapacities – financial, skills, staffing levels, etc.).

A number of roles in M&E were played by the central, sector, provincial and district governments as well. Districts were reported as being responsible for monitoring development implementation at district level, and their reports were submitted to provincial level. Likewise, provinces consolidated district-level information and transmitted it to sectors and central government agencies (Cabinet Office, MNDP, etc). Similarly, line ministries compiled the information and sent it to central government, where it was aggregated to obtain a national picture and used by stakeholders. In short, sector, provincial and district governments undertook mostly monitoring exercises, while in a few cases evaluations and their findings or reports were fed into central government, which consolidated and used the results for decision making and to improve further evaluations although evidence of this was weak in the study. Each actor was collecting certain data. District and provincial officers collected mainly performance data (process indicator level information), while sector and national level actors collected indicator data at output, outcome and

impact level, mainly through surveys. In other ways, at sector and national level it was mostly administrative and survey data from lower structures, while at province and district levels mostly administrative data was collected. Lack of indicators at provincial, district and to some extent sectors still present a practical challenge to data collection, disaggregation and integration at all levels.

Data aggregation and analysis occurred at various levels – national, sector, provincial and district. MNDP and CSO mainly aggregated national level data in national reports (for example APRs). Aggregation of data was done using statistical software. Some level of analysis was done in relation to the achievement of goals and objectives in the NDP and other national priorities. Methodological aspects included assessing whether there were multiple systems for monitoring and reporting at national, sector, provincial and district level and whether there were incentives to encourage or distort the data. The availability of data deficiencies or gaps was also assessed. There was acknowledgement that multiple systems for monitoring and reporting existed at various levels of government. Since the WoGM&ES was still in its embryonic stage, there were a number of parallel M&E systems with such actors as DPs and individual government agencies (sectors, provinces and districts). These parallel and fragmented stand-alone M&E arrangements were not always compatible with each other. Although this was the case, these systems did not conflict in other aspects (they complemented each other). In some instances, duplications and redundancies were reported. These were coupled with fragmented M&E and statistical arrangements, providing inadequate data and information to users. Further, the current M&E mechanisms were not effective owing to lack of management information systems (MISs) in the institutions that provided data and also irregular surveys for analysis of outcome and impact level performance. Worse still, the data from the WoGM&ES was apparently not available for the complete elaboration and monitoring of the NDP.

There was no evidence of incentives being used to disperse data and M&E information across the WoGM&ES. Instead, linkages between the WoGM&ES and budgetary and public expenditure management systems were weak or, worse, non-existent. At the most, budget performance was currently being analysed annually and of previous year's performance informed the formulation of the subsequent budgets –though reported to be a weak link currently. Data generated from the

WoGM&ES was acknowledged as being deficient and gaps existed in many ways: i) MIS were non-existent in most government institutions, ii) data collection and compilation was not done regularly, and iii) lack of resources to conduct some surveys regularly. Information at KPI and impact levels was available only after major and expensive surveys were undertaken by CSO. Further, the gaps were usually for outcome and impact level indicators, though even for outputs, data took more time to be mobilised by most data providers, which made national reporting challenging and delayed in many instances.

Owing to differences in methodologies and approaches by agencies, data inconsistencies characterised the statistics in the country. However, CSO usually employed intensive training for data collectors, field spot checks, monitored field work, and assessed data during field work. There was acknowledgement that whenever discrepancies in data were found, investigations were effected. This was done through going back in the field or revisiting the definitions, using or consulting other staff or experts that had undertaken similar activities.

7.3.3 Organisation

The component of ‘organisation’ is categorised into ‘structure’ and ‘linkages’. The review focused on the institutional flow of information structurally and checked the existence of functional M&E linkages.

a) Structure

The average score of 1.6 was given to all the components contained under the organisation dimension. The importance of putting in place a well-institutionalised structure for M&E is based on providing credibility of information with a view to satisfying the needs of accountability, feedback loops and learning (Kanyamuna, 2013; Cummings, 2003). To assess the M&E structural arrangements, five topics were used, namely coordination and oversight, joint sector reviews, working groups, ownership, and incentives.

Sub-dimension 14: Coordination and oversight

A score of 2.0 was given for the coordination and oversight sub-dimension, signifying that elements exist. Coordination and oversight make up one of the important functions assessed under the organisational structure sub-component of the checklist. Critical questions that guided the review were: Is there an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at different levels? With which stakeholders? What is its location?

As a coordination and oversight arrangement for the implementation of NDPs, Zambia had three major aspects: oversight structures (Parliament, Office of the Auditor General and House of Chiefs); policy, coordination and implementation agencies (Cabinet, Cabinet Office, MNDP, MOF, sectors, provinces & districts); and advisory or decision-making structures (National Development Coordinating Committee (NDCC), Committee of Permanent Secretaries, Cluster Advisory Groups (CAGs), Provincial Development Coordinating Committees (PDCCs), District Development Coordinating Committees (DDCCs), and Ward Development Committees (WDCs) (GRZ, 2006, 2011, 2013, 2017). MNDP provided the coordination oversight role for M&E. This entailed encouraging compliance within the holistic government administration. To that extent, it was ascertained that the ministry was active and had a division that was responsible for the coordination of the M&E function and provided guidelines and M&E training and backstopping to MPSAs. MNDP was a suitable choice in terms of location and leadership because it held the mandate to provide MPSAs with incentives to participate in the M&E system. It was in charge of national development planning and worked closely with MOF. MNDP played a pivotal role in the coordination of national development planning and implementation, which entailed tracking progress and government performance to ensure achievement of planned outcomes. In fact, the MNDP comprised two divisions: Development Planning Division, and Monitoring and Evaluation Division, each headed by a permanent secretary (GRZ, 2015, 2017). In addition, Cabinet Office had a custodian role for the national M&E system and was working in collaboration with MNDP. However, the role of Cabinet Office in the M&E function was reportedly not distinct as there were no apparent frameworks to guide MPSAs in undertaking policy reviews and evaluations. For instance, the National Performance Framework (NPF) was still in draft form, yet it was supposed to be the guideline for measuring general government performance by function and in line with the national objectives or goals articulated in the national vision (GRZ, 2015).

However, at line ministry level, M&E coordination arrangements were not clarified. The diagnosis found that only ad hoc arrangements on undertaking M&E functions existed. Although M&E exercises were implied in the line ministerial mandates and structures, much was to be desired on the practical side. This scenario existed at decentralised levels at provincial, district and sub-district. In most sectors, provinces and districts, there were weak or no M&E structures at all. Thus, M&E activities were neglected or downplayed at those levels of public service delivery points. Strategic plans for line ministries also indicated that M&E activities were merely ad hoc and poorly embedded in the planning structures of many sectors – independent structures were never in place. Consequently, even when there was a fairly strong apex structure (that is, MNDP) to support the M&E function, a country-wide transformation of M&E remained far-fetched in Zambia with the current organisational gaps. This is because the WoGM&ES needed to be operational at all levels—vertically and horizontally. Currently, it was acknowledged that weak M&E structures and culture characterised line ministries, provinces and districts across Zambia’s WoGM&ES (GRZ, 2016, 2017).

Furthermore, as a coordination and oversight institution, MNDP did not have full staff establishment to effectively play the role of leadership and coordination of planning and M&E functions across the public sector. For the ministry to play its role of design, coordination and implementation of the WoGM&ES, it was reported that it used mostly technical and financial assistance from DPs. This was done by facilitating the engagement of experts to undertake assignments and mobilising stakeholders to provide input into the process. In addition, MNDP mobilised financial resources necessary for the functioning of the M&E mechanism at national level. Weak M&E culture and structures characterised line ministries, provinces and districts institutionally.

It was acknowledged that there was political commitment to the national M&E system from government. For instance, Cabinet Office initiated the proposal to develop a government-wide performance management system as a platform for the whole of government M&E system (WoGM&ES). The type of high level political support involved a policy statement from the presidency on commitment to establish robust M&E systems across MPSAs. Political commitment to the WoGM&ES in line ministries, provinces and districts was reported to be mixed. Some

sectors merely acknowledged having political commitment towards M&E without giving details, while others did not indicate whether such commitment existed. Others gave some explanation for their political level institutional commitments to M&E. Some MPSAs were reported to have planned and provided budget allocations to establish their institutional M&E systems, which were meant to help interface with the WoGM&ES. Demand for M&E in MPSAs was reported to have improved in the last few years after government increased the focus on M&E through the planning, budgeting and reporting processes, especially by the coordinating MNDP and the presidential quarterly reporting. In some MPSAs, one rarely heard top political leadership referring to WoGM&ES and even M&E issues pertaining to the possible benefits. Equally, there was lack of appreciation by political leaders of M&E information as they pushed for development programmes in their institutions. If they did, one would expect the ‘results’ language and emphasis be made by top leaderships. This negative situation was found at all levels—national, line ministry, provincial and district.

Another aspect was to assess whether champions were making the case for a common M&E system across government. It was reported that these champions were present, though to a limited extent. Officials from the MNDP, the apex institution coordinating the WoGM&ES, have been advocating for a robust and integrated system for M&E at all levels of government operation. Further, officials from Cabinet Office and MOF have reinforced the call for a stronger WoGM&ES for the public sector. These champions were currently advocating for the approval by cabinet of the draft national M&E policy, draft national performance framework, and the M&E G-wide MIS. They also support or provide backstopping to MPSAs in the development of M&E frameworks and systems to facilitate improved M&E functionality. Further, the champions were pushing for evidence-based decision and policy making and reporting on performance to the presidency. However, the M&E department at MNDP was under staffed, leading to reduced capacities to oversee M&E functions for the public sector.

Further, despite the relatively positive feedback, another aspect revealed that while explicit support at high political levels in MPSAs existed, political leadership and champions kept on changing, making the case for M&E weaker in most MPSAs. Owing to low or, worse, non-political appreciation of M&E information, political leaderships continued to pursue development

initiatives that served only ‘political interests’, even when evidence showed otherwise. Either political leaders did not understand the importance of M&E or they simply did not have support for evidence-based policy and decision making in their governance pursuits – possibly for their own political reasons. Therefore, many gaps in M&E technical know-how and utilisation of evidence-based data and information were reported across the WoGM&ES with weaker political championship and support for a strengthened system for M&E in the public sector, despite other leaders wanting to lead their institutions towards results-based management (RBM) and poverty reduction through functional arrangements.

Sub-dimension 15: Joint sector reviews

A score of 1.0 was given for the sub-dimension of joint sector reviews (JSRs), denoting little action taken. The assessment checked whether the JSRs covered accountability and learning needs for substance and systemic issues. In Zambia, JSRs also known as joint annual reviews (JARs) were reported to take place predominantly in the health and education sectors. In other sectors, JARs were rare or there were none at all. However, these JARs did not cover accountability and learning needs for substance and systemic issues. JSRs involved activities that were held collaboratively by key stakeholders in a sector or development cluster. The presence and functionality of these reviews were key to determining a successful M&E system and the diagnostic checklist attaches great emphasis to them. There was no evidence of linkages with other M&E tools in sector M&E systems. In that regard, the existing JSRs would not promote the 2005 Paris Declaration M&E reform agenda (Kanyamuna, 2013).

Sub-dimension 16: Sector working groups

The sub-dimension of sector working groups scored 2.0, meaning that elements existed. Committees and working groups to facilitate coordination among stakeholders across the WoGM&ES were in existence. The 7NDP had clearly defined coordination mechanisms to support the implementation of the plan. Cluster advisory groups (CAGs) were in place on the result areas of the 7NDP, which played the role of coordinating national planning, implementation and monitoring and evaluation (at least as defined). These working groups had been established to facilitate coordination among stakeholders across the WoGM&ES. CAGs were said to be

management structures embedded in sectors, provinces and districts to monitor and report on the plan performance. Also, the FNDP, SNDP and R-SNDP had referred to the presence and the role of sector advisory groups (SAGs). In the 7NDP, the SAGs were reformulated as CAGs. Although reformulated and restructured in composition and extended mandate, CAGs were meant to play a structured management function in overseeing the implementation of the NDPs. Other working groups included technical working groups (TWGs), National Development Coordinating Committee (NDCC), provincial development coordinating committees (PDCCs), district development coordinating committees (DDCCs) and ward development committees (WDCs). All these worked to support NDP coordination and implementation.

The composition of stakeholders in these working groups was currently said to be stable, although there could be issues around their commitment and active participation. However, there was an important challenge concerning lack of appropriate political party representation and participation in the CAGs and other bodies. No clear mention of interests and stakeholder relationships was given in the reviews. This caused a problem in implementing what was suggested and recommended in these groups, given that political power took centre stage in decision and policy making in Zambia. Thus, when political champions are outside these groups, it becomes an issue of great concern to the strengthening of M&E practice in the country. In addition, there was a requirement for further strengthening in terms of capacities (financial, human, technical, etc.). Currently, the CAGs were reporting progress to the president quarterly, while the other bodies did not have fixed meetings and reporting schedules. In terms of stakeholder representation at appropriate levels to reflect and ensure commitment to having a functional WoGM&ES, it was found that various stakeholders were represented at appropriate levels. For example, membership of the CAGs was at director and permanent secretary level and other technical staff from MPSAs and partner organisations. However, there was a lack of clearly defined functioning secretariats for the M&E function in the CAGs. The only secretariat in place played the role of 7NDP planning, implementation and to some extent monitoring. The role of secretariat in the CAGs was weak when it came to M&E function. Hard issues about M&E were unlikely to be even discussed (e.g. negative results about an ongoing or ended project). If any, they may have been treated as secondary to the business of CAGs – leading to a total lack of desired accountability, feedback and learning functions in the implementation of the NDPs.

Further, in the APRs, it was reported that only a few SAGs had been meeting consistently. In some cases, SAGs had not met since they were created (GRZ, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015 & 2016). For those SAGs that did meet, little was mentioned about M&E issues/arrangements in the meetings. The CAGs were still being re-organised and nothing could be said as yet in terms of their operation and effectiveness vis-à-vis their monitoring activities. A further weakness was that currently, meetings were not organised in a way that supported coordination. The meetings were not supported by a fixed schedule for a quarter or a given year. There was an element of ad hoc management of the process. It was not predictable when the next meeting would take place and what issues would be discussed in the next set of CAG meetings. Similarly, no substantive and adequate information went to support elements of coordination in the WoGM&ES. There was no evidence of cluster coordination mechanisms in the form of clear information flow systems among stakeholders. In any case, CAG members reported that the central agency (MNDP) was doing some work that was supposed to have been undertaken by CAG members in an attempt to promote broader participation and horizontal coordination and integration.

Sub-dimension 17: Ownership

The ownership sub-dimension was scored 2.0 to imply that elements existed. This structural organisation sub-component checks whether the demand for strengthening the WoGM&ES came from the entire public sector, sector ministries, a central ministry or from external actors. This aspect is concerned with ‘ownership’ issues of M&E functions and processes (Holvoet & Renard, 2005; Holvoet & Inberg, 2011). Thus, the review established that the demand for strengthening the M&E system did not come from sector ministries (except in a few cases, such as the health and education sectors, where donor influence was predominant), but from a central ministry (MNDP and to some extent MOF). Some uncoordinated demands for M&E from cabinet, Cabinet Office and the presidency also existed. In the period of implementing the FNDP, SNDP and R-SNDP, the Department of Monitoring and Evaluation under the MOF was the apex institution that promoted M&E across government.

As for the line ministries, although some sectors had internal demands for strengthened M&E functions, the majority depended on the ‘push’ from the MNDP. Activities initiated by the MNDP

to propel strengthened M&E function at national, sector, provincial and district level included the nomination of M&E focal point persons from across MPSAs, spearheading the development of a national M&E policy, articulation of the national and sector performance frameworks (NPF and SPF), and the development of a web-based management monitoring system (MMS) (GRZ, 2014, 2016, 2017).

However, most of these efforts were donor supported and created a risk in sustainability of a culture and practice of M&E. In addition, the creation of the new ministry (MNDP) with a division mandated to coordinate M&E functions was another important effort at national level. However, these efforts are yet to manifest in positive M&E practices and growing culture in government and beyond. Thus, ownership of M&E systems remains a challenge in decentralised structures and across Zambia's public sector.

Sub-dimension 18: Incentives

The score given to the incentives sub-dimension was 1.0 (that is, little action taken). Incentives form a fundamental success element in an M&E system, particularly in an organisational structure. According to Holvoet and Inberg (2011), it is crucial to review whether incentives existed (e.g. at central and local/decentralised level), and if they were used to stimulate data collection and data use.

The review of Zambia's WoGM&ES showed that no incentives were available or used at central and decentralised levels to stimulate data collection and data use. The NDPs and sector strategic plans (SSPs) that were reviewed did not mention incentivising data collection and data utilisation at any level. The only reference was that data collection and utilisation would be done at all levels of government with no mention of possible incentives (GRZ, 2006, 2007, 2011, 2013, 2015, 2016, 2017).

b) Linkages

An average score of 2.2 was given for all the sub-dimensions under the linkages component. Thus, in terms of M&E organisational linkages, five key sub-dimensions of assessment included

checking the linkages of M&E with the national statistical office; and whether there were linkages between separate M&E functions at national, sector, provincial and district level. This entailed diagnosing the ‘horizontal’ integration, ‘vertical’ upward integration and the ‘vertical’ downward integration, and linkages with projects.

Sub-dimension 19: Linkage with statistical office

A score of 3.0 was given to the sub-dimension on linkage with statistical office, representing action taken. Zambia has a functioning national statistics institution, called the Central Statistical Office (CSO), which was formed to provide official statistics in the country. CSO had a mandate to produce official statistics for the country’s socio-economic development. Further, CSO is a structure or a department under the MNDP, which houses the Monitoring and Evaluation Division and Department of M&E. CSO was currently the platform where data producers coordinated their activities, common standards and principles and data-related issues. The location of the M&E function and the statistical function under the same apex ministry (MNDP) was crucial because linkages of the two would be expected to be stronger. However, there was no national statistical master plan in place to provide overall statistical architecture in Zambia. CSO currently had a draft strategy, namely the National Strategy for the Development of Statistics (NSDS) 2014–2018²⁰. However, with regard to the consistence of the WoGM&ES with other plans and processes for the development of the statistical system, this was done only partially. This weakness was attributed to the NSDS, which was not fully implemented to provide holistic statistical support function to all stakeholders. Therefore, it was stressed that when the WoGM&ES and NSDS were developed and fully implemented, consistence with other plans and processes would be possible.

Whether there were linkages between the WoGM&ES and the CSO, the assessment gathered that there were notable linkages between M&E units in government and the statistical office. However, the role of CSO in the entire public sector M&E was not entirely clear. Partly, the diagnostic exercise found that the role of CSO in the WoGM&ES was that of standard setting. It was currently weak, but had to be done because CSO was mandated to produce official statistics. It was also

²⁰ NSDS is a comprehensive strategy aimed at providing overall statistical guidelines and standards in Zambia. It is still in draft format but already reported as being partially implemented.

reported that CSO played a technical role in the WoGM&ES. Further, in some line ministries, the role of CSO in supporting M&E activities was reportedly clear. For example, in the agriculture, health, education, labour and finance sectors, CSO undertook surveys and studies to support development programmes. However, in some sectors, the role of CSO in supporting M&E functions remained unclear. This also applied to other decentralised structures such as provinces and districts. At provincial and districts level, CSO had a presence in terms of offices but there was weak evidence of using CSO information in development-related decision making and processes at those levels. No clear evidence was found, particularly for planning, budgeting and implementation (GRZ, 2011, 2013, 2017). There were overlaps between the WoGM&ES and CSO. The WoGM&ES collected data and administered it within the system without following the fundamental standards of providing official statistics and information. Further, there was no holistic understanding of the way in which the two needed to complement each other. No harmonisation and collaboration strategy was in place to guide how the work by CSO would systematically inform the WoGM&ES.

In addition, it was acknowledged that there were potential rivalries and conflicts between the WoGM&ES and CSO. As stated, the M&E system generated and consumed statistics solely from administrative processes without statistical standards. Integration of the WoGM&ES and the national statistical system (NSS) it was reported that it was weak or non-existent. This was mostly alluded to the newness of the WoGM&ES. There was also mention that CSO faced financial, technical and skills challenges and hence unable to supply all the required statistics to the WoGM&ES. Thus, the integration between the two systems could be described as partial. Further, modern technologies of handling massive statistics remained a challenge for CSO. As a result of capacity problems, government funded most of the statistical activities with considerable support from DPs on selected statistical activities.

It was also reported that government had a legal and operational framework for its statistical activities. The 1964 Census and Statistics Act, Chapter 127 of the Laws of Zambia was in place despite being acknowledged as weak and outdated. This legislation gave powers to the creation and functionality of CSO. Mention was also made of a number of suggested frameworks to strengthen legal provisions for statistics. Among these were proposals to revise the act and to

implement a statistics strategy, namely the NSDS. However, there were no technical standards and guidelines with methodologies for all entities and units in charge of producing statistics within the statistical agency (CSO). No such standards existed; instead, there were varying and uncoordinated practices depending on the unit (within CSO) and experience. With regard to the statistical data being broad enough to measure all indicators related to the goals of NDPs, it was reported to be limited. Although such data was broadly available, administrative data was always needed to supplement it. There was cautionary acknowledgement however, that most of the administrative data was usually being collected without following agreed standards and procedures.

Further, it was reported that CSO was not mandated to undertake statistical analysis and that instead, its role was restricted to providing official statistics. As for the analysis function, the study gathered that statistical users were responsible to do it. However, there was capacity for data analysis within CSO to some extent, but marketing and education strategies on the importance of such information were lacking. In addition, there was acknowledgement and some evidence that government agencies took into account performance indicators from CSO for decision making. Nonetheless, the utilisation of statistical data from CSO was seen mainly during the formulation of NDPs and less for informing decision and policy making, except by MOF, though also in uncoordinated instances.

In addition, the data collection activities of CSO, its technical platform, its standards, and its definitions were reported to be poorly coordinated with the other activities of the WoGM&ES. Support from CSO was given only to selected government line ministries and departments (MPSAs). Essentially, it was reviewed that the coordination was not structured though it was in place. Thus, it was suggested that the need to structure and strengthen the coordination function was urgently required to implement a robust and stronger WoGM&ES for Zambia's public sector. CSO was reported not to have an M&E unit, hence no formalised linkage with the WoGM&ES existed. Where such elements of linkage existed, it was on ad hoc basis with mainly only M&E focal point persons available. Currently, the linkages were reported to be very weak and in some cases almost non-existent across MPSAs. At the moment, there were units for statistics/focal point persons in the provinces while planners undertook M&E tasks in an ad hoc manner. Thus, it was gathered that some line ministries had M&E units/sections/departments whereby provinces and

districts had planning units (provincial planning units (PPUs) and district planning offices (DPOs), respectively). Only plans were reported to be in place to strengthen most of these linkages. It was reported that when the WoGM&ES will be fully developed, data from M&E units across MPSAs will be automatically accessed from the WoGM&ES which will act as central depository. Therefore, it was gathered that no well-established linkages between the WoGM&ES with other M&E units were currently in place. This was also true of linkages between statistics and M&E functions across the public sector. Further, these expectations were only envisaged to be realised once the National M&E Policy and other proposed reforms were in effect.

However, it was acknowledged that issues of incompatibility such as differing definitions, systems, geographic coverage, and so on did exist in the current M&E arrangements. Most of the M&E terminologies and processes were understood differently by different stakeholders – leading to some confusion over interpretation in implementation. For instance, under the MOH, catchment areas and population varied with those reported under CSO. Plans to harmonise them in the WoGM&ES were reported to be in place.

Sub-dimension 20: ‘Horizontal’ integration

For the horizontal integration sub-dimension, a score of 2.0 was given, meaning that elements exist. The assessment checklist also places an emphasis on M&E integration (horizontal and vertical). Under horizontal integration, the diagnostic questions of focus are: Are there M&E units in different sub-sectors and semi-governmental institutions? Are these properly relayed to central sector M&E unit? (Holvoet and Inberg, 2011). The diagnosis has revealed that M&E units in different sub-sectors and semi-governmental institutions were hardly linked with sector M&E units (in most MPSAs), thereby undermining the promotion or strengthening of the ‘horizontal’ M&E integration. In the review of NDPs and sector strategic plans, provincial and district plans (interviews done as well), there was mention of only few and weak presence of functional M&E in most line ministries, provinces and districts. This was not at variance with other study findings which concluded that in most countries, there were sector M&E systems at line ministry and other decentralised levels. However, these were mostly of very doubtful quality and problematic everywhere. Linking up such sector units to the central unit was mostly only partially satisfactory and should be one of the major issues on the reform agenda almost everywhere (Holvoet & Renard,

2005). What had come out clearly, though, in many of these structures were the current efforts to establish units/sections to fully take up M&E responsibilities. At present, only ad hoc M&E arrangements existed, undertaken mainly by planning units as added responsibility. No incentives accompanied these extra M&E duties accrued to the responsible planning staff. Where the M&E functions have been developed a great deal (for example in the health and education sectors), the efforts were driven by donors (GRZ, 2013, 2014, 2015, 2016, 2017). These challenges have led to weakened horizontal M&E integration in Zambia's WoGM&ES. To that extent, M&E units in different sub-sectors and semi-governmental institutions were reported as not taking the liaison function seriously. This, nevertheless, was despite other MPSAs being moderately active stakeholders in the WoGM&ES.

It was reported that the requirement to monitor and evaluate was inscribed in the budgets of some MPSAs and in the job descriptions, but only for planning staff, who were expected to undertake M&E activities on top of their core planning responsibilities. However, it was established that the requirement to monitor and evaluate was never inscribed in the institutional structures. More so, the institutional design of the M&E was found to lack explanation of the capacities of MPSAs. Furthermore, only weak evidence was acknowledged with regard to whether line ministries utilised M&E information as a basis for their own planning and management. In any case, such information was reported not to be well structured to inform decision-making. However, there was limited evidence concerning the use of data to inform poverty-related policy at sectoral level. Thus, it becomes a matter of concern that some line ministries that were considered to be doing well in M&E functions were lagging in the utilisation of information in their custody. Again, these kinds of discrepancies prove the assertion that a lack of results-based management (RBM) orientation still affects Zambia's WoGM&ES (GRZ, 2017).

Concerns regarding data quality and relevance were acknowledged to be very significant elements across line ministries and for the entire WoGM&ES. This view was strongly stressed to say that, since the M&E processes were ad hoc, unstructured and not guided by strict data quality assurance protocols, the data quality and relevance issues could be compromised. It was reported that the low funding and implementation of the NSDS was one example of weak statistical base towards supporting a functional WoGM&ES with credible data and information. Also, there was mention

that line ministries lacked trained staff in data methodological issues, hence, weakened institutional capacity to raise, know and demand for certain data quality. A data or statistical regime change was called upon in Zambia that would produce and assure users of data quality, reliability and relevance. In that regard, the approval and realisation of the NSDS under CSO remains an anchor to the evolution of national and subnational statistics in Zambia. Only when statistical data were credible, would the WoGM&ES make an essential contribution to the development process of the country through feeding information into decision- and policy-making processes (Mackay, 2007). Further, since the WoGM&ES was reported to be in its infancy, it was gathered that line ministries did not rely on it for various reasons and weaknesses.

Sub-dimension 21: Vertical upward integration

A score of 2.0 was given for vertical upward integration – representing elements exist. The assessment checklist separates vertical upward integration and vertical downward integration. For vertical upward integration, the guiding question is: Are the decentralised M&E units of Zambia's WoGM&ES properly relayed to the central M&E unit or agency? The diagnostic review found that most decentralised M&E units were hardly linked with the central M&E agency. The WoGM&ES for Zambia had a fragmented structure. In a few line ministries and provinces, there were fragmented and ad hoc M&E arrangements. These arrangements took different forms and sizes. In some instances, there were M&E units, while in others only M&E focal point persons existed. In many of these structures, officers from the planning units were the ones who mainly carried out M&E activities as mere added responsibilities. Further, several line ministries, and almost all provinces and districts had absolutely no established M&E units or structures (GRZ, 2013, 2017).

As a result, the mix in the presence or availability of M&E functions across structures in Zambia's public sector created a weak and in some cases complete absence of M&E vertical upward integration. Thus information flows from district to province and to line ministry – all the way to national or central M&E agency had become weakened. For instance, there was mention of effort to implement a web-based management monitoring system (MMS) spearheaded by MNDP to link up government business through online and real-time updates by all MPSAs. This effort was commendable, but the commitment by stakeholders had been reported to be weak, giving a

practical challenge to success (GRZ, 2015, 2016, 2017). Furthermore, the assessment found isolated, fragmented and uncoordinated efforts all contributing to a weak M&E functions across MPSAs. Some individual line ministries, such as health, education, agriculture, and labour, had made progress in developing their own stand-alone M&E arrangements. In such cases, these efforts were not linked to the central M&E unit/agency in the MNDP (GRZ, 2014, 2015, 2017).

Sub-dimension 22: Vertical downward integration

Little action taken, with a score of 1.0 was given to the sub-dimension on vertical downward integration. The vertical downward integration was reported that the M&E units at decentralised levels were hardly linked with central or sector level M&E units. As expressed above, weak arrangements and operationalisation of M&E functions at various levels of the WoGM&ES had led to poor vertical downward integration as well. The M&E linkages and information flows from central to line ministry to provincial and all the way to district level were reported to be weak and uncoordinated. It was established that coordination in form of liaison with local government structures was in place and embedded in the WoGM&ES. Both provinces and districts were part of the WoGM&ES. The liaison was reported to be in existence mainly through and within the PDCCs and DDCCs and to a lesser extent WDCs, in which the function of M&E was said to be embedded. However, it was reported that the coordination of the M&E function across all PDCCs, DDCCs and WDCs was not adequately performed.

In particular, local governments were reported not to be participating actively in the WoGM&ES, despite the existing linkages through DDCCs and WDCs. Local authorities were currently not engaged in the government M&E system, while provinces were engaged remotely or participating through PDCCs. This undesirable situation was attributed to the central agency (MNDP) not having sufficient staff capacity to mentor, backstop and offer support to lower structures such as local governments. Equally, the lack of decentralised M&E function across the public sector hampered the strengthening of the WoGM&ES at those lower but critical levels (that is, district and sub-district levels). The role of incentives in M&E is significant, especially in the early stages of building and strengthening a WoGM&ES. With correct selection and targeted implementation, incentives work as a motivational factor for stakeholders to supply M&E information and at the same time demand M&E results to inform various decision- and policy-making processes.

To worsen the situation, no form of incentive was reported to be placed in the coordination framework at local government and provincial level to support the strengthening of the M&E function. Suffice to say, there was no institutional design for the WoGM&ES to elaborate the capacities of local governments. The liaisons with line ministries and other agencies in terms of their functionality within the WoGM&ES were reported to be weak and ad hoc. The MNDP was reported to be currently trying to push for a common framework for M&E at sector/line ministry level. This effort was being piloted in the ministries of labour and agriculture. Liaison between MNDP and line ministries had mostly been limited and restricted to reporting requirements. Only when there were activities such as the production of APRs, presidential quarterly reports, and CAG reports – did the MNDP M&E department provide some liaison and backstopping to line ministries. Coordinated liaison was lacking between the two levels and this created a huge gap in terms of capacity to build and strengthen M&E across the WoGM&ES. This signified a lower priority attached to M&E within the WoGM&ES. This then posed a huge challenge to building and sustaining a stronger system for M&E across the public sector in Zambia. Something different had to be done if such gloomy M&E functionality outlooks were to be transformed into positive effects in future.

Further, a number of data types were described that they were often requested or would be relevant to local agencies and governments. These included district indicators on socio-economic and governance sectors, project funding and implementation data and project inventories for various sectors. In addition, they needed information on beneficiaries of government interventions at provincial and district level. Information relating generally to poverty, water and sanitation, and the prevalence of disease was frequently sought by stakeholders. Much of such data were demanded through the living conditions monitoring surveys (LCMSs) conducted by CSO (for example revenue generation, land titling, and access to assets by women and youth). Currently, no indicators in the NDPs were defined at provincial and district level. This gap had been acknowledged for a long time, but little practical effort had been put in place to resolve it. No provincial and district-specific indicators existed in the 7NDP. In addition, no feedback and information flows to local government and service providers from the WoGM&ES were in place. However, CSO was reported to have been sharing its statistical data with the local government agencies through its monthly statistical bulletin (though only to limited audience). The MNDP

expressed some plans to extend the functionality of the WoGM&ES to local governments. Although conceptually, there were indications in the institutional arrangements for NDP implementation on how information flows were expected to move horizontally and vertically, there were currently no practical steps to actualise the intentions.

As a result, there was no evidence concerning the use of such M&E information at local level as an incentive system to improve the performance of service providers. Currently there was apparently no comprehensive performance management system that promoted the use of M&E information at local government level. In terms of whether there was some adaptation to the needs, timing and form of outputs provided to local governments and agencies, it was found that none existed. There was no direct interface between local government and line ministries or central agencies in sharing information on programme/project outputs.

Sub-dimension 23: Link with projects

In the sub-dimension of link with projects, a score of 3.0 was given denoting action taken. The last aspect considered under the organisational linkages sub-component looks at the M&E linkages with development projects implemented at various levels of the public sector. Precisely, the checklist asks: Is there any effort to relay/coordinate with donor M&E mechanisms for projects and vertical funds in the public sector M&E arrangements? The assessment results have shown that coordination between sector M&E units and development partners' M&E mechanisms for projects and vertical funds in the sectors did exist, but did not function properly. More concretely, sectors such as the education and health had a huge presence of donors whose M&E arrangements were unified with those of the donors (though evidence was weak). Nevertheless, these linkages were specific and limited to donor-funded interventions (Kanyamuna, 2013; GRZ, 2017).

7.3.4 Capacity

To assess the M&E capacity needs for the WoGM&ES, three topics are crucial to analyse. These sub-components include assessing the present capacity of the WoGM&ES (that is, skills, financial resources); ascertaining whether the problem of M&E was acknowledged in terms of current

weaknesses in the WoGM&ES; and lastly checking the availability of M&E capacity building plans for remediation focused on training, appropriate salaries, equipment etc.

Sub-dimension 24: Present capacity

The sub-dimension on present capacity scored 2.0, meaning that elements exist. In terms of holistic capacity for M&E in Zambia, some capacity was reported (for example skills, financial resources), but not at all levels of government. In all the NDPs and strategic plans for line ministries that were reviewed, mention was made that human capacity, particularly in generating, managing and utilising M&E information, was constrained at all levels – national, sector, provincial and district levels. Equally, APRs identified human, skills, financial, systemic and political capacity challenges in Zambia's WoGM&ES. For instance, while there were some negligible government financial allocations to undertake M&E activities in a few line ministries, there were hardly any budgetary allocations to finance M&E activities at provincial, district and sub-district level. The same scenario obtained for human, skills, systemic/technical and political capacities for M&E. For resources, it was gathered that financing project or programme evaluations posed a challenge across MPSAs.

In that regard, Zambia's experiences are similar to the conclusions reached by Holvoet and Renard (2005:16), when they stated:

This is generally acknowledged as being a major issue. Most PRSP countries have weak public sectors in general and very limited human resource capacity when it comes to the complex tasks of M&E in particular. What expertise there is tends to be dispersed over different organisations (Statistical Office, Finance Ministry). Donors try to close the gap with technical assistance, and through institutional strengthening and reforming M&E systems, but in the best of cases the results take a long time to mature. The overall impression is that there is, and will be for a considerable time to come, a formidable mismatch between the demands put on the system by donors, and national capacity.

As a result, there was a suggestion from the study respondents that a national evaluation fund should be established to provide the much-needed financing for various evaluations and necessary reviews. To that extent, it was acknowledged that resources for evaluations were neither sufficient, predictable nor sustainable. This gap was important to address and for the WoGM&ES to thrive, capacity-building will need to be embedded in all institutions and local training institutions will

also need to take the lead in providing programmes that equip practitioners to conduct quality evaluations.

Further, it was reported that no overall capacity-building programme or plan was in place to help strengthen the M&E capacity of staff or evaluation practitioners at national, line ministry, provincial and district level. No such arrangement was mentioned to be in place, except for trainings, which were ad hoc and came mainly through donor support. However, it was gathered that plans were under way to establish one such programme in collaboration with local training institutions. Although DPs provided support to developing aspects of the WoGM&ES, it was revealed that challenges sometimes arose in the release of funds, forcing certain activities to take longer to be accomplished. Whenever adjustments needed to be made to the contracts, some donors tended not to be flexible in incorporating them.

The support from DPs on strengthening the WoGM&ES was acknowledged as being in place and considered key, though not adequate to meet the required support across government. The EU, GIZ and DFID were currently supporting the WoG-M&E concept and work was being done in some line ministries/sectors to develop sector-wide M&E systems that will be part of the WoGM&ES. Funding from DPs was reported to be predictable to some limited extent, while their funding sustainability was not ascertained because it depended on their own countries' foreign economic policy dynamics. Dependence on DP support was said to have led to delays in implementing a structured WoGM&ES in Zambia. In addition, it was gathered that DPs were not sustainably supporting the overall WoGM&ES. Nevertheless, their support had been to various institutions including MNDP and some selected line ministries (for example labour). No support was mentioned at provincial and district level. It was reported that most of the support from the DPs was channelled towards the promotion of ICT-based M&E, databases and technical skills (that is, mainly for selected activities). However, even when this was so, IT related skills were reported to be on the low side across government. For example, the MMS software was reported to be managed by a team composed of subject matter experts, but who did not have sufficient technical expertise needed to support and move it forward. As a result, there was no prior IT governance plan put in place (GRZ, 2015). For the WoGM&ES to be sustained, provision of capacity-building programmes in M&E will need to be institutionalised in local training

institutions. For M&E skills to be readily available to all those who needed them, local training institutions were better placed to be equipped and provide such needed knowledge to the general public, more so to the civil service that was charged with the management of the WoGM&ES. There was weak evidence as to whether government provided guidance to DPs on supporting planning and M&E capacity development in Zambia. In fact, it was gathered that there was no framework in place to guide DPs on how to support capacity development for the WoGM&ES. Further, it was found that to some extent, DPs supported by funding technical assistance in the design and strengthening of the WoGM&ES. In a few line ministries, currently notable technical assistance was provided (particularly in skills development). However, there was no framework in place for transfer of skills. At times, it was reported that DPs spent lots of money on (expensive) international consultants who were acknowledged not to fully transfer skills to locals in MPSAs.

With regard to substantive capacity-building efforts in monitoring, analysis, and evaluation currently under way in the country, it was found that a plan was in place to partner with the Zambia Monitoring and Evaluation Association (ZaMEA) and other local training institutions. The plan is meant to establish an M&E capacity-building programme in the country. In addition, the Centres for Learning on Evaluation and Results—Anglophone Africa (CLEAR-AA) was currently helping with the formulation of a suitable curriculum. It was further gathered that in many cases, there was no objectivity in selecting staff for capacity building in M&E. Instead, staff who were unable to transfer skills within their own M&E units were sent for training. Local academic institutions were designing curricula on the subject matter of M&E (for example University of Zambia (UNZA) currently offer short courses in M&E). The focus of the capacity-building programme being proposed at national level was mostly on evaluation capacities. In terms of the sustainability aspect of the capacity-building efforts and the ability to retain the capacities created over the medium and long term, it was gathered that the model to be adopted will recommend practical ways to achieve the desired M&E capacities. If the capacity building programme is established in such a way that it is a partnership between government, ZaMEA, academic institutions and DPs, it is expected to have a high level of sustainability. Local training institutions were better placed to lead the capacity-building role. In another view, it was mentioned that the retention of current capacity was affected by the transfer of staff from one institution to another. Funding limitations affected the sustainability of capacity building as well.

It was established that great potential existed for in-country universities and other training organisations to provide training in data collection, monitoring, analysis, and evaluation to various actors in the WoGM&ES. The University of Zambia (UNZA) for instance currently offers a variety of short courses in M&E. There was great potential and interest, as observed by the infusion of M&E training courses in most academic institutions. However, it was reported that what may be missing was standardisation of concepts and M&E approaches and comprehensiveness of the training programmes. There was also emphasis on the need for stronger collaboration between institutions of learning and MPSAs to transfer M&E skills and experience in the industry. With regard to undertaking household and other comprehensive socio-economic surveys to feed into M&E, it was reported that this was being done, although always faced with huge financial constraints. Thus, in some cases surveys were conducted every two, four, five and 10 years, depending on the type of survey (Living Conditions, Zambia Demographic & Health surveys, National Population and Housing censuses, sector specific surveys, etc). The availability of survey-based household-consumption data had been noted as having improved in many low-income countries and this was assisting in monitoring outcomes and impacts (Holvoet & Renard, 2005). It was reported that there was no clear understanding as to whether ministerial MIS captured data on stakeholder satisfaction and impact of service delivery across government and non-government agencies.

Further, it was revealed that government did not have in place planned service delivery surveys that showed trends in stakeholder satisfaction. However, there was mention that in 2008 a governance survey was conducted to assess levels of satisfaction by stakeholders through the many services offered by government and its partners. Since then, nothing has happened and no plans were reported. It was acknowledged that the only commonly produced quarterly and annual reports among MPSAs were usually a summary of output achievements in terms of service delivery and their own locations. Nevertheless, there was usually no information on scope, access, quality and client satisfaction of those public service interventions.

Regarding efforts to remove or avoid overlaps in data collection by line ministries and other institutions providing services through interconnecting their MISs, it was gathered that no such arrangements existed. Only plans were under way through the implementation of a unified and

integrated WoGM&ES and a strengthened national statistical function were mentioned. As a result, it was revealed that there were currently several duplications in data collection, compilation and analysis activities across line ministries and other institutions and national levels. Further, MISs were reported as not being included in many MPSAs and this created mismatches and inconsistencies in harmonising possible overlaps and duplications. The availability of information systems to the public through internet platforms (for example websites) was acknowledged as being in existence, but only to a limited extent. For instance, through the CSO website, almost all the information and reports were reported to be available to the public using the Internet, but the accessibility was usually hampered by poor network connectivity that often interrupted the statistical online platform. It was reported that the Economic Management Department (EMD) within MOF was tasked with the responsibility of M&E activities. However, this function (M&E) was a new mandate given to the department. Thus, it was mentioned that the department was currently weak in terms of capacity – staffing, skills, finances, technical issues, etc. As a result, the MNDP through the M&E department was still relied on to provide M&E information to MOF. In that regard, it was acknowledged that no clear linkages on M&E existed currently between MOF and MNDP. Only some reports (annual economic reports) from EMD were shared with the MNDP, but these were not systematically harmonised with NDP performance tracking, accept for limited usage during APR preparations.

Sub-dimension 25: Capacity building plan

A score of 2.0 was given to the sub-dimension of capacity building plan, representing elements exist. It was gathered that no capacity building plan or programme was in place for the M&E skills in MOF. This scenario implied weak arrangements for M&E not only in the ministry, but in the entire WoGM&ES. Equally, this lack of M&E capacity was viewed as leading to the non-existence of linkages between MOF and MPSAs. In that regard, it became difficult for MOF to demand and use M&E information appropriately to inform budgeting processes and decisions. At the same time, it created de-linkages between MOF and MNDP in terms of prudently implementing the NDPs with a clear focus on development results. It is also for that reason, that no motivation or incentives to spur effective M&E were reported to be in place in the entire WoGM&ES and MOF in particular. Similarly, it was found that staff from MOF did not belong to any M&E committee of MPSAs and no identified role was reported for MOF staff. It was gathered that with regard to

the availability of resources such as physical infrastructure for the collection and compilation of M&E data, only limited human resources were available in selected MPSAs. Mention was also made that not all line ministries and government agencies had established MISs. It was further acknowledged that most of the levels had physical space (that is, offices, basic equipment, etc) to host M&E activities at national, line ministry, provincial and district level.

With regard to the extent to which data gathering is financed by external development partners, it was established that government funding constituted the largest share (approximately 70%) of the resources, while DPs had the rest of the support (approximately 30%). Thus, donor funds towards supporting data collection were viewed as not sustainable or predictable. Some DPs were reported as being interested only in supporting technical assistance or training and not any other (logistical) support. For household surveys, data gathering was sometimes co-financed by government and DPs, although this was deemed not to be sustainable and government was gradually increasing its share of financial contribution/support. This was also viewed as the only predictable and sustainable way of ensuring that M&E data and information were collected in required quantities and qualities.

Currently, it was reported that analysis of M&E information was being done fragmentally across government and non-government actors. However, it was established that for some selected government agencies, MNDP was analysing M&E information centrally (though with limited analytical content due to insufficiencies in staffing, analytical skills, funding and data gaps). In addition, some civil society organisations (CSOs) and research institutes undertook independent analysis of the information, especially for public development projects and programmes. The function of M&E was still fragmented across institutions within government agencies. In non-government institutions, the situation was found to be even worse. In that regard, the WoGM&ES for Zambia still lacked fundamental requirements particularly in the area of analysis. The problem with this scenario therefore, was that reports produced at many levels lacked analytical content and quality, thereby rendering weakened input into policy- and decision-making processes.

It was acknowledged that the M&E analytical capacity for government and non-government institutions was weak throughout the WoGM&ES. Consequently, there was much need to improve

systemic, financial and human capacities. For the current weak capacities, funding was said to be done through national budgets (though inadequate and irregular) and insufficient support from some DPs. Therefore, the issue of financial capacity was weak across institutions. It was gathered that the M&E mandate across state and non-state institutions remained fragmented and weak. While it was fairly clear in some institutions among non-state agencies, the situation was poor among government agencies. Efforts to address the challenge were under way through putting in place a national M&E policy and other supportive pieces of legislation. It was stressed that funding was usually not adequate for the units/agencies to undertake their mandates. In some cases, the funds were erratic and not released on time, which affected implementation negatively. The concerns around data limitations and the objectivity of M&E analysts were serious matters that required resolving if the WoGM&ES was to be trusted and owned by many stakeholders in government and beyond. The usability and sustainability of such a system will only be attained through the completeness of the M&E data/information, analytical content and the neutrality or objectivity of the analysis to give unbiased M&E outputs. Already civil society and DPs were reported to be reluctant to use government reports on the basis that the information was manipulated to give comfortable positions for government. It was suspected that hard issues (for example those bordering on misapplication of resources, corruption, poor services) were left out of these analytical reports to avoid attracting tough questions from stakeholders.

Currently, it was reported that most of the work programmes of these state and non-state institutions were drawn from their own development and institutional plans and requirements. These plans were then broken down into annual work plans (AWPs). However, it was mentioned that there was no stipulated mechanism in place to clearly define activities in light of the needs of the end users. It was also mentioned that efforts were currently under way for the MNDP to circulate standardised formats showing the needs of end-users. Further, it was acknowledged that the major challenge that affected the analysis of M&E information pertained to the data gaps and limitations. A lot of data were not fully explored. In many cases data constraints limited the extent to which quality analysis was done in M&E reports and outputs. Lack of disaggregated data, especially at decentralised level (district and sub-district) was reported as a major problem. However, the issue of the objectivity of M&E analysts was not clearly elaborated, but respondents expressed concern that in some reports overzealousness and overstatement of certain aspects of

achievement were common. In other instances, underreporting was also common, thereby raising concern about the credibility of analysts. Despite the challenges, however, the quality of the analytical work was fairly good, given the data and information. Owing to understaffing in planning and M&E government structures/MPSAs (that is, departments, sections, units and arrangements), it was reported that analysts were overwhelmed with data (demanding workloads for fewer staff).

The demand for the work of analysts in M&E was reported to be high across government and non-government agencies. Currently, it was mentioned that most of the stakeholders had been demanding to know how the country was moving as far as the achievement of set goals in the NDPs was concerned. The problem of poor analytics in the Zambian WoGM&ES was a serious gap. In particular, as the country sought to build, strengthen and sustain a functioning national level system, a growing and sustained capacity-base in M&E analytics would be vital. All levels of the WoGM&ES – national, line ministry, provincial, and district – are supposed to be equipped with M&E analytical skills and capacities as well as experiences. As to whether analysts for M&E information possessed the ability to communicate their analyses effectively to end users in an appropriately adapted format, it was gathered that this was possible or done only to a limited extent. It was revealed that various M&E outputs were available in the form of institutional reports. However, these outputs were reported to be suffering from issues of timeliness and standardisation in format and content. Report formats also were reported to be changed regularly.

A number of reports (though with low analytical content and quality) were mentioned as being produced by several institutions across government agencies. Socio-economic analyses were usually done by CSO on a quarterly and annual basis. To some extent these were used to inform planning processes in development agencies. Further, selected documents that apparently contained some level of analysis included APRs, census and survey reports and annual ministerial reports. For the APR however, it was gathered that it lacked cumulative analysis of the targets being achieved in relation to the entire planning period instead of focusing only on annual achievements. Such an analysis would not only provide a time series dimension of progress, but would paint a picture of what remained to be done. Thus, if the analysis pointed to serious shortfalls, then a case could be made to change the targets (GRZ, 2015). But the challenge in all

these efforts was non-availability of data disaggregation at provincial and district level. These reports were viewed as not being used much in crucial institutional decisions across government as a result. The other challenge was lateness in completing and disseminating these reports, in some instances rendering them obsolete. Analysis of descriptive statistics was reported to be provided on demand. Most of the reports were too technical for other users (especially at district and sub-district level) and concerns were raised that the need to innovate ways of simplifying data and information products would be key to increased demand and utilisation. In that regard, it was revealed that analytical products were insufficient and did not fulfil the specific needs of the users.

With regard to gaps in analysis, it was reported that challenges existed mainly in data availability and completeness, analytical skills and financial support. Many MPSAs did not have formalised M&E functions, units or sections with staff dedicated to M&E work. This created a situation in which in-depth institutional analysis of data and information in various reports to miss. In many cases, there were analytical weaknesses in reports related to conclusions that had been reached with limited or no credible evidence owing to lack of appropriate and to some extent relevant data. No prescribed requirements and procedures existed for evaluating NDP programmes in the WoGM&ES. Further, no guidelines were provided in NDP M&E framework(s), except for statements of intent. The M&E chapter in the 7NDP articulated the M&E function, but without giving clear guidelines for evaluating NDP programmes, as a practical example.

Despite the lack of requirements and procedures, it was acknowledged that the data and information gathered through monitoring activities was used to support evaluations (though evidence was weak). However, the use was reported to have been limited or seldom. For instance, in the recent Youth Development Fund evaluation, only limited M&E data was used from the Ministry of Youth, Sport and Child Development. It was established that only to a limited extent were evaluations and reviews undertaken or commissioned by government. The main reason for this was attributed to scarce resources. The reality was that even for these limited evaluations and reviews, much of the funding had come from DPs and little or none from government allocation. This point was repeated at almost all levels of the research. Although there were episodic evaluations of programmes and projects, funded mostly by DPs, and some undertaken by research institutions aligned with government, the evaluation aspect was generally not fully developed in

the government sector. In addition, there were no guidelines for undertaking in-depth or summative evaluations to ascertain policy, programme and project relevance and impact. Further, there was no budgeted multi-year national evaluation plan to support evidence-based policy decisions (GRZ, 2015). Again, this explains how difficult it could be to build, strengthen and sustain a WoGM&ES for Zambia. Unless the financing architecture for M&E functions and systems shifted from donor led to country owned, the desire for a robust WoGM&ES will remain a dream/expectation in the far future.

As to the limited commissioned evaluations and reviews by government, these were restricted to programme reviews, process evaluations and ex-post and mid-term evaluations. For the FNDP, SNDP and R-SNDP, mid-term evaluations were not undertaken even when planned for. Obviously, this precedent was not good for M&E and its evolution in the country. This reflects negatively on the value and commitment the government attached to the notion of results-based management (RBM) and managing for development results (MfDRs). With regard to the frequency with which these ad hoc evaluations and reviews were performed, it was mentioned/reported that they were seldom. For NDPs, mostly, evaluations were conducted after the end of the plan (in five years). Although it was stated clearly that government and its agencies held the responsibility to commission evaluations and reviews, the conviction and evidence were weak (citing mainly resource constraints on the part of government). It was acknowledged that in some cases when CPs provided financing for programme evaluation(s), they influenced the choice of which intervention to evaluate or review. Nonetheless, the MNDP and other think tank organisations commissioned evaluations and reviews, though rarely. Again, this state of affairs greatly undermined the role of M&E in the country. If nothing changed to improve the entire WoGM&ES architecture, Zambia will be headed for a continued status quo in which a weak and fragmented and less utilised M&E information will define the system. Line ministries and other decentralised structures of government are better placed to begin to plan, budget, commission and implement their own evaluations and reviews to ascertain value for money for their programmes, projects and policies.

Whether line ministries undertook or commissioned evaluations and reviews of their own performance, it was reported that this was a rare occurrence. At those levels, most evaluations and

reviews were donor driven. Although it was logical to engage external evaluators to assess the performance of government development interventions, the current practices in which DPs hired evaluators from outside the country (mainly from their countries of origin), it disadvantaged local evaluation capacities. In that case, DPs could be regarded as not only contributing to a weaker evaluation base in the country by crowding out local experts, but in ultimately undermining the creation and sustenance of the WoGM&ES. Not until the approximated percentage share (20%–80%) of involvement was transposed, the evolution and transformation of the evaluation regime in the country will continue to be dependent on the donors in an unsustainable way. Mention was also made that some of the evaluations and reviews were conducted jointly with the government on an involvement proportion of approximately 20% for government and 80% for DPs. In terms of the work done, government usually reviewed terms of reference (ToRs), data collection tools and reports. The DPs' ultimate responsibility was to undertake the evaluations mainly by financing the contraction of (external) evaluators. Similar to DPs, civil society contributed to undermining the WoGM&ES. Instead of promoting and supporting the strengthening of the national system for M&E, they implemented fragmented systems without trying to collaborate and finding ways of integrating systems. As a consequence, there was lack of synchronised and harmonised collaboration between government and CSOs in terms of building a structured WoGM&ES. It then becomes difficult for the CSOs to play their role of providing checks and balances and ultimately demanding transparency and accountability because they were not partners with government. This may also be the reason that the government was not usually comfortable when working with CSOs, viewing them as only seeking fault with government work instead of being rational opinion makers and constructive critics.

Interestingly, it was found that for the evaluations and reviews commissioned by government or DPs or both, no evidence existed that civil society demanded or supported such undertakings. Other key informants expressly stated that there was no such demand and support from CSOs, academia and other interdisciplinary research groups. Zambia's WoGM&ES clearly has been undermined by many inadequacies. Skilled manpower in terms of in-depth expertise in the area of development evaluations was found to be lacking. Yet to thrive as a national-level system for M&E, such skills were essential at all levels of government. The study findings revealed that capacity problems were not only at individual and institutional level (in terms of the right mix of

evaluation skills), but that capacity to train or transfer evaluation knowledge was equally a major gap in Zambia today. Fundamentally, there was a lack of established learning institutions in the country at which as many M&E practitioners as possible would possess the knowledge of undertaking fuller scales of any evaluation in the country. Currently, it was acknowledged that the limited number of local evaluators could not compete favourably in the regional and continental markets, let alone the global market.

CSOs were also reported to undertake their own reviews, mostly for their donor-funded programmes. However, some CSOs only invited government agencies to attend some evaluation debriefings and dissemination meetings of selected reports. In addition, policy briefs were not prepared by CSOs following their evaluations and reviews. It was established that since CSOs had their own separate and fragmented M&E arrangements, which worked in isolation from government, they were not mandated to report their findings to any government entity. They did not prepare policy briefs to inform cabinet or any other government agency. Regarding adherence to good evaluation practices, it was found that the capacities for evaluation are very low in Zambia. That was why most donor-funded evaluations and reviews were being undertaken by external consultants from outside Zambia. It was reported that there was very little and weak capacity building of local actors to undertake evaluations.

Sub-dimension 26: Problem acknowledged

The problem acknowledged sub-dimension was scored with a 2.0 – elements exist. In terms of whether current weaknesses in the WoGM&ES were identified, it was reported that existing weaknesses were indeed identified, but not based on a diagnosis. Some APRs indicated that a number of M&E weaknesses did exist in Zambia's WoGM&ES. In particular, human, skills, financial, technical/systemic and political capacities were lacking. The ongoing effort to develop the National M&E Policy for Zambia had also identified some of these gaps. However, all the efforts so far had not been categorical and systematic in terms of identifying and documenting the exact M&E capacity challenges at national, sector, provincial, district and sub-district level. No comprehensive diagnostic exercise had embarked on bringing out holistic and specific capacity gaps which would be key to address in the entire system for M&E in Zambia's public sector. This

study has made that attempt to systematically document the gaps for possible improvement and further research.

The availability of plans and activities that include training, appropriate salaries, etc, for remediation formed part of the assessment in this study. There were coordinated plans and activities for remediation. However, these did not include aspects such as training and appropriate salaries. In the NDPs and APRs, there was neither a categorical mention of the need for standardised training skills nor a salary proposal for M&E officers in the public service. Nor did other government documents and interviews provide clear positions on these matters. The NDPs focused on the processes that ‘M’ and ‘E’ were to be undertaken – and not necessarily on the skills and financial structures needed to support successful M&E.

However, since 2013 there have been discussions within MOF and Cabinet Office to strengthen the function of M&E in government. Before that time, M&E activities existed, but were traditional M&E efforts – focused on ‘monitoring’ and not on ‘evaluation’. Currently, the Ministry of National Development Planning (MNDP) through the M&E Department was leading a process to strengthen the WoGM&ES. This effort has seen the drafting of the national M&E policy for Zambia, the articulation of the national and sector performance frameworks and the development of Internet-based M&E solutions. Further, with the M&E department, which was under the MOF from 2007 to 2015, now being a full M&E division under the MNDP, the coordination of M&E activities across government is becoming clearer, more streamlined and coherent. Focus is on the need to clearly distinguish the functions and role of M&E in all the processes of national development. Human capacities through skills training and salary incentives are mentioned in many of these processes. Although still in the planning stage, these efforts are positive for a strengthened WoGM&ES for Zambia.

7.3.5 Participation of actors outside government

The diagnostic checklist considers three key actors outside government, namely parliament, civil society and development partners and donors. In understanding the role of actors outside government, it is critical to diagnose the role played by parliament through checking whether there is alignment with parliamentary control and oversight procedures. In addition, the assessment

checked whether parliament participated in joint sector reviews and other working groups. Similarly, the checklist investigated whether the role of civil society was recognised in M&E activities of the WoGM&ES. The focus here was on the clarity of procedures for the participation of civil society and whether their participation was arranged institutionally or was merely ad hoc. Further, whether civil society participated in joint sector reviews and other working groups is another crucial aspect of assessment. As for donors and development partners, the aspects assessed under the parliament and civil society were applicable.

Sub-dimension 27: Parliament

The parliament sub-dimension was given a score of 2.0, denoting that elements exist. The role of parliament was acknowledged in the WoGM&ES as providing legislation and oversight functions. However, there was no alignment with parliamentary control and oversight procedures. Further, parliament did not participate in JSRs or working groups. As an arm of government tasked with overseeing the legislation system and approval of government estimates of revenues and expenditures (that is, national budgets), parliament could play a significant role in the successful implementation and strengthening of the WoGM&ES for Zambia (GRZ, 2016, 2017). However, the APRs and other M&E-related documents did not mention the role played by parliament in strengthening M&E functions in the public sector. It was not clear how parliamentary control and oversight procedures were being undertaken in the context of national M&E (GRZ, 2009, 2010, 2012, 2013, 2014, 2016, 2017). Further, aside from the mentioning how parliament is envisaged to participate in sector working groups (that is, cluster advisory groups) in the current processes, there was currently no clear evidence of its M&E strengthening role. Although parliament performed its traditional role of oversight through debates on the floor of the house, visits to selected project and programme sites, and meetings of parliamentary committees, it was acknowledged that there was room to engage parliament in a more innovative and meaningful way. These efforts remained uncoordinated and fragmented in terms of their linkages and contributions to the functionality and operational arrangements of the WoGM&ES (GRZ, 2015, 2017). In addition, it was acknowledged that parliament was involved in the discussions about NDPs, although with weak evidence on how it was engaged. In that regard, parliament was reported to be participating to a lesser extent in the development planning process through the participation of parliamentary offices at ward and district levels during the NDP consultative process. Further,

parliament was acknowledged as being critical to providing oversight during the implementation of NDPs, especially through annual budgetary hearings and approvals.

It was established that the WoGM&ES did not embrace or have a strategy in place for dissemination of M&E outputs on poverty to parliament. Instead, there was only a general dissemination of poverty data to all national stakeholders through CSO reports and APRs and related reports. Presentations and reports to parliament were not structured and were normally voluminous without user-friendly summaries for easier reference by parliamentarians. However, only CSO was mentioned as practising the dissemination of statistical data to parliament. Therefore, the WoGM&ES was weak in that regard because parliament plays an oversight role in the governance system of the country. Thus, for parliament not to have access to reports and information on how NDP implementation was being undertaken, and more so the development results being pursued and achieved, much was left to be desired on the transparency, accountability and good governance tenets of the nation. It was revealed that this scenario contributed to weaker parliamentary debates in the house on types of legislation needed for growth and development and debates on financial resource allocations during budget appropriation hearings. A stronger WoGM&ES would be structured in such a way that parliament and its committees would play a dual role of supplying M&E data/information and demanding M&E outputs to enhance its participation in the development process of the country.

The WoGM&ES recognised parliament as one of the potentially major M&E information users. However, the issues of appropriateness, timing, timeliness and form of M&E outputs to meet the needs of parliament were reported as being fragmented. Although general reports were acknowledged to be disseminated to parliament, there was a need for innovative data presentation and visualisation, rather than the current bulky reports (APRs, etc). Further, M&E data and information would be more useful to parliament if it was produced at constituency and ward level. But at the moment, it is produced only at provincial and national level in most cases. In addition, the WoGM&ES needed a well-defined framework for engaging parliament. It was suggested that there should be a way to link what happens in Parliament, and also in all constituencies in the country. When such information was harmonised and synchronised within a functional WoGM&ES, parliament would operate effectively with improved evidence-based policy and

decision-making processes. Parliament needs to demand proper accountability and transparency from the executive branch of government based on evidence and real-time information supplied by a stronger WoGM&ES.

With regard to the use of information from the WoGM&ES by parliament and its committees, it was reported that no clear evidence was available to prove the practice. No such demonstrations of the utilisation of information by parliament existed. The debates by parliamentarians were guided mainly by popular media subjects and some reports given by the executive. However, with regard to the data from the statistical office (CSO), parliament was said to have been using it to inform policy and some types of projects being implemented in the country. In the absence of a functional WoGM&ES, parliamentarians were reported to be using any source of information such as the media and other unsubstantiated sources. This created information decay with credibility, reliability and relevance issues. To that extent, creating a stronger WoGM&ES, coupled with a robust national statistical system (NSS), would be the sure approach for Zambia (GRZ, 2018).

Further, parliament was reported as not communicating its needs formally or informally through legislation that required particular information. No such formal or even informal requests were in place. Instead, it was reported that some requests from parliament to the executive were available, which sought explanations and certain statistics on issues. In such cases, the executive would respond by providing responses as requested by parliament. It was acknowledged that parliament had the capacity to use M&E information effectively. However, before being used by parliamentarians, such information had to be appropriately packaged, presented, simplified and consistent.

Sub-dimension 28: Civil society

On the sub-dimension pertaining to civil society, a score of 2.0 was given, namely that elements exist. The role of civil society in the WoGM&ES was recognised. Procedures were in place for the participation of civil society, although these were not comprehensively clear. Through some institutional arrangements, civil society institutions were reported to be participating in M&E

activities such as JSRs and in technical working groups (TWGs) of various CAGs as implemented in the 7NDP (GRZ, 2017).

The FNDP, SNDP and R-SNDP all documented the existence of CAGs (initially called SAGs). These institutional structures were created to support the implementation of government development plans and strategies through the participation of state and non-state actors (GRZ, 2017). Thus, CSOs have institutionally been incorporated in the CAGs as a platform for their participation in the development processes of Zambia. Although this existed, clear CAG membership issues regarding CSOs remained vague, hence rendering the institutional arrangements ad hoc. Nonetheless, the documents did not state the categorical procedures for the participation of civil society. The issues that CSOs were expected to table at meetings of CAGs were not stipulated, for instance. Such grey areas could affect participation and overall quality of engagement at meetings.

Overall, the participation status of CSOs in the current implementation of government plans and strategies remained unclear and fragmented. This was reported to be true of other levels, namely national, line ministry, provincial and district. Document review revealed that a limited number of CSOs were taking part consistently. No structured reports for CAGs were found to give details of issues discussed in meetings. In addition, no incentives were reported to be in place to motivate civil society participation in the WoGM&ES. Some individual CSOs were engaged in selected forums regarding monitoring NDP programmes. Civil Society for Poverty Reduction (CSPR) for instance had been consistent in attending NDP stakeholder meetings. However, the voice of CSPR alone was not enough to demand accountability and good governance practices by government. Consequently, the weakness of CSOs in the country was reported to have led to a poorly performing WoGM&ES. Moreover, there was a suspicion among respondents that when CSOs or individual CSOs operated too close to government, their objectivity in holding government accountable weakened, since they turned into allies of government. This was a dilemma because CSOs are believed to be well placed to make government account for public goods and services, while these CSOs may be compromised by government.

It was established that civil society was not represented appropriately in the coordination and liaison mechanisms of the WoGM&ES. Findings revealed that there were no civil society players in the whole of government implementation framework. While some CSOs were usually consulted on their input in the planning and preparation processes of NDPs, there were gaps in their engagement in the definition and implementation of M&E functions during the NDP implementation. In addition, no CSOs were consulted adequately about the roles they were expected to play in the WoGM&ES. There was no framework to coordinate civil society systematically in the country. As a result, it was not clear in the findings whether civil society had capacity to participate in the enhancement of the WoGM&ES. It was also found that there were no or fragmented participatory mechanisms in place to obtain information from civil society in the formulation of NDPs based on the needs of the citizens. Consultations were held with various stakeholders, including civil society, through meetings, symptoms and workshops. These forums were undertaken at national, line ministry, provincial and district level across the country during the preparation process of the 7NDP, for instance. However, there were no information mechanisms in place to learn which programmes of the NDP had received comments from civil society before, during and after implementation. Only comments on the holistic objectives of the plan were received.

It was reported that the NDPs were made available to the public through the MNDP website and that some hard copies were disseminated across the country (MPSAs). Weak evidence was found that civil society exerted pressure on government for information about its performance in reducing poverty. Currently, there was limited demand for M&E data from non-state actors because their own M&E was not results oriented or evidence based. Civil society in Zambia was reported to be fragmented, especially when it came to participation in the WoGM&ES. At best, they were working as individual organisations and lacked collective bargaining in demanding results from the government and other development agencies. Even among themselves, CSOs failed to uphold high standards and practice for M&E at all levels,

In addition, the WoGM&ES lacked a strategy for disseminating M&E outputs to the public and CSOs in particular. APRs were sparsely disseminated to civil society. A fragmented arrangement was reported to be in place whereby dissemination of M&E products was done through the national

development coordinating committee (NDCC), provincial development coordinating committees (PDCCs), district development coordinating committees (DDCCs) and cluster advisory groups (CAGs). There were plans to strengthen the knowledge and management function to include dynamic sharing of information across a broader spectrum of stakeholders and development players. Civil society was acknowledged as having participated in the preparation of line ministry strategic plans at those levels only to some limited extent. Not all strategic plans were subjected to wider consultations outside the sectors.

The wide publication of M&E information in the media was not practised in the WoGM&ES. Overall, media data in Zambia (especially among government institutions) was apparently not focused on development performance reporting. As a consequence, this led to challenges in information sharing across the WoGM&ES. However, only minimal M&E information on a few interventions was reported in the media (many times, restricted to infrastructure related development). This also happened when there were interests and motivation to pursue on the media side. In M&E, all information is expected to be published so that stakeholders may use it to discuss ways of improving development interventions. The lack of media involvement in the M&E architecture of the WoGM&ES for Zambia did not resonate well with the broader agenda of good governance and popular participation in national development. Furthermore, it was established that civil society in Zambia did not communicate its data needs to the WoGM&ES. There was no formal mechanism in place for M&E information sharing from CSOs to the WoGM&ES.

Sub-dimension 29: Donors

The sub-dimension concerning donors was given a score of 2.0 – elements exist. Development partners (DPs) and donors are key players in the evolution of M&E. Questions in the diagnostic checklist included: Is the role of donors recognised? Are there clear procedures for participation of donors? Do donors participate in joint sector reviews and/ or other working groups? (Holvoet & Renard, 2005, Holvoet & Inberg, 2011). As with civil society, the role of donors in the WoGM&ES was recognised. To some extent, there were clear procedures for their participation. Donors were reported to participate in JSRs and technical working groups (TWGs) to a considerable level. In addition, the reviews of NDPs and APRs showed that although the role of donors was recognised and their participation institutionalised in the context of CAGs and other

bilateral and multilateral arrangements, their role in supporting the sustainability of M&E functions was weak and fragmented. Nonetheless, there was considerable acknowledgement of donor support to the strengthening of the WoG-M&ES through financial and technical assistance. However, this support was mainly conditional and inflexible, leading to ownership and sustainability challenges (GRZ, 2015, 2016, 2017; Kanyamuna et al., 2018). But although this was acknowledged, there was lack of a structural arrangement with regard to the role of DPs. The review showed some evidence of donors participating in JSRs and meetings of CAGs. Surprisingly though, separate M&E systems that were implemented by DPs and donors (that is, to serve their own interests) were referred to. This was regarded as undermining the ownership, strengthening and sustainability the of country's WoGM&ES.

Nevertheless, DPs were acknowledged as playing an important liaison role in the coordination framework of WoGM&ES. They were reported as providing incentives in the form of financial and technical assistance and encouraging government agencies (e.g. MPSAs) to use information from the WoGM&ES (GRZ, 2017). But despite their positive role, DPs were reported as not using the WoGM&ES themselves. This was partly because the WoGM&ES was in its infancy phase and had not meaningfully incorporated DPs in the system. These fragmentations and inconsistencies are weaknesses in the system. This was also reported as a reason for DPs not fully embracing the government system for M&E. No strong evidence was found in which DPs consistently used information from the WoGM&ES. It was reported that some DPs were not helping to strengthen the WoGM&ES, but crowded out or weakened national accountability mechanisms through their partial participation and insistence on maintaining their own separate accountability mechanisms or M&E arrangements.

The coordination of the demand for M&E data and information from DPs was reported to be weak. It was reported that financing from DPs towards M&E related activities was restricted to selected line ministries. Therefore, given the fragmented manner in which the M&E activities of DPs were coordinated, many aspects remained undeveloped. In terms of the influence from DPs on the functioning of the WoGM&ES, DPs still needed to help by providing (flexible or unconditional) financial support for rolling out the WoGM&ES. It was also established that the divergent M&E requirements of DPs contributed to a sense of territoriality among government agencies, thereby

discouraging smooth coordination of M&E activities in the WoGM&ES. There were cases such as the health sector in which each development partner wanted to develop its own database to provide information on indicators of their subject. When the types of M&E and reporting requirements for DPs were assessed, it was gathered that DPs needed government statistics and performance data for indicators for their own planning and resource allocation. Usually DPs demanded outcome and impact-level information, which the WoGM&ES was unable to generate systematically since national surveys were undertaken irregularly. Consequently, DPs used this gap to justify the maintenance of their parallel M&E systems for the projects they supported. For that reason, government was currently encouraging DPs to use national M&E arrangements and frameworks as a way of harmonising and strengthening the WoGM&ES. Again, this practice by DPs could undermine the building and sustaining of the WoGM&ES for the country. Instead of working to build and strengthen internal systems for M&E, DPs ultimately weakened the line ministry arrangements for M&E and the WoGM&ES. With regard to whether DPs used the WoGM&ES for their own monitoring and reporting needs, it was reported that this was not really the case.

In terms of other mechanisms used by the DPs, it was reported that they engaged in dialogue meetings, which were held periodically, through quarterly and annual reviews (for example JARs in health and education sectors). Thus DPs were reported to be influencing the operations of the WoGM&ES to some extent. For instance, sectors were allegedly influenced at times to focus on collecting data that were specific to the needs of DPs. As a result, data needed for the WoGM&ES to meet the needs of a wider audience was not collected. As to whether the demand for M&E information by DPs influenced the WoGM&ES in producing data and information, it was established that DPs usually financed the production of statistics and other information types vital to their own planning, implementation and reporting requirements. It was also reported that DPs did not coordinate their M&E requirements among themselves. There were many parallel demands for statistics, data, information and reports from various DPs.

7.3.6 Use of monitoring and evaluation outputs

The final component is the use of M&E outputs. The topics in this dimension include the availability of M&E outputs, effective use of M&E by donors, effective use of M&E at central

level, effective use of M&E at sector, provincial and district level, and effective use of M&E by actors outside government.

Sub-dimension 30: Outputs

The outputs sub-dimension was given a score of 2.0, namely that elements exist. The diagnostic checklist sought to find out whether there was a presentation of M&E results, based on clear targets. The study also checked whether there was an analysis of discrepancies and whether the M&E outputs were differentiated according to audience. Further, the utilisation of information from the WoGM&ES by donors and whether they demanded M&E data in a coordinated manner was assessed. At national and decentralised level, the study sought to assess whether results of M&E activities were used effectively for internal purposes and as instruments of policy making and policy influencing and advocacy. As for the effective use of M&E by actors outside government, the study assessed whether results of M&E were used as instruments to hold government accountable. The review also checked the availability of M&E outputs in meeting the information needs of stakeholders. Questions included: Is there a presentation of relevant M&E results? Are results compared to targets? Is there an analysis of discrepancies? Is the M&E output differentiated to different audiences? These questions were useful in understanding the M&E outputs at all levels of the WoGM&ES.

The assessment showed that there is a presentation of M&E results to some extent. As much as possible, results were compared with targets. However, the review indicated that there was limited analysis of discrepancies. In addition, the M&E outputs were not differentiated for audiences. According to GRZ (2017), there was need for implementing agencies to give feedback on the implementation of development interventions in their jurisdiction. Such information therefore would be useful to inform development processes, including policy making and decision making. Monthly management monitoring reports, quarterly reports and annual reports were key M&E outputs that MPSAs were expected to produce. Apparently not all agencies produced such reports.

The NDPs reviewed singled out APRs as key outputs in the implementation of national plans and in the realisation of Vision 2030. In the APRs, performance results were compared with the targets as much as possible although in many instances, information was lacking to undertake such

analytical comparison. This was made possible through the use of an indicator system, whereby KPIs were agreed upon by stakeholders during the preparation of an NDP. Progress was then tracked cumulatively and measured against the set targets (GRZ, 2015, 2016, 2017). To some extent, analyses of discrepancies were made and possible attributions highlighted. Although outputs were prepared to meet the needs of stakeholders, they were not simplified enough to be used by all stakeholders. The reports were reported to be written primarily to meet the needs of government institutions (GRZ, 2011, 2013, 2016, 2017). APRs were reported to have content inadequacies in that they were based solely on monitoring information received from the sectors. They did not contain evaluation findings (GRZ, 2018). This was attributed, among other reasons, to few evaluations being commissioned to supplement the monitoring information. Coupled with this was the reference to the lack of a dedicated budget to fund evaluations. Further, it was mentioned severally that there were no multi-year evaluation plans at district, provincial, sector and national level (GRZ, 2015). Therefore, because of the content and analytical gaps in the APRs, the utilisation of these documents by stakeholders was low and fragmented.

Catalogues of outputs for the WoGM&ES were acknowledged to be available only at national level and in a few line ministries. Lack of a published catalogue of all outputs was acknowledged as a weakness that kept away many stakeholders and possible users of M&E information. Such information lapses led to policy and decision-making processes being undertaken without evidence at all levels of governance (GRZ, 2015). However, this was not a common practice in institutions and levels across government, though many MPSAs maintained clearly defined outputs. Where output catalogues were available, it was reported that their regular updates were not easy to establish across the MPSAs.

It was reported that calendar schedules for outputs were in place, though irregular, particularly for 7NDP implementation. Only calendars for selected outputs were acknowledged to be in place. This was said to have been developed in MS Excel after the publication of the Implementation Plan (volume II of the 7NDP). Whether calendar output schedules were advertised to the public and stakeholders was not clear. Only plans to circulate the calendar to stakeholders were stated to be in place. It was gathered that the release of outputs to all interested parties was not done simultaneously. For APRs, only a limited audience was reached during the launches, while many

others were not. This was similar to other institutional reports. A few uncoordinated disseminations in the provinces and a few districts were also reported. While these outputs were disseminated, not all users had equal access. It was acknowledged that not all stakeholders had access to hard copy reports. At the same time, not all users across government had Internet connectivity to access the reports on institutional websites. This situation limited the accessibility and utilisation of M&E information, particularly in advocacy, decision- and policy-making processes. In many cases, it was acknowledged that sources, methods, and procedures related to the production of outputs were published and available, but only to some users. However, this was done only by embedding these elements in the reports. Many stakeholders remained unaware of these reports. Zambia's WoGM&ES did not have an arrangement in which products were available in various formats. It was stressed that suitable products to meet the information needs of decentralised structures were not available. Therefore, these gaps explained why the WoGM&ES was still in its infancy stage, with many aspects needing attention (OECD/DAC, 2007a).

Similarly, no dissemination or communication strategy was mentioned for outputs produced by the WoGM&ES. None of the actors in the system were linked to any such strategies. Currently, only ad hoc dissemination arrangements existed, which were determined mainly as and when there was a report to disseminate. For instance, there was no national forum on which the dissemination of the content of the report would be made and particular issues of public development concern clarified. However, the MNDP was creating a strategy to disseminate M&E outputs from the WoGM&ES. No systems or arrangements apparently existed to maintain and disseminate M&E information except for ideas and plans within the MNDP (the central agency). Therefore, the aspect of whether such systems were friendly did not arise.

Sub-dimension 31: Effective use of monitoring and evaluation by donors

This sub-dimension was scored 1.0 – little action taken. While the availability of designated M&E outputs was an important aspect to take into account, their utilisation was paramount. Therefore, the effective utilisation of M&E outputs by donors is a critical element in the diagnostic checklist for a successful M&E system. Key questions included: Are donors using the outputs of the WoGM&ES for their information needs? Is the demand for M&E data from donors coordinated? It was revealed that donors were using the outputs of M&E systems for their information needs, at

least to a limited extent. Further, the demand for M&E data from donors was apparently not fully coordinated. APRs were produced from sector reports on progress in the implementation of programmes in NDPs. Thus, donors were expected to use APRs and sector reports (which are M&E products) to meet their information needs. The review of APRs and sector reports showed weak evidence in the utilisation of M&E system information by donors. The demand for information by donors was also uncoordinated (GRZ, 2017). According to GRZ (2015, 2016, 2017), such practices or weaknesses in the WoGM&ES motivate donors to maintain parallel M&E systems to satisfy their own information needs.

Sub-dimension 32: Effective use of monitoring and evaluation at central level

A score of 2.0, namely that elements exist, was given for this sub-dimension. Another significant demand for M&E outputs is at central level. Accordingly, the checklist sought to establish these aspects: Are results of M&E activities used for internal purposes? Are the results an instrument of policy-making and policy-influencing and advocacy at central level? (Holvoet & Inberg, 2011). Central-level institutions herein refer to agencies such as ministries of finance, planning, and cabinet office. The review showed that results of M&E activities were used for internal purposes, but in an ad hoc way. To some extent, M&E results were an instrument of policy making, but hardly of policy influencing and advocacy at central level. The NDPs indicated that results from M&E activities were supposed to inform and influence development processes such as planning, budgeting, decision-making, and policy making. There was some evidence of utilising M&E information in the planning process of NDPs (for example 7NDP benefited from APRs, reviews and evaluations). In addition, there was a weak mention of utilising M&E information in the APRs to inform budgeting processes by MPSAs. But no evidence was found of utilising M&E information to influence policy or advocacy at central level.

Sub-dimension 33: Effective use of monitoring and evaluation at local level

For this sub-dimension, a score of 1.0 was given, representing little action taken. The demand for and utilisation of M&E information at local or decentralised levels was also deemed important. In the checklist, these questions are asked: Are results of M&E activities used for internal purposes? Are M&E results an instrument of policy making and policy influencing and advocacy at local

level? (Holvoet & Renard, 2011; Holvoet & Inberg, 2009). In the diagnosis, it was found that results of M&E activities were used for internal purposes, but in an ad hoc way. It was an instrument of policy making, but hardly one of policy influencing and advocacy at local level. As at central level, NDPs indicated that results from M&E activities were supposed to inform development processes. There was evidence of M&E information being utilised in preparing NDPs (for example, 7NDP benefited from APRs, reviews and evaluations). In addition, there was a weak mention of information being utilised in the APRs to inform budgeting (at sector and provincial level only). However, no evidence was found in the review of utilising M&E information at local level, particularly at district and sub-district level (GRZ, 2009, 2011, 2013, 2014, 2017).

Sub-dimension 34: Effective use of monitoring and evaluation by actors outside government

The score given for this sub-dimension was 1.0 – little action taken. The effective use of M&E by actors outside government was another key aspect under the checklist. This question was asked: Are results of M&E used as an instrument to hold government accountable? The question is fundamental in providing accountability information that is key to further processes such as informing decision and policy making at various levels of government. The results of M&E were reported to be utilised, but to a limited extent and by only a few actors outside government, such as civil society, parliament and donors (GRZ, 2013, 2014, 2015, 2016, 2017). Furthermore, no clear evidence was found of the use of results from M&E by actors outside government in the documents (NDPs, APRs, and sector reports). However, there was only an ad hoc mention of a few actors outside government using information from M&E (few members of the civil society and professional development bodies such as Civil Society for Poverty Reduction, Economics Association of Zambia) (GRZ, 2006, 2011, 2013, 2014, 2015, 2016, 2017).

7.4 Conclusion

Zambia's WoGM&ES was diagnosed as being predominantly weak. This overall conclusion is consistent with those in other studies (World Bank, 2007, OECD/DAC, 2011, Kanyamuna, 2013). Although the study findings indicated that the system had positive aspects that were developed and functioning fairly well, most components were still underdeveloped and needed more work. Six dimensions were used to undertake the in-depth assessment of Zambia's WoGM&ES. These

components are policy, methodology, organisation, capacity, participation of actors outside government, and use of information from M&E. Using research results gathered from methods such as semi-structured survey questionnaires, interview schedules, focus group discussions (FGDs) and review of a wide range of literature, it was established that Zambia had a WoGM&ES in place. Sources of data included key informants from across government structures at national, line ministry, provincial and district level. Others were from non-state actors. These included parliament, civil society, development partners, and academia, among others. Despite various structural and systemic challenges being faced currently, Zambia could be said to be in the right direction in terms of building and strengthening its WoGM&ES. However, the results have shown that a great deal of focus and investment is needed in dedicating local resources and expertise so that ownership and sustainability of the national system for M&E will be possible.

Of the six diagnostic dimensions, the methodology component was the most developed, with a LEADS score of 3, signifying action had been taken, while the participation of actors outside government was the least developed with a LEADS score of 1, signifying little action had been taken. The rest of the dimensions each had a 2-point score, signifying that only elements of M&E existed. Although the scores revealed diverse levels of development for each component, it is important to recognise that intra-dimension dynamics also exist. To appreciate which M&E element needs more attention, it is crucial to consider the entire diagnosis in detail. What came out clearly in the diagnostic exercise is that Zambia is responding positively to national and international calls to improve governance systems and practices. But general and specific aspects require strengthening throughout the WoGM&ES at national, line ministry, provincial and district level. Also, non-state actors have many aspects to improve to assist in the building, strengthening and sustaining of Zambia's WoGM&ES.

The next chapter, Chapter 7 is focused at providing holistic remedial actions towards making the WoGM&ES for Zambia robust and functionally sound in terms of meeting the information needs of various stakeholders in the country's development efforts. Guided closely by the research findings of this study, the chapter proposes an alternative model to the Government of Zambia towards the enhancement of the country's system for monitoring and evaluation. The model is flexible to some extent possible—decentralised structures for instance may go ahead to make

improvements to their M&E functions without necessarily depending on the national level improvements. However, the model makes an emphasis that the efforts should be at all levels if the WoGM&ES for Zambia was to be properly functional to meet the expectations of stakeholders and contribute to the good governance and poverty reduction agenda of the country.

CHAPTER 8

Proposed Model for Zambia’s Enhanced Whole-of-Government Monitoring and Evaluation System

8.1 Introduction

The diagnosis of the functionality of Zambia’s whole-of-government monitoring and evaluation system (WoGM&ES) showed that it is weak, in specific and general terms. In all six dimensions that were assessed, namely policy, methodology, organisation, capacity, participation of actors outside government, and use of information from M&E, the results have shown that many aspects require to be fixed if the country’s public sector M&E system is to be functional to meet stakeholder information needs. Thus, Chapter 8 presents a proposed alternative model of monitoring and evaluation (M&E) arrangements for the improved functionality of the WoGM&ES for Zambia’s public sector. In many ways, the model seeks to address the challenges identified in this research study and other future improvements to strengthen and sustain the national system.

To begin with, the chapter describes two cornerstones that are essential for a stronger national level M&E system. These are the capacities to supply M&E information, and to demand M&E information. This section is discussed in the context of the diagnostic results and as key ingredients that are critical for any given M&E system. The next section presents the proposed model to better M&E for Zambia’s public sector. This model is based on the need to strike a balance between developing, strengthening and sustaining the country level M&E system focused on capacity to supply M&E information and the capacity to demand for M&E information. It concludes with a summary of the model and its implication for the enhanced WoGM&ES for Zambia.

8.2 Cornerstones for a stronger whole-of-government monitoring and evaluation system

Several experts and practitioners in the field of M&E articulated a number of key requirements for a successful national M&E system (see section 6.9). These checklists converge on a few fundamentals that have a holistic effect on functional country level M&E systems (see 6.2.1, 6.2.2, 6.2.3 & 6.2.4). Herein called the ‘cornerstones’ for a stronger WoGM&ES, I used the checklist by

Bedi et. al. (2006) as a framework to synchronise aspects deemed critical to the creation and sustenance of a WoGM&ES (see 6.2.4).

Any national system for M&E that seeks to function to the satisfaction of its stakeholders requires two aspects to be fully functional (Schiavo-Campo, 2005; Bedi et. al., 2006; Mehrotra, 2013; IEG, 2013). These are capacity to supply M&E information, and capacity to demand and use M&E information. The contention is that once these two aspects are fully developed, they would help to generate country-specific information and assist in identifying roles and responsibilities of stakeholders in pursuit of building and sustaining a stronger WoGM&ES. When these two sides of an M&E system are strengthened, opportunities, limitations, and options for building and strengthening a realistic system for M&E are identifiable and remedial actions are determined. For Zambia, all these aspects were found by this research study to be weak in various degrees. Although some aspects were reported to be working fairly well, compared with others, the holistic status of the WoGM&ES still requires fixing and ownership by government institutions and citizens. It is based on this finding that these success cornerstones are presented here as vital to the proposed model for a better and strengthened system for M&E of Zambia's public sector.

Table 8.1. Scope of a poverty reduction monitoring and evaluation system

A country monitoring and evaluation system should deliver timely and reliable data and analysis to feed into the policy process. To accomplish this, it must include a range of functions that are specifically institutional in nature, including coordination among data producers to establish a common set of indicators and eliminate gaps and redundancies; the development of common standards, procedures, and platforms; a strengthening of monitoring capacity across the government administration; the organisation of information flows among stakeholders inside and outside government; the compilation and analysis of data from various sources; data analysis and program/intervention evaluation; the generation of annual progress reports and other outputs; the provision of advice and support to policy makers; the dissemination of outputs across government and to the public; and the organization of the participation of civil society and parliament.

Conceptually, these elements all form part of the national monitoring and evaluation system. However, it is important to recall that, at the outset, most of the actors involved will not recognise their activities as part of a national system. Whether they will participate vigorously in making the country monitoring and evaluation system operational depends largely on their interests and incentives. The rules, both formal and informal, that govern these incentives are therefore a key dimension of the country-level monitoring system.

Source: Bedi et. al., 2006, p. 76-77

A number of aspects need to be in place before an M&E system is functioning to meet the needs of stakeholders. The two cornerstones are described briefly. In section 8.3, they are used to show what needs to be done for Zambia's WoGM&ES to be strengthened.

8.2.1 The supply side

Organising the supply side of a country's M&E system is not an easy undertaking. It requires a great deal of capacity and determination from those who pursue the task (Bedi et al., 2006; Kanyamuna et al., 2018). The complexity of developing and strengthening the supply side comes in view of having in place many stakeholders who are expected to invest resources in building M&E systems to serve nationwide information needs. In the process, several systems may be created that work in parallel and at times in conflict, leading to problems of duplication and redundancies in data collection, gaps or imbalances in M&E, lack of data compatibility, and poor information flows (Schiavo-Campo, 2005; Bedi et. al., 2006 & Mackay, 2007).

a) Institutional context and design

The institutional context and design is concerned with the recognition that for a successful WoGM&ES to exist, stakeholders and their buy-in are critical. Positive relationships and collaborations among these stakeholders in the functionality of M&E are understood to be the foundation for a thriving culture of M&E in the country. However, Zaltsman (2006) and Bedi et. al. (2006) caution that attaining stakeholder buy-in should be dependent on the nature of the system design and its process, which include mapping existing M&E arrangements that identify the main stakeholder dynamics. Similarly, the process should involve identifying and analysing strengths and weaknesses and providing clear statements of political commitment to effective M&E; having transformative champions, who advocate for a shared system across all government administrative structures; and putting in place an arrangement to serve as a consultation and facilitation platform that assists stakeholders in articulating their needs and expectations.

b) Leadership

Experience has suggested that the choice of any institutional leadership for the system is critical, because the function of leadership is better located close to the centre of government or placed under the budget function, depending on where effective power and authority over the NDP process is situated. Regardless of location, the leadership role must be given serious attention in every institution and needs to benefit from skilled and dedicated staff and adequate resources (Bedi et al., 2006; Kanyamuna et al., 2018; Schiavo-Campo, 2005).

c) Coordination

Organising a coordination mechanism that is effective from among the development agencies could be one of the most challenging undertakings in creating a WoGM&ES. Effective support from a secretariat or central agency could ensure that stakeholder meetings were focused and substantive (Bedi et al., 2006 and Görgens & Kusek, 2009). However, such an agency or secretariat would need to be conversant with national priorities as listed in NDPs and possess skills and experience in mediating stakeholders to find common ground. Thus, the secretariat should be a relatively small but highly competent unit at central level. To be effective, such a unit needs strong and stable qualified and practically committed staffing that focuses on unifying all state and non-state M&E mechanisms.

d) Liaison with line ministries

In practice, a WoGM&ES is dependent on the quality of sectoral and other decentralised information systems. The national level M&E system may be required to incorporate strategies for promoting M&E among line ministries, provinces and districts, using rules and guidelines that demand the incorporation of M&E functions in departmental work plans, budgets and staff job descriptions (Bedi et al., 2006; Bossert, Chitah, & Bowser, 2003; GRZ, 2017b). To design and implement such institutional environments, M&E capacity strengthening programmes across line ministries will be needed to produce the data for the system.

e) Links to the national statistical system

There is a fundamental requirement to ensure that there are functional complementarities between the statistical system and the WoGM&ES. It is usually the responsibility of national statistics agencies to set up quality and technical standards for use by administrative data producers in their work of technical capacity building backstopping (Holvoet & Renard, 2007; Kanyamuna, 2013; Mehrotra, 2013). However, owing to poor funding modalities to national statistics institutes, which is usually biased towards financing large surveys and statistical operations, support to strengthening the M&E function and its complementary roles remains weaker.

f) Involvement of local governments

The design of local monitoring arrangements depends on the government structure and predominantly on the degree of fiscal and policy autonomy given to local governments (Basheka & Byamugisha, 2015; Bedi et al., 2006). In an attempt to develop functional WoGM&E arrangements, some countries are continuously encouraging local governments to create, strengthen and sustain their own systems so that in the long run will support the objective of desired decentralisation (Republic of South Africa, 2006).

g) Information communications and technology

On the supply side of any M&E system, it is important to invest heavily in information communication technology (ICT). ICT provides the platform under which information is effectively and efficiently collected, stored, analysed, reported and disseminated to stakeholders. Management information systems (MISs) that are powered by ICT offer easy solutions to M&E and coordination and information sharing faster and more comprehensive. Through ICT, integrating individually developed – and in some instances parallel M&E systems – becomes feasible and this helps in achieving a WoGM&ES (Wagner & Kozma, 2005; GRZ, 2017). Thus, in a world in which information technology has spread and become the common way of development operation, the government of Zambia has all the motivation to embark on ICT development to support its WoGM&ES.

8.2.2 The demand side

In addition to putting in place an effective institutional supply side, it is critical to build a robust demand side for an M&E system to operate successfully. Even more so, as Bedi et. al. (2006:83) warn, “effective demand is crucial and depends on many factors outside the scope of the WoGM&ES and cannot easily be institutionalised”. Certain fundamental elements constitute the demand side of an M&E system and are summarised below.

a) Analysis and evaluation

For an M&E system to have a robust and well-developed demand side, it is necessary to invest in the capacities to undertake quality analysis and evaluation of policies and programmes. If these practices are still in their infancy, an M&E system may introduce them in phases, for instance starting with the collection of quality data, followed by capacity building for analysis of data, and finally, the institutionalisation of the practice of utilising the data to evaluate policies and programmes (Bedi et al., 2006:84).

b) Outputs and dissemination

There should be commitment to the compilation and analysis of appropriate outputs of M&E information in readiness for their dissemination and distribution to a wider audience within and outside government. The ultimate usefulness of any M&E system is really the ability for its information to be utilised by stakeholders (Bamberger, 2008; Fourth High Level Forum on Aid Effectiveness, 2011). According to Bedi et al. (2006) and Mehrotra (2013), a good WoGM&ES will generate a range of outputs to meet the information needs of various audiences and will include a dissemination strategy that reaches all its intended users. For example, all development issues of relevance to local communities will be appropriately reported within suitable M&E outputs designed for the general public.

c) Linking WoG-M&E system to planning and budgeting processes

Creating a link between the WoGM&ES and the planning and budgeting processes is a powerful way of generating demand for M&E (Kanyamuna et al., 2018; Kusek & Rist, 2004; Kusek & Rist,

2002). For this reason, Pitchett, Samji and Hammer (2012) assert that when agencies bid for public resources, this is an opportunity to ask them to justify their policies and plans, based on evidence provided by M&E data. For instance, in linking the WoGM&ES to the budget, care needs to be taken to avoid undesired effects. M&E data will not always be satisfactory and used to set annual priorities for expenditure. Attributing the results to spending could be problematic, especially when multiple interventions could have influenced the results. For instance, if budget releases were unreliable, it could lead to difficulties in holding public sector implementers accountable for their performance. Consequently, simply because the responsible agency may have performed poorly at M&E, sanctions may be difficult to enforce since they might lead to cuts in funding for some interventions (Bedi et al., 2006).

d) The role of parliament

Parliaments should be key users of M&E information from poverty reduction interventions (Aguja & Born, 2016; Eberlei & Henn, 2003). However, in practical terms, parliaments have not been proactively involved in the activities of WoGM&ES (Bedi et al., 2006; Kanyamuna, 2013; Kanyamuna et al., 2018). Therefore, without a strong committee system, supported by experienced research staff, these parliaments are generally unable to engage effectively with the executive on policy issues (Holvoet & Inberg, 2012a; Holvoet & Renard, 2007). As an example, public committee hearings on NDP implementation, based on annual progress reports (APRs) and other outputs, would help to raise the profile of a WoGM&ES. This process would be enhanced if the role of parliamentary committees was institutionalised in the WoGM&ES or if technical and financial support was provided to parliament. To assist in interpreting data, parliamentarians may draw on expertise in civil society and academia, thus helping to forge useful alliances and broaden the inputs into the policy process (Bedi et al., 2006; Nelson, 2016).

e) Organising civil society participation

CSOs can play various roles in a WoGM&ES as producers and users of M&E information. A WoGM&ES may therefore provide an opportunity to sustain participation of these actors over a longer period. The extent and nature of civil society participation in a WoGM&ES varies considerably. For instance, where civil society is already highly mobilised around development

issues, popular participation in development policy tends to be well institutionalised and sometimes supported by legal mandates. On the other hand, where there is little tradition of civil society involvement in the policy process, building up interest and capacity in such involvement must be a longer-term goal (Bedi et al., 2006; Guzman, 2014; Mulonda, Kanyamuna & Kanenga, 2018).

8.3 The new model

For Zambia to build, strengthen and sustain its WoGM&ES, deliberate and consistent steps will be inevitable. The transformational improvements and accompanying M&E reforms will be needed at two levels of the overall WoGM&ES, namely transforming the supply side, and transforming the demand side (see section 8.2). In addressing these requirements, building and sustaining a functional system for M&E will be a gradual and complex task. It demands detailed knowledge across sectors, and of interactions among planning, budgeting, and implementation functions in the public sector. The matter is complicated even further whenever the machinery of government is decentralised, with powers and functions shared and spread across the three spheres of government—executive, legislature and judiciary. It is precisely this kind of complex intergovernmental structure, with diffuse powers and functions, which requires strong M&E systems to promote coordination and prevent fragmentation as a country thrives to achieve good governance and poverty reduction.

8.3.1 Model synopsis

The rationale of this proposed model is premised on the need to put in place five (5) functionality dimensions meant to improve the M&E coordination function:

- a) Clarity on the common purpose of implementing a WoGM&ES
- b) The Zambian governance structure
- c) Independent evaluation structure
- d) Government-wide integrated ICT infrastructure and arrangements
- e) Decentralised and integrated national statistical system

a) Clarity on the common purpose of implementing a WoGM&ES

Why is the Zambian government motivated to build, strengthen and sustain a functional WoGM&ES? This question is important if the country's system for M&E is to be built on solid ground. Responses to the question will trigger all sorts of operational questions: What? How? When? Who? Zambia is among the poorest countries of the world and is plunged in the vicious cycle of deprivation and want. Efforts by government and citizens should be towards emancipating the country from this dire situation. Poverty levels are currently high and increasing at over 60%, as is unemployment, especially among the youth and women, and inequalities, yet the country still depends on the mono economy of copper.

In building and strengthening its WoGM&ES, Zambia, like any other country, will need to provide a commonly shared justification for embarking on such effort. The purpose must be widely appreciated and stakeholder buy-in built so that the implementation process is not a preserve of one agency, but of the entire government machinery. For instance, many factors led the South African government to recognise the need for a government-wide monitoring and evaluation (GWM&E) system. Among other reasons, the government of South Africa faced an increasing emphasis on service delivery and the gathering of non-financial information, in pursuit of greater value for money spent (Republic of South Africa, 2008). This model contends that while the Zambian government may be certain about the purpose of implementing the WoGM&ES (even in a fragmented manner, as found in this study), the current weak position must be reconsidered. A thorough process of broad-based advocacy among key stakeholders on the need to build a robust evidence-based WoGM&ES becomes inevitable. Doing so will be useful in that investing in such a system will not only be expensive in terms of resources, but in building consensus among the citizens and institutions that are critical to owning and sustaining such a system in the long term. This model challenges the status quo of being comfortable in implementing the current WoGM&ES in a fragmented manner where key government structures such as line ministries, provinces and districts could not show common understanding of the WoGM&ES. Various and varying definitions of the system (WoGM&ES) were given with misinterpretation and even misunderstandings of what it is intended to achieve. For such reasons, when a clearly and commonly shared position on the common meaning, rationale, objectives and goal of a functional WoGM&ES are attained, Zambia will be on a sustainable path towards a successful system.

b) Zambian governance structure

It is crucial to appreciate the structure of the Zambian governance system. The development process is facilitated by the governance structure as enshrined in the national constitution. Thus, the WoGM&E is proposed to be anchored on the Zambian Constitution, backed by all appropriate current laws and those to be enacted in future. The system should be well linked to all the three arms of government, namely executive, judiciary and legislature, as shown in Figure 8.1.

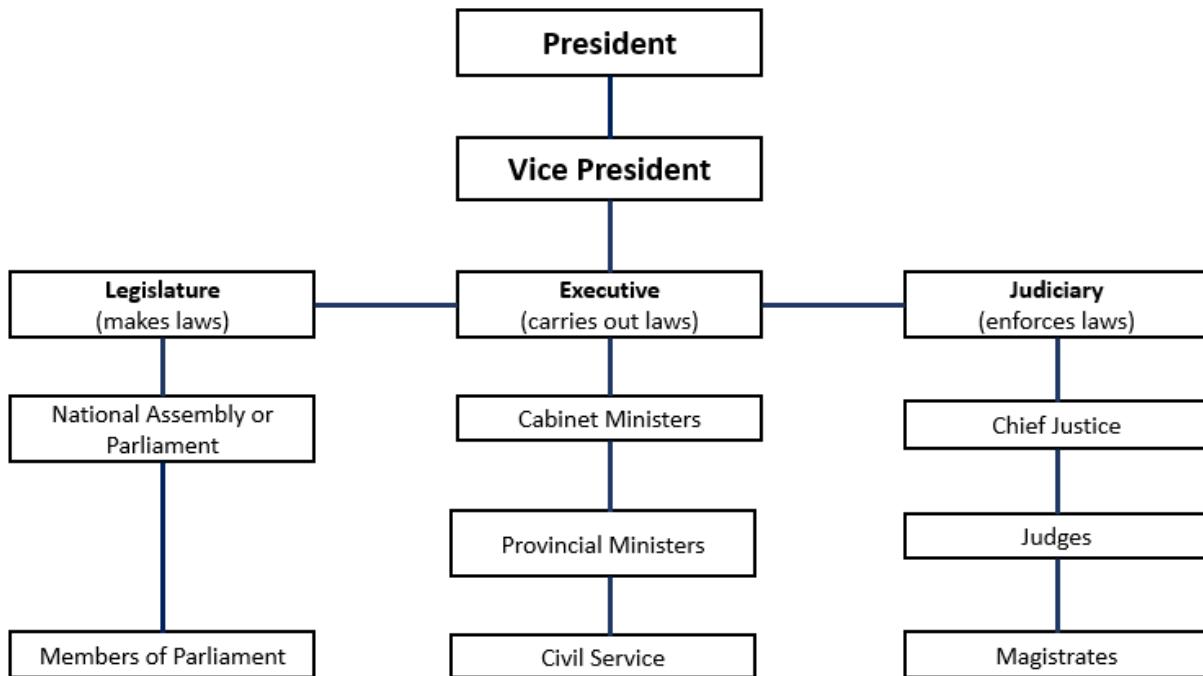


Figure 8.1. Three branches of the Zambian governance system

Source: Grade 7 Social Studies, Longman Zambia Educational Limited, 2017, p. 21

Figure 8.1 shows the three branches of government, which work in complementarity in service of the Zambian population. Their core roles are as follows:

The legislature makes the laws of the country and controls the executive. The executive runs the country according to its laws, and makes decisions for the country. It is also called the government. The judiciary makes sure that the laws of the country are obeyed through the courts.

c) Independent evaluation structure

This model recommends in the strongest possible way the creation of a separate, autonomous, neutral and independent institution mandated with the responsibility of conducting ‘strategic

national evaluations’ in Zambia. Currently, the evaluation role is at its weakest or, worse still, ‘non-existent’ (see sub-section 7.3.1 & 7.3.4). Yet, the evaluation function is the most critical part of any successful WoGM&ES (Cuesta, 2014). For Zambia, it is not surprising that the situation of a weak evaluation culture is like this, because the reason for putting an M&E system in place was driven mostly by the World Bank and IMF during the implementation of the PRSP programme between 2000 and 2004 (see section 1.3). If the demand had been internally driven and owned, probably practices such as embedding a strong ‘evaluative culture’ within the current weak WoGM&ES would be addressed. Although this view seems to be far-fetched for Zambia, it remains the correct and feasible way to proceed—establishing an independent evaluation office.

Countries that are seen to be implementing successful WoGM&ES with strong ‘evaluation’ cultures embedded in them include Colombia, Mexico, Chile, South Africa, Indonesia, Canada and Australia (see Lopez-Acevedo et al., 2012; Mackay, 2007; Republic of South Africa, 2008). These countries are reported to have built strong evaluative functions as a starting point when creating their systems for M&E and have invested time and resources to strike a balance between strengthening the supply and demand sides of their systems. Similarly, this model proposes that since Zambia’s WoGM&ES was still at its embryonic stage, it is important that the culture and practice of evaluation within the system are embraced. But as this effort is being embarked on, serious buy-in from the political leadership and the civil service must lead the transformational shift. As in these best practice countries, setting up a separate structure for undertaking strategic national evaluations would be inevitable and an effort in the right direction. But the location of this structure must be given operational and resource independence to give it ‘teeth’ by producing evidence for improvement of service delivery in the public sector.

d) Government-wide integrated information technology and communications infrastructure

To have in place a functional WoGM&ES, this model proposes restructuring and strengthening the current information technology and communications (ICT) set up across the public sector. Accordingly, all the four operational levels of government will need to host ICT portals, which will be data and information gateways that feed into the national and provincial databases. ICT improvement will serve as a powerful enabler towards integrating systems and sub-systems, which will ultimately help create a holistic WoGM&ES. However, the findings in this study have shown

that currently the evolution of ICT to support the WoGM&ES is at its weakest (see sub-section 7.3.1). Nevertheless, this model contends that if progress was to be made, government may have no alternative but to invest meaningfully in the ICT sector to support a robust M&E function in the country. The Smart Zambia Institute (SIZI) initiative is a positive starting point. However, there is need for the institution to expand to all operational areas of government to support and host the WoGM&ES ICT component.

Figure 8.2 below shows the ICT infrastructural arrangements that need to be introduced and strengthened throughout the government structures. The proposal is to have two functional ICT aspects, a portal for official data entry, and a database for data and information storage. These are proposed to be placed at every operational level of the WoGM&ES (that is, presidency, national, line ministry, provincial and district level). Effectively therefore, these ICT infrastructures are proposed to be synchronised with the statistical functions at all levels. This entails that for all the statistical information collected by CSO across the country will need to sit on these ICT platforms or be functionally linked. Current statistical arrangements will need to be restructured to meet the proposed institutional and information system design, particularly in terms of ICT and other resource capacities, such as human, financial, material and skills.

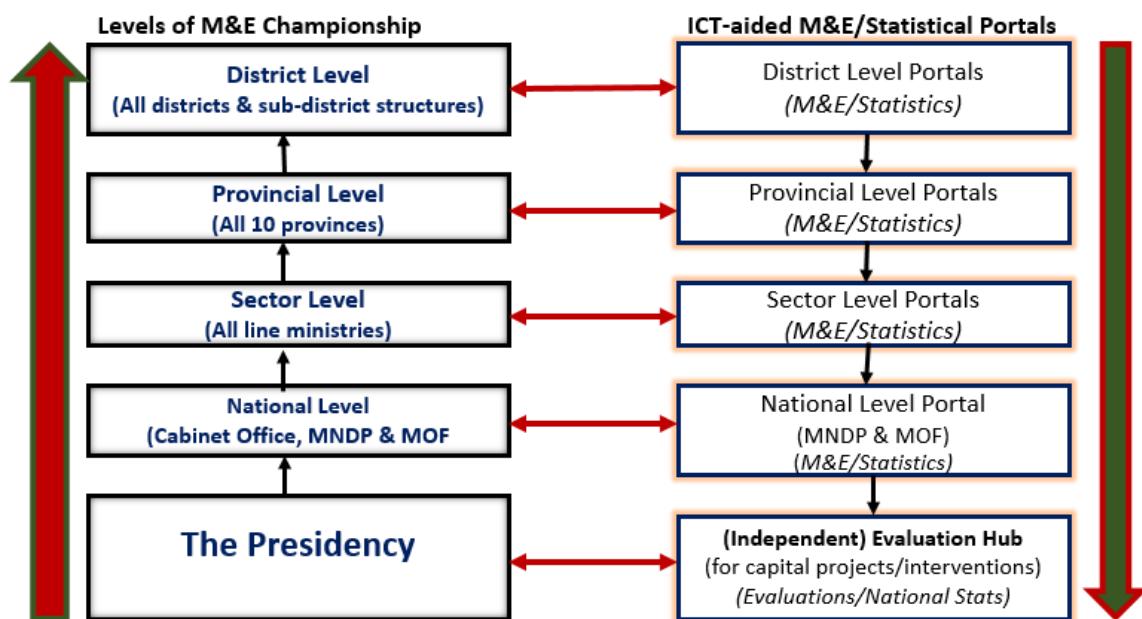


Figure 8. 2. Government M&E and information communication technology portals

In Figure 8.2 the linkage relationships that are portrayed between levels (shown by arrows) are important. In terms of the M&E championship, it is proposed that more effort in inculcating the culture and practice of results evolves from the presidency, to national level institutions, to line ministries, to provinces, and all the way to district and sub-district level. At the same time, ICT-aided M&E and statistical portals as well as databases will flow downwards from district level, feeding into provincial, line ministry, national and finally into the evaluation database. In addition, institutions at each level will be responsible for maintaining databases and utilising the information for their decision-making processes. Through this kind of interaction and operation, it is seen as a practical approach to building and sustaining a stronger supply- and demand- side and ultimately the WoGM&ES for the Zambian public sector.

e) Decentralised and integrated National Statistical System

Promising efforts to re-engineer the operations of the Central Statistical Office (CSO) have been reported. These efforts are proposed in the draft national strategy for the development of statistics (NSDS) 2014-2018 and the National Statistical System (NSS). However, it was gathered that the current linkages and functional relationships between the WoGM&ES and the NSS are weak and fragmented (see details 7.3.3). There are apparently no deliberate structural arrangements to strengthen the desired complementary roles and responsibilities of the WoGM&ES and NSS. Yet, a successful WoGM&ES needs to be anchored effectively on a stronger NSS. Data and information need to flow between these systems and used in informing developmental decisions and policy-making processes.

Thus, this model presupposes that not much progress will be made towards building and sustaining a WoGM&ES for Zambia's public sector without having a corresponding NSS in place. To that extent, just as the WoGM&ES is proposed to be strengthened by having functional elements in all structures of government at national, line ministry, provincial and districts level, so should the NSS. More so, focus should be not only on putting these M&E and statistical functions in place, but on their sustainable collaborations and integration. To have a responsive NSS, it should be enhanced in terms of possessing critical components such as data suppliers and users, other data producers and permanent training facilities for continued capacity building. Therefore, the model supports the components of the NSS as proposed in the NSDS (see Figure 8.3).

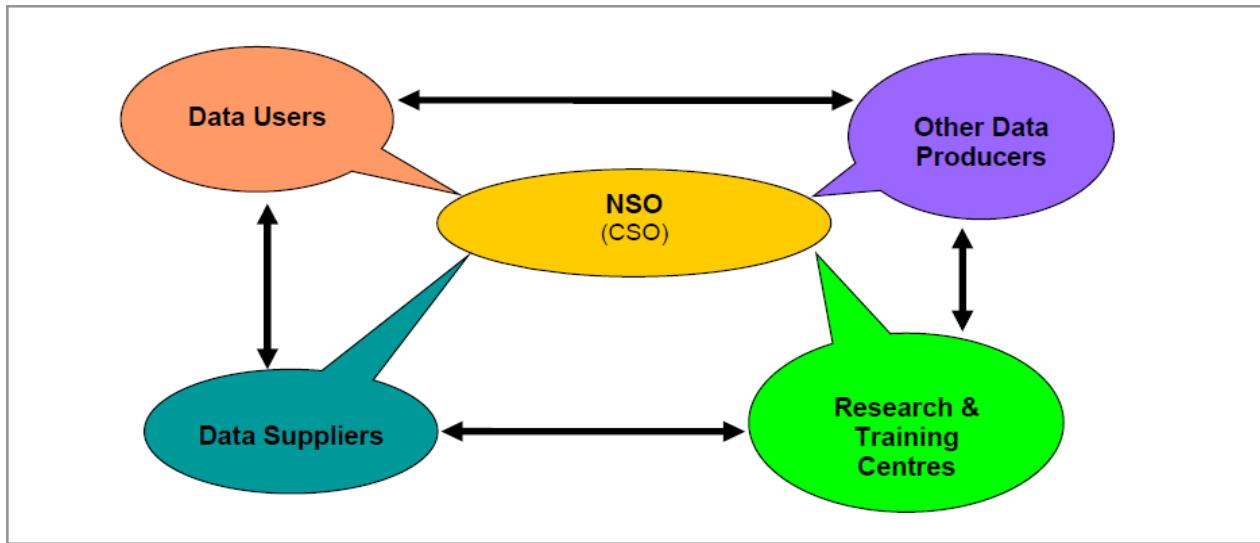


Figure 8.3. Components of the National Statistical System

Source: Central Statistical Office, National Strategy for the Development of Statistics, 2014, p. 2

Key

NSO: National Statistics Office

CSO: Central Statistical Office

The model takes into account the current set up, in which the leadership and coordinating roles of M&E and statistics at national level are under the mandate of the MNDP. This arrangement needs to exist for better collaboration and to cement both roles (that is, M&E and statistics). The model also proposes strengthening the legislation at all levels to ensure that this relationship and functionalities of the WoGM&ES and the NSS are developed and sustained. This will entail having in place a common policy and law that spells out these intentions and functionalities. In the absence of a common legislation, efforts need to be made to harmonise existing ones, because it is only when roles and responsibilities are clearly understood from a policy level and through legal provisions that the implementation process would be feasible. This model considers that M&E and statistical functions need to be seriously defined and harmonised across all structures of government as conceptualised in Figure 8.4.

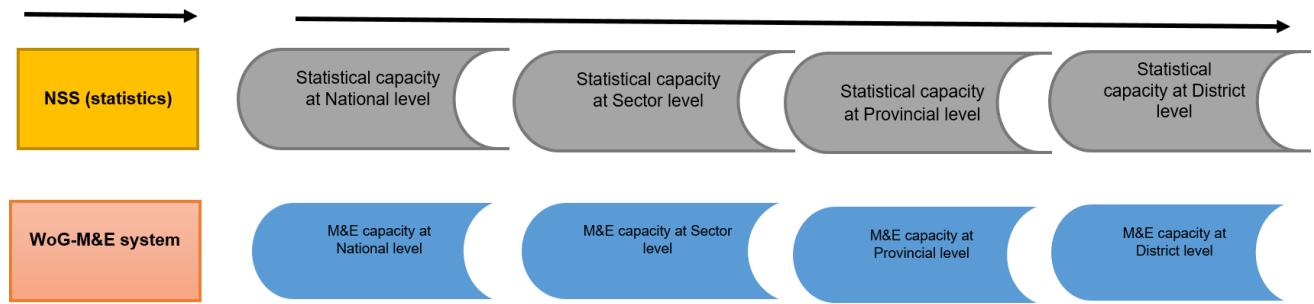


Figure 8.4. Harmonising statistical monitoring and evaluation across government structures

8.4 The proposed model vis-à-vis the two cornerstones

The proposed model gives salient suggestions on what the Zambian government needs to embark. In sections 8.4.1 and 8.4.2, details are given of aspects that need improvement or indeed shifting. The emphasis is on the need to transform the supply side and demand side of Zambia's WoGM&ES.

8.4.1 Strengthening the supply side

Strengthening the supply side of an M&E system requires investing in the quality and credibility of M&E information through augmenting coordination of data production and data standards by reducing the costs of data supply, and by growing the volume and breadth of forms of evaluations which are conducted (Mackay, 2007:iii). Therefore, a number of aspects need to be considered when building and sustaining the supply side of an M&E system. This section discusses details of what needs to be done to improve Zambia's WoGM&ES under the proposed model. Suffice to say, the model recognises and retains the four tier government-wide operational structure and governance arrangements, which are:

- i. National level
- ii. Sector or line ministry level
- iii. Provincial level
- iv. District (including sub-district) level

With one critical inclusion, the presidency, the model adopts the current NDP institutional set up for Zambia's current WoGM&ES, which consists of these aspects:

- **The presidency**
 - This is a new inclusion and is needed to spearhead the ‘evaluation regime’ in the country. The culture of results at country level to be institutionalised in the presidency through sustained demand and use of evidence in development processes.
- **Oversight structures**
 - Parliament
 - Office of the Auditor General (OAG)
 - House of Chiefs
- **Policy coordination and implementation**
 - Apex institutions, namely Cabinet, Cabinet Office, Ministry of National Development Planning and Ministry of Finance
 - Sector level, namely ministries and other implementing agencies at national level
 - Provincial administration
 - District administration
- **Advisory and decision-making structures**
 - National Development Coordinating Committee (NDCC)
 - Committee of Permanent Secretaries
 - Cluster Advisory Groups (CAGs)
 - Provincial Development Coordinating Committees (PDCCs)
 - District Development Coordinating Committees (DDCCs)
 - Ward Development Committees (WDCs)

Hence, in working to strengthen the M&E supply side, the significant institutional context design issues of focus are discussed now.

a) Institutional context and design

Although the institutional arrangements for Zambia’s WoGM&ES have been explained, the research results showed that there are gaps (see 7.3.1 & 7.3.4). Starting with the national level institutions cascading down to line ministry, provincial and district levels, much has to be done to make the WoG-M&E function successfully (GRZ, 2017). Championship, in favour of practical

strengthening of M&E, was found to be weak politically and technically across Zambia's WoGM&ES. Thus, there was a situation in which stakeholders were not working congruently to support the strengthening of the national system.

Re-engineering is necessary to improve institutional collaboration for a functional WoGM&ES. Building, strengthening and sustaining a country-level system for M&E should start with government stakeholders. Political leadership must be seen to be taking the leading role in creating a stronger system that would provide solid evidence for policy and decision making at all levels of national development. Therefore, it is proposed that the presidency should take up the M&E championship role at country level and pull the rest of the stakeholders in one direction. While this is happening, the 'results-oriented' capacity in the presidency needs to be extended. Further, like-minded champions will have to be placed in strategic institutions and positions across the government structure at national, line ministry, provincial and district level. More importantly, the approach of this re-engineered M&E needs to be participatory and stakeholder focused, bearing in mind that consensus building is at the centre of ownership and sustainability of the system.

b) Leadership

Unclear leadership roles and responsibilities across the WoGM&ES were revealed (see details 7.3.1). For things to happen in the desired manner, the presidency is recommended to take up the country-level institutional leadership role of M&E in Zambia. This should not be done in rhetoric, but practically planned, feasible and in an institutionally organised approach. When the presidency assumes this mandate at country level, other structures in and outside government would probably follow suit in promoting M&E within and across their institutions. It works well when the presidency becomes involved in promoting tenets of accountability, transparency and good governance. Such a culture should at best be accompanied by a system for monitoring and reporting progress vis-à-vis presidential goals and the country's development goals as targeted in the NDPs. On the supply side, stronger legislation such as constitutional provisions for results-based management would go a long way towards building a successful WoGM&ES (Mackay, 2007). Further, at national level (particularly among government structures), MNDP, with collaborating support from MOF and Cabinet Office, should continue to provide leadership to the

M&E function for the public sector. This national-level M&E function should work in complementarity with that at presidency level.

Evidently, the study results of this research revealed weaknesses in the current capacities of MNDP and its relationship with MOF and Cabinet Office. Worse, the role of the presidency in advocating for a practical shift towards a robust WoGM&ES was not clearly defined in government policy and operational documents. Therefore, one of the first steps would be to improve the national-level leadership of the WoGM&ES through strengthening M&E championship in these apex institutions. In fact, M&E championship must be strengthened not only in these apex institutions, but at all leadership levels across government structures. While sporadic pronouncements have been made through ministerial and presidential speeches in support of the M&E function, actions have been slow in transforming the M&E agenda in the country.

Another issue relates to the capacities in MNDP, MOF, CO and all other government structures. The findings showed a huge human resource gap in Zambia's WoGM&ES. A case in point is that currently, the MNDP was understaffed. Of the complement of 22 staff members, only five positions were filled at the time of this research. The situation was worse at decentralised levels of line ministry, provincial and district. At MOF and CO, hardly any dedicated staff members were mandated to support the WoGM&ES. Further, attrition and failure to attract and retain qualified and experienced staff because of the poor conditions of government service continued to characterise the WoGM&ES (GRZ, 2015, 2016, 2017). Therefore, these institutions were unable to conduct sound M&E functions which would inform decision-making processes. Thus, coupled with a lack of, or at best inadequate quantity and quality of leadership, management, and organisational skills in M&E championship, the coordination role was undermined at all levels of the WoGM&ES (GRZ, 2016, 2017).

c) Legislation and regulation

An aspect that is close to that of leadership is M&E legislation and regulation. The study indicated that good efforts were being made to strengthen the WoGM&ES. Since 2014, when government articulated the National Planning and Budgeting Policy, whose bill has yet to be presented to

parliament, there have been further demands to strengthen the role of M&E in the country with supportive laws and legal systems. These demands have led to the development of the National M&E Policy, spearheaded by the MNDP, as an anchor to the practice of M&E in the country. This policy would form the basis for further laws to introduce stable legislation to guide M&E in the public sector and beyond. However, most of these efforts are still ‘work in progress’. The country needs accomplished results towards building a stronger WoGM&ES.

Government needs to take practical steps by ensuring that the evolution and practice of M&E are backed by strong laws, possibly the equivalent of those that govern public financial management (PFM). Legislation may not be the only determining factor to trigger the M&E supply and demand sides, but that first step will be critical in growing the culture and practice of results among stakeholders. In any case, such laws would reinforce existing ones so that transparency, accountability and good governance tenets are pursued under prescribed legal frameworks and M&E practitioners then work freely without fear of punishment.

d) Coordination and oversight

The coordination of M&E activities among institutions across the WoGM&ES was found to be weak, despite efforts to strengthen the coordination framework for the WoGM&ES while preparing the 7NDP (2017–2021). See sub-section 7.3.3 for detailed analysis of weaknesses regarding coordination and oversight. To put in place a stronger national-level M&E system, engaging stakeholders is a fundamental factor for success. Re-organising the public sector coordination and oversight framework would provide an opportunity for stakeholders to engage meaningfully, thereby assist strengthen the WoGM&ES. In a country that is striving to implement a decentralised governance system, the Zambian public sector is presented with the challenge of ensuring that M&E coordination and oversight are firmly institutionalised (GRZ, 2002, Engela & Ajam, 2010). Coordination and oversight issues are supply side M&E matters and resolving them requires that they should be regarded as such.

Increased focus should be on the continued strengthening of coordination mechanisms, oversight roles and overall liaison at all levels. Further, more effort will be needed for instance to lobby for donor support for developing the systemic component of the M&E supply side. However, while

this was being pursued, government's commitment to holistically investing in building M&E functions will need to be increasingly evident. Thus, it will be expected that government structures should increase the allocation of funds and resource capacities to M&E functions.

However, to make these changes, greater support and collective action from all the key institutions is necessary. In the absence of such efforts, especially if MOF and CO held different positions from MNDP, it would be impractical to invest in an improved WoGM&ES. Similarly, in the initial stages of consultations for the national M&E policy, MOF argued that the treasury would not be able to meet the wage bill for the proposed M&E structures across government (draft national M&E policy, 2017). This alone showed how less valued and prioritised M&E functions were in high institutional rankings such as MOF, and thus makes future success doubtful (regardless of whether the issue of limitations in national resources was true). Therefore, priority must be given to the harmonisation of collaboration among all stakeholders. However, achieving this is not easy owing to the complex nature of decentralised government machinery in terms of its powers and functions across all levels (Adrien, 2003; Engela & Ajam, 2010). To that extent, government will need to resolve all existing gaps and work hard towards harmonising institutional relationships to attain the collaboration levels to thrive the WoGM&ES.

e) Links to the national statistical system

On the supply side, the national statistical system (NSS) plays a significant role in enhancing the functionality of the WoGM&ES. Currently situated under the MNDP, the CSO was responsible for collecting and publishing official statistics in Zambia. Statistics were collected using data collection methodologies and mechanisms such as surveys at national, sectoral and subject-specific levels. Suffice to say, study findings revealed that weaknesses existed between the WoGM&ES and the NSS. There were gaps in the ways in which CSO supported the functionality of the WoGM&ES (see details of gaps under sub-section 7.3.3).

Under this model, current weaknesses should not be tolerated because the relationship between the WoGM&ES and the NSS must be self-reinforcing; otherwise it becomes difficult to implement a stronger WoGM&ES. Focus initially should be on harmonising the current institutional and operational arrangements. There is an advantage on this front because both mandates are located

under the MNDP. CSO need to strengthen their role of backstopping and technically supporting government institutions and needy non-government actors on statistical issues. This will demand immediate capacity building of CSO, which was found to be fragmented and weak. Essentially, the availability of the WoGM&ES and the NSS presents a good starting point towards strengthening a culture of results in the public sector and among the citizenry. As a priority, government would be expected to ensure that there are comprehensive synergies (that is, structural, systemic, operational, and technological) between the two systems at national, line ministry, provincial and district level. To that extent, creating common, integrated and unified ICT-aided portals and databases will facilitate the strong linkages between the two systems. This will demand investment commitment on the part of government and other stakeholders. Engela and Ajam (2010) concluded that there seems to be no easier way out than investing time and resources in ensuring that multiple capacities are fostered to propel the most sought-after systems for M&E. For instance, focus on skills development, ICT-aided solutions, champions, motivation to demand and use statistical data and M&E information, and addressing institutional and systemic politics will be needed as the country transforms itself towards a stronger and successful WoGM&ES.

Further, government would do well to consider transforming CSO into an independent and operationally neutral statistical office, which would be consistent with the study findings. Respondents stressed that an independent CSO will probably be effective and efficient, thereby meeting the statistical needs and expectations of stakeholders. This independence should involve financial autonomy and technical operational rights. To that effect, the drafting of the National Strategy for the Development of Statistics (NSDS) for the period 2014 to 2018 fits well with this recommendation. Overall, the NSDS calls for updated statistics legislation to allow for an independent CSO. Therefore, this alternative model to a strengthened WoGM&ES takes seriously the many proposed innovations around the NSS. A stronger, integrated and interdependent WoGM&ES and NSS would form a solid base for a transformed and sustainable results-based culture in Zambia.

f) Participation

In designing a functional country-level system for M&E, the participation of stakeholders is fundamental (Booth, 2005; Booth & Lucas, 2002). Stakeholders become key to building and

sustaining a country's system for M&E. In Zambia's WoGM&ES, the participation of stakeholders was currently mixed according to study findings of this research (see sub-section 7.3.5 for details). Thus, a robust situational analysis was necessary, which will focus on identifying stakeholders that currently support M&E functions and those who could support M&E developments. Development partners (DPs), civil society, research institutions, academia, and other institutions and individuals may be useful participants in strengthening the WoGM&ES through their support mechanisms (for example financial, capacity building, systemic, coordination). Once this was done, each stakeholder would be appropriately engaged. Overall, the participation will need to be holistic and cutting across all functional structures of government at national, line ministry, provincial and district level.

g) Capacity for evaluation and analysis

The capacity for evaluation and analysis embedded in a country's WoGM&ES is what governments would need to invest in in their efforts to improve governance systems towards poverty reduction. The analysis of development data to make them readily available to those who need them and analytical capacities are requirements on the supply side of an M&E system. M&E outputs that are critical in informing developmental processes such as management and policy decisions depend on the quality and capacity for data and information analysis. The study results showed weaknesses in 'analysis' capacities across Zambia's WoGM&ES. The gaps in analysis come in various forms. For instance, in some cases, there are shortages of or limited numbers of skilled officers to undertake sound analysis. In other instances, the capacity to evaluate is non-existent. It was currently common to find situations across the WoGM&ES in which lack of or inadequate evaluation capacities prevailed (see sub-section 7.3.4 on analysis capacity gaps).

While evaluations have been played down because of prioritisation of monitoring by many organisations, this study established that countries that built strong M&E systems have stronger evaluative culture (for example Chile, Colombia, Mexico, South Africa, Canada and Australia). These countries invested heavily in building capacities in analysis, so that evaluations of their development interventions became easier and cheaper. Alongside the development of a stronger evaluative culture and practice, the Zambian government, working in collaboration with its stakeholders, will need to invest significantly in analytical skills. To achieve this goal, the starting

point would be a comprehensive diagnosis of analytical skills in the country, particularly among institutions in the public sector. Such a study report will then give areas of strength, weakness, opportunity and possible threat (SWOT). The diagnosis would need to take a broader view of stakeholders and aspects of analytical capacities.

Analysis capacities will be needed at all levels of the WoGM&ES. In addition, the analytical capacities of non-state actors will need to be increased in the country so that their participation in the development process will be of value. The role of academia, research institutions and training organisations will be critical in the provision of courses in data analysis and interpretation. The idea will be to develop and sustain a wide range of capable analysts to serve the country in development evaluations and related tasks, at the same time transforming the WoGM&ES. Further, this model contends that there must be an ultimate capacity building plan in the country. Informed by the diagnostic study, this master plan should then be cascaded down to all decentralised levels. That way, there will be certainty of addressing the existing analysis gaps across Zambia's WoGM&ES as long as commitment through supportive championship and resource allocation is available to those structures. An emphasis here is placed on the need to first start with the diagnosis of existing capacities in analysis in the country so that the assessment results are then used to develop targeted programmes for addressing the identified gaps. This effort however will depend on how clear government and its stakeholders will be identifying gaps in analysis pertaining to the different development work in the public sector.

h) Outputs and dissemination

On the supply side, the preparation and dissemination of quality and stakeholder appropriate products are essential in the continued promotion and institutionalisation of the culture of results in Zambia. Good quality deliverables would then have a positive bearing for the demand side in that, stakeholders would increasingly seek to access these informative products for their own use in making development decisions. Accordingly, this study identified a number of gaps in the two aspects of outputs and their dissemination (see sub-section 7.3.6). While the number and quality of M&E products (for example APR and institutional reports) were limited, disseminating them to stakeholders was challenging.

M&E outputs must be produced at each strategic level of the WoGM&ES. These products will need to be identified, prioritised and delivered by stakeholders. Unlike the APR, which is currently viewed by stakeholders as a centrally initiated and demanded output, collectively identified and consented products will go a long way towards inculcating ownership and sustainability among actors. However, this does not mean the APR should be abolished. Instead, its preparation, dissemination and utilisation by all development stakeholders should be re-engineered. Further, collectively agreed dissemination or communication strategy will need to be articulated. The strategy should spell out the type of product, its frequency of generation, responsible institutions and persons, and indicate how its demand among the broader audience will be induced. Additionally, the strategy should show strategic evaluations across the public sector (that is, past evaluations, ongoing and upcoming ones). This would keep the stakeholders and government ‘in the know’ and remain forward looking in improving the quality and timeliness of these outputs.

i) Capacity building and funding

The research findings in this study have shown that Zambia’s WoGM&ES was characterised by fragmented plans and low funding for M&E related activities (see sub-sections 7.3.4 & 7.3.6). The problem existed on many levels, including inadequate allocations, delayed or no release of meagre resources, and cuts of the already small allocations. Several institutions did not budget for M&E activities at all. Another gap was the absence of an M&E funding plan, which could articulate the identified and prioritised M&E operatives and functionalities within the broader WoGM&ES. The NDPs were silent for instance on resources required to undertake strategic programme and project evaluations. In most of the implementing agencies at national, line ministry, provincial and district level, there was no predictable funding mechanism towards capacity building in resource mobilisation and allocation. These were matters that should be treated with priority and specificity if the WoGM&ES was going to be successful and sustainable. Dependency on donors for evaluation funding and technical support for systems development will obviously yield poor results in implementing a WoGM&ES for Zambia’s public sector.

To improve funding for M&E activities across the WoGM&ES, a number of basic measures will need to be put in place. To begin with, assigning M&E champions to strategic institutions at national, line ministry, provincial and district level will be vital. Second, another essential aspect

is ensuring that the legislation in support of M&E functionality is favourable. It should be linked to appropriate policies, such as the national M&E policy which is in the pipeline. The national policy and similar supportive policies or guidelines will need to be prepared and articulated at all levels across the WoGM&ES. The champions who are placed at all these levels will then use such legal frameworks to conduct and promote M&E. Third, government should facilitate the development of a financial support strategy for the M&E function in Zambia. This strategy must be broad based to include the role of government and non-government actors. The streamlined financial supporting role of government, private sector, development partners, civil society, academia and training institutions will need to be articulated. The strategy should be tailored to address systemic and capacity building gaps across the WoGM&ES. In this model, once these critical initiatives have been institutionalised and commitments ascertained, the strengthening and sustainability of Zambia's WoGM&ES will be safeguarded.

8.4.2 Strengthening the demand side

The utilisation of information from M&E is probably the most important element that every system for M&E should seek to attain and maintain. The demand side of an M&E system motivates investments and commitments that strengthen the supply side. "The demand side can be strengthened by promoting greater awareness of, and confidence in, the monitoring information and evaluation findings which the system produces—awareness among ministers, civil servants, and in civil society. Greater utilisation of M&E information will require that key ministers and their ministries—especially the presidency and all apex institutions play a leading and even forceful role in championing the usefulness of the M&E information produced by WoGM&ES" (Mackay, 2007: iii). Once there is evidence and assurance that information from M&E processes will be used, the supply side should be incentivised and preoccupied in preparing and disseminating this information for the use by needy stakeholders. Therefore, similar to the supply side, the demand side involves a number of aspects. As part of the action points for the proposed model, focus is given to prescribing the solutions for consideration on the demand side of the system.

a) Use of monitoring and evaluation information by the presidency

The continuous request for and use of M&E information by the presidency forms the basis for this model's success. As a champion of the results-based management (RBM), the presidency would be expected to play a significant role in supporting a strengthened M&E through consuming information from M&E. If the presidency systematically asks for evidence from the implementation of NDPs, a culture of results would quickly spread across government and beyond. This demand for M&E information from the highest office would strengthen the WoGM&ES. Like in Colombia, the President uses M&E information to enhance political control of the executive arm of government as well as in his weekly town hall meetings in different municipalities around the country (Mackay, 2007: iii). For Zambia, commitment to using M&E information by the presidency would necessitate a transformational agenda towards good governance resulting from evidence-based, transparent and accountable development process. The findings of this study have shown that the Presidency did not have in place an institutionalised way of demanding for high quality performance results from MPSAs (see sub-section 7.3.6).

b) Linking monitoring and evaluation to planning, budgeting and policy processes

The diagnostic review showed that Zambia's WoGM&ES provides regular information about inputs, activities and outputs. This information was provided by institutions at national, line ministry, provincial and district level through monthly, quarterly and annual reports. However, this research study found weak evidence for the full utilisation of M&E information to inform planning, budgeting and policy-making processes. Bedi et.al (2006:159) made a similar observation when they stated that "the challenge lies in generating demand for information in a country where information and analysis are rarely used in decision making". The use of information to inform policy decisions at various levels of government was mixed. While several policies were being formulated and others reviewed across government, there was little evidence of utilising M&E information. The same result was true for the utilisation of M&E information in budgeting processes. For instance, MOF confirmed that it was difficult to obtain information about the ways in which MPSAs utilised fund allocations from the previous period. Similarly, although many line ministries and other spending agencies made their financial reports available, they were incomplete. Surprisingly, no structured sanctions had been implemented to take such institutions

to task. This was attributed mainly to ‘political’ interference from higher offices (that is, according to study findings) and the general lack of structured demand for M&E information in government. However, for planning processes, the study findings showed scanty evidence of the use of M&E information and in a fragmented manner. M&E products such as APRs, NDP evaluation reports, and other institutional reports were reported of being used to inform the preparation of NDPs.

This model therefore proposes serious reconsideration of the manner in which processes of planning, budgeting and policy making were done vis-à-vis the use of M&E information. Most importantly, these processes are supposed to benefit from the mandatory utilisation of M&E information. It is therefore submitted that whenever these processes are undertaken at any level, M&E information should be demanded and used to determine progress. This demand for M&E products by leaders and users at all levels will continuously pressurise the supply side to provide the much needed information for these processes. In the end, Zambia’s WoGM&ES will thrive and become dependable source of evidence for development processes within government and outside.

Among others, to actualise the use of M&E, APRs presents an opportunity for MPSAs to undertake annual public expenditure reviews. Thus during the APR preparation process, budget expenditure data and information could be provided by MPSAs and in-depth analysis done. By so doing, all successive APRs would offer M&E information that was readily available for decision and policy makers. Thus, the current situation, as found in this study, that M&E information from APRs was rarely used to inform budgetary and policy making would be past experience and point of future learning. When those changes occur, MOF will be able to state how APR expenditure information was feeding into the subsequent budgeting processes. Regardless of whether the annual expenditure information was positive or negative, it would be justified. Furthermore, the APR as an M&E product will then provide expenditure information for use by key stakeholders to pressurise government to re-engineer the annual budget architecture.

c) Use of Monitoring and evaluation information by parliament

Parliament plays a significant role in the development process of Zambia through its oversight function and mandate to make laws that govern the country. Parliament deliberates and approves

the estimates of expenditures (that is, national budgets) for government. It is therefore prudent to have a sound linkage between parliament and the WoGM&ES or better understood, parliament to form part of the WoGM&ES. The information generated from the national M&E system should feed into the decisions and development processes of the National Assembly. In the same manner, the works of parliament should be reported back into the country system for M&E so that evidence-based management is not the preserve only of the executive and the judiciary branches of government, but of all the three arms, including the legislature. To that extent, this model advocates for a practically oriented approach to involving parliament in strengthening Zambia's WoGM&ES. On the demand side, parliament will have clearly defined M&E roles and products that are useful to its operations and how it will in return give feedback to the WoGM&ES.

Nevertheless, the findings showed that the utilisation of M&E information by parliament was weak, ad hoc and in many ways non-existent (sub-section 7.3.6 gives details on the weaknesses). The lack of institutionalised M&E structures and products in parliament and across the WoGM&ES has led to these poor findings. Issues of M&E capacity, ranging from systemic, technical skills and financial resources, were found to be inhibiting, thus, causing low demand for M&E information by parliament. Equally, leadership that consistently promotes functional M&E at parliament was not in place. Therefore, many critical questions remain unanswered. For instance, in the absence of structured M&E information, what evidence guides parliamentary proceedings and the business of various parliamentary committees? Budgetary considerations form a key role of parliament, but, devoid of evidence of high analytical value, how do members of parliament and government engage prudently? What information is available for every parliamentarian to equip him or her with evidence-based debates and representation of the masses?

In resolving these challenges and in ensuring that parliament becomes a practical stakeholder in the WoGM&ES, a number of actions have to be embarked on. An inclusive M&E culture that supports a ‘results-focused development process’ is required to be put in place. Undoubtedly, Zambia will need to complete the formulation and launch of the National Monitoring and Evaluation Policy (NM&EP). This policy must be comprehensive in its scope, definition and content so that all development stakeholders see themselves as active players in its successful implementation. In the same manner, an act of parliament is vital for a sustainable WoGM&ES

for the Zambian public sector. Aside from the national level policy environment, parliament will need its own policy position for its M&E functions and practice. Drawing from the national M&E policy provisions and the supportive legislation, parliament will be expected to create M&E structures at apex level, and at all levels of its operations, including constitutional offices across the country. These decentralised functions will be harmonised and linked up with other structures of the WoGM&ES at all levels.

Further, for this to occur, strong leadership that fully supports a transformational M&E agenda will be needed in parliament to work as a ‘champion’ to continuously demand for a strengthened M&E function with parliament and across the country. Additionally, parliament will require investment in skills development pertaining to M&E. This will mean articulating a thorough capacity-building plan. This plan would best be a product of a diagnostic process, a needs assessment that would holistically benefit from what is currently working, not working and possibly why. To that extent, such an assessment should cover all aspects of a functional M&E system, for instance checking for current ICT support, skills, availability of budget for M&E, leadership, M&E information demand, institutional set up, and linkages with other MPSAs.

d) Use of monitoring and evaluation information by civil society

Civil society is a key stakeholder in the development process of Zambia. The interest of civil society organisations (CSOs) is to ensure that government efforts lead to poverty reduction for the majority poor citizens. Essentially, CSOs function as checks and balances on the services of government as providers of development services to the people. Most of their work is advocacy and championing good governance tenets of accountability and transparency. CSOs are believed to be fair representatives of the people and their partnerships with government are seen as important success factors. When CSOs are involved in key processes such as planning, budgeting and policy making, this is regarded as a desired state of participatory and inclusive development.

The role of civil society remains significant in the development process of Zambia. This was established in this study. CSOs were reported to have taken part in development processes of Zambia. In a number of processes, most prominently their involvement in the planning process and in poverty monitoring featured in the study findings. Recently, CSOs were part of the major

stakeholders in the preparation of the 7NDP (2017–2021). In the recent past, they played an important role in the constitution-making process for the country. Their continued voice in democratic and electoral issues is another aspect in which CSOs have rendered useful input. In addition, CSOs were reported to be providing constructive input and feedback for the budget process. However, notable aspects needed to be improved if CSOs were to offer a meaningful contribution to development efforts. One such area is strengthening the role of M&E across government. CSOs have an operational presence at all these (government-wide) levels and their involvement in M&E issues would go a long way towards building, strengthening and sustaining the WoGM&ES for Zambia. For details on the use of M&E information by civil society, see subsection 7.3.6.

On the demand side, CSOs are supposed to be key users of M&E information. Their feedback should be taken seriously in re-shaping M&E functionalities at any level. The involvement of CSOs would best start from the supply side where they participate in designing all M&E parameters such as systems development, indicator choices, methodologies, leadership, planning, funding, coordination, reporting and dissemination, and policy formulation. Once that has been done, the role of CSOs on the demand side would be streamlined and easy to implement. Currently, CSOs belong to major advisory bodies, which include the NDCC, PDCCs, DDCCs and WDCs. They also belong to a number of CAGs according to the pillars of the 7NDP. These are key platforms in which CSOs could make their M&E contributions. Currently, this role was acknowledged as being weak and fragmented and often left to a few civil society member organisations.

To ensure effective use of M&E information by CSOs, the WoGM&ES should produce outputs that are tailored to their information needs. Thus, CSOs would be required to participate in the articulation of those M&E products and dissemination mechanisms. The capacities of CSOs in terms of M&E technical skills, financial resources and generally the availability of appropriate systemic and human resources would need to be in place. In addition, coordination relationships between CSOs and all government structures would need to be prioritised. To achieve these, CSOs themselves would be expected to be proactive through innovating ways of engaging government,

citizens, parliament, development partners and other stakeholders constructively, particularly on matters of improved good governance practices.

e) Use of monitoring and evaluation information by donors

While the role of donors in supporting M&E in Zambia was acknowledged and appreciated, the results of this study showed that much needs to be improved. Although donors provided technical support and funding for selected M&E activities, they had contributed to the weakened state of Zambia's WoGM&ES through maintaining their own parallel M&E arrangements. This scenario was rationalised because the WoGM&ES was still in its infancy, and was not able to satisfy all stakeholders' information needs. It was also pointed out that donor support was not flexible enough to address urgent challenges such as financing M&E human capacity building plans for MPSAs. Much of their support went towards activities that were less impactful in empowering local practitioners. The financing from donors was reported to have usually been spent on procuring expensive external consultants, whose work had not been easy to sustain. The types of technical support that were given, such as those involving ICT strengthening, were redundant because of incompatibilities with local systems and practices.

Therefore, this model proposes a holistic reconsideration of the work of donors in supporting M&E functions in the country. After identifying a number of gaps in this diagnostic study, it is crucial for the work of donors to be tailored to support essential activities (see sub-section 7.3.6). Nevertheless, a strategic plan is needed that articulates M&E issues for the whole country, so that all donor support will draw their action points from this master plan. Since the involvement of donors in strengthening M&E is currently weak and fragmented across the WoGM&ES, government will need to spearhead the undertaking of a comprehensive stakeholder M&E work plan, which will act as an action sheet for stakeholder participation. In the work plan, which will be drawn from the national assessment (also stakeholder based and driven), donors will be expected to submit their feedback regarding collective support for a unified WoGM&ES for the country. The gaps that were identified in this research will be addressed practically using this structured, collective and participatory approach. Therefore, the relationship between government and donors will be expected to thrive, since the M&E plan will serve the information interests of both parties.

f) Use of monitoring and evaluation by decentralised structures

On the demand side, the continued quest for and use of M&E information by all stakeholders would go a long way towards building, strengthening and sustaining the WoGM&ES for Zambia. As the research findings showed, there were notable weaknesses in the manner in which M&E functions were being implemented as one moved from national-level institutions to decentralised ones at sector, provincial and district level. While line ministries were performing much better comparatively in terms of M&E activities, provinces and districts were the poorest. There were many gaps at decentralised level (see sub-sections 7.3.3 & 7.3.6). These included lack of institutional structures for M&E, no M&E champions, absence of skilled staff in M&E, inadequate or in some cases no budget for M&E activities, and a generally weak culture of M&E. Others included weak statistical function, lack of systems for information management and fragmented coordination and collaboration mechanisms.

For decentralised structures to consistently use information from M&E and subsequently help strengthen the demand side, their capacities will need to be enhanced. The starting point should be to ensure that units or sections responsible for M&E are established at all decentralised levels, and staff skilled in M&E are deployed to these structures. Another aspect of similar importance will be to articulate M&E plans, M&E work plans and M&E guidelines at all levels. All these efforts will need to draw from the National M&E Policy and the appropriate M&E legislation. It is hoped that while these efforts are being made, a wide range of M&E champions will emerge to strengthen the M&E function across government and promote a culture of results. However, from the initial stages, a cadre of M&E champions will be required who are advocates of RBM and practitioners of M&E in their institutions and spheres of influence. Once in place, this type of leadership will be crucial in defining the medium- and long-term transformational agenda for M&E, not only in decentralised structures, but across the WoGM&ES for Zambia's public sector. This will mean that, instead of the current set-up in which staff responsible for the planning function also undertake M&E activities, there should be separate and adequately funded and staffed structures tasked with the day-to-day M&E activities. By so doing, the demand for M&E products and their dissemination will characterise the M&E practices in all functional structures of government.

g) Incentivising the use of monitoring and evaluation information

Utilising information from M&E by stakeholders does not occur naturally. If it was so, then many countries, organisations and development agencies would have sustained systems for M&E. While the significance of using M&E information is seldom contended, practices have shown that agencies did not use information from M&E for various reasons. For some, M&E information is not available owing to lack of systems for M&E, while for others, information may be provided, but is not trustworthy. Further, some M&E information may have come in late for processes such as planning and budgeting. The results of this study have shown that the utilisation of M&E information was undermined at all levels (see sub-section 7.3.6). Among the reasons were the lack of a variety of and stakeholder appropriate M&E products, poor or limited dissemination strategies, lack of linkages of M&E products with strategic policy cycle moments, and lack of incentives to promote a culture of results through stakeholders demanding and using M&E information.

Incentives can be key ingredients in the enhancement of the demand side of an M&E system (Ostrom, Gibson, Shivakumar & Andersson, 2002; Kusek & Rist, 2004). Thus, in an effort to build and sustain a stronger demand side of the WoGM&ES, significant investments of time and resources will be needed. A national M&E plan will be required that includes list of events or moments that use information from M&E. Spearheaded by government and supported by all stakeholders, the national M&E plan will need a costed work plan and show the M&E products, responsible institutions, the dissemination strategy, users, timelines, the events for M&E information, and other aspects. The incentive structure will then be developed in a participatory manner, and the responsibility of enforcement will be given to ‘powerful’ agencies, say, the MOF, MNDP or the presidency or a combination of them.

This model proposes that a strong incentive structure should be developed if the WoGM&ES is to make progress and contribute towards building and sustaining a culture of results. Nevertheless, leadership at national level and at other decentralised levels, including buy-in from non-state actors, will be a requisite for the success of this effort. All MPSAs for instance will be required to know that funding will not be received for the next period in the absence of evidence of results from previous allocations. In the first instance, many agencies may face compliance challenges, but ultimately such a structure or arrangement will instil a sense of commitment to the provision

and demand for quality M&E information. The WoGM&ES will make positive strides towards a system that is to the satisfaction of stakeholders and promotes overall good governance agenda for the country.

8.5 Conclusion

Chapter 8 presented the proposed model for the enhanced WoGM&ES for Zambia's public sector. First, the chapter described the two cornerstones that are required for a successful WoGM&ES. Both the supply side and the demand side of a country's M&E system need to be developed, strengthened and sustained for it to provide credible information for the development process. It has been underscored that the capacity of Zambia's WoGM&ES to create high-quality information is required. At the same time, the system should be able to stimulate and use M&E information in key decision and policy-making processes. Second, Chapter 8 discussed the proposed model in detail by stating the five foundational elements that are needed for Zambia's WoGM&ES to thrive. These include i) seeking clarity on the common purpose of implementing a WoGM&ES; ii) taking into account the Zambian governance structure; iii) establishing an independent evaluation structure; iv) building a Government-wide integrated ICT infrastructure; and v) putting in place a functional decentralised and integrated national statistical system (see 8.3.1).

The chapter also discussed how the proposed model deals with strengthening and sustaining the two sides of M&E. In this section, a number of innovative ways were suggested on how best to implement a stronger WoGM&ES. Therefore, it is now incumbent on stakeholders under the leadership of the Presidency to transform and strengthen the country's system for M&E. Through such a collective and participatory approach, it is envisaged that Zambia's WoGM&ES will grow stronger with a reputable record to satisfy the information needs of key stakeholders in and outside government. At that stage, Zambia will be acclaimed as a results-focused country with an M&E system capable of supplying high-quality information and capacity to stimulate the demand side to utilise M&E information. Chapter 9 is the last part that gives the concluding remarks as well as outlining comprehensive recommendations for the improvement of Zambia's public sector WoGM&ES.

Chapter 9 provides suggestions on how the Government of Zambia and respective stakeholders would need to work together to build and strengthen the country system for M&E. The chapter gives a summary of the thesis or study in general and stresses that the WoGM&ES for Zambia was currently weak and fragmented. On that basis, innovative and transformational recommendations for improvements are made at all levels including national, line ministry, provincial, district and among non-state actors. Therefore, for comprehensiveness, Chapter 9 should be read jointly with Chapter 8 to appreciate the remedial actions recommended to practically enhance Zambia's public sector WoGM&ES.

CHAPTER 9

Summary and Recommendations

9.1 Summary

Monitoring and evaluation (M&E) has become a tool for achieving enhanced development results through promoting transparency, accountability and generally good governance practices. Development practitioners around the world are increasingly using M&E to demonstrate progress made by their organisations. Governments have also started to invest in building and strengthening their systems for M&E in their effort to show desired changes in the utilisation of public resources to stakeholders. This study focused on Zambia's whole-of-government monitoring and evaluation system (WoGM&ES), which is a structural totality put in place by government to undertake functions of M&E, which involves the whole range of data collection, collation, analysis, storage, reporting, dissemination and feedback mechanisms (UNDP, 2002, 2009). The study focused on three major aspects, that is, making the linkage between M&E and good governance clear; assessing the current status of Zambia's WoGM&ES; and suggesting improvements to it. The research study and analysis covered the national development plans for the period 1964 to the current 7NDP (2017-2021) focusing on arrangements and implementation of the functions of planning, monitoring and evaluation in Zambia's public sector.

The lack of a comprehensive research study providing evidence and details on the status of Zambia's WoGM&ES motivated this study to be initiated and later embarked on. Although the available literature only made mention of the broader weaknesses pertaining to the Zambian public sector system for M&E, this research was designed to identify specific gaps and provide detailed suggestions for improvement. Thus, the primary research objective was to analyse Zambia's public sector M&E arrangements in the context of National Development Plans (NDPs) in order to bring about a strengthened results-based WoGM&ES. This main objective was met using five (5) secondary objectives, namely a) justifying the theoretical significance of Zambia's WoGM&ES to improve public-sector good governance and poverty reduction agenda through the theory of change; b) presenting Zambia as a case study in terms of the results-based WoGM&ES; c) identifying gaps inhibiting the implementation of a results-focused WoGM&ES for Zambia's

public sector; d) establishing cornerstones necessary for building a results-based WoGM&ES for Zambia's public sector; and e) proposing a new model for the enhanced WoGM&ES for Zambia's public sector.

In order to fully address all the objectives, the research study was organised in nine (9) chapters. The first chapter has dealt with the introductory aspects of situating the research study within the broader problem identified. Chapter two provided the review of literature on the subject of M&E and discussed the linkages between M&E systems, good governance and poverty reduction. Further, chapters three and four presented the theoretical and conceptual frameworks, respectively. In Chapter five, details are given on the national planning, monitoring and evaluation arrangements in Zambia and this is followed by a discussion on the research design and methodology in Chapter six. Chapter seven has presented the detailed research findings based on the diagnostic assessment of Zambia's WoGM&ES. Using the established status of the WoGM&ES, particularly the weaknesses identified in the diagnosis, Chapter eight has presented the proposed model for the enhanced WoGM&ES for the Zambian public sector. Further suggestions and recommendations for improving the system have been given in this chapter (Chapter nine).

Based on the diagnostic study, it was found that Zambia's WoGM&ES was currently weak and fragmented. Although several efforts to improve M&E practice were in place, there were many gaps across all government levels and structures. In summary, the WoGM&ES for Zambia has a weak capacity to supply and demand for credible M&E information. It is suggested that more effort should be made to develop the two sides of the M&E system. However, these improvements should be made at national, line ministry, provincial and district level. As the study findings have shown, remedial actions will best be approached using the six dimensions assessed, namely policy, methodology, organisation, capacity, participation of actors outside government, and use of information from M&E. Since the scope of needs to be done to improve the M&E function is broad, using the diagnostic checklist will help to deal systematically with the complex issue.

The WoGM&ES for Zambia is anchored on the national planning structure, which includes the vision (currently Vision 2030), national development plans (NDPs) (currently 7NDP 2017–2021), medium-term expenditure frameworks (MTEFs), annual budgets, institutional strategic as well as

annual work plans, and all other plans and supportive policies. The NDPs form a strong foundation upon which the WoGM&ES is set up. Going forward, it will be important for government to continue to perfect the articulation and execution of M&E arrangements before, during and after NDP implementation. NDPs need to be developed in a results-oriented manner so that measuring performance and learning from them through a robust WoGM&ES becomes feasible.

Finally, this diagnostic study of Zambia's WoGM&ES represents an important first step in identifying what works, and what does not work, and points to some reasons. Thus, with the findings, suggestions and recommendations offered herein, the Zambian government and other stakeholders have action points to use towards building and strengthening the country's system for M&E. The proposed model articulates ideas which, when actualised, would enable Zambia's WoGM&ES to produce information that is useful to the development processes of the country and increase the good governance prospects of government itself. Once this occurs, it is expected that the Zambian government would begin to experience the three benefits from M&E of accountability, feedback and learning.

9.2 Recommendations

To make it simpler for would-be implementers, the recommendations are given in categories as stated below. As strongly contended under the proposed model (see Chapter 8), these recommendations are meant to build, strengthen and sustain the WoGM&ES through putting in place a developed supply side and demand side of the system. On the supply side, focus should be on improving the quality and credibility of information from monitoring exercises, reducing the costs of data supply, and increasing the volume and breadth of evaluations. As for the demand side, attention would be needed to promote greater awareness of, and confidence in the monitoring information and evaluation findings that the system produces (Bedi et al., 2006). To that extent, ministers, civil servants, academia and civil society should be targeted for this awareness. Greater utilisation of M&E information by these and other influential stakeholders would go a long way towards creating the necessary leadership and championship in support of M&E. But, as cautioned by Mackay (2007:28), such support will need to "go beyond simple advocacy, and include steps

to ensure the utilisation of the M&E information to support budget and national planning decision making and social accountability”. Here are the recommendations:

9.2.1 For government institutions

Presidency level

- 1. Institutionalise M&E championship:** The responsibility of growing, nurturing and driving the culture of results should be rooted in the presidency. Unlike in the current scenario, where the appreciation of M&E is ad hoc and fragmented, the presidency is expected to vigorously pursue the mandate of M&E by leading the nation in creating a country that focused on results-based management (RBM). This should be pursued under the managing for development results (MfDRs) approach. The presidency would then be seen as giving the ‘sermons’ to incentivise the rest of the stakeholders in the country in supplying quality M&E information and creating demand for its utilisation. Sustained over successive political administrations, such championship at this level will go a long way towards attaining a stronger and successful WoGM&ES. Therefore, the presidency would need to be concerned with the functionality of M&E arrangements at national, line ministry, provincial and district level. Thus, practically, this transformation would mean that the president, cabinet, Cabinet Office, ministers and all the structures operating under the Office of the President (OP) would be expected to be proactive and aggressive advocates of RBM and M&E.
- 2. Establish an evaluation structure:** There is need to introduce an evaluation culture through spearheading the conduct of strategic evaluations. The OP is expected to take the lead in the transformation towards a results-based and focused Zambia. At the level of the presidency, an evaluation structure has to be established to oversee strategic evaluations across government. Despite being under the president, the structure would be required to operate independent of any interference from this office. Instead, it would be expected to receive full support in terms of good will and resources to function properly. Adequate financial resources, skilled staff and appropriate infrastructure would be required to make this institution functionally relevant in providing the kind of information base the country needs. To ensure its viability and independence in its operations, its leader or management should

be appointed by parliament or other professional body through a democratic process. The presidency should use the findings from these evaluations directly in its development engagements with all stakeholders. The results should also be made public in various formats, such as electronic and print. However, the challenge would be to make this institution political proof—meaning that changes in political leadership should not make this function vulnerable or threatened with abolition. For this reason, the legislation, through constitutional provision and the institutionalisation of evaluation across government, would help sustain this important function.

3. **Create a feedback mechanism:** While a formalised and mandated structure to handle strategic national evaluations is extremely important, creating a mechanism that guarantees action on recommendations from these evaluations is of equal significance. To that extent, the WoGM&ES, particularly the evaluations structure, will be best positioned to clarify how all actions from evaluation reports will be finally implemented by institutions across government and beyond. The motivation of this feedback mechanism will be to improve public service provision and nation building. For instance, key evaluation findings, their remedial recommendations, responsible agency and timeliness of executing the improvements could be published, say, on institutional websites, reports and so on.

National apex institutional level

4. **Put in place leadership and ownership of M&E systems:** One of the gaps identified in this study concerns inadequate or lack of evidence of M&E leadership at national level. M&E champions and other capacities are required at national level, particularly in all apex institutions. Powerful ministers and other top leaders in these institutions will be expected to offer support towards the M&E function. Therefore, top government leadership will spur the spread and development of M&E systems at decentralised levels. At the same time, this effort will lead to the strengthening of the WoGM&ES supply and demand sides. Practically, this support will come through sequential demand and utilisation of M&E information by these institutions. For instance, particular M&E reports and other appropriate products on national budget performance and NDP implementation from all MPSAs will be demanded and utilised by apex institutions.

- 5. Introduce stronger laws for M&E:** The supreme law of the land in Zambia is the national constitution. In addition, several accompanying pieces of legislation are aimed at helping to actualise the contents and aspirations articulated in the national constitution. The laws of Zambia aim to guide and protect citizens and the national endowments from undue loss or damages. There is need for a clearer ‘stiffened’ law in support of M&E and results orientation. Starting with a national M&E policy, which was reported to be currently in draft form, there is need for a constitutionally supportive M&E legislation. This law should be able to capacitate and compel all public institutions, including the presidency, national apex institutions and decentralised government structures, to adhere to RBM through the implementation of a stronger WoGM&ES. This law should include freedom of information, which will allow evidence to be reported on all development aspects of public interest. Once such a law has been enacted, those whose role is to supply M&E information and those who use the information will be fully protected and work freely without fear of being victimised.
- 6. Create synergies between government and training institutions:** Capacity-building, especially specialised skills in M&E was found to be a big challenge for Zambia’s WoGM&ES. Professionals and practitioners of M&E still face practical difficulties with regard to provision of high quality analysis and complete M&E products that satisfy stakeholder information requirements at all levels. It is suggested that government will come up with stronger and institutionally sustainable synergies and collaborations with local training institutions to provide skills in evaluation analysis and process. In return, training and research institutions will be innovative by developing state-of-the-art programmes and courses meant to meet the growing M&E industry in the country. In that regard, a policy to guide this process may be developed to institutionalise M&E at all critical educational levels of the country’s educational system. The private sector can too be challenged by policy to play a significant role of localising and building a results-oriented culture in Zambia.

Decentralised levels: line ministries, provinces & districts

- 7. Undertake institutional level-specific M&E diagnoses:** Institutional M&E functions could be complex. When they involve stakeholders, these functions could be even more diverse and complicated. Since line ministries vary in many respects, it would be prudent to

conduct diagnostic exercises for every sector to ascertain the current strengths and gaps before embarking on remedial actions. This would be the first step in an effort to build and sustain functional institution-wide M&E arrangements (Kusek & Rist, 2004; UN, 2013; Kanyamuna, 2013). Some of the information regarding what works, what does not work, and why for the decentralised government structures have been highlighted in this study. As with the diagnosis of the WoGM&ES, line ministry, provincial and district-specific M&E assessments will need to focus on all the elements that help build and strengthen the supply sides and demand sides of those systems.

- 8. Create information-sharing fora for inter-institutional M&E experiences:** This study has established that only limited M&E products were in place across the WoGM&ES. The prominent one is the annual progress report (APR), which is a compilation of progress reports from ministries, provinces and other spending agencies (MPSAs). New innovations are required and these could include exchange ministry-to-ministry, province-to-province and district-to-district programmes, an annual national M&E symposium, a web-based M&E platform to resolve related questions, etc. The Zambia Monitoring and Evaluation Association (ZaMEA) could be used as an M&E information platform for practitioners. As a community of practice (CoP) for Managing for Development Results (MfDRs) in Zambia, ZaMEA presents an opportunity to support knowledge sharing and learning. Other fora on M&E include the African Evaluation Association (AFrEA), which is the African Continent Community of Practice (AfCoP) on the subject matter of MfDRs and RBM.
- 9. Establish an incentive structure for the consumption of M&E information:** A lack of incentives to stimulate the supply and demand of M&E information across the WoGM&ES was common. All levels were reported not to have any form of incentive in place to promote the use of M&E information. Incentives are significant to a successful M&E system, particularly in encouraging the strengthening of the supply and demand sides. Therefore, it will be useful to identify stakeholder-appropriate incentives that will spur the use of M&E information by stakeholders at all levels across the WoGM&ES. The incentives will have to work at all levels. Regardless of whether they are carrots, sticks or sermons, they will need to be carefully enforced across the WoGM&ES in a non-selective and discriminatory

manner. A range of incentives such as technical, political, financial management and skills training could be developed.

10. Guarantee M&E backstopping support at all levels: Currently, backstopping services with regard to M&E capacities across institutions was lacking. Yet, for continuity and institutionalisation of M&E across the WoGM&ES, support is required from national level institutions down to the decentralised structures. In that regard, the capacity of apex institutions will need to be enhanced to make them practically competent to offer M&E backstopping services across the WoGM&ES. Line ministries, provinces and districts will be expected to possess appropriate capacities to allow for vertical and horizontal backstopping support. In that regard, M&E support could be obtained from a higher-level structure or from within the same level or indeed from training institutions.

11. Leadership and ownership for M&E systems at all levels: At all decentralised levels, there is a need to introduce strong leadership that will promote institutional implementation and ownership of the M&E function. M&E works well when the top leadership of an institution demands and uses M&E information to inform its decision-making processes. At the same time, buy-in from institutional leadership can lead to further support towards having M&E resources and efforts to strengthen arrangements for M&E. In other words, there is need to put in place leaders and managers in all government decentralised institutions who are going to vigorously champion for the evolution and transformation of M&E within their institutions and overall across the WoGM&ES.

Statistical regime transformation

12. Reform and transform the national statistical function: The transformation of the WoGM&ES will be possible only when an equivalent transformation takes place under the National Statistical System (NSS). Although the current CSO was supplying official statistics to the country, a number of gaps were identified, among them the lack of timely data to help the M&E function provide meaningful and critically analytical reports for decision and policy making. Collaboration between the WoGM&ES and the NSS at all levels was found to be weak, ad hoc and fragmented. Therefore, the government, working in

collaboration with all its stakeholders, will be required to invest in the statistical function and ensure the WoGM&ES and NSS complement each other. Thus, their operational structures will need to work in synch, implying that the sections that implement M&E and statistics at all levels will need to be harmonised, well linked and coordinated. Legislation that links the statistical function and that of M&E will too need to be enforced. At best, one law should be articulated to support both M&E and statistics.

National-wide indicator system

13. Create a national and sub-national indicator system: There was notable effort to put performance indicators in place in the NDPs. The immediate past two NDPs and the current 7NDP have demonstrated an improvement in the manner in which indicators were identified. However, there is no defined indicator system in Zambia. Given the complex development work that government has to do, such a system would clarify which priority measurement indicators to track at national, line ministry, provincial, district and sub-district level. At the moment, there are no performance indicators at provincial and district level, which makes it impossible to measure progress and appreciate development impacts. It becomes a matter of guesswork as to what informs decision and policy making at those levels in the absence of evidence from an M&E system or a national statistical system.

Community of practice

14. Re-engineer the Zambia Monitoring and Evaluation Association: Zambia has in place a community of practice (CoP) for M&E in the Zambia Monitoring and Evaluation Association (ZaMEA). While it is in its infancy and its functionality is fairly good so far, the association must be made more robust and inclusive. Although it is a platform for practitioners of M&E and those interested in the field, it needs to be anchored on stronger national level leadership (that is, state and non-state). National, line ministry, provincial and district level M&E practitioners would need to take proactive roles and responsibilities in strengthening the M&E function in the country. At best, regional or provincial chapters could be established so that these become operational centres for ZaMEA. Innovative incentives could be designed to attract the interest of stakeholders. At the same time, academia and the

media would be expected to ensure that the evolution of M&E is spread and documented. In addition, ZaMEA needs strong links with parliament, civil society, research institutions and individual citizens, who could be regular users of M&E information. ZaMEA could also carry out strategic evaluations of public projects and programmes to demonstrate that quality information is useful for national development. In this case, ZaMEA could provide government and other stakeholders with expertise in conducting analytically strong evaluations.

9.2.2 For non-government institutions

Role of Parliament

15. Enhance the oversight role of parliament at all levels: The study findings have shown that only weak and fragmented linkages existed between parliament and other MPSAs in Zambia. Nevertheless, the National Assembly has a constitutional mandate to represent the citizens in issues of development and human rights. Parliament makes laws and approves government spending. These roles and responsibilities give parliament a unique development mandate. For that reason, its M&E role across the WoGM&ES will be crucial. Efforts through innovations and initiatives will need to be promoted so that functional linkages between parliament and all other levels of development are strengthened. In that regard, there will be a need to have M&E products in the form of reports and interactive programmes to give parliament an opportunity to appreciate development changes across the WoGM&ES regularly. Parliament will also be required to restructure itself to respond to this challenge function. Practically, this may compel redefining the roles and responsibilities of the parliamentary committees and creating new initiatives to support the M&E function within the National Assembly.

Civil society

16. Ensure collaboration and coordination mechanisms are functional: CSOs are an important stakeholder partner in the development process of Zambia. The work of CSOs has become more widespread as more organisations have come on board in recent years

(Mulonda et al., 2018). Among others, CSOs are involved directly in implementing development interventions in such sectors as education, health, agriculture, water and sanitation, and community resilience through supporting entrepreneurship among citizens. Others are advocates of development in many areas. They lobby government and the donor community to act in needy communities so that people have access to decent lives. To that extent, it will be important that deliberate initiatives should be identified and implemented to strengthen the linkages between government and CSOs. In particular, M&E collaboration and coordination efforts between government and civil society will need to be strengthened. This may be achieved through undertaking a thorough needs assessment to identify practical coordination points. CSOs will need reliable M&E information in their advocacy work and in implementing development interventions. Such collaboration will best be done at all levels. Joint M&E plans and actions will be desired to support a functional WoGM&ES. A review and strengthening of the advisory bodies, which include the NDCC, PDCCs, DDCCs and WDCs, will be a good starting point.

Donors

17. Develop a joint national M&E work plan to support the WoGM&ES: An M&E work plan is a detailed framework that is fully costed. As the study findings have shown, donors are involved in supporting the development of the WoGM&ES through provision of financial resources and technical services. However, owing to the lack of a common plan, which shows the areas of prioritised collaboration, the work of donors has not yielded the desired results (see Chapter 7). Thus, an elaborative joint government and donor M&E plan will be needed to work as a guide for current and future collaborations as far as M&E enhancement is concerned. Again, such efforts will need to be at all levels of government. Financing and technically supporting a common plan for M&E will entail strengthening the WoGM&ES.

18. Avoid implementing parallel donor M&E systems: It was found in this study that donors were in the habit of maintaining their own parallel M&E arrangements. This practice was reported as weakening the WoGM&ES, whereby, instead of collectively supporting the national system for M&E, donors spent money on creating ICT-based systems that catered

only for their work related information needs. In the enhanced WoGM&ES, donors would be expected to work with government through a unified national M&E work plan.

Academia

- 19. Transform the education system to being results focused:** Among the key gaps reported in the current WoGM&ES for Zambia are lack of analytical skills, inadequate in-depth M&E skills and generally the lack of champions for M&E in government. Even among non-state actors, the challenges were reportedly similar. There was also a lack of results-based media reporting, particularly media coverage that highlights government achievements against the National Development Plans (NDPs) vis-à-vis the attainment of Vision 2030 objectives. Therefore, academia has an opportunity to help resolve the gap by vigorously introducing programmes and courses with development results-based content. In that regard, the subject matter of monitoring and evaluation will require to feature prominently in academic programmes of all teaching institutions at all levels. Nonetheless, this will mean developing academic level-specific and tailored M&E and RBM programmes and courses to address the skill gaps in the country. To produce these, a thorough needs assessment or knowledge-based diagnosis should be undertaken so that such curriculum reviews and developments may be informed appropriately (see also Wotela, 2017).
- 20. Create strong competencies in undertaking development evaluations:** The findings of this study have shown that the culture and practice of evaluation in Zambia remains poor, and in many cases non-existent. Not only did government undertake a limited number of evaluations, but the skills and expertise needed to carry out quality evaluations were lacking in and outside government. Private sector consulting firms and individuals will be needed to provide practical M&E services. Evaluation practice and competencies will go a long way towards supporting and sustaining the country's WoGM&ES and ultimately in creating a culture of results through people's access to and use of information from the evaluations.

Media

21. Reform media news towards results-based management: Mass media plays a significant and central role in nation building and development. In its effort to implement a transformational, robust and sustainable WoGM&ES, the government will be required to invest in promoting and supporting a media regime shift. Zambia will need media platforms and spaces that are innovative and preoccupied with consistently reporting on development results based on evidence from a reliable and credible WoGM&ES. The media is supposed to play its double role of contributing to the strengthening of the supply side and the demand side of the WoGM&ES. To that extent, the media will be expected to always search for evidence on development processes. That is why the freedom of information (FOI) legislation would be vital for Zambia in transforming and nurturing a culture of results. Therefore, the print, digital and electronic media would be expected to offer a wide range of evidence and remedial action to resolve the issues. Such media will not only help build a results-oriented population, but contribute to a strengthened Zambian economy through stronger democracy, economic development, human rights and generally in adhering to good governance tenets.

9.2.3 For political parties

22. Develop and institutionalise M&E frameworks in all political party manifestos and constitutions: In Zambia, the executive arm of government is led by politicians who are sponsored by a political party of their choice and affiliation. These political organisations are legally registered entities required to operate within the confinements of the laws of Zambia according to the stipulations in the highest law of the land—the Constitution. A review of manifestos and constitutions for the major political parties in Zambia indicated that none of them had any explicit articulation of an M&E arrangement (e.g. constitutions & manifestos of the Patriotic Front (PF), United Party for National Development (UPND) & Movement for Multiparty Democracy (MMD)). Aside from listing many promises of deliverables to the people, there was lack of clarity on an organised way of implementation and measurement of such promises if or when they assumed power. Priority development areas, impacts, outcomes and outputs expected, indicators as well as targets become essential

elements of success to be clarified in party specific constitutions, manifestos and M&E plans. M&E methodologies also need to be explained for the people to make informed choices in an election. The absence of an M&E framework then undermines the party message and electorates would deem such promises as mere political rhetoric, propaganda and sheer vote-seeking. Adherence to good governance tenets equally gets compromised.

Therefore, since political parties shall come and go in terms of leading the country at a particular time, it is strongly contended that, far before a given party assumes government powers, its proposed M&E framework should be very clear. In Zambia for instance, political parties like the PF, MMD, UPND and all other parties would have clear and robust party-specific M&E frameworks and articulations on how they were going to pursue a culture of results once elected to power. That way, the proposed model in this study—of anchoring the country system for M&E on the presidency can be made feasible. As they propound their proposed system of governance to the general populace and other key stakeholders, specific M&E frameworks of individual political parties would be articulated in their campaign messages. Thus, even when a successful party shall find an established WoGM&ES for the public sector in place, it will be necessary for such a party to have a clear understanding and appreciation of its own M&E vision and set up. Only when such practices and institutionalisation of M&E in intra- and inter- party politics shall exist in Zambia will the culture of results based on evidence become the inspiration of good governance and practical poverty reduction. This action point will help strengthen both the supply and demand side of the country's WoGM&ES.

- 23. Ensure the main party campaign messages comprise M&E functionalities:** Political elections are all about development promises. In the tripartite elections, Zambians vote for local government representatives, members of parliament and presidential candidates and all these offer different development messages. I contend here that, drawing from their specific party manifestos and particularly the M&E frameworks and plans, these candidates will need to demonstrate how development results will be pursued and attained for the citizens—in a measurable and realistic manner. Such quality, clarity and consistence in the campaign messages of a given political party will give an opportunity for people to easily identify

themselves with which organisation best holds a practical strategy to deliver the desired development aspirations. Specifically, campaign messages should carry such important information as development priority areas, high level results of focus (that is, impacts and outcomes), outputs, indicators, targets and clear time frames. To some extent, details of roles and responsibilities should also be articulated. The research findings revealed that a newly elected party in power spends much time trying to organise itself to determine which structural arrangement would best deliver campaign promises. This should be resolved way before assuming state power—through detailed M&E frameworks and plans. In that regard, offices of the president for specific political parties will need to drive this M&E agenda as they shall be the ones to foster a thriving culture of results once in leadership. For the incumbent party in power, there will be need to practically re-organise and shift according to the recommendations in the proposed model (see section 8.3). Therefore, in the long run, the people of Zambia will attach importance towards demanding for a results-oriented governance system from their various leaders and providers of goods and services.

- 24. Transform political leaders into M&E Champions, focused and committed to a culture of results:** For M&E to be well institutionalised and used as an instrument of good governance, political championship will be a necessary requirement for Zambia's WoGM&ES. While not every politician may qualify to be called a champion of M&E, there will be need for key political players to be transformed into practical results-based leaders who shall be at the helm of advancing and growing a culture of development results in the public service and beyond. Such leaders as presidential candidates and senior party officials for every political party/organisation will need to play the role of M&E champion. That way, Zambians will be given an opportunity to get results-based party manifestos and messages and engage in meaningful debate as to the direction the country was taking developmentally. This however, will call for a pragmatic intra- and inter- party transformation for political players to make themselves champions of- results- for- results to improve Zambians' living standards. All these efforts will need to be anchored on political party constitutions and manifestos inspired by a commitment to a culture of results based on knowledge and appropriate skills set.

9.2.4 For future knowledge and research

Future research

- 25. Investigate the functional relationships of good governance institutions in Zambia:** The role of M&E is to enhance good governance through the promotion of transparency and accountability by those tasked with the responsibility of utilising public resources. The WoGM&ES is expected to cut across all three arms of government (see Figure 8.1). Therefore, more research will be needed to understand which institutions in these arms of government need to be part of the WoGM&ES. For instance, studies will be required to determine the roles of various actors in strengthening the WoGM&ES. Institutions such as the Office of the Auditor General (OAG), Anti-Corruption Commission (ACC), judiciary, and parliament will form a firm basis for creating and sustaining a stronger WoGM&ES.
- 26. Introduce and sustain a culture of streamlined planning and budgeting for results:** While efforts have been made to simplify the planning and budgeting processes, especially through Public Finance Management (PFM) reforms and the launch of the 2014 National Planning and Budgeting Policy, more clarity is needed on ways to actualise these policy provisions. For instance, practical challenges were reported in linking, sequencing, articulating and developing the NLTV, NDPs, MTEFs, annual budgets, sector strategic plans, provincial and district plans. Studies focused on making the linkages between planning and budgeting processes would enhance the results-based culture in Zambia. To avoid rhetorically motivated planning, a transformative culture of streamlined planning and budgeting for results should be the driving force behind these studies. The aim should be to have a lean planning and budgeting system with properly linked planning and budgeting outputs expected at national, line ministry, provincial and district levels. All levels will be required to work around implementing a unified work plan towards realising a national goal, namely NLTV through NDPs.
- 27. Identify the technical and political aspects of M&E in Zambia:** The WoGM&ES will need to be strengthened on the supply side and the demand side. However, doing so will require in-depth understanding of all critical operational and technical issues surrounding

the system. Although technical issues may seem obvious to identify, political aspects may be complex to identify and resolve. As a bearer of good and bad news, M&E may not always go well with those tasked to design and implement M&E systems. Thus, more research studies will be required to understand currently unclear perspectives of M&E, so that ways are found to simplify the articulation and design of M&E arrangements. Issues of weak M&E coordination, autonomy and overall poor power relations among institutions, especially the M&E role of the OAG, parliament, CSO and civil society, need to be elaborated (Hickey & Mohan, 2008; Holvoet & Rombouts, 2008; Kusek & Rist, 2002; Leftwich, 2008; Patton, 1987).

28. Develop and implement a robust exchange programme with best M&E practising countries and organisations: Putting in place a functional WoGM&ES is neither a one-off activity nor a short- or medium-term undertaking. It must be seen as a continuous and long-term endeavour of building, reviewing, strengthening and participatory process. As Zambia works to build its national system for M&E, there would be need to learn from other countries with success stories in implementing whole-of-government monitoring and evaluation systems through structured collaborations. Since such countries as South Africa, Uganda, Colombia, Chile, and Australia may have similar experiences to Zambia, learning from them would work well for Zambia.

29. Re-establish a financing architecture for the WoGM&ES: One of the outstanding reason given for weak M&E implementation across the WoGM&ES for Zambia's public sector pertains to inadequacies and in many instances lack of finances. The current budget support approach seems to fall short of the desired investment in creating a thriving country system for M&E. Innovative financing options which will help government and its stakeholders to practically deal with the current financial resource challenge are needed. An in-depth study may bring out salient alternatives to the M&E financing architecture for Zambia. Such an M&E financial support strategy will for instance ascertain where resources to evaluate the NLTV, NDPs and strategic programmes and projects will be sourced from and give predictable estimates of expenditure. The alternatives will need to be robust enough to tackle resource challenges not only at national level, but institution-specific level as well. This

suggestion comes in the light of research responses that acknowledged of sustained institutional failures to adequately plan for M&E activities.

30. Re-engineer the public sector planning architecture focused on development results:

M&E function thrives on good and results-oriented planning. The findings of this research have revealed that plans across government structures (that is, at national, line ministry, provincial & district) are currently fragmented and in some cases missing. There were many line ministries with outdated strategic plans while others either were implementing draft plans or had no official plans. The situation was worse at provincial and district level where barely a few of them had up-to-date plans. For the few with such plans, there was a notable weak linkage with respective NDPs. It was difficult to map out clear linkages between the NDP and the other plans at decentralised levels. Even worse were the de-linkages that existed between implementation mechanisms as well as monitoring and evaluation frameworks. Thus, these gaps demand that all planning at all levels of government—national, line ministry, provincial, district and sub-district should be responsive to a results-based planning. It means that designing a country-level M&E measurement framework for NDPs is practically problematic. For instance, the lack of specific indicators and targets at provincial, district and among several line ministries exacerbates the challenge for effective and efficient M&E in the country. This gap also makes it difficult to place and provide data and information needs for regional, continental and global obligations. To fix this challenge, the planning architecture must be shifted to meet these basic tenets of results-based management through implementation of an effective WoGM&ES. Thus, future studies will have to consider appreciating the whole range of public policy and guidelines on planning, budgeting, implementation, oversight, legislation and geo-political aspects of national development.

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APPENDIX

Appendix A: Questionnaire to the Ministry of National Development Planning

Questionnaire Ministry of National Development Planning	
No. of Questionnaire: _____	
RESEARCH TOPIC	
Analysis of Zambia's Whole-of-Government Monitoring and Evaluation System in the context of National Development Plans	
INTRODUCTION	
Monitoring and Evaluation (M&E) are understood as tools that can help to strengthen a country's good governance prospects in a bid to alleviate mass poverty. For that reason, many countries the world over have embarked on building and strengthening their M&E systems. This interview seeks to collect your opinions on various aspects concerning the Whole-of-Government M&E System for Zambia's public sector (also commonly known as the Government-Wide M&E System).	
INSTRUCTIONS	
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INFORMATION ABOUT THE RESPONDENT	
1. Full Name: _____	
2. Position: _____	
3. Number of years in this position? _____	
4. Name of Institution and department/section_____	
5. Date: _____	
MEANING OF WHOLE-OF-GOVERNMENT M&E SYSTEM	
How does your Institution/Ministry define the Whole-of-Government or G-Wide M&E system? _____ _____	
Section A: Institutional Context and Design of the M&E System	
Questions in this section are divided in a number of categories. Attempt to answer all of them.	
National Vision	
Is there a long term plan/framework that articulates the national vision for Zambia?	
Describe it.	
Yes/No: __	

National Development Plan (NDP)

Is there a medium term plan (national plan) that helps to implement and achieve the objectives of the national long term vision of the government? Describe it.

Yes/No: _____

Is there a legal framework that regulates the formulation of both the National Long Term Vision (NLTV) and the medium-term National Development Plan (NDP) with clear results to be achieved?

Is there a central government ministry (secretariat, department, etc) in charge of coordinating the implementation of the NDP?

Has the government clearly defined strategies and objectives in the NDP

Yes/No_____

Has the government clearly defined strategies and objectives at sector, province and district levels?

Yes/No_____

Has the government clearly defined objectives in these different plans?

Yes/No_____

Operational Planning

Does the NDP establish programs to achieve the objectives

Yes/No_____

Does the NDP identify the institutional units responsible to achieve the objectives of programs?

Yes/No_____

Are the NDP goals disaggregated into annual goals or targets?

Yes/No_____

Participatory Planning

Is the legislative branch/parliament involved in discussions about the NDP?

Yes/No_____

What kind of discussions or input does parliament provide to NDP process?

Are there participatory mechanisms in place to get information from the civil society to formulate the NDP based on the needs of the citizens?

Are there information mechanisms in place to know which programs of the NDP have received comments and observations from the civil society before, during and after implementation?

To what extent is the NDP available to the public?

Sector Planning Capacity

Are there a strategic sector plans (SSPs) approved and in execution?

Yes/No _____

Are SSP program-based and structured with objectives and targets?

Yes/No _____

Has civil society participated in the preparation of these plans?

Yes/No _____

Are SSPs consistent with the objectives and goals of the NDP and national Vision?

Yes/No _____

The design process for the M&E system

Is there a single Whole-of-Government Monitoring and Evaluation (WoG-M&E) system for government-wide in Zambia?

Yes/No _____

What is its status of implementation?

Did the design process of the WoG-M&E system include a diagnosis of existing M&E arrangements?

Yes/No _____

What form of diagnosis was conducted to design the WoG-M&E system for Zambia?

Were (parallel) M&E systems already in place that could be used for the M&E and analysis of progress in terms of National Development Plan (NDP) inputs, outputs, and outcomes?

Yes/No _____

Are these (parallel/separate) M&E systems incorporated into the WoG-M&E system?

Yes/No _____

Did the design process include a stakeholder analysis?	Yes/No _____
Were existing and potential stakeholders of the M&E system process identified?	Yes/No _____
Did the design process include a needs assessment?	Yes/No _____
Were the various stakeholders, including institutions, consulted about their needs?	Yes/No _____
How were these consultations incorporated into the WoG-M&E system? _____ _____	
Did the design process of the WoG-M&E system include a data diagnostic?	Yes/No _____
Were the various data needs for the WoG-M&E system mapped out?	Yes/No _____
What data sources existed at the time of design? _____ _____	
Were these existing data sources incorporated into the system design?	Yes/No _____
How was this done? _____ _____	
Was the design process participatory?	Yes/No _____
Were stakeholders invited to participate in the process of designing the WoG-M&E system?	Yes/No _____
In what ways did various stakeholders help design the WoG-M&E system? _____ _____	
<i>Institutional leadership</i>	
Does the government/ministry have a political commitment to the WoG-M&E system?	Yes/No _____ _____ _____
Has there been explicit support at a high political level? _____ _____	Yes/No _____
Are there champions actively making the case for a common M&E system across the government? _____ _____	Yes/No _____
How are these champions promoting and supporting a stronger WoG-M&E system for Zambia? _____ _____	
Which agency leads on the design, coordination, and implementation of the WoG-M&E system (for example, the ministry of finance, the ministry of planning, cabinet office, president, or vice president)? _____ _____	

Is the choice of locus of leadership conducive to providing actors with incentives to participate in the M&E system (that is, close to the budget and planning processes)? Yes/No _____

Does the ministry effectively play leadership and coordination role? Yes/No _____

How does this central ministry play its design, coordination and implementation of the WoG-M&E system?

Coordination: mechanisms

Which mechanisms, such as committees or working groups, have been established to facilitate coordination among agencies and stakeholders?

Is the composition of these working groups stable? Yes/No _____

Are various stakeholders represented at an appropriate level to reflect and ensure their commitment? Yes/No _____

Is there a functioning secretariat (or department/line ministry/agency) of the M&E system across government? Yes/No _____

Are the meetings of the working groups organized in a way that supports coordination? Yes/No _____

Are the meetings of the working groups with the line ministry/secretariat/agency organized in a way that supports coordination? Yes/No _____

Are the information flows adequate to support coordination? Yes/No _____

Is the burden on participants/stakeholders excessive? Yes/No _____

Coordination: Oversight

Is there a high-level body (line ministry, secretariat, etc) able to provide oversight and encourage compliance within government administration? Yes/No _____

How active is this body?

Coordination: Liaison with local government

Where this might be relevant, are provincial and local governments represented within the coordination mechanism of the WoG-M&E system?

Yes/No _____

Are local governments participating actively in the system?

Yes/No _____

Do incentives support or hamper effective coordination? (If any incentives)

Is the institutional design of the WoG-M&E system too elaborate for the capacities of local governments?

Yes/No _____

Coordination: Liaison with line ministries

How do liaisons with line ministries and other agencies function in the WoG-M&E system?

How does the system relate between the central ministry and the M&E arrangements of line ministries?

Do line ministries take the M&E liaison function seriously?

Yes/No _____

Do ministries participate actively in the WoG-M&E system?

Yes/No _____

Which incentives support or hamper effective coordination? (If any incentives)

Is the requirement to monitor and evaluate inscribed in:

- the budgets of line ministries? Yes/No _____
- within the organisational structures of line ministries? Yes/No _____
- in the job descriptions issued by the ministries? Yes/No _____

Is the institutional design of the M&E system too elaborate with respect to the capacities of line ministries?

Yes/No _____

Coordination: Liaison with civil society

Is civil society participating in the working groups and committees of the WoG-M&E system?

Yes/No _____

What about at national/sector/provincial and district level?	Yes/No _____
Are these civil society groups participating actively in the system?	Yes/No _____
Which incentives support or hamper effective coordination? _____ _____	
Is civil society represented in an appropriate manner? Who selects the civil society representatives in working groups? _____	Yes/No _____
Have civil society organizations been adequately consulted about the roles they may wish to play in the WoG-M&E system? Are they able to fulfil these roles? _____	Yes/No _____
Coordination: Liaison with development partners	
Are development partners providing incentives and other encouragement to government agencies to use WoG-M&E system information? _____	Yes/No _____
Are development partners using the WoG-M&E system? _____	Yes/No _____
Are development partners supporting or crowding out national accountability mechanisms? _____	
To what extent is the demand for monitoring and evaluation data from development Partners coordinated? _____	
To what extent is the demand from development partners uncoordinated? _____	
What is the resulting influence from the development partners on the functioning of the WoG-M&E system and the related actors? _____	
Do the differing monitoring and evaluation requirements of development partners contribute to a sense of territoriality among government agencies and thereby discourage coordination? _____	

Legislation and regulation

Are the roles and responsibilities of various actors in the WoG-M&E system clearly set out?

Yes/No _____

Is this supported by a legal framework?

Yes/No _____

What is the nature of this legal framework?

Has the legal framework been implemented?

Yes/No _____

Is the lead agency/ministry within the WoG-M&E system explicitly charged with the compilation and dissemination of the outputs of the system?

Yes/No _____

Is there legislation regulating the access to and dissemination of information and data in the country?

Yes/No _____

Does it provide incentives to disseminate information widely or does it restrict information flows?

Are the data producers effectively required to provide their information to other users within and outside government?

Have quality standards been set for data?

Yes/No _____

Outputs and links to policy-making processes

Are the outputs of the WoG-M&E system designed within a perspective on how they are to be used in policy making?

Yes/No _____

Have the relevant policy-making processes been mapped out?

Yes/No _____

Have the entry points for system outputs been identified?

Yes/No _____

Have system activities been defined accordingly?

Yes/No _____

Do mechanisms exist for consulting users within or outside government on the relevance of the outputs, emerging needs, and priorities that the WoG-M&E system should address?

Yes/No _____

Do these consultations influence the functioning of the WoG-M&E system? How?

What are the institutional links between the WoG-M&E system and government-wide policy-making processes?

Are outputs produced in a timely fashion to affect particular events, including budget preparations, parliamentary hearings, planning sessions, budget approvals, budgetary allocations, reporting, and so on?

Are these links effective? Are there other channels through which the information produced by the WoG-M&E system may influence policy?

Is there evidence that information produced by the WoG-M&E system has been used by the government during various decision-making cycles such as for budgets, sectoral plans, investment planning, prioritisation and so on?

Is monitoring and evaluation information circulating beyond government and stimulating public debate on policy choices?

National statistics

Is there a functioning national statistical system where various data producers may coordinate their activities, common standards and principles are issued, and so on?

Yes/No _____

Is there a national statistics institution?

Yes/No _____

Is there a national statistical master plan?

Yes/No _____

How well are the WoG-M&E system and the national statistical system integrated?

Are there overlaps between the two systems? Any complementary role?

Or are there potential rivalries and conflicts between the two systems (WoG-M&E system and the national statistical system)?

Is the WoG-M&E system consistent with other plans and processes for the development of the statistical system?

What roles does the national statistics institution play in the WoG-M&E system? A standards-setting, technical-assistance, or capacity building role? How strong is this role?

Does the national statistics institution have the resources to fulfil its roles? Human, financial, technical, skills, etc?

Statistics Framework and Capacity Building

Does the government have a legal and operational framework for its statistical activities?

Are there technical standards and guidelines with methodologies for all entities and units in charge of producing statistics within the statistical agency?

Is the statistical data broad enough to measure all indicators related to the National Development Plans (NDPs)'s goals?

What are the legal mandate, the funding base, and the pool of skills for the national statistical office/CSO?

What is the national statistical agency's (CSO)' capacity to analyse statistical data for forecasting purposes?

Is the government taking into account performance indicators from the national statistical office/CSO for decision making process? Any evidence?

Management Information Systems (MIS)

Are households or other comprehensive socio-economic surveys regularly conducted (i.e. at least every 5 years)?

Do ministerial MIS capture data on stakeholder satisfaction and impact of service delivery?

Are there service delivery surveys that show trends in stakeholder satisfaction?

Do line ministries and other institutions produce quarterly or annual reports that summarize achievements in terms of service delivery, scope, access, quality and client satisfaction?

Are overlaps in data collection by ministries and other institutions providing services avoided by interconnecting MIS?

Are the information systems available to the public through the Internet? Which ones are available online?

Section B: Ability of the WoGM&ES to Supply Information

Capacity for data production

Is the WoG-M&E system able to supply the data and analysis needed by users? Yes/No _____

In your view, is the WoG-M&E framework able to provide adequate resources (finances, skills, etc) for M&E processes? Yes/No _____

Are data relevant to the elaboration and monitoring of the NDP generally available? Yes/No _____

Are data deficient in particular areas? Where are the gaps?

Capacity for data collection: Definition

How are the data collection and computation activities of the WoG-M&E system determined?

Are users and other experts and specialists consulted on issues, gaps, emerging needs, and priorities? How are they consulted?

Do the outcomes of these consultations influence the process of data collection and compilation?

Capacity for data collection: Sources

What are the main sources of the data? Administrative records? Budgets? Population censuses? Household surveys? Others?

Who is responsible for collecting, compiling/computating the data?

Capacity for data collection: Relevance

What is the frequency or periodicity of data collection on particular issues (monthly/quarterly/annually)?

What is the length of time between the reference period and the distribution and use of the data? Is this lag too long, thereby limiting the uses of the data for decision making?

What level of data disaggregation is available (geographic, gender, socioeconomic status)?

Capacity for data collection: Standards

In your view, do processes and procedures in data compilation adhere to professional and ethical standards?

Yes/No _____

Is an agency, such as the national statistics institution, responsible for enforcing the standards?

Yes/No _____

Does the national statistics institution effectively play this role?

Is the data consistent internally and with other (external) data sets? (e.g. World Bank, UN, etc)

Are there processes in place to check the accuracy and reliability of the data?

Yes/No _____

When discrepancies are found, are they investigated?

Capacity for data collection: Coordination

To your knowledge, are the data collection activities of the national statistical agency/institution, its technical platform, its standards, and its definitions coordinated with the other activities of the WoG-M&E system?

In particular, how is the WoG-M&E system linked to the M&E units and other arrangements in line ministries, provinces, districts and the national statistical institution?

<i>Capacity for data collection: Manpower</i>	
Does the national statistical agency have a dedicated M&E unit which works as a link to the WoG-M&E system?	Yes/No _____
What is the capacity of the national statistical agency or the agency's M&E unit in terms of the number and qualifications of the staff? In terms of staff turnover?	
Are M&E burdens excessive for the capacity of the national statistical agency or its M&E unit?	
<i>Capacity for data collection: Resources</i>	
What resources, including physical infrastructure, are available for the collection and compilation of M&E data?	
To what extent is data gathering financed by external development partners? How sustainable and predictable are these funds?	
<i>Capacity for data collection: Dissemination</i>	
Are the data understandable and clearly presented?	
Are the processes and procedures for data compilation transparent?	
Are the data published or otherwise available to the public?	
In what forms are they available?	
How are they disseminated?	
<i>For public expenditure data</i>	
Are systems in place to track poverty-related expenditures?	Yes/No _____

How is the WoG-M&E system linked to the development of budgetary and public expenditure management systems?

If accurate expenditure data are unavailable, are other techniques being used to monitor expenditure (such as public expenditure tracking surveys and public expenditure reviews)?

For regional government data

What are the roles of central, sector, provincial and district governments in monitoring and evaluation of decentralized services?

What sorts of data are collected by each actor (national, sector, provincial and district)?

How are the data aggregated and analysed? Who performs these functions?

Are there multiple systems for monitoring and reporting at national, sector, provincial and district levels?

Are these systems compatible or they are conflicting?

Are there incentives to distort the data?

Capacity for analysis

Which agencies and units inside and outside government are responsible for analyzing M&E information (ministry of finance, ministry of planning, local governments, local agencies, line ministries, the central bank, the national statistics institute, civil society, development partners, universities, research centers, and so on)?

What is their capacity? How are these agencies and units funded?

Are the government agencies and units effectively mandated and resourced? How reliable are the funding arrangements of the agencies and units?

How is the work program of these agencies and units determined? Is there a mechanism to define activities in light of the needs of the end users?

What is the quality of this work? Are the analysts considered objective? Is the quality of the analysis limited by data constraints? What is the level of the demand for the work of the analysts?

Are the analysts able to communicate their analyses effectively to end users in an appropriately adapted format?

What types of analyses (regular or one-off) have been effectively produced? Are these sufficient to fulfil the needs of system users? What are the gaps in analysis?

Outputs and dissemination

Is there a catalogue of outputs for the WoG-M&E system?

Yes/No _____

Does it include all the data and analytical products?

Yes/No _____

Is it widely available and updated regularly?

Yes/No _____

Is there a calendar schedule of outputs?

Yes/No _____

Is the calendar schedule of outputs advertised?

Yes/No _____

Are outputs simultaneously released to all interested parties?

Yes/No _____

Do all users have equal access?

Yes/No _____

Are the sources, methods, and procedures related to the production of outputs published and available to all users?

Yes/No _____

Are the products available in various formats for users who have different levels of familiarity with and literacy in the topics covered, different needs in terms of the depth of information, and so on?

Is there a dissemination strategy or a communication strategy? Are selected actors in the WoG-M&E system in charge of these activities?

Do systems exist to maintain and disseminate information? Are they user-friendly?

Capacity for evaluation

What are the requirements and procedures for evaluating NDP programs?

Are the data and information gathered through monitoring activities used to support evaluations?

Yes/No _____

To what extent are evaluations and reviews undertaken or commissioned in government?

What types of evaluations and reviews are carried out within the WoG-M&E system? (Expenditure tracking surveys? Participatory monitoring and evaluation? Rapid reviews? Impact evaluations? Performance audits?)

How frequently are the evaluations and reviews performed? What is the quality of the output?

Who are the main actors who undertake or commission the evaluations and reviews? Are these evaluations and reviews undertaken on the actor's or agency's own initiative?

To what extent do government ministries undertake or commission evaluations and reviews of their own performance?

Are evaluations and reviews that are commissioned by development partners the main source of this type of work in the country? Are any of these evaluations and reviews conducted jointly with the government? If so, what is the level of government input?

Are evaluations and reviews commissioned by the government with demand or support from civil society groups such as universities and interdisciplinary research groups?

Does civil society provide policy advice to the government during these evaluations and reviews?

Are the findings of evaluations reported? To whom are they reported? (Parliament? Development partners?) How are the findings reported or published?

Do any particular actors or agencies follow good evaluation practices?

Capacity building and funding

Are specific budgetary resources allocated for NDP M&E/WoG-M&E system? For central activities (such as the secretariat)? For the various components (for example, line ministries, universities, and so on)?

Are the resources sufficient, and is the funding predictable and sustainable?

In your view, is there an overall planning, monitoring and evaluation capacity-building program or plan within government? (at national, line ministry, provincial and district levels)

Does the program/plan identify needs and gaps? Is it clearly prioritized? Is it costed and funded?

Are development partners key funders for the WoG-M&E? What are their funding trends? How sustainable and predictable is their funding?

Are development partners supporting the overall WoG-M&E system or only selected activities by certain actors?

Is the government providing guidance to development partners on supporting planning, monitoring and evaluation capacity development?

Are development partners funding technical assistance in the design and strengthening of the WoG-M&E system? Are skills being transferred to the country as a result of this assistance?

Are substantive capacity-building efforts in monitoring, analysis, and evaluation currently under way in the country? Across sectors, provinces and districts?

How sustainable are the capacity-building efforts and the ability to retain the capacity created over the medium to long term?

What is the potential for in-country universities and other training organizations to provide training in data collection, monitoring, analysis, and evaluation to various actors in the WoG-M&E system?

Section C: Demand for and Use of WoG-M&E System Information

National Development Plan

What types of data are needed for the NDP indicators? (Impact? Outcome? Output? Etc?)

How would you assess the NDP in terms of its treatment of indicators?

- a. relevant to the subject and NDP objectives Yes/No _____
- b. consistent with NDP policy priorities Yes/No _____
- c. sufficient as a basis for assessing performance Yes/No _____
- d. clearly defined Yes/No _____
- e. accessible at a reasonable cost Yes/No _____
- f. can be independently validated Yes/No _____
- g. time bound Yes/No _____

Budget and planning

Are spending agencies required to present monitoring and evaluation information in support of their budget and medium-term expenditure framework submissions?

Are there any incentives to encourage this? Are these incentives likely to distort the quality of the data?

Would you be aware if the ministry of finance engage line ministries and other spending agencies in dialogue on their policy choices based on performance information?

If yes, what information is required when submitting budget proposals?

- a. retrospective and prospective information on ministry spending Yes/No _____
- b. information on ministry outputs Yes/No _____
- c. information on sector outcomes and impacts Yes/No _____
- d. results of formal evaluations and reviews Yes/No _____

Is a separate body responsible for national planning?

Yes/No _____

If so, what types of information does it require for submissions on sectoral inputs to national plans?

- a. retrospective and prospective information on ministry spending Yes/No _____
- b. information on ministry outputs Yes/No _____

- | | |
|-----------------------------------------------|-------------|
| c. information on sector outcomes and impacts | Yes/No_____ |
| d. results of formal evaluations and reviews | Yes/No_____ |

Local government and agencies

Is there evidence of a demand for monitoring and evaluation data and information among local governments and agencies?

Yes/No_____

What forms of data are being requested or would be relevant to local agencies and governments?

Does the WoG-M&E system provide feedback and information flows to local governments and service providers? What is the dissemination strategy?

Is such information used at the local level (such as for an incentive system to improve the performance of service providers)?

Are the timing and form of the outputs provided to local governments and agencies adapted to the needs of these entities?

Line ministries

Do sector ministries use information as a basis for their own planning and management?

Yes/No_____

Is there any specific evidence of the use of data to inform poverty-related policy at the sectoral level?

Do line ministries have the capacity to produce such information? Do line ministries have strategies to disseminate monitoring and evaluation information and outputs within their sectors?

Are data quality and relevance an issue?

Do line ministries rely on the WoG-M&E system? On information produced by other agencies? Are the timing and form of outputs produced by the WoG-M&E M&E system appropriate to the needs of the ministries?

Do line ministries communicate their needs to the WoG-M&E system management? How is this done?

Parliament

Does the WoG-M&E system embrace a strategy for disseminating monitoring and evaluation outputs on poverty to parliament? How is this done?

Does the system provide for parliament as one of the users? Are the timing and form of outputs appropriate to the needs of parliament?

How does parliament use the information provided by the WoG-M&E system? E.g. is the information used in formal hearings among parliamentary committees? In other ways?

Does parliament communicate its data needs informally or formally through legislation requiring particular information?

Does parliament have the capacity to use monitoring and evaluation information effectively?

Development partners

What are the monitoring and evaluation as well as reporting requirements of development partners?

Are development partners using the WoG-M&E system for their own monitoring and reporting needs?

What other mechanisms are they using (other project and program monitoring systems, internal systems, and so on)?

Does the demand for monitoring and evaluation information by development partners influence the WoG-M&E system in producing data and information?

Have development partners coordinated their monitoring and evaluation requirements?

Civil society

Are strong pressures exerted by civil society—the media, nongovernmental organizations, universities, interdisciplinary research entities, and so on—on government for information about the performance of government in reducing poverty?

Does the WoG-M&E system have a strategy for disseminating monitoring and evaluation outputs to the general public? Are the timing and form of the outputs appropriate to the needs of the various audiences among the public?

Is monitoring and evaluation information published widely in the media?

Does civil society communicate its data needs formally to the WoG-M&E system?

Section D: Conclusion

Is there anything you would want to add?

Thank you

Appendix B: Questionnaire to the Ministry of Finance

Questionnaire Ministry of Finance	
No. of Questionnaire: _____	RESEARCH TOPIC
Analysis of Zambia's Whole-of-Government Monitoring and Evaluation System in the context of National Development Plans	
INTRODUCTION	
Monitoring and Evaluation (M&E) are understood as tools that can help to strengthen a country's good governance prospects in a bid to alleviate mass poverty. For that reason, many countries the world over have embarked on building and strengthening their M&E systems. This interview seeks to collect your opinions on various aspects concerning the Whole-of-Government M&E System for Zambia's public sector (also commonly known as the Government-Wide M&E System).	
INSTRUCTIONS	
<ul style="list-style-type: none"><input type="checkbox"/> The questionnaire is divided into some sections and sub-sections<input type="checkbox"/> Attempt to respond to all the questions<input type="checkbox"/> It will take you minutes to complete the questionnaire<input type="checkbox"/> Your responses may either be (i) Yes/No (ii) Brief description<input type="checkbox"/> Your information is only meant for research purpose and will be treated confidentially<input type="checkbox"/> Quotations from you will be subject to your acceptance	
INFORMATION ABOUT THE RESPONDENT	
1. Full Name: _____	
2. Position: _____	
3. Number of years in this position? _____	
4. Name of Institution and department/section_____	
5. Date: _____	
MEANING OF WHOLE-OF-GOVERNMENT M&E SYSTEM	
How does your institution define the Whole-of-Government or G-Wide M&E system? _____ _____ _____	
Monitoring and Evaluation Arrangements in Zambia's Public Sector	
Questions are divided in a number of categories. Attempt to answer all of them.	
Program-based budgeting	
Is there correspondence/consistency between budget programs and the programs in the NDP(s)? _____	
Do budget programs include clear information on objectives, goals, indicators as contained in the NDP? _____	

Is the budget formulation and execution based on program classification?

Is every program budgeted based on its past performance? What determines funding for MPSAs?

Medium-Term Budgetary Perspective

Is there a medium-term fiscal framework (MTFF minimum of three years) prepared consistent with a NDP?

Is the MTFF updated on an annual basis?

Is the annual budget linked with the MTFF? By programs, projects?

Are budgetary decisions carried out taking into account the results produced by the performance indicator-system of the NDP (s)?

Budget Transparency and Information Dissemination

Is the budget information available to the public through the Internet when the budget proposal is presented to Parliament?

Does the information on the budget made available to the public makes possible to identify budget allotments according to categories based on the objectives of the government?

Are financial statements of end of fiscal period available within six months following the date on which the audit is completed?

Budget and planning

Are agencies required to present monitoring and evaluation information in support of their budget and medium-term expenditure framework submissions?

Are there any incentives to encourage this? Are there incentives likely to distort the quality of the data?

Does the ministry of finance engage line ministries and other MPSAs in dialogue on their policy choices based on performance information?

If yes, what information is required when submitting budget proposals?

- a. retrospective and prospective information on ministry spending
- b. information on ministry outputs

Yes/No _____

Yes/No _____

c. information on sector outcomes and impacts	... Yes/No _____
d. results of formal evaluations and reviews	Yes/No _____

Is a separate body responsible for national planning? Yes/No _____

If so, what types of information does it require for submissions on sectoral inputs to national plans?

a. retrospective and prospective information on ministry spending	Yes/No _____
b. information on ministry outputs	Yes/No _____
c. information on sector outcomes and impacts	Yes/No _____
d. results of formal evaluations and reviews	Yes/No _____

How else do you think the budgeting process is benefiting from the monitoring and evaluation results from the Whole-of-Government M&E system?

Capacity for monitoring and evaluation

Is there a department/section/unit responsible for monitoring and evaluation activities within the Ministry of Finance?

What monitoring and evaluation arrangements exist in the ministry?

How are the Ministry of Finance monitoring and evaluation arrangements linked with the planning ministry?

Is there any capacity building plan/program for the monitoring and evaluation skills in the ministry? How elaborate is the plan/program?

Do staff from the Ministry of Finance belong to monitoring and evaluation committees of MPSAs? What role do these staff play in these committees?

Conclusion

Is there anything you would want to add?

Thank you

Appendix C: Questionnaire to line ministries and provinces

Questionnaire Line Ministries and Provincial Planning Units	
No. of Questionnaire: _____	RESEARCH TOPIC
Analysis of Zambia's Whole-of-Government Monitoring and Evaluation System in the context of National Development Plans	
INTRODUCTION	
Monitoring and Evaluation (M&E) are understood as tools that can help to strengthen a country's good governance prospects in a bid to alleviate mass poverty. For that reason, many countries the world over have embarked on building and strengthening their M&E systems. This interview seeks to collect your opinions on various aspects concerning the Whole-of-Government M&E System for Zambia's public sector (also commonly known as the Government-Wide M&E System).	
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INFORMATION ABOUT THE RESPONDENT	
1. Full Name: _____ 2. Position: _____ 3. Number of years in this position? _____ 4. Name of Institution and department/section _____ 5. Date: _____	
MEANING OF WHOLE-OF-GOVERNMENT M&E SYSTEM	
How does your Institution define the Whole-of-Government or G-Wide M&E system? _____ _____	
Monitoring and evaluation arrangements in line ministries and provinces	
Questions in this section are divided in a number of categories. Attempt to answer all of them.	
<i>Institutional leadership</i>	
Does your institution have a political commitment to the WoGM&ES?	Yes/No _____ _____ _____
Has there been explicit support at a high political level in your institution?	Yes/No _____ _____
Are there champions actively making the case for a common M&E system in your institution?	Yes/No _____ _____

How are these champions promoting and supporting a stronger WoGM&ES for Zambia?

Which department/section/unit of your institution leads on the design, coordination, and implementation of monitoring and evaluation activities?

Does this department/section/unit have capacity to undertake its full role of monitoring and evaluation for your institution? (budget allocation, skills, staffing, etc?)

Monitoring Results Framework

Is there a legal framework that makes mandatory monitoring and evaluation of institutional Plans and their programs?

Yes/No _____

Does your department/section/unit in charge of monitoring and evaluation activities base its measurement and achievement of objectives and goals of the institutional plans on performance indicators?

Yes/No _____

Has the department/section/unit that carries out the monitoring of the institutional plans have formally established guidelines with methodologies and technical standards?

Is the monitoring information of the objectives and goals of the institutional plans available to the public?

Is there an overall plan for data collection on result performance within the institution?

Are there processes carried out for measuring performance internally and externally in the institution?

Evaluation Results Framework

Is there a legal framework that makes mandatory the evaluation of the institution plans and their programs?

Does the legal framework establish responsible agencies/institutions, their objectives, and resources for the evaluation of the institutional plans and its/their programs?

Is there an official and public document that establishes the evaluation guidelines with methodologies and technical standards to guide institutional plan evaluations?

Are the institutional evaluation reports available to the public?

Are institutional policies, programs and projects subjected to regular and independent evaluation or other reviews for effectiveness?

Are there ex-ante evaluation (i.e. an evaluation before implementation) that evaluates the project contribution in achieving the objectives and goals established in institutional plans?

Are evaluation findings widely disseminated?

Collection of Performance Information

Does the institution have the necessary resources (dedicated staff, commissioned evaluations, and developed systems) to collect the data for the indicators?

Accountability for Results: Participation

Has civil society been able to provide meaningful inputs to formulating institutional plans?

Have the development partners been able to provide meaningful inputs to formulating your institutional plans?

Has the private sector been able to provide meaningful inputs to formulating institutional plans?

Effective accountability institutions

In your view, is the legislative branch (parliament) able to effectively monitor the executive branch of government at your institutional level?

Feed back to decision making

Are program/project output and outcome information used in decision making in your institution? To what extent?

Are policy objectives and priorities regularly revisited in the light of research, statistics, and other facts and analyses regarding changes in the status of development outcomes in the institution? What is the evidence?

Are lessons learned from reviews and evaluations systematically embedded in new project and program designs in the institution?

Do progress and performance reports actually lead to changes in service delivery strategies? Any evidence?

Partnerships

Are donor priorities in the sector derived from institutional planning processes?

Are there any formal government-led mechanisms at institutional level for donor-to-donor coordination?

Are donors aligned on institutional reporting procedures? Do they have their own parallel procedures? Why?

Data analysis and adequacy of Information Technology (IT)

Does your institution have the human capacities to analyse data collected on result achievement?

To what extent does the institution administration have adequate tools, IT –software and hardware- in particular, to ensure monitoring and evaluation of public policies and use of factual data in decision-making?

Use & Reporting of Performance Information

To what extent is the institution using results information to manage and adjust ongoing operations, strategic plans, policies and resources? Does your institution use monitoring and evaluation information as a basis for your own planning and management?

To what degree is factual information from monitoring & evaluation used to improve the administration for better development results in your institution?

Is there any specific evidence of the use of data to inform poverty-related policy at the institutional level?

Does your institution have the capacity to produce such information? Does it have strategies to disseminate monitoring and evaluation information and outputs within and outside your institution?

Are data quality and relevance an issue in your institution? What are the issues?

Information Systems & Processes

Is there a process for setting outputs, targets, standards, outcomes, and indicators in your institution?

Reporting on Performance Information to stakeholders

Is the performance information supplied to users accurate?

Is the performance information supplied to users up-to-date? Any challenges?

Are there strategic review meetings in your institution? What is discussed with regard to the achievement of results?

Coordination: Liaison with the Central Ministry

How do monitoring and evaluation liaisons with the central ministry (development planning) in the WoGM&ES organised/arranged/done? Or how do your institution's M&E arrangements relate with those of the central coordinating ministry?

Does your institution take the liaison function seriously? Yes/No _____

Do you think your institution participates actively in the WoG-M&E system? Yes/No _____

Which incentives support or hamper effective monitoring and evaluation coordination in your institution?

Is the requirement to monitor and evaluate inscribed in:

- the budgets of your institution? Yes/No _____
- within the organisational structures of your institution? Yes/No _____
- in the job descriptions issued by your institution? Yes/No _____

Is the institutional design of the M&E system too elaborate with respect to the capacities of your institution? Yes/No _____

Coordination: Liaison with civil society

Is civil society participating in the working groups and committees of your institution's monitoring and evaluation arrangements/system? Yes/No _____

Are these civil society groups participating actively in the monitoring and evaluation system/arrangements of your institution? Yes/No _____

Which incentives support or hamper effective coordination of civil society participation in your institution's monitoring and evaluation arrangements/system?

In your view, is civil society represented in an appropriate manner in the working groups and committees of your institution's monitoring and evaluation arrangements/system? Yes/No _____

Who selects the civil society representatives in these working groups or committees?

Have civil society organizations been adequately consulted about the roles they may wish to play in your institution's monitoring and evaluation arrangements/system

Yes/No _____

Are they able to fulfil these roles?

Yes/No _____

Coordination: Liaison with development partners

Are development partners providing incentives and other support to strengthen your institution's monitoring and evaluation arrangements/system?

Yes/No _____

Are development partners using information generated from your institution's monitoring and evaluation arrangements/system? If not, why do you think so?

Yes/No _____

Are development partners supporting or crowding out your institution's accountability mechanisms?

To what extent is the demand for monitoring and evaluation data from development partners coordinated in your institution?

To what extent is the demand from development partners uncoordinated?

Do the differing monitoring and evaluation requirements of development partners contribute to a sense of territoriality among government agencies and thereby discourage coordination in your institution?

Outputs and links to policy-making processes

Are the outputs of your institution's monitoring and evaluation arrangements/system designed within a perspective on how they are to be used in policy making?

Yes/No _____

Have the relevant policy-making processes been mapped out in your institution?

Yes/No _____

Have the entry points for your institution's monitoring and evaluation arrangements/system outputs been identified?

Yes/No _____

Have your institution's monitoring and evaluation arrangements/system activities been defined accordingly?

Yes/No _____

Do mechanisms exist for consulting users within or outside government on the relevance of the outputs, emerging needs, and priorities that your institution's monitoring and evaluation arrangements/system should address?

Yes/No _____

How do these consultations influence the functioning of your institution's monitoring and evaluation arrangements/system?

Are outputs from your institution's monitoring and evaluation arrangements/system produced in a timely fashion to affect particular events, including budget preparations, parliamentary hearings, planning sessions, budget approvals, budgetary allocations, reporting, and so on? Any challenges?

Are these links effective? Are there other channels through which the information produced by your institution's monitoring and evaluation arrangements/system may influence policy?

Is there evidence that information produced by your institution's monitoring and evaluation arrangements/system has been used by the government during various decision-making cycles such as for budgets, sectoral plans, investment planning, prioritisation and so on?

Is monitoring and evaluation information from your institution's monitoring and evaluation arrangements/system circulating beyond government and stimulating public debate on policy choices?

Capacity for data collection: Coordination

In particular, how is your institution's monitoring and evaluation arrangements/system linked to the M&E units/sections of the national statistical institution?

Capacity building and funding

Are specific budgetary resources allocated for your institution's strategic plan/monitoring and evaluation arrangements/system? (E.g. for sector activities, universities, and so on)?

Are the resources sufficient, and is the monitoring and evaluation funding from your institution budget allocation predictable and sustainable?

Is there an overall capacity-building program or plan for monitoring and evaluation within your institution?

Does the program/plan identify needs and gaps? Is it clearly prioritised? Is it costed and funded?

Are development partners key funders for your institution's monitoring and evaluation arrangements/system? What are their funding trends? How sustainable and predictable is their funding?

Are development partners supporting your overall institution's monitoring and evaluation arrangements/system or only selected activities?

Is your institution providing guidance to development partners on supporting monitoring and evaluation capacity development?

Are substantive monitoring and evaluation capacity-building efforts in monitoring, analysis, and evaluation currently under way in your institution?

In your view, how sustainable are the monitoring and evaluation capacity-building efforts and the ability to retain the capacity created over the medium to long term?

What is the potential for in-country universities and other training organisations to provide training in data collection, monitoring, analysis, and evaluation to various actors within the WoG-M&E system including your institution?

Does your institution use monitoring and evaluation information as a basis for your own planning and management?

Yes/No _____

Is there any specific evidence of the use of data to inform poverty-related policy at the institutional level?

Does your institution have the capacity to produce such information? Does it have strategies to disseminate monitoring and evaluation information and outputs within and outside your institution?

Are data quality and relevance an issue in your institution? What are the issues?

Conclusion

Is there anything you would want to add?

Thank you

Appendix D: Interview schedule for focus group discussions

Name of institution: _____ Date: _____ Time: _____

1. Introduction

This interview is part of the fulfilment of the degree of Doctor of Philosophy (PhD) in the field of Development Studies with a specialisation in the subject matter of ‘Monitoring and Evaluation’. I am pursuing this programme with the University of South Africa. My topic is ***Analysis of Zambia’s Whole of Government Monitoring and Evaluation System in the context of National Development Plans***. Thus, all your responses are for purposes of this research only and high levels of confidentiality will be adhered to throughout the process. A list of participants will be requested and possibly photos and voice recordings done.

2. Planning, monitoring and evaluation processes in your institution

- What are the key documents that inform your planning?
- How is your planning linked to National Development Plans and Vision 2030?
- What is the role of Civil Society in your institutional planning?
- How does your institution consider the functions of monitoring and evaluation?
- What key support monitoring and evaluation mechanisms does your institution have? (policies, legislation, etc)

3. Methodology and indicator definition

- Do you have a list of indicators to measure your development work?
- Are your indicators developed in a participatory manner?
- How are your indicators linked to those in the national development plan?
- Do you have a statistical function or office in your institution?

4. Monitoring and evaluation capacity

- Do you have separate units responsible for planning, monitoring and evaluation in your institution?
- What capacities do you have in monitoring and evaluation as an institution? (e.g. skills, finances, technology)
- Who champions/advocates for monitoring and evaluation functions in your institution?
- Any documented guidelines for monitoring and evaluation in place?

5. Demand and use for monitoring and evaluation information

- What monitoring and evaluation products does your institution have?
- How are these products disseminated to various stakeholders?
- Who are the key users of your monitoring and evaluation information?
- Do stakeholders like civil society, parliament, the media and donors demand and use monitoring and evaluation information from your institution? How?

6. Monitoring and evaluation challenges

- What challenges or obstacles to monitoring and evaluation do you experience?

7. Any other additional issue?

Thank you

Note: This interview schedule was administered in person by the candidate during focus group discussions with officers from the MNDP, PDCCs and DDCCs

Appendix E: Interview schedule for key informants

Name of institution: _____ Date: _____ Time: _____

1. Introduction

This interview is part of the fulfilment of the degree of Doctor of Philosophy (PhD) in the field of Development Studies with a specialisation in the subject matter of ‘Monitoring and Evaluation’. I am pursuing this programme with the University of South Africa. My topic is ***Analysis of Zambia’s Whole of Government Monitoring and Evaluation System in the context of National Development Plans***. Thus, all your responses are for purposes of this research only and high levels of confidentiality will be adhered to throughout the process. A list of participants will be requested and possibly photos and voice recordings done.

Cabinet office, parliament, auditor general, selected institutions and M&E experts

- Does institution have a monitoring and evaluation function?
- Is this M&E function restricted to your institution or it extends to government agencies?
- How is the M&E function structurally and organisationally set up in your institution?
- What linkages does your M&E function have with other development agencies within and outside of government?
- How does your institution consider the function and usefulness of monitoring and evaluation?
- What key support M&E mechanisms does your institution have? (policies, legislation, financial, expertise, backstopping?)
- How do you assess your institution’s capacities? (e.g. skills, funding, staffing, equipment)
- Any specific M&E products your institution produces? Who uses them?
- Does your institution use M&E products from government agencies?
- What role does your institution play in the process of preparing national development plans (NDPs) and national visioning?
- How is your institution involved in the process of implementing, monitoring and evaluating NDPs?

2. Any other additional issue?

Thank you

Note: This interview schedule was administered in person by the candidate during interviews with key informants from cabinet office, parliament, auditor general, other selected institutions and M&E experts

Appendix F: Complete diagnostic checklist for government M&E systems

DIMENSION	QUESTIONS UNDER EACH DIMENSION	QN No.
I. POLICY		
1. M&E plan	How does your institution define the whole-of-government or government-wide M&E system?	1
	Is there a long term plan/framework that articulates the national vision? Describe it.	2
	Is there a medium term plan (national plan) that helps to implement and achieve the objectives of the national long term vision of the government? Describe it.	3
	Is there a comprehensive M&E plan, indicating what to evaluate, why, how, for whom?	4
	Is there a single WoGM&ES in Zambia?	5
	What is its status of implementation?	6
	Did the design process of the WoGM&ES include a diagnosis of existing M&E arrangements?	7
	What form of diagnosis was conducted to design the WoGM&ES for Zambia?	8
	Were (parallel) M&E systems or arrangements already in place that could be used for the M&E and analysis of progress in terms of NDP inputs, outputs, and outcomes?	9
	Did the design process include a stakeholder analysis?	10
	Were existing and potential stakeholders of the M&E system process identified?	11
	Were the various stakeholders, including institutions, consulted about their needs? (needs assessment)	12
	How were these consultations incorporated into the WoGM&ES?	13
	Did the design process of the WoGM&ES include a data diagnostic?	14
	Were the various data needs for the WoGM&ES mapped out?	15
	What data sources existed at the time of design?	16
	Were these existing data sources incorporated into the system design?	17
	How was this done?	18
	Was the design process participatory?	19
	Were stakeholders invited to participate in the process of designing the WoGM&ES?	20

In what ways did various stakeholders help design the WoGM&ES?	21
Are the roles and responsibilities of various actors in the WoGM&ES clearly set out?	22
Is there a legal framework that regulates the formulation of both the National Long Term Vision (NLTV) and the medium-term National Development Plan (NDP) with clear results to be achieved?	23
What is the nature of this legal framework	24
Is there a central government ministry (secretariat, department, etc) in charge of coordinating the implementation of the NDP?	25
Has the legal framework been implemented?	26
Is the lead agency/ministry within the WoGM&ES explicitly charged with the compilation and dissemination of the outputs of the system?	27
Is there legislation regulating the access to and dissemination of information and data in the country?	28
Does it provide incentives to disseminate information widely or does it restrict information flows?	29
Are the data producers effectively required to provide their information to other users within and outside government?	30
Have quality standards been set for data?	31
What types of data are needed for the NDP indicators? (Impact? Outcome? Output? Etc?)	32
Have indicators been selected and prioritised at every level of government?	33
Has the government clearly defined strategies and objectives in the NDP?	34
Has the government clearly defined strategies and objectives at sector, province and district level?	35
Has the government clearly defined objectives in these different plans?	36
Does the NDP establish programmes to achieve the objectives?	37
Does the NDP identify the institutional units responsible to achieve the objectives of programmes?	38
Are the NDP goals disaggregated into annual goals or targets?	39
2. M versus E	
Is the difference and the relationship between Monitoring (M) and Evaluation (E) clearly spelled out?	40

	Is there a legal framework that makes mandatory monitoring and evaluation of plans and their programmes – at all levels?	41
	Is there a governmental entity in charge of monitoring the achievement of the objectives and goals of the plans through performance indicators – at all levels?	42
	Has the entity that carries out the monitoring of the plans has formally established guidelines with methodologies and technical standards?	43
	Is the monitoring information of the objectives and goals of the plans available to the public?	44
	Is there an overall plan for data collection on result performance across government structures?	45
	Are there processes carried out for measuring performance internally and externally across the WoGM&ES?	46
	Is there a legal framework that makes mandatory the evaluation of plans and their programmes?	47
	Does the legal framework establish responsible agencies/institutions, their objectives, and resources for the evaluation of plans and programmes?	48
	Is there an official and public document that establishes the evaluation guidelines with methodologies and technical standards to guide plan evaluations?	49
	Are evaluation reports available to the public?	50
	Are policies, programmes and projects subjected to regular and independent evaluations or other reviews for effectiveness?	51
	Are there ex-ante (initial) evaluations that evaluates project contributions in achieving the objectives and goals established in all plans?	52
	Are evaluation findings widely disseminated?	53
3.	Autonomy & impartiality (accountability)	
	Is the need for autonomy and impartiality explicitly mentioned?	54
	Does the M&E plan allow for tough issues to be analysed?	55
	Is there an independent budget?	56
4.	Feedback	
	Is there an explicit and consistent approach to reporting, dissemination, integration?	57
	Are the data understandable and clearly presented?	58
	Are the processes and procedures for data compilation transparent?	59

	Are the data published or otherwise available to the public?	60
	In what forms are they available?	61
	How are they disseminated?	62
	Are programme/project output and outcome information used in decision making in your institution?	63
	Are policy objectives and priorities regularly revisited in the light of research, statistics, and other facts and analyses regarding changes in the status of development outcomes - What is the evidence?	64
	Are lessons learned from reviews and evaluations systematically embedded in new project and programme designs in your institution/structure?	65
	Do progress and performance reports actually lead to changes in service delivery strategies?	66
5. Alignment to planning & budgeting	Is there integration of M&E results in planning and budgeting?	67
	Are agencies required to present monitoring and evaluation information in support of their budget and medium-term expenditure framework submissions?	68
	Are there any incentives to encourage this and are these incentives likely to distort the quality of the data?	69
	If so, what types of information does it require for submissions on sectoral inputs to national plans?	70
	Are the outputs of the WoGM&ES designed within a perspective on how they are to be used in policy making, especially budget policy?	71
	Have the relevant policy-making processes been mapped out?	72
	Have the entry points for system outputs been identified?	73
	Have system activities been defined accordingly?	74
	Do mechanisms exist for consulting users within or outside government on the relevance of the outputs, emerging needs, and priorities that the WoGM&ES should address?	75
	Do these consultations influence the functioning of the WoGM&ES - How?	76
	What are the institutional links between the WoGM&ES and government-wide policy-making processes?	77
	Are outputs produced in a timely fashion to affect particular events, including budget preparations, parliamentary hearings, planning sessions, budget approvals, budgetary allocations, reporting, and so on?	78

Are these links effective? Are there other channels through which the information produced by the WoGM&ES may influence policy?	79
Is there evidence that information produced by the WoGM&ES has been used by the government during various decision-making cycles such as for budgets, sectoral plans, investment planning, prioritisation and so on?	80
Is monitoring and evaluation information circulating beyond government and stimulating public debate on policy choices?	81
Would you be aware if the ministry of finance engage line ministries in dialogue on their policy choices based on performance information from spending agencies?	82
If yes, what information is required when submitting budget proposals?	83
a. retrospective and prospective information on ministry spending	
b. information on ministry outputs	
c. information on sector outcomes and impacts	
d. results of formal evaluations and reviews	
Is a separate body responsible for national planning? If so, what types of information does it require for submissions on sectoral inputs to national plans?	84
a. retrospective and prospective information on ministry spending	
b. information on ministry outputs	
c. information on sector outcomes and impacts	
d. results of formal evaluations and reviews	
Is the institutional design of the M&E system too elaborate with respect to the capacities of your institution?	85
Is there correspondence/consistency between budget programmes and the programmes in the NDP(s)?	86
Do budget programmes include clear information on objectives, goals, indicators as contained in the NDP?	87
Is the budget formulation and execution based on programme classification?	88
Is every programme budgeted based on its past performance - What determines funding for MPSAs?	89
Is there a medium-term fiscal framework (MTFF minimum of three years) prepared consistent with a NDP?	90
Is the MTFF updated on an annual basis?	91
Is the annual budget linked with the MTFF? By programmes, projects?	92

Are budgetary decisions carried out taking into account the results produced by the performance indicator-system of the NDP (s)?	93
Is the budget information available to the public through the Internet when the budget proposal is presented to Parliament?	94
Does the information on the budget made available to the public makes possible to identify budget allotments according to categories based on the objectives of the government?	95
Are financial statements of end of fiscal period available within six months following the date on which the audit is completed?	96
How else do you think the budgeting process is benefiting from the monitoring and evaluation results from the WoGM&ES?	97

II. METHODOLOGY

6. Selection of indicators	Is it clear what to monitor and evaluate?	98
	Is there a list of indicators?	99
	Are MPSAs indicators harmonised with the NDP indicators?	100
	Is there a process for setting outputs, targets, standards, outcomes, and indicators for the WoGM&ES?	101
	Is there a process for setting outputs, targets, standards, outcomes, and indicators in your province?	102
7. Quality of indicators	Are indicators SMART (specific, measurable, achievable, relevant, time-bound)?	103
	Are baselines and targets attached?	104
8. Disaggregation	Are indicators disaggregated by sex, region, socio-economic status?	105
9. Selection criteria	Are the criteria for the selection of indicators clear?	106
	And who selects?	107
10. Priority setting	Is the need acknowledged to set priorities and limit the number of indicators to be monitored?	108

11. Causality chain	Are different levels of indicators (input-output-outcome-impact) explicitly linked (programme theory)? (vertical logic)	109
12. Methodologies used	Is it clear how to monitor and evaluate?	110
	Are methodologies well identified and mutually integrated?	111
13. Data collection	Are sources of data collection clearly identified?	112
	Are indicators linked to sources of data collection? (horizontal logic)	113
	Is the WoGM&ES able to supply the data and analysis needed by users?	114
	In your view, is the WoG-M&E framework able to provide adequate resources & other capacities (finances, skills, etc) for M&E processes?	115
	What is the frequency or periodicity of data collection on particular issues (monthly/quarterly/annually)?	116
	What is the length of time between the reference period and the distribution and use of the data?	117
	Is this lag too long, thereby limiting the uses of the data for decision making?	118
	What level of data disaggregation is available (geographic, gender, socioeconomic status)?	119
	In your view, do processes and procedures in data compilation adhere to professional and ethical standards?	120
	Are systems in place to track poverty-related expenditures?	121
	What are the roles of central, sector, provincial and district governments in monitoring and evaluation of decentralized services?	122
	What sorts of data are collected by each actor (national, sector, provincial and district)?	123
	Are there multiple systems for monitoring and reporting at national, sector, provincial and district level?	124
	Are there incentives to distort the data?	125
	Are data relevant to the elaboration and monitoring of the NDP generally available?	126
	Are data deficient in particular areas - Where are the gaps?	127
	How are the data collection and computation activities of the WoGM&ES determined?	128

Are users and other experts and specialists consulted on issues, gaps, emerging needs, and priorities?	129
How are they consulted?	130
Do the outcomes of these consultations influence the process of data collection and compilation?	131
What are the main sources of the data: Administrative records? Budgets? Population censuses? Household surveys? Others?	132
Who is responsible for collecting, compiling/computing the data?	133
Is an agency, such as the national statistics institution, responsible for enforcing the standards?	134
Does the national statistics institution effectively play this role?	135
Is the data consistent internally and with other (external) data sets? (e.g. World Bank, UN, etc)	136
Are there processes in place to check the accuracy and reliability of the data?	137
When discrepancies are found, are they investigated?	138
How is the WoGM&ES linked to the development of budgetary and public expenditure management systems?	139
If accurate expenditure data are unavailable, are other techniques being used to monitor expenditure (such as public expenditure tracking surveys and public expenditure reviews)?	140
How are the data aggregated and analysed - Who performs these functions?	141
Are there multiple systems for monitoring and reporting at national, sector, provincial and district level?	142
Are these systems compatible or they are conflicting?	143
Does the WoG-M&E have necessary resources (dedicated staff, commissioned evaluations, and developed systems) to collect the data for the indicators?	144

III. ORGANISATION

a) Structure

14. Coordination and oversight	Is there an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the national level?	145
	It there capacity for coordination and oversight functions of the WoGM&ES?	146
	What is its location?	147

	Does the government/ministry have a political commitment to the WoGM&ES?	148
	Has there been explicit support at a high political level?	149
	Are there champions actively making the case for a common M&E system across the government?	150
	How are these champions promoting and supporting a stronger WoGM&ES for Zambia?	151
	Which agency leads on the design, coordination, and implementation of the WoGM&ES (for example, the ministry of finance, the ministry of planning, cabinet office, president, or vice president)?	152
	Is the choice of locus of leadership conducive to providing actors with incentives to participate in the M&E system (that is, close to the budget and planning processes)?	153
	Does the ministry effectively play leadership and coordination role?	154
15. Joint Sector Review	Do the JSRs cover accountability and learning needs for both substance and systemic issues?	155
	What is the place/linkage of the JSRs within the sector M&E system?	156
	Do the JSRs promote the reform agenda of the Paris Declaration?	157
16. Working groups	Which mechanisms, such as committees or working groups, have been established to facilitate coordination among stakeholders across Zambia's WoGM&ES?	158
	Is their composition stable?	159
	Are various stakeholders represented at an appropriate level to reflect and ensure their commitment to having a functional WoGM&ES?	160
	Is there a functioning secretariat for the M&E function in these working groups?	161
	Are their meetings organised in a way that supports coordination?	162
	Are the information flows adequate to support coordination?	163
	Is there a high-level body (line ministry, secretariat, etc) able to provide oversight and encourage compliance within government administration?	164
	How active is this body?	165

17. Ownership	Does the demand for strengthening of the WoG- M&E system come from the entire public sector, sector ministry, a central ministry (e.g. ministry of planning or finance) or from external actors (e.g. donors)? Etc?	166
	Is there a highly placed ‘champion’ at all levels of government who advocate for the (strengthening of the) M&E system?	167
18. Incentives	Are incentives (at central and local level) used to stimulate data collection and data use?	168
	Which incentives support or hamper effective monitoring and evaluation coordination in the WoGM&ES?	169
b) Linkages		
19. Linkage with statistical office	Is there a functioning national statistical system where various data producers may coordinate their activities, common standards and principles are issued, and so on?	170
	Is there a national statistics institution?	171
	Is there a linkage between the WoG-M&E and the statistical office?	172
	Is the role of the statistical office in the WoG-M&E clear?	173
	Or are there potential rivalries and conflicts between the two systems (WoGM&ES and the national statistical system)?	174
	Does the national statistics institution have the resources to fulfil its roles: Human, financial, technical, skills, etc?	175
	Does the government have a legal and operational framework for its statistical activities?	176
	Are there technical standards and guidelines with methodologies for all entities and units in charge of producing statistics within the statistical agency?	177
	Is the statistical data broad enough to measure all indicators related to the National Development Plans (NDPs)’s goals?	178
	What is the national statistical agency’s (CSO) capacity to analyse statistical data for forecasting purposes?	179
	Is the government taking into account performance indicators from the national statistical office/CSO for decision-making process?	180
	Any evidence?	181
	Are the data collection activities of the national statistical agency/institution, its technical platform, its standards, and its definitions coordinated with the other activities of the WoGM&ES?	182

Does the national statistical agency have a dedicated M&E unit which works as a link to the WoGM&ES?	183
In particular, how is the WoGM&ES linked to the M&E units and other arrangements in line ministries, provinces, districts and the national statistical institution?	184
Are there issues of incompatibility (differing definitions, systems, geographic coverage, and so on)?	185
Is there a national statistical master plan?	186
How well are the WoGM&ES and the national statistical system integrated?	187
Are there overlaps between the two systems? Any complementary role?	188
Is the WoGM&ES consistent with other plans and processes for the development of the statistical system?	189
What roles does the national statistics institution play in the WoGM&ES: A standards-setting, technical-assistance, or capacity building role?	190
How strong is this role?	191
Does the national statistics institution have the resources to fulfil its roles: Human, financial, technical, skills, etc?	192
Are the data collection activities of the national statistical agency/institution, its technical platform, its standards, and its definitions coordinated with the other activities of the WoGM&ES?	193
What is the capacity of the national statistical agency or the agency's M&E unit in terms of the number and qualifications of the staff? In terms of staff turnover?	194
Are M&E burdens excessive for the capacity of the national statistical agency or its M&E unit?	195
Does the government have a legal and operational framework for its statistical activities?	196
What are the legal mandates, the funding base, and the pool of skills for the national statistical office/CSO?	197
What is the national statistical agency's (CSO)' capacity to analyse statistical data for forecasting purposes?	198
Is the government taking into account performance indicators from the national statistical office/CSO for decision-making process?	199
Any evidence?	200
Are there M&E units in different sub-sectors and semi-governmental institutions?	201

20. ‘Horizontal’ integration	Do M&E units in different sub-sectors and semi-governmental institutions take the M&E liaison function seriously?	202
	Which incentives support or hamper effective coordination? (If any incentives)	203
	Is the requirement to monitor and evaluate inscribed in:	204
	• the budgets of MPSAs?	
	• within the organisational structures of MPSAs?	205
	• in the job descriptions issued by MPSAs?	206
	Is the institutional design of the M&E system too elaborate with respect to the capacities of MPSAs?	207
	Do MPSAs use information as a basis for their own planning and management?	208
	Do MPSAs have the capacity to produce such information?	209
	Do MPSAs have strategies to disseminate monitoring and evaluation information and outputs within their institutions?	210
	Are data quality and relevance an issue?	211
	Do MPSAs rely on the WoGM&ES?	212
	Are the timing and form of outputs produced by the WoG-M&E M&E system appropriate to the needs of MPSAs?	213
	How do liaisons with MPSAs and other agencies function in the WoGM&ES?	214
	Do MPSAs take the M&E liaison function seriously?	215
	Do MPSAs participate actively in the WoGM&ES?	216
	Is there any specific evidence of the use of data to inform poverty-related policy at MPSA level?	217
	Do MPSAs have the capacity to produce such information?	218
	Are data quality and relevance an issue?	219
	Do MPSAs rely on the WoGM&ES or on information produced by other agencies?	220
	Are the timing and form of outputs produced by the WoG-M&E M&E system appropriate to the needs of MPSAs?	221
	Do MPSAs communicate their needs to the WoGM&ES management?	222
	How is this done?	223
	Does the WoGM&ES embrace a strategy for disseminating monitoring and evaluation outputs on poverty to parliament?	224

	How is this done?	225
	Does the system provide for parliament as one of the users?	226
	Are the timing and form of outputs appropriate to the needs of parliament?	227
	How does parliament use the information provided by the WoGM&ES? E.g. is the information used in formal hearings among parliamentary committees? In other ways?	228
	Does parliament communicate its data needs informally or formally through legislation requiring particular information?	229
	Does parliament have the capacity to use monitoring and evaluation information effectively?	230
21. ‘Vertical’ upward integration	Are the MPSAs’ M&E arrangements/systems properly relayed to the central M&E agency M&E at MNDP?	231
	Are there a strategic sector plans (SSPs) approved and in execution?	232
	Are MPSA plans programme-based and structured with objectives and targets?	233
	Are MPSA plans consistent with the objectives and goals of the NDP and national Vision?	234
	How does the WoGM&ES relate between the central ministry and the M&E arrangements of line ministries?	235
	How do monitoring and evaluation liaisons with the central ministry (development planning) in the WoGM&ES organised/arranged/done?	236
	Or how do your MPSA’s M&E arrangements relate with those of the central ministry?	237
22. ‘Vertical’ downward integration	Are there M&E units at decentralised levels and are these properly relayed to the WoGM&ES/central institution?	238
	Where this might be relevant, are sector, provincial and local governments represented within the coordination mechanism of the WoGM&ES?	239
	Are local governments participating actively in the WoGM&ES?	240
	Do incentives support or hamper effective coordination? (If any incentives)	241
	Is the institutional design of the WoGM&ES too elaborate for the capacities of local governments?	242
	Is there evidence of a demand for monitoring and evaluation data and information among local governments and agencies?	243

What forms of data are being requested or would be relevant to local agencies and governments?	244
Does the WoGM&ES provide feedback and information flows to local governments and service providers?	245
What is the dissemination strategy?	246
Is such information used at the local level (such as for an incentive system to improve the performance of service providers)?	247
Are the timing and form of the outputs provided to local governments and agencies adapted to the needs of these entities?	248
23. Link with projects	
Is there any effort to relay with/coordinate with donor M&E mechanisms for projects and vertical funds in the sector?	249

IV. CAPACITY

24. Present/actual capacity	
What is the present capacity of the M&E structures across the WoGM&ES at each level of all MPSAs (e.g. skills, financial resources)?	250
What are the requirements and procedures for evaluating NDP programmes?	251
Are the data and information gathered through monitoring activities used to support evaluations?	252
To what extent are evaluations and reviews undertaken or commissioned in government?	253
What types of evaluations and reviews are carried out within the WoGM&ES? (Expenditure tracking surveys? Participatory monitoring and evaluation? Rapid reviews? Impact evaluations? Performance audits?)	254
How frequently are the evaluations and reviews performed?	255
What is the quality of the output?	256
Who are the main actors who undertake or commission the evaluations and reviews?	257
Are these evaluations and reviews undertaken on the actor's or agency's own initiative?	258
To what extent do MPSAs undertake or commission evaluations and reviews of their own performance?	259
Are evaluations and reviews that are commissioned by development partners the main source of this type of work in the country?	260

Are any of these evaluations and reviews conducted jointly with the government? If so, what is the level of government input?	261
Are evaluations and reviews commissioned by the government with demand or support from civil society groups such as universities and interdisciplinary research groups?	262
Does civil society provide policy advice to the government during these evaluations and reviews?	263
Are the findings of evaluations reported? To whom are they reported? (Parliament? Development partners?)	264
How are the findings reported or published?	265
Do any particular actors or agencies follow good evaluation practices?	266
Are specific budgetary resources allocated for NDP M&E/WoGM&ES? For central activities (such as the secretariat)? For the various components (for example, line ministries, universities, and so on)?	267
Are the resources sufficient, and is the funding predictable and sustainable?	268
Are development partners key funders for the WoG-M&E? What are their funding trends? How sustainable and predictable is their funding?	269
Are development partners supporting the overall WoGM&ES or only selected activities by certain actors?	270
Is the government providing guidance to development partners on supporting capacity development?	271
Are development partners funding technical assistance in the design and strengthening of the WoGM&ES?	272
Are skills being transferred to the country as a result of this assistance?	273
Are substantive capacity-building efforts in monitoring, analysis, and evaluation currently under way in the country?	274
Are they directly related to the WoGM&ES?	275
Are capacity building efforts at the national, sectoral, or project levels?	276
How sustainable are the capacity-building efforts and the ability to retain the capacity created over the medium to long term?	277
What is the potential for in-country universities and other training organizations to provide training in data collection, monitoring, analysis, and evaluation to various actors in the WoGM&ES?	278
What resources, including physical infrastructure, are available for the collection and compilation of M&E data?	279

To what extent is data gathering financed by external development partners? How sustainable and predictable are these funds?	280
Which agencies and units inside and outside government are responsible for analysing M&E information (ministry of finance, ministry of planning, local governments, local agencies, line ministries, the central bank, the national statistics institute, civil society, development partners, universities, research centres, and so on)?	281
What is their capacity?	282
How are these agencies and units funded?	283
Are the government agencies and units effectively mandated and resourced?	284
How reliable are the funding arrangements of the agencies and units?	285
How is the work programme of these agencies and units determined?	286
Is there a mechanism to define activities in light of the needs of the end users?	287
What is the quality of this work? Are the analysts considered objective?	288
Is the quality of the analysis limited by data constraints?	289
What is the level of the demand for the work of the analysts?	290
Are the analysts able to communicate their analyses effectively to end users in an appropriately adapted format?	291
What types of analyses (regular or one-off) have been effectively produced? Are these sufficient to fulfil the needs of system users?	292
What are the gaps in analysis?	293
Are households or other comprehensive socio-economic surveys regularly conducted (i.e. at least every 5 years)?	294
Do MPSAs' MIS capture data on stakeholder satisfaction and impact of service delivery?	295
Are there service delivery surveys that show trends in stakeholder satisfaction?	296
Do MPSAs and other institutions produce quarterly or annual reports that summarize achievements in terms of service delivery, scope, access, quality and client satisfaction?	297
Are overlaps in data collection by MPSAs and other institutions providing services avoided by interconnecting MIS?	298
Are the information systems available to the public through the Internet? Which ones are available online?	299

	Does the MPSA have the human capacities to analyse data collected on result achievement?	300
	To what extent does the MPSA administration have adequate tools, IT –software and hardware- in particular, to ensure monitoring and evaluation of public policies and use of factual data in decision-making?	301
	Is the institutional design of the M&E system too elaborate with respect to the capacities of your institution?	302
	Is there a department/section/unit responsible for monitoring and evaluation activities within the Ministry of Finance?	303
	What monitoring and evaluation arrangements exist in the Ministry of Finance?	304
	How are the Ministry of Finance monitoring and evaluation arrangements linked with the planning ministry?	305
	Do staff from the Ministry of Finance belong to monitoring and evaluation committees of MPSAs?	306
	What role do these staff play in these committees?	307
25. Problem acknowledged	Are current weaknesses in the WoGM&ES identified?	308
26. Capacity building plan	Is there an overall capacity-building programme or plan within government? (at national, line ministry, provincial and district level)	309
	Is there any capacity building plan/programme for the monitoring and evaluation skills in MPSAs?	310
	How elaborate is the plan/programme?	311
	Does the programme/plan identify needs and gaps?	312
	Is it clearly prioritized?	313
	Is it costed and funded?	314
	Are there plans/activities for remediation?	315
	Do these include training, appropriate salaries, etc.?	316

V. PARTICIPATION OF ACTORS OUTSIDE PARLIAMENT

27. Parliament	Is the role of Parliament properly recognised, and is there alignment with Parliamentary control and oversight procedures?	317
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Is the legislative branch/parliament involved in discussions about the NDP?	318
What kind of discussions or input does parliament provide to NDP process?	319
Are there participatory mechanisms in place to get information from parliament to formulate the NDP based on the needs of the citizens?	320
Are there information mechanisms in place to know which programmes of the NDP have received comments and observations from the parliament before, during and after implementation?	321
Is the parliament able to effectively monitor the executive branch of government at provincial level?	322
Does Parliament participate in Joint Sector Reviews and/ or working groups?	323
28. Civil Society	
Is the role of civil society recognised?	324
Are there clear procedures for the participation of civil society?	325
Is the participation institutionally arranged or rather ad hoc?	326
Does civil society participate in Joint Sector Reviews and/ or working groups of the WoGM&ES?	327
What about at national/sector/provincial and district level?	328
Are these civil society groups participating actively in the system?	329
Which incentives support or hamper effective coordination?	330
Is civil society represented in an appropriate manner?	331
Who selects the civil society representatives in working groups?	332
Have civil society organizations been adequately consulted about the roles they may wish to play in the WoGM&ES?	333
Are they able to fulfil these roles?	334
Are strong pressures exerted by civil society – the media, nongovernmental organizations, universities, interdisciplinary research entities, and so on – on government for information about the performance of government in reducing poverty?	335
Does the WoGM&ES have a strategy for disseminating monitoring and evaluation outputs to the general public?	336
Are the timing and form of the outputs appropriate to the needs of the various audiences among the public?	337
Is monitoring and evaluation information published widely in the media?	338

	Does civil society communicate its data needs formally to the WoGM&ES?	339
	Has civil society been able to provide meaningful inputs to formulating provincial plans?	340
29. Donors	Is the role of donors recognised?	341
	Are there clear procedures for participation of donors?	342
	Do donors participate in Joint Sector Reviews and/ or working groups?	343
	Are development partners providing incentives and other encouragement to government agencies to use WoGM&ES information?	344
	Are development partners using the WoGM&ES?	345
	Are development partners supporting or crowding out national accountability mechanisms?	346
	To what extent is the demand for monitoring and evaluation data from development Partners coordinated?	347
	To what extent is the demand from development partners uncoordinated?	348
	What is the resulting influence from the development partners on the functioning of the WoGM&ES and the related actors?	349
	Do the differing monitoring and evaluation requirements of development partners contribute to a sense of territoriality among government agencies and thereby discourage coordination?	350
	What are the monitoring and evaluation and reporting requirements of development partners?	351
	Are development partners using the WoGM&ES for their own monitoring and reporting needs?	352
	What other mechanisms are they using (other project and programme monitoring systems, internal systems, and so on)?	353
	Does the demand for monitoring and evaluation information by development partners influence the WoGM&ES in producing data and information?	354
	Have development partners coordinated their monitoring and evaluation requirements?	355
	Are donor priorities derived from government planning processes?	356
	Are there any formal government-led mechanisms at MPSA level for donor-to-donor coordination?	
	Are donors aligned to government reporting procedures?	357

VI. USE OF INFORMATION FROM M&E

30. M&E Outputs	Is there a presentation of relevant M&E results?	358
	Are results compared to targets?	359
	Is there an analysis of discrepancies?	360
	Is the M&E output differentiated to different audiences?	361
	Is there a catalogue of outputs for the WoGM&ES?	362
	Does it include all the data and analytical products?	363
	Is it widely available and updated regularly?	364
	Is there a calendar schedule of outputs?	365
	Is the calendar schedule of outputs advertised?	366
	Are outputs simultaneously released to all interested parties?	367
	Do all users have equal access?	368
	Are the sources, methods, and procedures related to the production of outputs published and available to all users?	369
	Are the products available in various formats for users who have different levels of familiarity with and literacy in the topics covered, different needs in terms of the depth of information, and so on?	370
	Is there a dissemination strategy or a communication strategy?	371
	Are selected actors in the WoGM&ES in charge of these activities?	372
	Do systems exist to maintain and disseminate information? Are they user-friendly?	373
	To what degree is factual information from monitoring & evaluation used to improve the administration for better development results in your province?	374
	Is the performance information supplied to users accurate?	375
	Is the performance information supplied to users up-to-date?	376
	Are there strategic review meetings in your MPSA?	377
	What is discussed with regard to the achievement of results?	378
	Are donors using the outputs of the WoGM&ES for their information needs?	379

31. Effective use of M&E by donors	Is the demand for M&E data from donors coordinated?	380
32. Effective use of M&E at central level	Are results of M&E activities used for internal purposes?	381
	Is it an instrument of policy-making and policy-influencing and advocacy at central level?	382
33. Effective use of M&E at local level	Are results of M&E activities used for internal purposes?	383
	Is it an instrument of policy-making and policy-influencing and advocacy at local level?	384
34. Effective use of M&E by actors outside government	Are results of M&E used as an instrument to hold government accountable?	385

Appendix G: 2005 Holvoet and Renard assessment checklist for M&E at national level

No.	Topic	Question
I. Policy		
1	The evaluation plan	Is there a comprehensive evaluation plan, indicating what to evaluate, why, how, for whom?
2	M versus E	Is difference and relationship between M and E clearly spelled out?
3	Autonomy and impartiality (accountability)	Is the need for autonomy and impartiality explicitly mentioned? Does the M&E plan allow for tough issues to be analysed? Is there an independent budget?
4	Feedback	Is there an explicit and consistent approach to reporting, dissemination, integration?
5	Alignment planning and budgeting	Is there integration of M&E results in planning and budgeting?
II. Methodology		
6	Selection of indicators	Is it clear what to monitor and evaluate? Is there a list of indicators?
7	Selection criteria	Are the criteria for the selection of indicators clear? And who selects?
8	Priority setting	Is the need acknowledged to set priorities and limit the number of indicators to be monitored?
9	Causality chain	Are different levels of indicators (input-output-outcome-impact) explicitly linked (programme theory)? (vertical logic)
10	Methodologies used	Is it clear how to monitor and evaluate? Are methodologies well identified and mutually integrated?
11	Data collection	Are sources of data collection clearly identified? Are indicators linked to sources of data collection? (horizontal logic)
III. Organization		
12	Coordination & oversight	Is there an appropriate institutional structure for coordination, support, central oversight, and feedback? With different stakeholders?
13	Statistical Office	Are surveys, censuses etc streamlined into M&E needs? Is the role of the statistical office in M&E clear?
14	Line Ministries	Are there M&E units in line ministries and semi-governmental institutions (parastatals), and are these properly relayed to central unit?
15	Decentralised levels	Are there M&E units at decentralised levels and are these properly relayed to central unit?
16	Link with projects	Is there any effort to relay with/coordinate with donor M&E mechanisms for projects?
IV. Capacity		
17	Problem acknowledged	Are current weaknesses in the system identified?
18	Capacity building plan	Are there plans for remediation? Do these include training, appropriate salaries, etc.
I. Participation of actors outside government		
19	Parliament	Is the role of Parliament properly recognised, and is there alignment with Parliamentary control and oversight procedures?
20	Civil Society	Is the role of civil society recognised? Are there clear procedures for the participation of civil society? Is the participation institutionally arranged or rather ad-hoc?
21	Donors	Is the role of donors recognised? Are there clear procedures for participation of donors?
VI. Quality (on the basis of Annual Progress Reports)		
22	Effective use of M&E in APR	Is there a presentation of relevant M&E results? Are results compared to targets? Is there an analysis of discrepancies?
23	Internal usage of APR	Is the APR also used for internal purposes? Is it an instrument of national policy-making and/or policy influencing and advocacy?

Appendix I: Ethical Clearance

ETHICAL CLEARANCE FOR VINCENT KANYAMUNA – STUDENT No. 37431889

SUMMARY SHEET FOR THE ETHICAL CLEARANCE OF POSTGRADUATE STUDENT PROPOSALS FOR THESES/DISSERTATIONS

**Please note: This suggested summary sheet IS NOT a replacement for the proposal formats as developed and suggested to candidates in each Department. Candidates should, in addition to this form, complete the proposals as suggested by the Departments in which they are enrolled.*

The Higher Degrees Committees in Departments in the College of Human Sciences are reminded that they should make their students aware of the policy for research ethics of UNISA available at: http://cm.unisa.ac.za/contents/departments/res_policies/docs/ResearchEthicsPolicy_apprvCounc_21Sept07.pdf

In judging postgraduate student proposals, Higher Degree Committees should comment on the methodological, technical and ethical soundness of the proposal and ask students to complete the following summary sheets. Difficult or special cases should be referred to the Ethics Review Committee of the College of Human Sciences.

A CANDIDATURE DETAILS

A1 FULL NAME OF CANDIDATE

Vincent Kanyamuna

A2 ACADEMIC AND PROFESSIONAL QUALIFICATIONS

Master of Science (MSc) in Development Evaluation and Management (University of Antwerp (IOB), Belgium, 2013)

Honours Bachelor of Arts in Development Studies (University of South Africa, South Africa, 2008)

Bachelor of Arts in Development Studies (University of Zambia, Zambia, 2005)

A3 THESIS/DISSERTATION TITLE

Examining Zambia's Whole-of-Government Monitoring and Evaluation System in the context of National Development Plans

A4 PERSONAL PARTICULARS

(a) student number:	37431889
(b) current address:	Ridgeway Post Office P.O. Box 50519 Lusaka, Zambia
(c) e-mail:	vinkanyamuna@gmail.com
(d) telephone number(s)	+260 969 962665

A5 PROMOTER(S)/SUPERVISOR(S)

(a) Initials & surname:	DA Kotze
(b) Contact details:	Tel: +27 12 429 6592 /6813 Fax: +27 12 429 3646 Mobile: +27 82 882 5314 E-mail: kotzed@unisa.ac.za
(c) Department:	Development Studies
(a) Initials & surname:	
(b) Contact details:	
(c) Department:	

B PROPOSAL SUMMARY SHEET**B1 ABSTRACT OF THE PROPOSAL** (*Each department should suggest a word count for this*)

In pursuit of good governance practices and better management of public resources and affairs, many governments if not all around the world have embarked on strengthening their monitoring and evaluation (M&E) functions. As observed by Segone (2009:169):

“Country-led systems of M&E are a concept whose time has come. A growing number of developing and transition countries and most if not all developed countries are devoting considerable attention and effort to their national M&E systems. Many do not label it as such – it may be called evidence-based policy-making, performance-based budgeting, or results-based management, for example – but at the core is an evidentiary system for public sector management that relies on the regular collection of monitoring information and the regular conduct of evaluations”.

The main objective of this research study is to examine Zambia's Whole-of-Government Monitoring and Evaluation System, to identify gaps and suggest salient improvements in building and sustaining stronger monitoring and evaluation arrangements for the Government of the Republic of Zambia. The study is premised on the recognition that despite a lot of public sector reforms undertaken by the Government so far to strengthen Zambia's public sector management and especially the M&E arrangements, more work remains to be done to make Zambia's country level M&E system functional to meet the desired expectations of various stakeholders.

B2 RESEARCH OBJECTIVES (*as stated in the full proposal see * on page 1*)***Primary Objective***

- To examine Zambia's public sector M&E arrangements in the context of National Development Plans in order to bring about a strengthened Whole-of-Government M&E system.

Secondary Objectives

1. To apply the Theory of Change to justify the theoretical significance of Zambia's Whole-of-Government M&E system for better public-sector management
2. To present Zambia as a case study in terms of the Whole-of-Government M&E system
3. To find out gaps inhibiting the building of a stronger Whole-of-Government M&E system for Zambia's public sector
4. To identify salient elements that are necessary for building a stronger and enhanced Whole-of-Government M&E system for the Zambian public sector
5. To design a Public Sector-Wide M&E Policy and Practice Coordination Model that shall contribute to an improved Whole-of-Government M&E system for Zambia
6. To make recommendations for the monitoring and evaluation practice in Zambia and for future research prospects

B3 RESEARCH DESIGN (*as stated in the full proposal see * on page 1*)

The chosen research design

The primary objective of this research study is to examine Zambia's monitoring and evaluation arrangements in the context of National Development Plans in order to ascertain ways of strengthening the Whole-of-Government M&E system. To achieve this broader goal, the research design will be broad-based to take on board various elements that shall be deemed key to answering the primary as well as stated secondary objectives. To fulfil that aspiration, the research design shall be both investigatory and descriptive in nature. This means the qualitative approach shall guide the overall data collection, analysis, interpretation and recommendations.

Specifically, a two-tier research approach to data collection and analysis will be adopted. On one hand, a desk-based research will be used to consult literature (secondary research) on the topic and subject matter of monitoring and evaluation while on the other hand, the study shall use field-based research (primary research) for hands-on information. In terms of design and methodology, the study will fundamentally take the qualitative approach to guide the entire work. However and whenever necessary, quantitative techniques and tools shall be employed to complement the qualitative aspects in order to obtain valuable data for analysis, drawing of conclusions and recommendations.

Further, the sources of data for the study are already defined. Essentially, key government policy documents such as the National Development Plans (NDPs), NDP Annual Progress Reports (APRs), Sector, Provincial and District Strategic Plans, Vision 2030 and various management reports and policies shall be used in the study. In addition, the research shall make use of M&E related literature from various international development organisations such as the World Bank, OECD/DAC, IMF and other multilateral and bilateral agencies. Equally, some scholarly books, journals, articles and research papers will also be consulted to enrich the discussion, analysis and drawing of conclusions and recommendations for bettering Zambia's Whole-of-Government M&E system.

With regard to primary data collection, the research will benefit from various interviews and interactions with government workers particularly those charged with responsibilities of planning, monitoring and evaluation. These public officers shall form an important cadre of key informants and shall be drawn from institutions of influence with regard to matters of M&E. Such institutions as the Ministry of National Development Planning, Ministry of Finance and other line ministries as well as Parliament, among others.

Therefore, accessibility to the research units of analysis will be feasible because the candidate is resident in Zambia and working for the Zambian Public Service. In terms of methodology, and as alluded to earlier that the study shall use a mixed approach, whereby, both qualitative and quantitative research techniques. Notwithstanding, the qualitative approach and techniques will be employed more than the quantitative ones. This is because of the nature of the study which requires more interaction and engagement with the subjects of research.

B4 HOW SHOULD THIS STUDY BE CHARACTERISED? (Please tick all appropriate boxes.)

Personal: social and other relevant information collected directly from participants	<input checked="" type="checkbox"/> Yes	No <input type="checkbox"/>
Participants to undergo physical examination ^a	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Participants to undergo psychometric testing ^b	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
Identifiable information to be collected about people from available records (e.g. medical records, staff records, student records, etc.)	<input checked="" type="checkbox"/> Yes	No <input type="checkbox"/>
Other (Please specify) (<i>Each department should tailor this to suit their student's needs</i>)		

a For medical or related procedures, please submit an application to a medical ethics committee.

b Please add details on copyright issues related to standardized psychometric tests

B5 WHAT IS THE AGE RANGE OF THE INTENDED PARTICIPANTS IN THIS STUDY?

25 to 65 years

Not applicable

Reason:

B5.1 If the proposed participants are 18 years and older, is the informed consent form for participants attached?

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	Not applicable
<input checked="" type="checkbox"/>		

B.5.2 If the proposed participants are younger than 18 years, are consent and assent forms attached? (In order for minors -younger than 18 years of age- to participate in a research study, parental or guardian permission must be obtained. For minors a youth assent form is required.)

<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input checked="" type="checkbox"/> Not applicable
<input type="checkbox"/>		<input checked="" type="checkbox"/>

B 5.3 Do the intended research participants fall under the category “vulnerable participants” as described on page 1 and especially page 15, paragraph 3.10 of the Policy on Research Ethics of UNISA?

Yes	Please provide details and outline steps to protect such vulnerable groups:
<input checked="" type="checkbox"/> No <input type="checkbox"/> X	Go to B 5.4

B5.4 Does the proposed study involve collaborative, multi-institutional or multi-country research? (Please see paragraph 6 of the Policy on Research Ethics of UNISA and make sure that the principal researcher complies with the stipulations of the policy)

Research in 1 country only	Please state country: ZAMBIA
Research in more than 1 country	Please state countries:
Research to be conducted in 1 institution^c	Details:
Research is multi-institutional^c	Please give details: the research is going to be conducted within the confinements of the Government of the Republic of Zambia, the public sector to be specific and selected non-state actors. Since M&E arrangements in the Government context are distinctly a function of clearly established institutions or structures at national, line ministry (sector), provincial, and district levels, the study will focus on those levels.

c. In certain cases, consent is required from the **institutions** where the research will be undertaken (such as a hospital, clinic or school) and the relevant national, provincial and local **health or educational authorities**. In some of these cases, however, ethical clearance via the appropriate structure in UNISA is a pre-requisite for these institutions and/or authorities prior to considering the student's request for access to the research site. Departments should accordingly guide their candidates on the preferred arrangements.

B5.5 Description of the process for obtaining informed consent (if applicable)

A number of data gathering instruments shall be employed in this study. Particularly, structured and unstructured in-depth and semi-structured interviews shall be used to collect information from respondents. In addition, Focus Group Discussions (FGDs) shall also be used to help bring together those officers responsible for the function of planning, monitoring and evaluation to discuss issues of M&E in government. Therefore, in order to be able to carry out these interviews thoroughly with relevant respondents, appropriated questionnaires and interview guides with open and close ended questions shall be developed as tools of data gathering and synthesis. In that regard and as when necessary/demanded upon, consent shall be sought procedurally according to institutions' preferences and UNISA guidelines.

Not applicable. Reason:

B6. DESCRIPTION OF THE RISKS POSED BY THE PROPOSED STUDY WHICH RESEARCH PARTICIPANTS MAY/WILL SUFFER AS WELL AS THE LEVEL OF RISK (IF APPLICABLE) (Please consider any discomfort, pain/physical or psychological problems/side-effects, persecution, stigmatisation or negative labelling. Again, Departments should guide their students on the dimensions of harm and the possibilities for debriefing, counselling and harm reduction. See also B9 below.)

NOT APPLICABLE

B7. DESCRIPTION AND/OR AMOUNTS OF COMPENSATION INCLUDING REIMBURSEMENTS, GIFTS OR SERVICES TO BE PROVIDED TO PARTICIPANTS (IF APPLICABLE) (Will the participants incur financial costs by participating in this study? Will incentives be given to the participants for participation in this study?)

Participants are expected not to incur any costs. However, refreshments shall be provided by the researcher/candidate mainly during Focus Group Discussions and in some cases during in-depth open ended interviews.

B8. DESCRIPTION FOR ARRANGEMENT FOR INDEMNITY (IF APPLICABLE)

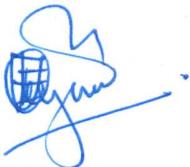
NOT APPLICABLE

**B9. DESCRIPTION OF STEPS TO BE UNDERTAKEN IN CASE OF ADVERSE EVENTS
OR WHEN INJURY OR HARM IS EXPERIENCED BY THE PARTICIPANTS
ATTRIBUTABLE TO THEIR PARTICIPATION IN THE STUDY. (IF APPLICABLE)**

NOT APPLICABLE

C: CANDIDATE'S STATEMENT AGREEING TO COMPLY WITH ETHICAL PRINCIPLES SET OUT IN UNISA POLICY ON RESEARCH ETHICS

I ...**Vincent Kanyamuna**..... (Full names of student) declare that I have read the Policy for Research Ethics of UNISA and that the contents of this form are a true and accurate reflection of the methodological and ethical implications of my proposed study. I shall carry out the study in strict accordance with the approved proposal and the ethics policy of UNISA. I shall maintain the confidentiality of all data collected from or about research participants, and maintain security procedures for the protection of privacy. I shall record the way in which the ethical guidelines as suggested in the proposal has been implemented in my research. I shall work in close collaboration with my promoter(s)/supervisor(s) and shall notify my promoter(s)/supervisor(s) in writing immediately if any change to the study is proposed. I undertake to notify the Higher Degrees Committee of the Department of ...DEVELOPMENT STUDIES....in the College of Human Sciences in writing immediately if any adverse event occurs or when injury or harm is experienced by the participants attributable to their participation in the study. I have taken note of paragraph 5 of the Policy for Research Ethics in which integrity in research is detailed and have read and understood UNISA's Policy for Copyright Infringement and Plagiarism (see http://cm.unisa.ac.za/contents/departments/tuition_policies/docs/copyrightinfringement_and_plagiarism_policy_16nov05.pdf)



..... (Signature)

..... **11/11/2016** (Date)

**D: OBSERVATIONS BY THE HIGHER DEGREES COMMITTEE OF THE
DEPARTMENT OF DEVELOPMENT STUDIES IN THE COLLEGE OF HUMAN
SCIENCES**

D1. Is the proposal of an acceptable standard?

YES

NO, IT SHOULD BE REFERRED BACK TO THE CANDIDATE

COMMENTS:

D2 Are all reasonable guarantees and safeguards for the ethics of this study covered?

YES

NO, IT SHOULD BE REFERRED BACK TO THE RESEARCHER

COMMENTS:

We have reviewed this completed Summary Sheet and are satisfied that it meets the methodological, technical and ethical standards as set in the Department ofin the College of Human Sciences and that it is in compliance with the UNISA policy on research ethics.

Signed:	
Name:	
Date:	

Appendix I: Letter of introduction from supervisor

Department of Development Studies
University of South Africa
P.O Box 392
Unisa
0003
PRETORIA

To whom it may concern,

REQUEST FOR PERMISSION TO UNDERTAKE DOCTORATE (PHD) RESEARCH IN YOUR ORGANISATION BY MR. VINCENT KANYAMUNA (UNISA STUDENT NUMBER. 37431889)

I wish to introduce Mr. Vincent Kanyamuna as our Doctor of Philosophy (PhD) student in the Department of Development Studies, School of Human Sciences at the University of South Africa (UNISA). Mr. Kanyamuna is currently pursuing his PhD studies in the field of Development Studies with a specialisation in 'Monitoring and Evaluation' (M&E). His approved research topic is: *Analysis of Zambia's Whole-of-Government Monitoring and Evaluation System in the context of National Development Plans*. Further, I am pleased to inform you that Mr. Kanyamuna is now in his final year of his studies and is currently undertaking his field research, which is a fundamental requirement for the completion of his degree programme.

Mr. Kanyamuna has since selected your organisation to be part of his sample where information for his topic has to be collected. In some instances, he will need to undertake face-to-face interviews while in others, questionnaires will be administered to your members of staff. It is for that reason therefore, that I write to ask you to allow Mr. Kanyamuna to undertake his research in your esteemed organisation. In addition, it is important for you to know that the research proposal for Mr. Kanyamuna has already been approved and given ethical clearance by the **UNISA Policy on Research Ethics** through the **Ethics Review Committee**. To that extent, high research ethical and confidential standards shall be adhered to at all cost. It is my sincere hope that you will accord him the needed support to accomplish his research tasks in your institution.

Please see attached Ethical Clearance certificate as well as Ethical Declaration by Mr Kanyamuna.

You are welcome to contact me, should you need any clarification or confirmation.

Yours sincerely,

Prof DA Kotzé
Doctoral Supervisor
Department of Development Studies, UNISA
Email: kotzeda@unisa.ac.za
Mobile: +27 828825314 Office: +27 12 429 6813

Appendix J: Letter of introduction for field research from candidate

TO WHOM IT MAY CONCERN,

REQUEST FOR PERMISSION TO UNDERTAKE INTERVIEWS WITH OFFICIALS IN YOUR ORGANISATION AS PART OF MY DOCTORATE (PHD) RESEARCH STUDY

I am currently a doctoral student registered with the University of South Africa (UNISA) and supervised by Professor Derica Kotze (**contact details:** +27 12 429 6592; kotzed@unisa.ac.za). My topic is: “*Analysis of Zambia’s Whole-of-Government Monitoring and Evaluation System in the context of National Development Studies*”.

The purpose of this doctoral research study is to analyse Zambia’s public sector M&E arrangements in the context of National Development Plans in order to bring about a strengthened results-based Whole-of-Government Monitoring and Evaluation system (WoGM&ES). The study seeks to achieve this objective by interrogating the holistic functionality of the WoG-M&E system at national, line ministry, provincial and district levels. In that regard, the research aims to find out gaps inhibiting the building and sustaining of a stronger results-focused WoG- M&E system for Zambia’s public sector. The study findings will be used to suggest improvements and indeed recommend the development of a public sector-wide M&E Policy and Practice Coordination Framework towards a result-based WoGM&ES for Zambia.

I have selected your institution for my research study because of the following:

- The role of coordinating the planning, budgeting, implementation, monitoring and evaluation as well as reporting for your institution is placed under your mandate
- Your role stands out in the institution as that of ‘overseer’ and mediatory in terms of activities regarding monitoring and evaluation of programmes, projects and policies
- You are expected to play a liaison role for monitoring and evaluation activities for your institution
- The leadership, championship and advocacy for monitoring and evaluation practice are largely situated in your jurisdiction
- You are responsible for reporting and disseminating performance information for your organisation,
- You are well vested in knowing possible challenges facing your institution regarding the processes of planning, budgeting, implementation, monitoring and evaluation and reporting
- Your organisation plays a fundamental role in providing checks and balances to government’s good governance and accountability agenda, and
- Your organisation provides technical and financial support to good governance programmes for the public sector.

For the above reasons, my research seeks to understand in some detail issues surrounding the M&E arrangements and indeed how they function. To make this feasible, I would appreciate if you could avail me a number of your officers (Note: the number to be dependent on which institutional level) whom I could conduct interviews with or administer a questionnaire to. Depending on the need, focus group discussions (FGDs), individual semi-structured interviews, and questionnaire administration will be required. Therefore, depending on the type of interaction, minimal time shall be spent, ranging from 30 minutes to 1 hour 30 minutes. Further, I would also like to hear from you as the leader of the institution your own views about monitoring and evaluation arrangements in your organisation.

The final thesis and research results will be available and accessible to all participants as well as the public. Should it be required, I will give a presentation on the research project to your institution. It will be interesting to particularly appreciate the final results of the research and have a discussion around them to see how your institution fit within the specific and general contexts of the WoGM&ES for Zambia’s public sector.

Further, I wish to inform you that my research study has already been approved and given ethical clearance by the UNISA Policy on Research Ethics through the Ethics Review Committee. To that extent, high research ethical and confidential standards are being adhered to at all cost. Therefore, research respondents will have rights to confidentiality and consent to the research questions.

I look forward to hearing from you on my request to undertake research tasks in your institution.

For further clarifications, I could be contacted at Ridgeway Post Office, P.O. Box 50519, Lusaka, Zambia;
Cell: +260 969 962665 or vinkanyamuna@gmail.com

Yours sincerely,



Vincent Kanyamuna
Doctoral Candidate

Appendix K: Letter of introduction from Ministry of National Development Planning

March, 2018

To Permanent Secretaries and Heads of Public Institutions
Ministries, Provinces and other Spending Agencies
Government of the Republic of Zambia

Dear Sir/Madam,

INTRODUCTION OF MR. VINCENT KANYAMUNA, DOCTORATE (PhD) CANDIDATE AT THE UNIVERSITY OF SOUTH AFRICA UNDERTAKING HIS FIELD RESEARCH

The subject above refers. Mr. Vincent Kanyamuna is pursuing his doctorate studies with the University of South Africa (UNISA) under the research titled '**Analysis of Zambia's whole-of-government monitoring and evaluation system in the context of national development plans**'. The research mainly concerns collecting data and information from institutions across government structures – national, sectors, provinces, districts and other spending agencies. As a ministry responsible for coordinating national level planning, implementation, monitoring, evaluation and reporting of national development plans, Mr. Kanyamuna has requested for a letter of recommendation to gain access to government structures mandated with planning, budgeting, monitoring, evaluation and other public accountability responsibilities and functions. In that regard, I write to seek your permission in respect of Mr. Kanyamuna's request that you allow him conduct his research in your institution. As you may appreciate his study topic, government will seemingly benefit a great deal from the findings and recommendations of the research by Mr. Kanyamuna.

Again, I wish to implore you to fully support Mr. Kanyamuna in any way possible to conduct his research tasks in your organisation. Should there be any further need for clarification, please, contact me.

Chola J. Chabala
Permanent Secretary – Development Planning and Administration
MINISTRY OF NATIONAL DEVELOPMENT PLANNING

Appendix L: LEADS scoring method for the assessment of government M&E systems

No.	Topics	Question	Scores				
			1	2	3	4	5
Key area/Component 1: Policy							
1	M&E plan	Is there a comprehensive M&E plan, indicating what to evaluate, why, how, for whom?	<ul style="list-style-type: none"> - No (sections of) M&E plan exist(s). 	<ul style="list-style-type: none"> - Only sections of an M&E plan exist, only partly indicating what to evaluate, why, how, for whom. 	<ul style="list-style-type: none"> - Different documents describing (parts of) an M&E plan exist, as a result of which it is clear what to evaluate, why, how and for whom. <p>or</p> <ul style="list-style-type: none"> - An M&E plan exists, but not comprehensive, only partly indicating what to evaluate, why, how, for whom (less than three of the four elements). 	<ul style="list-style-type: none"> - There is a comprehensive M&E plan, but it does not completely indicate what to evaluate, why, how, for whom (three of the four elements). 	<ul style="list-style-type: none"> - A comprehensive M&E plan exists, indicating what to evaluate, why, how, for whom.
2	M versus E	Is the difference and the relationship between M and E clearly spelled out?	<ul style="list-style-type: none"> - The difference and relationship between M and E are not spelled out. - 'M&E' is used for both M and E related activities. 	<ul style="list-style-type: none"> - The difference and relationship between M and E are not spelled out. - The two terms are separately used for M and E related activities. <p>or</p> <ul style="list-style-type: none"> - The difference and/or relationship between M and E are spelled out. - 'M&E' is used for both M and E related activities. 	<ul style="list-style-type: none"> - The difference between M and E is clearly spelled out, but the relationship is not. - The two terms are separately used for M and E related activities. 	<ul style="list-style-type: none"> - The difference between M and E is clearly spelled out, the relationship among M and E is also described but not clearly. - The two terms are separately used for M and E related activities. 	<ul style="list-style-type: none"> - The difference and the relationship between M and E are clearly spelled out. - The two terms are separately used for M and E related activities.
3	Autonomy & impartiality (accountability)	Is the need for autonomy and impartiality explicitly mentioned? Does the M&E plan	<ul style="list-style-type: none"> - The need for autonomy and impartiality is not explicitly mentioned. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is mentioned, but not explicitly. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan does not allow for tough issues to be analysed. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. 	<ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned.

No.	Topics	Question	Scores				
			1	2	3	4	5
		allow for tough issues to be analysed? Is there an independent budget?	<ul style="list-style-type: none"> - The M&E plan does not allow tough issues to be analysed. - There is no independent budget. 	<ul style="list-style-type: none"> - The M&E plan does not allow for tough issues to be analysed. - There is an independent budget. <p>or</p> <ul style="list-style-type: none"> - The need for autonomy and impartiality is mentioned, but not explicitly. - The M&E plan allows for tough issues to be analysed. - There is no independent budget. 	<ul style="list-style-type: none"> - There is an independent budget. <p>or</p> <ul style="list-style-type: none"> - The need for autonomy and impartiality is explicitly mentioned. - The M&E plan allows for tough issues to be analysed. - There is no independent budget. 	<ul style="list-style-type: none"> - The M&E plan allows for tough issues to be analysed. - There is an independent budget, but it is very limited (less than 1%). 	<ul style="list-style-type: none"> - The M&E plan allows for tough issues to be analysed. - There is an independent budget.
4	Feedback	Is there an explicit and consistent approach to reporting, dissemination, integration?	<ul style="list-style-type: none"> - There is no explicit and consistent approach to reporting, dissemination, integration. 	<ul style="list-style-type: none"> - References are made to reporting, dissemination and / or integration, but there is no explicit and consistent approach. 	<ul style="list-style-type: none"> - There is an approach to reporting, dissemination, integration, but it is not explicit and consistent. 	<ul style="list-style-type: none"> - There is an explicit approach to reporting, dissemination, integration, but it is not completely consistent. 	<ul style="list-style-type: none"> - There is an explicit and consistent approach to reporting, dissemination, integration, but it is not completely consistent.
5	Alignment of M&E with planning & budgeting	Is there integration of M&E results in planning and budgeting?	<ul style="list-style-type: none"> - There is no integration of M&E results in planning and budgeting. 	<ul style="list-style-type: none"> - There is an integration of M&E results in planning and budgeting, but it is limited and rather ad hoc. 	<ul style="list-style-type: none"> - There is an integration of M&E results in planning and budgeting, but rather ad hoc. 	<ul style="list-style-type: none"> - There is a more systematic integration of M&E results in planning and budgeting, but linkages between M&E, planning and budgeting are not yet institutionalised. 	<ul style="list-style-type: none"> - M&E results are systematically integrated in planning and budgeting and institutionalised linkages exist among M&E,

No.	Topics	Question	Scores				
			1	2	3	4	5
							planning and budgeting.

Key area/ Component 2: Indicators, data collection and methodology							
6	Selection of indicators	Is it clear what to monitor and evaluate? Is there a list of indicators? Are sector indicators harmonised with the NDP indicators?	- No list of indicators is available.	- Different lists of indicators circulate. - Indicators are not harmonised with the PRSP indicators.	- A list of indicators is available, but changing regularly. - Indicators are not harmonised with the PRSP indicators.	- A list of indicators is available, but changing regularly. - Indicators are harmonised with the PRSP indicators. or - A list of indicators is available and does not change yearly. - Indicators are not harmonised with the PRSP indicators.	- A list of indicators is available and does not change yearly. - Indicators are harmonised with the PRSP indicators.
7	Quality of indicators	Are indicators SMART (specific, measurable, achievable, relevant, time-bound)? Are baselines and targets attached?	- Indicators are not SMART. - Baselines and targets are not attached (or only baselines or targets).	- (Most of the) indicators are not SMART. - Baselines or targets are attached. or - (Most of the) indicators are SMART. - Baselines or targets are not attached (to all indicators).	- (Most of the) indicators are SMART. - Baselines and targets are attached, but not to all indicators.	- Most of the indicators are SMART. - Baselines and targets are attached.	- All indicators are SMART - Baselines and targets are attached.
8	Disaggregation	Are indicators disaggregated by sex, region, socio-economic status?	- None of the indicators are disaggregated	- Some indicators are disaggregated by sex, region, socio-economic status, but not in annual progress reports.	- Some indicators are disaggregated by sex, region, socio-economic status, also in annual progress reports.	- Indicators are disaggregated by sex, region, socio-economic status, but not (all of them) in annual progress reports.	- Indicators are disaggregated by sex, region, socio-economic status, also in annual

No.	Topics	Question	Scores				
			1	2	3	4	5
9	Selection criteria	Are the criteria for the selection of indicators clear? And who selects?	<ul style="list-style-type: none"> - Selection criteria are not clear. - It is not clear who was involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are not clear. - It is clear who is involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is not clear who is involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is clear who is involved in the selection process. - Not all relevant data collectors and users are involved in the selection process. 	<ul style="list-style-type: none"> - The criteria for selection are clear. - It is clear who is involved in the selection process. - Relevant data collectors and users are involved in the selection process.
10	Priority setting	Is the need acknowledged to set priorities and limit the number of indicators to be monitored?	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is not acknowledged. - The number of indicators is not limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is acknowledged. - The number of indicators is limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is not acknowledged. - The number of indicators is limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is partly acknowledged. - The number of indicators is limited. 	<ul style="list-style-type: none"> - The need to set priorities and limit the number of indicators to be monitored is acknowledged. - The number of indicators is limited.
11	Causality chain	Are different levels of indicators (input-output-outcome-impact) explicitly linked (program theory)? (vertical logic)	<ul style="list-style-type: none"> - Different levels of indicators are not specified 	<ul style="list-style-type: none"> - Different levels of indicators are specified, but these are not linked. 	<ul style="list-style-type: none"> - Different levels of indicators are specified and linked, but not explicitly. 	<ul style="list-style-type: none"> - Different levels of indicators are explicitly linked, but not for all indicators. 	<ul style="list-style-type: none"> - Different levels of (all) indicators are explicitly linked.

No.	Topics	Question	Scores				
			1	2	3	4	5
12	Methodologies used	Is it clear how to monitor and evaluate? Are methodologies well identified and mutually integrated?	<ul style="list-style-type: none"> - Methodologies are not identified - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Some methodologies are identified. - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Methodologies are well identified - Methodologies are not mutually integrated. 	<ul style="list-style-type: none"> - Methodologies are well identified. - Methodologies are mutually integrated, but not satisfactorily. 	<ul style="list-style-type: none"> - Methodologies are well identified. - Methodologies are mutually integrated and integration is satisfactorily.
13	Data collection	Are sources of data collection clearly identified? Are indicators linked to sources of data collection? (horizontal logic)	<ul style="list-style-type: none"> - Sources of data are clearly identified. - Indicators are not linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - Some indicators are linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified - Indicators are not linked to sources of data collection 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - Some indicators are linked to sources of data collection. 	<ul style="list-style-type: none"> - Sources of data are clearly identified. - All indicators are linked to sources of data collection.

Key area/ Component 3a: Organisation - structure							
14	Coordination and oversight	Is there an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level? With different stakeholders? What is its location?	<ul style="list-style-type: none"> - There is no institutional structure for coordination, support, oversight, analyses of data and feedback at sector level. 	<ul style="list-style-type: none"> - There is an institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level, but not yet appropriate. 	<ul style="list-style-type: none"> - There is an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - Different important stakeholders have been left out - Its location is not high enough in the ministry's hierarchy 	<ul style="list-style-type: none"> - There is an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - The most important stakeholders are involved - Its location is not high enough in the ministry's hierarchy. 	<ul style="list-style-type: none"> - There is an appropriate institutional structure for coordination, support, oversight, analyses of data and feedback at the sector level. - The most important stakeholders are involved. - Its location is high enough in the

No.	Topics	Question	Scores				
			1	2	3	4	5
							ministry's hierarchy.
15	Joint Sector Review	Does the JSR cover accountability and learning needs for both substance and systemic issues? What is the place/linkage of the JSR within the sector M&E system? Does the JSR promote the reform agenda of the Paris Declaration?	<ul style="list-style-type: none"> - JSRs are not taking place. or - JSRs take place, but they do not cover accountability and learning needs for both substance and systemic issues. - They are not linked with other M&E tools within the sector M&E system. - They do not promote the Paris Declaration M&E reform agenda. 	<ul style="list-style-type: none"> - JSRs cover both accountability and learning needs for both substance and systemic issues. - JSRs are not linked with other M&E tools within the sector M&E system. - JSRs do not promote the Paris Declaration reform agenda. or JSRs do not cover accountability and learning needs for both substance and systemic issues. - JSRs are linked with other M&E tools within the sector M&E system <i>and/or</i> - JSRs promote the Paris Declaration M&E reform agenda. 	<ul style="list-style-type: none"> - JSRs cover accountability and learning needs for both substance and systemic issues, but focus primarily on substance. - JSRs are not yet well linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda. 	<ul style="list-style-type: none"> - JSRs cover accountability and learning needs for both substance and systemic issues, but focus primarily on substance. - JSRs are linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda. 	<ul style="list-style-type: none"> - JSRs cover accountability and learning needs for both substance and systemic issues. - JSRs are linked with other M&E tools within the sector M&E system. - JSRs promote the Paris Declaration M&E reform agenda
16	Sector Working groups	Are sector working groups active in monitoring? Is their composition stable? Are various	<ul style="list-style-type: none"> - There are no sector working groups. or 	<ul style="list-style-type: none"> - Sector working groups are not very active in monitoring. 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is not stable. 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring. - Their composition is not stable, but 	<ul style="list-style-type: none"> - Sector working groups are active in monitoring.

No.	Topics	Question	Scores				
			1	2	3	4	5
		stakeholders represented?	There are sector working groups, but <ul style="list-style-type: none"> - They are not active in monitoring. - Their composition is unstable. - Various relevant stakeholders are not represented. 	<ul style="list-style-type: none"> - Their composition is stable. - Various stakeholders are represented. 	<ul style="list-style-type: none"> - Various stakeholders are represented. or - Sector working groups are active in monitoring. - Their composition is stable. - Various relevant stakeholders are not represented. 	<p>people who left are quickly replaced.</p> <ul style="list-style-type: none"> - Various stakeholders are represented. 	<ul style="list-style-type: none"> - Their composition is stable. - Various stakeholders are represented.
17	Ownership	Does the demand for (strengthening of the) M&E system come from the sector ministry, a central ministry (e.g. ministry of planning or finance) or from external actors (e.g. donors)? Is there a highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system?	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system does not come from the sector ministry or a central ministry. - There is no highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system does not come from the sector ministry, but from a central ministry. - There is no highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry. - There is no 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry and the central ministry. - There is a 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system. 	<ul style="list-style-type: none"> - The demand for (strengthening of) the M&E system comes from the sector ministry and the central ministry. - There is a highly placed 'champion' within the sector ministry who advocates for the (strengthening of the) M&E system.
18	Incentives	Are incentives (at central and local level) used to	<ul style="list-style-type: none"> - No incentives are used (at central and 	<ul style="list-style-type: none"> - Incentives are used, but not at all levels and not yet 	<ul style="list-style-type: none"> - Incentives are used (at central and local level), but not yet effectively to 	<ul style="list-style-type: none"> - Incentives are effectively used to stimulate data 	<ul style="list-style-type: none"> - Incentives are effectively used (at

No.	Topics	Question	Scores				
			1	2	3	4	5
		stimulate data collection and data use?	local level) to stimulate data collection and data use.	effectively to really stimulate data collection and data use.	really stimulate data collection and data use.	collection and data use, but not at all levels.	central and local level) to stimulate data collection and data use.

Key area/ Component 3b: Organisation - linkages							
19	Linkage with Statistical office	Is there a linkage between sector M&E and the statistical office? Is the role of the statistical office in sector M&E clear?	- A linkage between the sector M&E unit and the statistical office does not exist. - The role of the statistical office in sector M&E is not clear.	- The role of the statistical office in sector M&E is clear on paper. - In practice a linkage between the sector M&E unit and the statistical office does not exist (only ad hoc contacts).	- There is a linkage between the sector M&E unit and the statistical office. - The role of the statistical office in sector M&E is not entirely clear.	- A linkage between the sector M&E unit and the statistical office exists, but could be stronger. - The role of the statistical office in sector M&E is clear.	- A linkage between the sector M&E unit and the statistical office exists. - The role of the statistical office in sector M&E is clear.
20	'Horizontal' integration	Are there M&E units in different sub-sectors and semi-governmental institutions? Are these properly relayed to central sector M&E unit?	- No linkages between M&E units of sub-sectors with the sector M&E unit	- M&E units in different sub-sectors and semi-governmental institutions are hardly linked with the sector M&E unit.	- M&E units in different sub-sectors and semi-governmental institutions are linked with the sector M&E unit, but not properly.	- M&E units in different sub-sectors and semi-governmental institutions are linked with the sector M&E unit, but this link could be stronger.	- M&E units in different sub-sectors and semi-governmental institutions are properly linked with the sector M&E unit.
21	'Vertical' upward integration	Is the sector M&E unit properly relayed to the central M&E unit (PRS monitoring system)?	- No linkages between the central M&E unit and sector M&E unit	- The sector M&E unit is hardly linked with the central M&E unit.	- The sector M&E unit is linked with the central M&E unit, but not properly.	- The sector M&E unit is linked with the central M&E unit, but this link could be stronger.	- The sector M&E unit is properly linked with the central M&E unit.

No.	Topics	Question	Scores				
			1	2	3	4	5
22	'Vertical' downward integration	Are there M&E units at decentralised levels and are these properly relayed to the sector M&E unit?	- No linkages between M&E units at decentralised levels and the sector M&E unit	- M&E units at decentralised levels are hardly linked with the sector M&E unit.	- M&E units at decentralised levels are linked with the sector M&E unit, but not properly.	- M&E units at decentralised levels are linked with the sector M&E unit, but this link could be stronger.	- M&E units at decentralised levels are properly linked with the sector M&E unit.
23	Link with projects' M&E	- Is there any effort to relay with/ coordinate with donor M&E mechanism for projects and vertical funds in the sector?	- No efforts for coordination between development partner project M&E mechanisms and sector M&E unit.	- There is limited coordination between sector M&E unit and development partner M&E mechanisms for projects and vertical funds in the sector exists.	- Coordination between sector M&E unit and development partner M&E mechanisms for projects and vertical funds in the sector exists, but it does not function properly.	- Coordination between sector M&E unit and development partner M&E mechanism for projects and vertical funds in the sector exists and functions but it is not yet institutionalised.	- An institutionalised and properly functioning coordination exists between the sector M&E unit and development partner M&E mechanisms for sector projects and vertical funds.

Key area/ Component 4: Capacity							
24	Present/actual capacity	What is the present capacity of the M&E unit at central sector level, sub-sector level and decentralised level (e.g. skills, financial resources)?	- There is no M&E capacity at central sector, sub-sector or decentralised level.	- There is some capacity (skills and financial resources) but not at all levels.	- There is capacity (skills and financial resources) at central sector, sub-sector and decentralised level, but not sufficiently. or - There is only sufficient capacity (skills and financial resources) at some levels.	- There is capacity (skills and financial resources) at central sector, sub-sector and decentralised level, but it could still be strengthened.	- There is sufficient capacity (skills and financial resources) at central sector, sub-sector and decentralised level.

No.	Topics	Question	Scores				
			1	2	3	4	5
25	Problem acknowledged	Are current weaknesses in the system identified?	- Current weaknesses in the system are not identified	- Only some current weaknesses in the system are identified, but not on the basis of a diagnosis.	- Current weaknesses in the system are identified, but not on the basis of a diagnosis.	- Most of the weaknesses in the system are well identified (on the basis of a diagnosis).	- All current weaknesses in the system are well identified (on the basis of a diagnosis).
26	Capacity building plan	Are there plans/activities for remediation? Do these include training, appropriate salaries, etc.?	- There are no plans/ activities for remediation.	- There are some plans/ activities for remediation, but these are not coordinated. - Plans/activities include e.g. training and appropriate salaries.	- There are coordinated plans/ activities for remediation. - These do not include e.g. training and appropriate salaries.	- There are some plans/activities for remediation, but these are not well coordinated. - Plans/activities include e.g. training and appropriate salaries.	- There are coordinated plans/activities for remediation. - These include e.g. training and appropriate salaries.

Key area/ Component 5: Participation of actors outside government

27	Parliament	Is the role of Parliament properly recognised, and is there alignment with Parliamentary control and oversight procedures? Does Parliament participate in Joint Sector Reviews and/ or sector working groups?	- The role of Parliament is not recognised - There is no alignment with Parliamentary control and oversight procedures. - Parliament does not participate in JSRs or sector working groups.	- The role of Parliament is not recognised - There is no alignment with Parliamentary control and oversight procedures. - Parliament participates in JSRs or sector working groups. or - The role of Parliament is recognised	- The role of Parliament is recognised. - There is no alignment with Parliamentary control and oversight procedures. - Parliament participates in JSRs and sector working groups. or - The role of Parliament is recognised. - There is alignment with Parliamentary control and oversight procedures. - Parliament participates in JSRs and sector working groups, but not actively.	- The role of Parliament is recognised. - There is some alignment with Parliamentary control and oversight procedures. - Parliament participates actively in JSRs and sector working groups.	- The role of Parliament is recognised. - There is alignment with Parliamentary control and oversight procedures. - Parliament participates actively in JSRs and sector working groups.
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No.	Topics	Question	Scores				
			1	2	3	4	5
				<ul style="list-style-type: none"> - There is alignment with Parliamentary control and oversight procedures. - Parliament does not participate in JSRs or sector working groups. 			
28	Civil Society	Is the role of civil society recognised? Are there clear procedures for the participation of civil society? Is the participation institutionally arranged or rather ad hoc? Does civil society participate in Joint Sector Reviews and/ or sector working groups?	<ul style="list-style-type: none"> - The role of civil society is not recognised. - There are no procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society does not participate in JSRs or sector working groups. 	<ul style="list-style-type: none"> - The role of civil society is not recognised. - There are no clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of civil society is recognised and/or. - There are clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are procedures for the participation of civil society, but these are not clear. - Participation is not institutionally arranged. - Civil society participates in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is institutionally arranged. - Civil society participates in JSRs and sector working groups, but not actively. 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is not institutionally arranged. - Civil society participates actively in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of civil society is recognised. - There are clear procedures for the participation of civil society. - Participation is institutionally arranged. - Civil society participates actively in JSRs and sector working groups.

No.	Topics	Question	Scores				
			1	2	3	4	5
			groups, but not actively.				
29	Development partners/Donors	Is the role of donors recognised? Are there clear procedures for participation of donors? Do donors participate in Joint Sector Reviews and/ or sector working groups?	<ul style="list-style-type: none"> - The role of development partners is not recognised. - There are no clear procedures for their participation. - Development partners do not participate in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of development partners is not recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of development partners is recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector working groups, but not actively. 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are no clear procedures for their participation. - Development partners participate in JSRs and sector working groups. <p>or</p> <ul style="list-style-type: none"> - The role of development partners is recognised. - There are clear procedures for their participation. - Development partners participate in JSRs and sector working groups, but not actively. 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are procedures for their participation, but these are not clear. - Development partners participate actively in JSRs and sector working groups. 	<ul style="list-style-type: none"> - The role of development partners is recognised. - There are clear procedures for their participation. - Development partners participate actively in JSRs and sector working groups.

Key area/ Component 6: Use of information from M&E							
30	M&E outputs	Is there a presentation of relevant M&E results? Are results compared to targets? Is there an analysis of discrepancies? Is the M&E output	<ul style="list-style-type: none"> - There is no presentation of relevant M&E results. - Results are not compared to targets. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are not compared to targets. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is limited analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is analysis of discrepancies, but 	<ul style="list-style-type: none"> - There is a presentation of relevant M&E results. - Results are compared to targets. - There is in-depth analysis

No.	Topics	Question	Scores				
			1	2	3	4	5
		differentiated to different audiences?	<ul style="list-style-type: none"> - There is no analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> - There is no analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 		<ul style="list-style-type: none"> - The M&E output is differentiated towards different audiences. or - There is a presentation of relevant M&E results. - Results are compared to targets. - There is in-depth analysis of discrepancies. - The M&E output is not differentiated towards different audiences. 	<ul style="list-style-type: none"> of discrepancies. - The M&E output is differentiated towards different audiences.
31	Effective use of M&E by development partners	Are donors using the outputs of sector M&E systems for their information needs? Is the demand for M&E data from donors coordinated?	<ul style="list-style-type: none"> - Development partners are not using the outputs of the sector M&E system for their information needs. - The demand for M&E data from development partners is not coordinated. 	<ul style="list-style-type: none"> - Development partners are using the outputs of the sector M&E system for their information needs, but rather in an ad hoc way. - The demand for M&E data from development partners is not coordinated. 	<ul style="list-style-type: none"> - Development partners are systematically using the outputs of the sector M&E system for their information needs. - The demand for M&E data from development partners is not coordinated. 	<ul style="list-style-type: none"> - Development partners are using the outputs of the sector M&E system for their information needs, but rather in an ad hoc way. - The demand for M&E data from development partners is well coordinated. or - Development partners are systematically using the outputs of the sector M&E system 	<ul style="list-style-type: none"> - Development partners are systematically using the outputs of the sector M&E system for their information needs. - The demand for M&E data from development partners is well coordinated.

No.	Topics	Question	Scores				
			1	2	3	4	5
						for their information needs. - The demand for M&E data from development partners is coordinated, but coordination could be improved.	
32	Effective use of M&E at central level	Are results of M&E activities used for internal purposes? Is it an instrument of policy-making and/or policy-influencing and advocacy at central level?	- Results of M&E activities are not used for internal purposes. - It is not an instrument of policy-making and/or policy-influencing and advocacy at central level.	- Results of M&E activities are used for internal purposes, but rather in an ad hoc way - It is an instrument of policy-making, hardly of policy-influencing and advocacy at central level.	- Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at central level. or - Results of M&E activities are used for internal purposes, but rather ad hoc - It is an instrument of policy-making and policy-influencing and advocacy at central level.	- Results of M&E activities are systematically used for internal purposes, but use could be more intense. - It is an instrument of policy-making and/or policy-influencing and advocacy at central level.	- Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, policy-influencing and advocacy at central level.
33	Effective use of M&E at local level	Are results of M&E activities used for internal purposes? Is it an instrument of policy-making and/or policy-influencing and advocacy at local level?	- Results of M&E activities are not used for internal purposes. - It is not an instrument of policy-making and/or policy-influencing and advocacy at local level.	- Results of M&E activities are used for internal purposes, but rather in an ad hoc way. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at local level.	- Results of M&E activities are systematically used for internal purposes. - It is an instrument of policy-making, hardly of policy-influencing and advocacy at local level. or - Results of M&E activities are used for internal purposes, but rather in an ad hoc way.	- Results of M&E activities are systematically used for internal purposes, but use could be more intense. - It is an instrument of policy-making and/or policy-influencing and advocacy at local level.	- Results of M&E activities are used for internal purposes. - It is an instrument of policy-making and/or policy-influencing and advocacy at local level.

No.	Topics	Question	Scores				
			1	2	3	4	5
					- It is an instrument of policy-making and policy-influencing and advocacy at local level.	advocacy at local level.	and advocacy at local level.
34	Effective use of M&E by outside government actors	Are results of M&E used as an instrument to hold government accountable?	- Results of M&E are not used as an instrument to hold government accountable.	- Results of M&E are used as an instrument to hold government accountable, but only limitedly and only by a few outside government actors.	- Results of M&E are used as an instrument to hold government accountable, but only by a few outside government actors.	- Results of M&E are used as an instrument to hold government accountable by several outside government actors, but use could be more intense.	- Results of M&E are intensively used as an instrument to hold government accountable by several outside government actors.

Source: Holvoet, Inberg and Sekirime, 2013

Appendix M. List of institutions where respondents were drawn

A	PROVINCES AND DISTRICTS	District ²¹
	Province	
1	Central	❖ Kabwe ❖ Serenje ❖ Mkushi ❖ Mumbwa ❖ Chibombo ❖ Chisamba
2	Copperbelt	❖ Ndola ❖ Mufulira ❖ Chililabombwe
3	Eastern	❖ Chipata ❖ Nyimba ❖ Katete
4	Luapula	❖ Mansa ❖ Nchelenge ❖ Kawambwa ❖ Samfya
5	Lusaka	❖ Lusaka ❖ Chilanga ❖ Chongwe ❖ Kafue
6	Northern	❖ Kasama ❖ Mbala ❖ Luwingu ❖ Mungwi
7	Muchinga	❖ Mpika ❖ Shiwang'andu ❖ Chinsali ❖ Isoka ❖ Nakonde
8	North-Western	❖ Solwezi ❖ Zambezi ❖ Mwinilunga ❖ Kasempa ❖ Ikeleng'i ❖ Chavuma
9	Southern	❖ Choma ❖ Kazungula ❖ Livingstone ❖ Zimba ❖ Kalomo ❖ Siavonga ❖ Namwala ❖ Mazabuka ❖ Chikankata
10	Western	❖ Mongu ❖ Kaoma ❖ Sesheke ❖ Kalabo ❖ Limulunga ❖ Mwandi

²¹ Focus Group Discussions (FGDs) were only done in five districts from four provinces. The districts are Zimba, Livingstone, Chilanga, Serenje and Mongu. Key informant interviews were done in other named districts. Southern, Central, Western and Muchinga are the four provinces where FGDs were conducted.

B	LINE MINISTRIES
1	Ministry of National Development Planning
2	Ministry of Finance
3	Ministry of Commerce, Trade and Industry
4	Ministry of Gender
5	Ministry of Health
6	Ministry of General Education
7	Ministry of Higher Education
8	Ministry of Agriculture
9	Ministry of Local Government
10	Ministry of Community Development And Social Welfare
11	Ministry of Transport And Communication
12	Ministry of Works And Supply
13	Ministry of Lands and Natural Resources
14	Ministry of Labour And Social Security
15	Ministry of Mines And Minerals Development
16	Ministry of Water, Sanitation And Environmental Protection
17	Ministry of Housing and Infrastructure Development
18	Ministry of Energy
19	Ministry of Justice
20	Ministry of Livestock and Fisheries
21	Ministry of Home Affairs
22	Ministry of Youth, Sport and Child Development
23	Ministry of Tourism and Arts
24	Ministry of Information
C	OTHER INSTITUTIONS
1	Parliament
2	Cabinet Office
3	Office of the Auditor General
4	University of Zambia
5	Zambian Open University
6	University of Lusaka
7	Mulungushi University
8	National Institute of Public Administration
9	Copperbelt University
10	Cooperating Partners x2 (anonymous)
11	Zambia Monitoring and Evaluation Association
12	Economics Association of Zambia
13	Law Association of Zambia
14	Civil Society for Poverty Reduction
15	Non-Governmental Organisation Coordinating Council
16	Farming Systems Association of Zambia (FASAZ)
17	Transparency International Zambia
18	Catholic Commission for Justice, Development and Peace
19	Zambia National Farmers Union
20	Action Aid
21	Patriotic Front party
22	United Party for National Development
23	National Restoration Party
24	Movement for Multiparty Democracy
25	Independent M&E practitioners and experts (anonymous)

Appendix N. Research Study Time Framework

This was the original schedule of time frames and milestones under which this research study was planned and expected to be accomplished.²²

No.	Activity/Task Description	Expected start date	Expected end date
1	Drafting of the Research Proposal	January 2016	April 2016
2	Submission of initial draft Research Proposal to the Supervisor for comments	May 2016	May 2016
3	Receive and incorporate feedback from the Supervisor	June 2016	July 2016
4	Submit revised draft Research proposal to the Supervisor for comments	August 2016	September 2016
5	Incorporation of Supervisor feedback and finalisation of the Research Proposal	September 2016	October 2016
6	Submission of final Research Proposal to Supervisor and onward transmission to the HDC	October 2016	November 2016
7	Awaiting feedback on the Research Proposal approval from the HDC	November 2016	January 2017
8	Drafting the doctorate thesis: Chapters 1, 2 and 3. Also submit and receive feedback from the Supervisor on the respective Chapters	January 2017	June 2017
9	Drafting the doctorate thesis: Chapters 4 and 5 (prepare data collection instruments). Also submit and receive feedback from the Supervisor on the respective Chapters	July 2017	December 2017
10	Data collection (field work) and analysis	January 2018	September 2018
11	Drafting the doctorate thesis: Chapter 6. Also submit and receive feedback from the Supervisor on the respective Chapter	October 2018	December 2018
12	Finalisation of the thesis	January 2019	June 2019
13	Submission of the final thesis to the Supervisor and onward transmission to the HDC	July 2019	August 2019
14	Receive examination feedback, make corrections (if any) and submit final thesis	October, 2019	November, 2019

²² The research study was however completed ahead of schedule by a year earlier. Final thesis was finished in November 2018 and submitted for examination on 16 January 2019.