

**UNIVERSITY FOR DEVELOPMENT STUDIES**

**APPLICATION OF PARTICIPATORY MONITORING AND EVALUATION ON THE  
IMPLEMENTATION OF DACF PROJECTS IN THE LAMBUSSIE DISTRICT**

**BY**

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### Declaration

#### Candidate's Declaration

I hereby declare that this thesis is my own original research whose findings have neither been presented for another degree in this University or elsewhere and that all citations in the work have been duly acknowledged.

Signature: .....

Date: .....

Name: ..... (UDS/MDM/0363/15)

#### Supervisor's Declaration

I hereby declare that the preparation and presentation of this thesis was supervised in accordance with the guidelines on supervision of thesis laid down by the University for Development Studies (UDS).

Signature: .....

Date: .....

Name: .....



### **Abstract**

A case study design and a qualitative approach were adopted by the study to examine how the Lambussie District Assembly applied Participatory Monitoring and Evaluation (PM&E) on the District Assemblies Common Fund (DACF) projects it implemented in its area of authority between 2013 and 2017.

It emerged from the study that Lambussie District Assembly applied a tokenism form of participation and involved its stakeholders as observers to monitor and evaluate the DACF projects it implemented because it did not involve them to prepare its monitoring and evaluation (M&E) checklists, provide them opportunities to employ them during its M&E exercises and involve them to evaluate their findings. Additionally, it emerged from the study that the failure of the NDPC's 2013-2017 M&E guidelines to provide a detailed framework to guide the Metropolitan, Municipal and District Assemblies (MMDAs) incapacitated the staff of the Lambussie District Assembly to discharge their duty to apply this M&E typology satisfactorily on the DACF projects they implemented. Although the local people were keen in exercising monitoring roles over the service providers, the Lambussie District Assembly did not make provisions in its DACF contracts to give them space to monitor and evaluate the work of contractors who implemented them. Finally, the study observed that the DACF projects the Lambussie District Assembly provided had many defects which meant that they were poorly implemented. Therefore, it argues that their level of ownership and sustainability are questionable. Consequently, the study recommends that the MMDAs should actively involve their stakeholders in their development management processes, make detailed information of the contracts of DACF projects they will implement in subsequent



planning cycles available to them, break them to their understanding and empower them to monitor and evaluate their implementation to through diligent application of PM&E leverage the enormous benefits of this M&E typology to effectively alleviate poverty in their areas of authority.



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### **Dedication**

This thesis is dedicated to the **Glory** of the **Almighty Allah**, the **Most Gracious** and the **Most Merciful**.



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**List of Abbreviations**

AI	Appreciative Inquiry
CHO	Community Health Officer
CIDA	Canadian International Development Agency
CSOS	Civil Society Organizations
CWSA	Community Water and Sanitation Agency
DACF	District Assemblies Common Fund
DANIDA	Danish International Agency
DBA	District Budget Analyst
DCD	District Coordinating Director
DCE	District Chief Executive
DFID	Department for International Development
DFO	District Finance Officer
DMTDPs	District Medium Term Development Plan
DPCU	District Planning Coordinating Unit
DPO	District Planning Officer
DWE	District Works Engineer
FAO	Food and Agriculture Organization
FOAT	Functional Organization Assessment Tool
GA	General Assembly
GES	Ghana Education Service
GHS	Ghana Health Service
GSS	Ghana Statistical Service
LDA	Lambussie District Assembly





LGSS	Local Government Service Secretariat
LI	Legislative Instrument
M&E	Monitoring and Evaluation
MLGRD	Ministry of Local Government and Rural Development
MMDAs	Metropolitan, Municipal and District Assemblies
MMDCDs	Metropolitan Municipal and District Coordinating Directors
MMDCEs	Metropolitan Municipal and District Chief Executive
NDPC	National Development Planning Commission
NGOs	Non-Governmental Organizations
NORAD	Norwegian Development Aid
OECD	Organization for Economic Cooperation and Development
OHCHR	Office of the United Nations High Commissioner for Human Rights
PAR	Participatory Action Research
PM&E	Participatory Monitoring and Evaluation
PRA	Participatory Rural Appraisal
UN	United Nations
UNDP	United Nations Development Program
UNICEF	United Nations Children's Fund
USAID	United States Agency for International Development
W&SMTs	Water and Sanitation Management Teams

## CHAPTER ONE

### INTRODUCTION

#### 1.1 Emergence and Growth of Participatory Monitoring and Evaluation

Participatory monitoring and evaluation (PM&E) refers to the practice where key monitoring and evaluation (M&E) stakeholders are directly involved in the design and implementation of a particular M&E processes (NDPC, 2014). PM&E emerged over the last 20 years out of the application of participatory research to development management processes (Rubin, 1995; Estrella *et al.*, 1998; De Beer *et al.*, 1998; Sangole, 2007;). Sartorius (1998) argues that PM&E offers the management of organizations a number of opportunities they can leverage to improve the performance of poverty alleviation programs and build the management capacity of local partners. Consequently, Oakley *et al.* (2000) advocates that it should be a standard practice for public institutions to use PM&E to monitor and evaluate the outcomes, effects and impact of all programs they implement because participation has become a critical concept in development.

Chambers (cited by Muriungi, 2015) posits that the application of participatory approaches to implement development initiatives focuses on the knowledge of people to plan and effect change in communities. Hosts of authors (De Beer *et al.*, 1998; Guijt *et al.*, 1998; Estrella, 2000; Gaventa, 2004) argue that the concept of PM&E entered the policymaking domain of the larger donor agencies and development organizations most notably the Food and Agriculture Organization (FAO), United States Agency for International Development (USAID), Danish International Agency (DANIDA), Department for International Development (DFID), Norwegian Development Aid (NORAD) and the World Bank (WB) at the beginning of the 80s.



Vernooy et al. (2003) postulates that while arguments persist on how PM&E meet the needs of beneficiaries of development initiatives that are implemented by development agencies, there is no doubt that its integration in development management strengthens empowerment, learning, accountability and effective implementation of development initiatives. This is in particular through the realization that what matters is not only what is monitored and evaluated but who monitors and evaluates development management processes and for what purpose. These arguments demonstrate that there is growing recognition that monitoring and evaluating development initiatives that development agencies implement in their areas of authority should be participatory (Estrella *et al.*, 1998).

Decentralization which can be explained as the transfer of power and responsibilities from a particular central government to a particular sub-national level, has assumed an unparalleled popularity all over the world. As a result, governments around the world are reforming and strengthening their local government systems (Dillinger, 1994; Manor, 1999). Consequently, over the last two decades, over 80% of developing and transition countries have undertaken one form of decentralization or the other (ICHRP, 2005; Crawford *et al.*, 2008).

Decentralization and PM&E have been acknowledged to be intricately linked. Kyessi, (2002: p. 76) articulates this point eloquently as follows “the involvement of grass root groups by local government authorities to plan, implement and manage development programs is one of the advantages of decentralization”. This account for the reason why the involvement of citizens by local government authorities to monitor and evaluate





development initiatives they implement in their areas of authority is vital to enhance the effectiveness of decentralized systems of governance.

In the specific case of Ghana, Article 82 Section 1 of the Local Governance Act 2016, (Act 936) designates the Metropolitan, Municipal and District Assemblies (MMDAs) as planning authorities and confers on them the duty to promote the overall development of their areas of authority. Consequently, within the decentralized development planning framework of Ghana, the MMDAs are the institutions that plan and implement development initiatives at the grass root level (Botchie, 2000). This process provides an unprecedented opportunity for communities that are located in a particular local government area to participate effectively in its development management processes.

Additionally, within the decentralized planning framework of Ghana, it is the National Development Planning Commission (NDPC) that is responsible to provide guidelines to guide the MMDAs to prepare and implement their development plans pursuant to Article 86 Sections 1, 2, 3 and 4 of the Local Governance Act 2016, (Act 936) (ibid, 2000). Consequently, the MMDAs are required to prepare and implement their development plans pursuant to the guidelines that are issued by the NDPC in every planning cycle.

## **1.2 Problem Statement**

Annually, the government of Ghana commits significant resources to implement a wide range of development initiatives that are designed to improve the living standards of the people of Ghana. It is therefore important to track the progress of programs, plans and projects that are implemented by the Local Government Service Secretariat (LGSS), the Regional Coordinating Councils (RCCs) and the MMDAs (LGSS, 2014). Additionally,



Akanbang (2012) argues that PM&E has the potential to contribute to the effective implementation of development initiatives. On its part, the NDPC (2014) advocates that PM&E is a vital tool that the District Planning Coordinating Units (DPCUs) of the MMDAs must use to capture the perceptions of their citizens and assess whether their development interventions meet their expectations. These arguments account for the use of PM&E by MMDAs.

Although a number of researchers (Naidoo, 2011; Akanbang, 2012; Muriungi, 2015 etc.) have examined decentralized M&E systems, not many studies have actually examined how the MMDAs apply PM&E in their development management processes. Consequently, the study seeks to contribute to knowledge on the use of PM&E within the framework of decentralized governance. Therefore, the study assesses how the MMDAs apply PM&E in their development management processes. Specifically, the study assesses how the Lambussie District Assembly applied PM&E on District Assemblies Common Fund (DACF) projects as well as the effects and factors that affected the application of this M&E typology on the DACF projects that it implemented in its area of authority.

It is envisaged that the study will complement existing literature on PM&E. The study will particularly contribute to knowledge on the policy and practice of decentralized M&E by the MMDAs in Ghana. It is worthy to state that after twenty-six (26) years of decentralized planning management, there still exist uncoordinated M&E systems at the MMDAs level (Akanbang, 2012).

The case of the Lambussie District Assembly is urgent because there is the need for it to diligently apply PM&E on development initiatives it implements to harness the enormous



benefits of this M&E typology to alleviate poverty in its area of authority which has so far proved insurmountable (LDA 2013-2017 MTDP, 2013).

Thus, the research problem the study investigated was that, despite the fact that PM&E is a vital tool that the MMDAs use to monitor and evaluate development initiatives they implement in their areas of authority, not many studies have assessed how they apply it in their development management processes. Therefore, the study sought to bring to the fore the actual behavior of decision-makers and M&E stakeholders at the local level, their abilities and willingness to use PM&E which have largely been neglected in the utilization of M&E research (Hyyrylainen & Viinamaki, 2008).

### **1.3 Research Questions**

#### *1.3.1 General Research Question*

How did the Lambussie District Assembly apply PM&E on development initiatives it implemented in its area of authority and what were the effects and factors that affected application of PM&E?

#### *1.3.2 Specific Research Questions*

1. How did the Assembly apply PM&E on DACF projects?
2. What were the factors that affected the application of PM&E on DACF projects?
3. What were the effects of application of PM&E on outcomes of DACF projects?
4. How can the MMDAs enhance application of PM&E on DACF projects?



## **1.4 Research Objectives**

### *1.4.1 General Research Objective*

To evaluate how the Lambussie District Assembly applied PM&E on development initiatives as well as effects and factors that affected application of PM&E.

### *1.4.2 Specific Research Objectives:*

1. To examine how the Lambussie District Assembly applied PM&E on DACF projects.
2. To evaluate the factors that affected application of PM&E on DACF projects.
3. To assess the effects of the application of PM&E on the outcomes of DACF projects.
4. To develop concrete proposals on how the MMDAs can enhance application of PM&E DACF projects they would implement in subsequent planning cycles.

## **1.5 Scope of the Study**

The study was conducted between January and June in 2018 to examine how the Lambussie District Assembly applied PM&E on DACF projects as well as the effects and factors that affected the application of this M&E typology on the DACF projects that it implemented between 2013 and 2017. The choice of the period was to allow the Lambussie District Assembly enough time to complete all the DACF projects it rolled out to implement out of its 2013-2017 MTDP. Additionally, the period was to ensure that the recall of the experiences of the key actors who implemented them was not too distant in the past.

## **1.6 Justification for the Study**



Until the MMDAs find innovative ways to actively involve their stakeholders in their development management processes, the ineffective utilization of development initiatives they implement in their areas of authority will persist.

Specifically, the involvement of stakeholders by the MMDAs in their development management processes ensures that service providers they engage to implement development initiatives in their areas of authority deliver quality work and guarantee them value on the resources they apply on their provision.

Most importantly, the involvement of stakeholders by the MMDAs in their development management processes affords them an opportunity to orient them to own and sustain development initiatives they implement in their area of authority.

Consequently, the study has proposed measures to assist the MMDAs to orient their stakeholders to actively participate in their development management processes and return value for them on the resources they apply on their provision.

### **1.7 Limitation of the Study**

The M&E Plans that were prepared by the MMDAs to monitor and evaluate the implementation of their 2013-2017 MTDPs were prepared for a four (4) year period. As such, the data that was collected and analyzed by the study was based on the guidelines the NDPC issued to guide the MMDAs to prepare their 2013-2017 M&E Plans. Consequently, the findings of the study is limited to this period.

Additionally, at the initial stages of conducting of the study, the staff of the Lambussie District Assembly were reluctant to disclose all the necessary information that was required to enable its successful conduct out of fear that doing so will expose them to



‘witch hunting’. Consequently, the researcher explained to them without equivocation that the study designed to contribute to knowledge on the policy and practice of decentralized M&E by the MMDAs with no intention what so ever to create any opportunity for any authority to witch-hunt them in any shape or form. This enlisted their cooperation and contributed to its successful conduct. Therefore, the potential negative effect that this problem could have had on the outcome of the study was averted.

### **1.8 Organization of the Study**

The study is organized into Five Chapters. Chapter One comprised the problem statement, the research questions, objectives and scope of the study. In the second chapter, the theories and concepts that guided the study are examined while the third chapter outlined the methodologies that were employed by the study. Finally, data analysis and discussions of the study are dealt with the fourth chapter while the summary, conclusions and recommendations of the study are presented in Chapter Five.



## CHAPTER TWO

### THEORETICAL AND CONCEPTUAL FRAMEWORK

#### 2.1 Introduction

Theory and practice have been acknowledged to be intricately linked. Gaffney et al. (cited by Savery *et al.*, 2001) makes this point brilliantly as follows there is nothing as practical as a good theory just as there is nothing theoretically interesting as a good practice. Consequently, this chapter presents PM&E within its theoretical contexts. Additionally, the Pali et al. (2005) continuum of PM&E which was adopted and adapted to guide the study together with its principles are discussed followed by a discussion on the conceptual framework of the study.

#### 2.2 Rights-Based Approach to Development

Among the theories that guided the study was the rights-based approach to development. Even though human rights as a development principle was initiated in the 80's it took several years before the rights-based approach to development became an internationally accepted approach. The actual move from the right to development to the rights-based approach to development occurred in the 90's when Northern development institutions began to merge the previously distinct strands of 'human rights' and 'development'. In this way, the principles of an internationally recognized human rights and those of poverty reduction were combined (Cornwall *et al.*, 2004; Uvin, 2007; Barnik, 2012; Carpenter *et al.*, 2012).

Among the factors that contributed to the evolution of the rights-based approach to development include but not limited to the following:



Firstly, during the cold war, a clear distinction existed between civil and political rights and economic and social rights. However, after the cold war those distinctions became blurred. Instead, the principles of an indivisible, interdependent and non-hierarchical nature of human rights emerged (Cornwall *et al.*, 2004; Carpenter *et al.*, 2012).

Secondly, the emergence and growth of anti-colonial forces in the United Nations (UN), when the newly independent Southern nations became members of the UN began to bridge the two domains of rights and development. Additionally, the period between 1960 and 1990 witnessed most of the UN's declarations that were proclaimed on human rights such as the international covenant on economic, social and cultural rights (1966), the declaration on the rights to development (1986) and the declaration of the rights of the child (1989). Furthermore, a range of international summits and conferences that were held in the 90s such as the World Conference on Human Rights which was held in Vienna (1993) and the World Social Development Summit which was held in Copenhagen (1995) also contributed to merge development and rights (Cornwall *et al.*, 2004; Harris-Curtis *et al.*, 2005; Carpenter, *et al.*, 2012).

Thirdly, increased Non-Governmental Organizations (NGOs) activism have also contributed its quota to merge development and rights. Through an increased engagement and influence at world conferences and summits, NGOs have influenced world leaders to merge development and rights (Cornwall *et al.*, 2004).

Lastly, certain individuals inspired and influenced decision makers to alter their approach to development management. In this regard, Amartya Sen's theory of "development as freedom" (cited by Cornwall *et al.*, 2004) had a significant influence on development





practitioners and Kofi Anan during his time as the Secretary- General of the UN called for its systems and institutions to adopt and mainstream human rights into all their programs and activities. This resulted in the United Nations Children’s Fund (UNICEF), the United Nations Development Program (UNDP) and the Office of the United Nations High Commissioner for Human Rights (OHCHR) establishing a ‘common understanding’ on the rights-based approach for all the UN institutions (Uvin, 2007). The establishment of this common understanding among the agencies of the UN raised the concept of the rights-based approach to development into the international arena and made its application universal. Subsequently, many international NGOs, bilateral aid agencies and international institutions committed officially to the rights-based approach to development. Consequently, the right based approach to development became the blueprint that most development agencies and practitioners used to frame and implement their development management processes (Carpenter *et al.*, 2012).

Despite establishing the ‘common understanding’ for the various agencies of the UN, there is no single universally agreed conceptual definition of the rights-based approach to development. Consequently, different organizations have different interpretations and understandings on how the approach is defined and implemented (Cornwall *et al.*, 2004; Greany, 2008; Schmitz, 2012; D’Hollander *et al.*, 2013). Nonetheless, the essential elements that encapsulates the rights-based approach are Participation, Accountability, Non-Discrimination, Empowerment and Linkage to Human Rights norms (Gready *et al.* cited by Cornwall *et al.*, 2004).

Additionally, the rights-based approach to development has been described as a shift from needs based to rights-based, a shift from service delivery to capacity development





and advocacy and a shift from charity to duties. Consequently, through the lens of the rights-based approach to development, poverty is viewed as a result of disempowerment and exclusion. Therefore, proponents of the approach advocates that development actors should instead of focusing on assessing the needs of beneficiaries of development initiatives aim to empower them to recognize, claim their rights and make duty-bearers honor their responsibilities to them. In this way, the approach is argued to address the complexity of poverty by addressing its root cause because proponents of the approach asserts that lack of rights is the root cause of poverty rather than lack of needs (Harris-Curtis, 2003; Cornwall *et al.*, 2004; Uvin, 2007; D'Hollander *et al.*, 2013).

Citizens' participation in the development management processes of a particular local government authority is a rights issue because it is the constitution and laws of a particular country that defines and confers rights and obligations on duty bearers and rights holders. Consequently, the rights-based approach aided the study to evaluate the extent to which the Lambussie District Assembly performed its constitutional duty to involve its stakeholders to monitor and evaluate the DACF projects it implemented. Additionally, the approach aided the study to assess the extent to which the rights holders in the district were empowered to recognize, claim their right and make the Assembly honor its duty to involve them to monitor and evaluate the DACF projects it implemented in their communities.

### **2.3 The Participatory Development Model**

Another theory that guided the study was the participatory development model. The participatory development model aims to bring on board and involve stakeholders of development initiatives in their implementation. Consequently, it adopts and applies a

bottom-up approach to implement development initiatives through extensive dialogue and engagement with stakeholders of development initiatives (World Bank, 2010). Since its emergence in the 70's, this approach has been used by different development agencies to bring on board the primary beneficiaries of development initiatives in their implementation. Among the principles that guide the application of this model include participation, negotiation, learning and flexibility (ibid, 2010).

Additionally, the World Bank (2010) posits that the participation of the poor and the marginalized for whom development initiatives are implemented to benefit empowers them. Consequently, it argues that development agencies should adopt and apply participation to afford them the opportunity to orient the beneficiaries of their development initiatives to own and sustain their management.

The participatory development model has been highly effective because it ensures the inclusion of key stakeholders in the implementation of development initiatives as active partners and develop their capacity in the process. According to Chambers (cited by Muriungi, 2015) among the typology of participatory approaches include Participatory Rural Appraisal (PRA), Appreciative Inquiry (AI) and Participatory Action Research (PAR). PRA is an approach that is mostly used by the NGOs and other organizations that are involved in international development management. The approach incorporates the knowledge and opinions of rural people to plan and manage development initiatives (ibid, 2015). On the other hand, PAR is an approach that emphasizes participation and action. It seeks to understand the world by trying to change it collaboratively through reflection. PAR emphasizes collective inquiry and experimentation that is grounded in the experiences and social history of the participating communities. Within a PAR processes,



communities of inquiry and action evolve to address the questions and issues that are significant for those who participate in them as co-researchers (Brock *et al.*, 2007). For its part, AI advocates for collective inquiry into the best of what is, in order to imagine what could be, followed by a collective design of a desired future state that is so compelling and thus, does not require the use of incentives, coercion or persuasion to effect a planned change in communities (Muriungi, 2015).

However, it is important to state that the participatory development model is a slow approach to implement development initiatives because it insists that all the stakeholders of development initiatives must be brought on board before they are implemented. According to Kerzner (2009) time is a critical component in development management because it among other things determines project cost and completion period.

Additionally, it is difficult to sustain the participation of all stakeholders to implement development initiatives because naturally, people tend to withdraw themselves from participating in the implementation of development initiatives when they feel that their inputs are not relevant or when their selection and engagement is fraught with bias (Abugah, 2011).

Furthermore, Cooke and Kotahari, (2001) argue that the use of terms such as ‘community participation’ tend to mask power relations that exist in communities as well as biases, interests and needs of different people based on factors such as ethnicity, sex and age. For example, the tradition of some communities do not permit women to talk publicly in the presence of men because they are expected to listen while the men decide on their behalf. However, such power imbalances are not readily visible during community meetings.



Consequently, what could easily pass as a participatory community decision is likely to be the decision of a few dominant people.

The participatory development model assisted the study to evaluate the approaches that the Lambussie District Assembly employed to monitor and evaluate the DACF projects that it implemented in its area of authority to ascertain whether they were participatory or not.

## **2.4 Description of Concepts**

### *2.4.1 The Concept of Participation*

Decentralization empowers people to participate in the development management processes of local government authorities (Blair, 2000; OECD, 2004; Smith, 2007). The assumption here is that the power and functions that are devolved from a particular central government to a particular local government authority empower its citizens to actively participate in its decision-making processes (Golooba-Mutebi, 2005).

Although the concept of participation defies a clear-cut definition, Biekart (2005) and Cornwall et al. (2006) have identified three main interpretations that can be used to explain its meaning as follows:

Participation as involving people in project implementation: In this instance, decisions about programs that are to be implemented are taken by development agencies while their beneficiaries are asked to participate in their implementation through the provision of cheap labor and other resources.



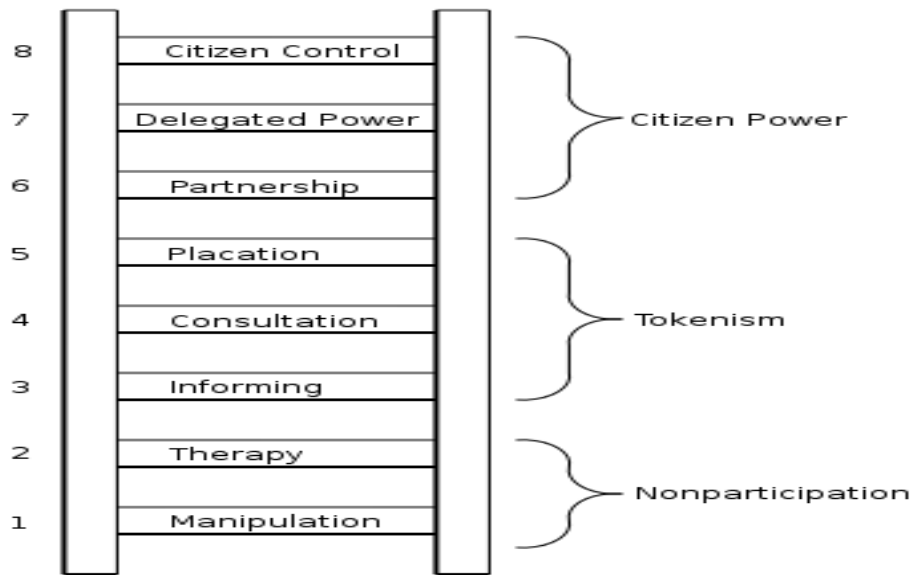
Participation as cooperation: Although in this instance, people are consulted as part of a decision-making processes, they are denied the power to influence the outcomes of decisions that are made.

Participation as a means of empowering people: In this instance, people are actively involved in the decision-making processes such that they are accorded the power to influence the outcomes of the decisions that are made and participate actively in their implementation. In this way, people are empowered to take control of their own destiny.

The first two interpretations of participation are considered as tokenism because they deprive people the power to influence the outcomes of decision-making processes and participate actively in their implementation (Cornwall *et al.*, 2006). Consequently, tokenism forms of participation are deficient to enlist and sustain the participation of people to implement development initiatives because they deny them the power to influence the outcomes of decisions that are made to reflect their priorities and demand accountability from service providers (Golooba-Mutebi, 2004). Thus, real involvement of people to implement development initiatives requires the adoption of the authentic form of participation to accord them the power to influence the outcomes of decisions that are made to reflect their priorities, participate actively in their implementation and take control of their own destiny (Cornwall, 2003). In this way, everyone is given a stake, a voice and a choice.

On her part, Arnstein (1969) and (Khisty, 2006) define citizens' participation pursuant to the degree of actual control they exercise over policy decisions. They depict citizens' participation as a ladder that range from having no control to having complete control, as illustrated in Figure 2.1 below:





**Figure 2.1: Arnstein’s Ladder of Participation**

**Source:** Khisty (2006)

The ladder in Figure 2.1 depicts a progressively enhanced application of teleogenic methods or goals that are pursued to spur participation. From the point of view of goals and their relationship to participation, Khisty (2006) distinguished three types as follows:

Teleonomic (or goal determined); whereby the goals that are pursued by the citizens are externally determined.

Teleozetic (or goal selecting); whereby the goals that are pursued by the citizens are selected from a repertoire of goals that are provided by an external agent.

Teleozotic (or goal generating); whereby citizens are in complete control of generating their own goals that are to be pursued. These goals could have been previously non-existent thereby implying the generation of innovative ideas by the citizenry.





Base on the ladder of participation, Arnstein (1969) and Khisty (2006) postulate that without actual redistribution of power, participation becomes an empty rhetoric. Additionally, they argue that the only way significant social reform can be engineered in societies is to encourage the citizens of a particular country to operate as high up the ladder of participation as possible. Consequently, Taabazuing (2010) argues that participation connotes power sharing which makes its realization more complex and difficult to attain because those that are vested with institutional or structural powers may be reluctant to devolve their decision-making powers to those they serve. As pointed out by Cooke and Kotari (2001) proponents of participation have generally been naive about the complexities of power and power relations that underpins it. Consequently, any form of participation that fails to address power imbalances that exist in a particular society and allow the greater involvement of its citizens to determine decisions that affect them directly is likely to fail to enlist and sustain their involvement to implement development initiatives (Hildyard *et al.* 2001; Bierkart, 2005).

In recent times, ‘participation’ has become a fashionable word which many development agencies and practitioners profess to use, even though each one of them use the word on their own terms and with a different understanding on how they apply it to implement development initiatives (Biekart, 2005). For some people, the word ‘participation’ is used as a rhetoric to reflect political correctness or satisfy donor conditionality. Consequently, some scholars have questioned its feasibility base on the following:

In the first place, participation requires people to sacrifice their precious time and other resources to pursue the publics’ interest at the expense of investing same to pursue their own interests and livelihoods (Cooke *et al.*, 2001; Kapoor, 2002; Golooba-Mutebi, 2004).



Additionally, Golooba-Mutebi (2004) questions the assumption that is often made by the proponents of participation that people are willing and have the capacity to participate in public affairs and that the only requirement that is needed is the provision of an opportunity for same. His study of local councils in Uganda showed that the initial enthusiasm for people to participate in the local council meetings faded away over time due to ‘participation fatigue’ and doubts about the ‘utility’ of such participation.

On their part, Cooke et al. (2001) contends that the motivation for people to publicly participate the decision-making processes of development agencies has been poorly understood because participation is alien to the development culture of some communities. Consequently, people in such communities fear to speak publicly especially in the presence of their leaders. The other critique of participation is based on its tendency to raise unrealistic expectations among the citizens of communities (Guijt, 2003). Often, citizens of communities have high expectations for participating in development related discussions which may not be realistic. Consequently, if such unrealistic expectations are not well managed, it could easily lead to disillusionment when they are not met after they have participated in such discussions.

Given the complexities that are involved in involving people to implement development initiatives, a host scholars (Smoke, 2003; Oxhorn, 2004; Dauda, 2006) argue that involving people to implement development initiatives is a multi-dimensional processes that takes place within particular political environments and therefore evolves differently in different countries depending on their contexts. Consequently, understanding the local contexts and using same to formulate and implement policies, holds the key, if local



government authorities are to succeed to involve their citizens in their development management processes.

#### *2.4.2 Constraints to Participation*

The gap that exist between the promises and actual participation of citizens to implement development initiatives within the framework of decentralized governance requires development agencies and practitioners to understand the factors that hinder its realization. Among factors Gaventa et al. (1999) identifies include but not limited to the following;

**Financial Resources:** Financial resource allocation to implement development initiatives comes mainly from central allocations and local revenues. Consequently, a common barrier for citizen to participate in the decision-making process of local government authorities is the control of financial resources by higher levels of authority on one hand and the meagre levels of resources that are made available to implement development initiatives at local levels on the other hand.

**Level of Citizen Organization:** Since participation connotes power relations, citizens are most likely to be able to counter existing power relations in societies that have a history of effective social organization.

On the their part, among the factors Botes et al. (2000) identifies include;

**Selective Participation:** Often, it is the highly influential people who reside in a particular local government area that are selected by development agencies to participate in their development management processes at the expense of the less privileged.



Lack of Interest in Participation: A major factor that hinders communities' participation in the development management processes of development agencies is the 'allegation' that people are generally not interested in becoming involved to implement development initiatives in their communities.

The concept of participation aided the study to evaluate the approaches that the Lambussie District Assembly employed to involve its stakeholders to monitor and evaluate the DACF projects that it implemented in its area of authority to ascertain whether they complied with the principles of authentic participation or not.

#### *2.4.3 The Concept of Institution*

According to Schmid (2004: p. 1) "institutions are human relationships that structure opportunities through constraints and enablement. A constraint on one person is an opportunity for another. Institutions enable individuals to do what they cannot do alone". Peters (2012) argues that organized societies build formal institutions through legislation and other ways of rulemaking such as the guidelines that are issued by the NDPC in every planning cycle to guide the MMDAs to prepare and implement their MTDPs and M&E plans etc.

Additionally, Peters (2012) postulates that all institutions have structures that enable them function as a whole and human agents that represent them or act on their behalf. (See the 2013-2017 MTDP of the Lambussie District Assembly for a detailed discussion on its administrative set up and MLGRD (1996) for a detailed discussion and description of the local government structures of Ghana respectively). Therefore, the outcomes of social processes in institutions is determined by structural factors and actions of their human agents.





Furthermore, Peters (2012) argues that institutions have routinized set of responses to solve their problems and will therefore first exhaust applying them before they will make attempt to find alternatives that lie off their repertoire and or core values (i.e. the ‘garbage can’ approach to decision making). The logic of the ‘garbage can’ is that change in institutions is rarely a planned event, but rather a product of a confluence of several streams of activity and opportunities for action that lie within and outside their purview (ibid, 2012). It is his attribute give institutions their rigidity of character.

On their part, theorists of new institutional economics postulate that institutions originate from individual behavior, through interaction among individuals (Parada, 2002). According to North (cited by peters 2012, p. 30) they are “the humanly devised constraints that shape human action”. Institutions are constrained by informal conditions such as culture and custom, as well as formal conditions like law, property rights, etc. Consequently, Ankarloo (2006, p. 6) proclaims that “Institutions are the rules of the game and organizations the players of the game”.

Additionally, the new institutional economists argue that habits, norms and institutions play a significant role in directing human behavior without rejecting some rationality in individual behavior which is however, constrained by the economic and social environments (Parada, 2002). Consequently, proponents of new institutional economics introduced the idea of an individual not being a utility-maximizer but being subjected to ‘bounded rationality’. The logic of the principle of bounded rationality is that decision makers irrespective of their level of intelligence, work under the following unavoidable constraints. Firstly, only limited and often unreliable information is available regarding possible alternatives and their consequences. Secondly, the human mind has a limited

capacity to process and evaluate the information that is available. Finally, only a limited amount of time is available for decision-making. Consequently, the new institutional economists argue that individuals that intend to make rational choices are bound to make satisficing choices in complex situations. Herbert (1961 p. 20) make this point more explicit: individuals are “extendedly rational, but only limitedly so”.

From the foregoing discussion, the study argues that the onus is on the institutions that have monitoring jurisdiction over the MMDAs to conduct empirical studies at regular intervals to inform reforms and training programs they will have to introduce to improve how the MMDAs deliver services to their citizens. This argument is based on the fact that institutions will first exhaust applying their routinized set of responses to solve their problems before they may make efforts to find alternatives that lie off their repertoire.

Secondly, to solve the problem of bounded rationality, the study argues that no ‘complex situation’ should be created to permit the staff of the MMDAs to make satisficing decisions and render poor services to the public. The best way to ensure this is to make sure that policies that are formulated by the institutions that have oversight jurisdiction over the MMDAs are accompanied by standard operating procedures to guide the staff of the MMDAs on how they have to operationalize and or implement them in their areas of authority.

#### *2.4.4 The Concept of Accountability*

Though it is argued that a long history of the Western political philosophy attests to and underpins the centrality of accountability in liberal democratic systems, the concept of accountability defies a clear-cut definition (Gregory cited by Debrah, 2009). Eckardt (2008) argues that firstly, accountability is thought of as an inherently relational term; a



person or an organization has to be accountable to someone. Secondly, accountability includes the obligation of the actors who are accountable to provide information and explanations for their actions or inactions, and thirdly, accountability requires the ability of those to whom these actors are accountable to apply sanctions when the actions or inactions of those being accountable are deemed unsatisfactory.

Eckardt's (2008) definition of accountability implies that it is important for one to know who he or she is accountable to and for what he or she is accountable. It requires establishing institutions to provide information to those who try to hold power-wielders accountable and enable them to impose sanctions on them (Arthur, 2012). Oakerson (1989 p. 114) succinctly argues that "to be accountable means to have to answer for one's actions or inactions and depending on the answer to be exposed to potential sanctions both positive and negative". Similarly, Grant et al. (cited by Arthur, 2012) posits that some actors have the right to hold other actors to a set of standards and judge whether they have fulfilled their responsibilities in light of those standards and impose sanctions if they determine that those responsibilities have not been met.

Consequently, the concept of accountability implies that actors that are being held accountable have the obligation to act in ways that are consistent with the accepted standards of behavior and that they will be sanctioned if they fail to do so (Arthur, 2012). Thus, accountability involves different kinds of organizational relationships. Consequently, Brinkerhoff (2001) distinguishes between *answerability* and *enforcement* as different types of accountability. Answerability refers to the obligation to provide information and explanations concerning decisions and actions while enforcement is the ability to oversee actors and apply sanctions when they give unsatisfactory answers.



From the foregoing discussion, the study argues that among other things, the diligent application of PM&E by the MMDAs on development initiatives that they implement in their areas of authority is a function of a rigorous enforcement of applicable laws, policies and standards by persons and institutions that exercise monitoring roles over the staff of the MMDAs.

#### *2.4.5 Project Management Body of Knowledge*

The Project Management Body of Knowledge (PMBOK) is an overarching term that is used to describe the sum of the knowledge that encapsulates the development management processes (Duncun, 1996). Some of the knowledge areas that are listed by the author include project integration, project scope management, project time management, project cost management and project quality management. On his part, Kerzener (2009) posits that the project implementation cycle consist of initiating, planning, executing, monitoring and closing which are all key to effective implementation of development initiatives.

Kerzner (2009) argues that the project cycle is important because it provides a uniform method for development agencies to plan and implement their development initiatives and allow their stakeholders to exercise full control over all the activities they carry out to spur their implementation through monitoring. Additionally, he argues that the project cycle afford stakeholders of development initiatives that are implemented by development agencies an opportunity to review their implementation through evaluation, document the lessons they learn and apply them to implement subsequent projects. Furthermore, he argues that through the project cycle stakeholders of development initiatives that are implemented by development agencies are provided an opportunity to



firm up budgets and mobilize critical resources to ensure their completion on time. Consequently, Mulwa (2008) advocates that development agencies should involve their stakeholders to monitor and evaluate development initiatives they implement as early as the stage of conceptualizing and designing them.

#### *2.4.6 Monitoring and Evaluation*

According to Mulwa (2008) the rise in the adoption and application of conventional M&E systems is attributable to the fact that it is institutions that set their own standards and determine how they are met. The author goes on to argue for organizations to abdicate using conventional M&E in favor of PM&E because the latter improves inclusion and make stakeholders of development initiatives that are implemented by development agencies part of their M&E processes. Chitere (1994) argues that the participation of people to implement development initiatives is attributable to the fact that human beings tend to resist development ideas that are imposed on them by outsiders. Consequently, McCarthy (2004, p. 107) postulates that “For participatory development management processes to succeed, people must be free to make autonomous choices such that they can exercise full control over resources, determine their own agenda and make decisions to reflect their own priorities.”

According to Chambers (cited by Muriungi, 2015) PM&E offers the management of development agencies new ways to learn and promotes local ownership and sustainability of development initiatives. On his part, Naidoo (2010) argues that PM&E empowers the marginalized, promotes project ownership, improves project sustainability and opens the doors wide for transparency and accountability in the development management processes.







For its part, the World Bank (2011) asserts that PM&E creates a congenial environment for a fruitful interaction to take place between stakeholders of development initiatives that are implemented by development agencies to mobilize resources, determine and apply them to implement development initiatives of their choice, monitor and evaluate the impact of applying same and creates an opportunity for them to adopt measures to mitigate the challenges that hinder their successful implementation through participatory resource audit, identification of gaps and the way forward.

On his part, Macamo (2005) posits that stakeholders' participation to implement development initiatives ensures the mobilization of resources for development, builds the capacity and appreciate people as part of change. Additionally, he argues that participation promotes cohesion and includes all members of a particular community to plan and effect change in it.

Base on the preponderance of the literature reviewed, the study argues that the Lambussie District Assembly was duty bound to apply PM&E on the DACF projects that it implemented because it was obliged by Article 83 Section 1b of the Local Governance Act of 2016 (Act 936) and the NDPC's 2013-2017 M&E guidelines and to implement its development and settlement structure plans with the full participation of the communities that are located in its area of authority.

#### *2.4.7 Stakeholder Involvement in Monitoring and Evaluation*

Stakeholders refer to all the individuals, groups, or organizations that can affect and or are affected by M&E processes and or findings (Bryson *et al.*, 2011). Involving stakeholders in the M&E processes of organizations and using the results thereafter to inform decision-making is often associated with community based M&E systems.

However, it is imperative to state that even though stakeholders' participation in the M&E processes of organization is essential, it is often predicated on decentralization which is not always guaranteed (Akanbang, 2012).

Malcolm (cited by Muriungi, 2015) argues that all the people who have interest in the implementation of development initiatives should be involved in their management and given an opportunity to participate in their decision making processes to determine how resources are mobilized and applied to effect their implementation. However, it is important to state that no typology of M&E can by itself single handedly answer all potential M&E questions well. Therefore, this means that some processes will have to be employed to narrow down the range of possible questions that a particular M&E exercise should focus on. Consequently, this necessitates focusing on a narrow list of potential stakeholders that form the group of what Patton (cited by Akanbang, 2012) refers to as the primary intended users who should be involved in a particular M&E exercise.

#### *2.4.8 The Role of PM&E in Enhancing Effectiveness of Development Initiatives*

The World Bank (cited by Muriungi, 2015) argues that PM&E shores up the effectiveness of development initiatives that are implemented development agencies by promoting transparency and accountability in their management processes to ensure that finance and other critical resources are mobilized and utilized within the constraints of their budget to safeguard their successful implementation on time. Consequently, Singh (2009) advocates that decentralized institutions should involve their citizens in their development management processes. In the specific case of Ghana, the MMDAs are obliged to involve their citizens in their development management processes because the 1992 Constitution grants Ghanaians the power to participate in the affairs of local



government authorities. The 1992 Constitution establishes the relationship that exist between the state and the citizens of Ghana when it affirms in Article 1 Section 1 that “the sovereignty of Ghana resides in the people of Ghana in whose name and for whose welfare the powers of government are to be exercised in the manner and within the limits laid down in this Constitution”. In terms of citizens participation to implement development initiatives, Article 240 Section 2 Subsection e states that “to ensure the accountability of local government authorities, people in particular local government areas shall, as far as practicable, be afforded the opportunity to participate effectively in their governance”. The constitution goes further to state the obligation of Ghanaians to the state in Article 41 Section g that “it shall be the duty of every citizen to contribute to the wellbeing of the community where that citizen lives” (MLGRD, 2013).

#### *2.4.9 The Continuum of Participatory Monitoring and Evaluation*

It is imperative to state that the NDPC’s 2013-2017 M&E guidelines failed to provide a detailed framework to guide the MMDAs on how they were required to apply PM&E on development initiatives that they implemented in their areas of authority. Consequently, the study adopted and adapted the continuum of PM&E as articulated by Pali et al. (2005). The Pali et al. (2005) continuum of PM&E is discussed below:

##### *2.4.9.1 Engage Stakeholders and Decide on the Objective of PM&E*

Stakeholder analysis is a tool that is used to identify all the key actors or stakeholders to implement a given project and assess their respective interests (Grimble *et al.*, 1995). Stakeholders include all those who can affect or are affected by the implementation of policies, decisions, and programs. Involving all stakeholders is critical to mainstream their variegated perspectives to implement PM&E and create ownership of its processes.



Additionally, stakeholder analysis is used to identify stakeholders' interests, their roles, and responsibilities and the most effective strategy that should be employed to secure their involvement in the M&E processes (Pali *et al.*, 2005). Consequently, a detailed PM&E stakeholder analysis ensures that key stakeholders are not left out of its processes.

#### 2.4.9.2 Build Capacity for Understanding of PM&E Concepts and Principles

This process aims to develop a common understanding (and local vocabulary) of the concepts and principles of participation, monitoring, evaluation and indicators, using a variety of tools and methods (including formal workshops). It employs different methods to encourage the participation of all the individuals in a group (Pali *et al.*, 2005). Capacity development involves developing a common understanding of PM&E concepts and goals, identify local vocabulary and local terms that are equivalent to technical terms (Monitoring, evaluation, participation and indicators) using methods and tools such as graphics, role-plays, scenes from the farmers' daily lives etc. to encourage the participation of all the individuals in a group and discuss why PM&E is important for their development (ibid, 2005)

#### 2.4.9.3 Decide on what to Monitor

Stakeholders begin to implement their PM&E process by developing a common vision and agreeing on measurable results and processes that they are to monitor and evaluate (Pali *et al.*, 2005). A systematic process for developing results can apply an 'impact chain' (which includes impacts, outcomes, outputs, processes and activities of the project). In the impact chain, several activities contribute to an output, several outputs contribute to an outcome, and several outcomes contribute to an impact. The impact chain also include processes, such as approaches, strategies, and methods that will be



applied to achieve results, and describe what will happen to (and between) stakeholders while the project is being implemented (ibid, 2005).

Visual tools (such as force-field analysis and the river code) are used to enable communities to develop shared goals and a common vision on what to monitor (Pali *et al.*, 2005). The river code is a role-play (acted out by the community members) that enables them to analyze their current situation (one side of the river), their desired future situation (the other side of the river), what they need to do to move from the current to the desired situation (steps to cross the river) and the strategies they need to employ (how to cross the river). In conducting the force field analysis, the community uses a diagram to think about and record their opportunities and the constraining factors that hinder the achievement of their goals (Pali *et al.*, 2005).

#### 2.4.9.4 Develop Indicators

According to Hart and McSweeney (cited by Pali *et al.*, 2005) indicators are pieces of information that helps stakeholders to understand where they are, which way they are going, and how far they are from where they want to be. They are the means that are used to track the progress that has been made to achieve results over time compared to targets, measure beneficiary or client satisfaction and communicate their results to their stakeholders, and measure actual results against planned or expected results in terms of quality, quantity and time lines. Selecting the best indicators is not always easy because it is a balancing act between choosing locally relevant factors and those that can be applied more widely by most of the stakeholders that are involved in the M&E processes. Additionally, indicators should capture intangible as well as tangible changes particularly



in participatory projects that value factors such as personal and social development (ibid, 2005)..

The concept of indicators for community driven M&E processes is discussed using graphics and familiar stories from the farmers' lives (such as signposts to the market, for example) (Pali *et al.*, 2005). Community indicators are used to measure change are developed through a brainstorming session for each result or objective of the project that is to be implemented. However, it is important for organizations to bear in mind that using small group brainstorming sessions ensure contributions from the majority of the members of their community to represent their diversity (ibid, 2005).

#### 2.4.9.5 Organize for PM&E

At the project level, stakeholders synthesize the results of their indicators through gathering, analyzing and reporting information they collect on their indicators (Pali *et al.*, 2005). However, it is important for organizations to assign roles and responsibilities to their M&E stakeholders based on their PM&E interests, type of data that needs to be collected, source of the data, and the ease of the data collection. Additionally, the organizations should place special emphasis on developing targeted baselines that will provide them a starting point from which can measure change and to assess whether change has occurred or not (ibid, 2005).

At community level, Pali *et al.* (2005) advocates that a committee should be selected by the group and charged with the responsibility to collect data, analyze same and provide regular feedback to the rest of the community. This process involves developing a criteria to select the committee members, facilitate the development of simple tools for data



collection and training the committee on how to manage the PM&E processes (for example, when to collect data on the indicators, how to analyze, when to report).

#### 2.4.9.6 Data Collection and Analysis

A range of different tools are used to collect, analyze and document data, which include both qualitative and quantitative tools such as focus group discussion, participatory impact diagrams, resource maps, social maps, and institutional maps. Simple registers, records, questionnaire surveys, and process journals can also be used. Stakeholders decide which tools should be used to collect information on which indicators, how sampling will be done, who should collect and analyze information on which indicators, how frequently this will be done and how the information will be shared (Pali *et al.*, 2005).

Pali *et al.* (2005) argues that communities should manage their PM&E processes and use simple tools to collect and analyze data. Consequently, tools they can use include resource maps to collect baseline data and registers to record stakeholders participation in the community's activities, visitors' books to record linkages with others, and input, output and account registers to record enterprise profitability. The community performs simple analyses on their data with the assistance of the facilitator (*ibid*, 2005).

#### 2.4.9.7 Reflect and Learn from PM&E

This is a process that helps the team and the community to analyze what is working, what is not working and why. Reflection allows members of the community to reflect on the progress they have made to implement their project to achieve their goals and adjust activities as may be required (Pali *et al.*, 2005). It provides a forum for the M&E stakeholders to exchange and evaluate information they have gathered and allow them to



systematically review their activities. Reflections needs to be carried out for each result (or activity or process) and its indicators, one at a time. This can be done by using simple graphics or questions to examine the results of any data analysis. Among the questions organizations can pose to facilitate their reflection exercises include; what have we achieved? What worked well? What did not work well? And what do we need to change? (ibid, 2005).

Thereafter, decisions should be made within the group about the implications the information they have analyzed has on the project and use same to inform decisions they will make on the project. Consequently, the results of their reflection exercises should be used to make decisions and to adjust activities if and when need be to enable the M&E processes to become a learning process. At community level, the committee charged with the responsibility to collect and analyze data should share their findings it with the rest of the community (Pali *et al.*, 2005).

#### 2.4.9.8 Learning and Change

The path from knowledge generation to knowledge utilization is direct in PM&E because the same actors are involved in all activities that are carried out to apply this M&E typology on development initiatives that are implemented by development agencies. Consequently, once information is collected and analyzed through PM&E the next step is reflection which enables the community to discuss and communicate their results, provide a forum for them to exchange and evaluate their information, systematically review and look back to the start of their activities and compare it with where they are currently to understand what has changed, reflect on the progress of implementing the project as well make adjustments where need be (Pali *et al.*, 2005). Different tools can be





used to analyze and present their information. However, it imperative to note that simple graphs, tables, role plays help to enhance the community understanding of the progress that have been made toward achieving their goals and what needs to be adjusted.

### *2.5 Conceptual Framework for Facilitating the Implementation of PM&E*

According to Smits & Champagne (cited by Akanbng, 2012) a conceptual framework depicts the major issues that interest a study and establishes the interrelationships that exist among them. On their part, McGaghie et al. (cited by Akanbang, 2012) argue that conceptual frameworks aid researchers to identify their research variables, clarify the relationships that exist among them and set the stage for them to identify and pose their research questions.

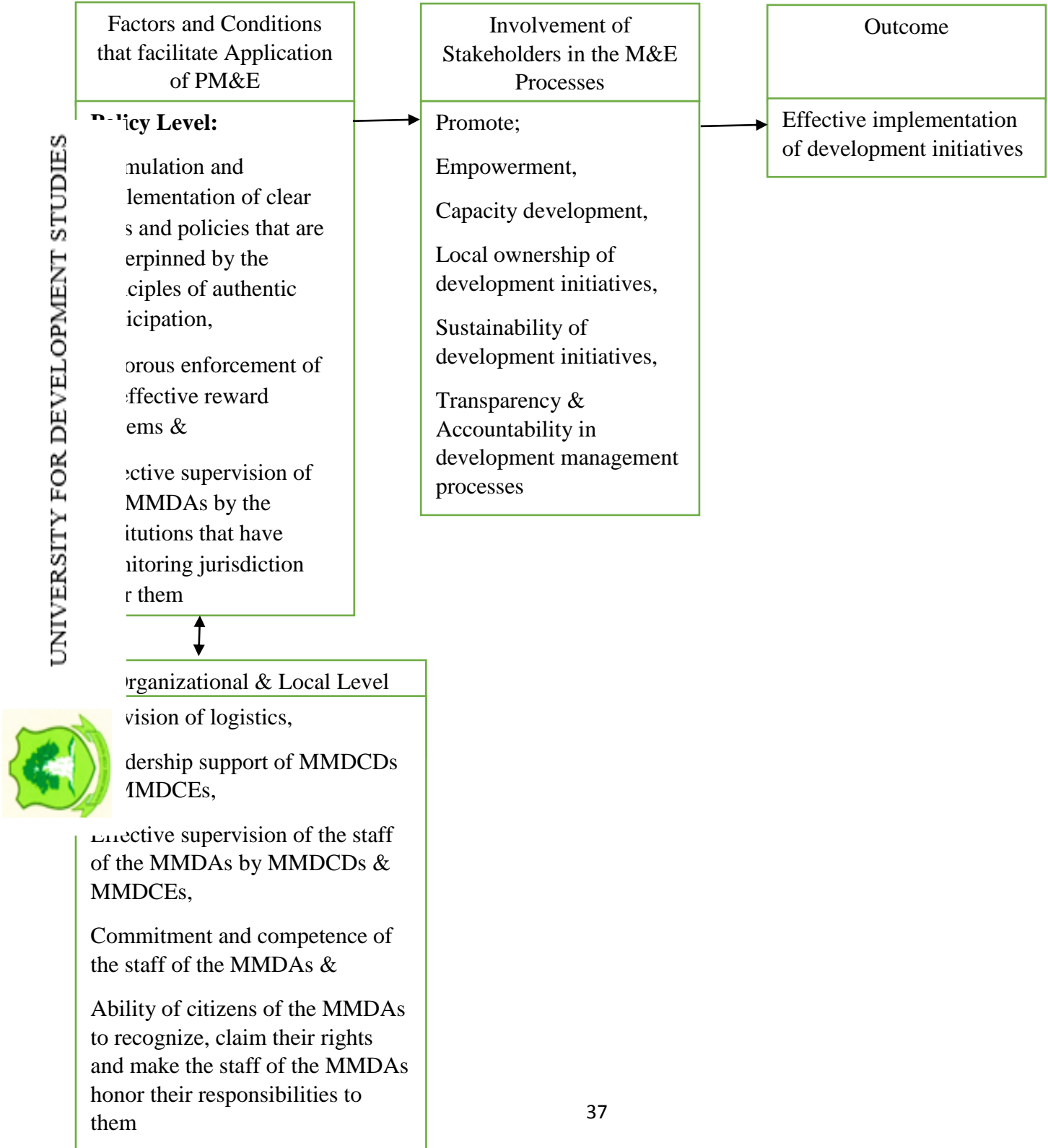
Consequently, the conceptual framework of the study argues that two set of conditions are required to enable effective application of PM&E on development initiatives that the MMDAs implement in their areas of authority. These are policy level conditions such as formulation and implementation of clear laws and policies that are underpinned by the principles of authentic participation, rigorous enforcement of an effective reward system and effective supervision of the MMDAs by the institutions that have monitoring jurisdiction over them. Provision of logistics, leadership support of MMDCDs and MMDCEs, effective supervision of the staff of the MMDAs by MMDCDs and MMDCEs, commitment and competences of the staff of the MMDAs and the ability of the citizens that reside in the areas of authorities of the MMDAs to recognize, claim their rights and make the staff of the MMDAs honor their responsibility to them (i.e. involve them to monitor and evaluate development initiatives they implement in their communities) constitute the organizational and local level factors that are required to



enable effective application of PM&E on development initiatives that the MMDAs implement in their areas of authority. Involvement of stakeholders by the MMDAs in their M&E processes promotes empowerment, capacity development, local ownership of development initiatives, sustainability of development initiatives, transparency and accountability in their development management processes and guarantee their effective implementation as an outcome. The conceptual framework of the study is illustrated in Figure 2.2 below:



**Figure 2.2: Conceptual Framework**



**Source:** Author's construct, 2018

## **CHAPTER THREE RESEARCH METHODOLOGY**

### **3.1 Introduction**

A research method is a strategy or plan of action that a researcher employs to link his or her study's methods to their outcomes and governs his or her choice and use of methods (Creswell, 2003). Consequently, this chapter discusses the profile of the area, the design of the study, how the study determined and distributed its sample size, instruments the study used to collect data as well as the techniques it employed to analyze same etc.

### **3.2 The Study Area**

The Lambusie District was the ninth district that was created in the Upper West region out of the then Jirapa-Lambussie District by the legislative Instrument (LI) 1849 in 2007. The District has a total land area of 811.9 square kilometers and lies in the northwestern corner of the region. The district is bounded to the south by Jirapa District, to the east by Sissala West District, to the west by the Lawra and Nandom Districts and to the north by the Republic of Burkina Faso. Therefore, the District serves as the National Gate way to the Republic of Burkina Faso. The capital of the district is Lambusie while Hamile, Samoa, Billaw, Piina and Karni constitute the other major towns that there are in the district. The location of the district is strategic because its proximity to the Republic of Burkina Faso can be leveraged to enhance cross border trade, cultural exchange etc. to propel its development.





The political head of the administrative structure of the Lambussie District Assembly is the District Chief Executive (DCE) whilst the District Coordinating Director (DCD) is the administrative head and principal advisor to the DCE. The General Assembly (GA) is the highest decision making body of the Assembly and it is made up of 36 members comprising 27 elected members, 11 government appointees, one Member of Parliament (MP) and the DCE who are the non-voting members of the GA. Out of the 36 Assembly Members that constitute the GA, only one is a female. Additionally, the district is divided into four Area Councils namely, Lambussie, Samoa Karni and Hamile, Area Councils.

The Lambussie District has one paramountcy (i.e. the Lambussie Kuoro) who serves as a symbol of authority of the people. The Lambussie traditional area has one (1) paramount chief, ten (10) divisional chiefs and thirteen (13) sub-divisional chiefs who have their own spheres of influence and assist the paramount chief (i.e. the Lambussie Kuoro) to administer the Traditional Area.

The Ghana Statistical Service (2014) pegs the population of the district at 51,654 of which 24,952 are males (48.3%) and female are 26,702 (51.7%).

The major faith and religions that are practiced by the citizens of the district are Traditional African religion, Christianity and Islam. There exist relative peace and stability within the domain of the district despite its diverse nature.

The district has a savannah vegetation that consist of short trees, grasses and three forest reserves that cover approximately sixty (60) acres of land. The map of the Lambussie District is presented in Figure 3.1 below.

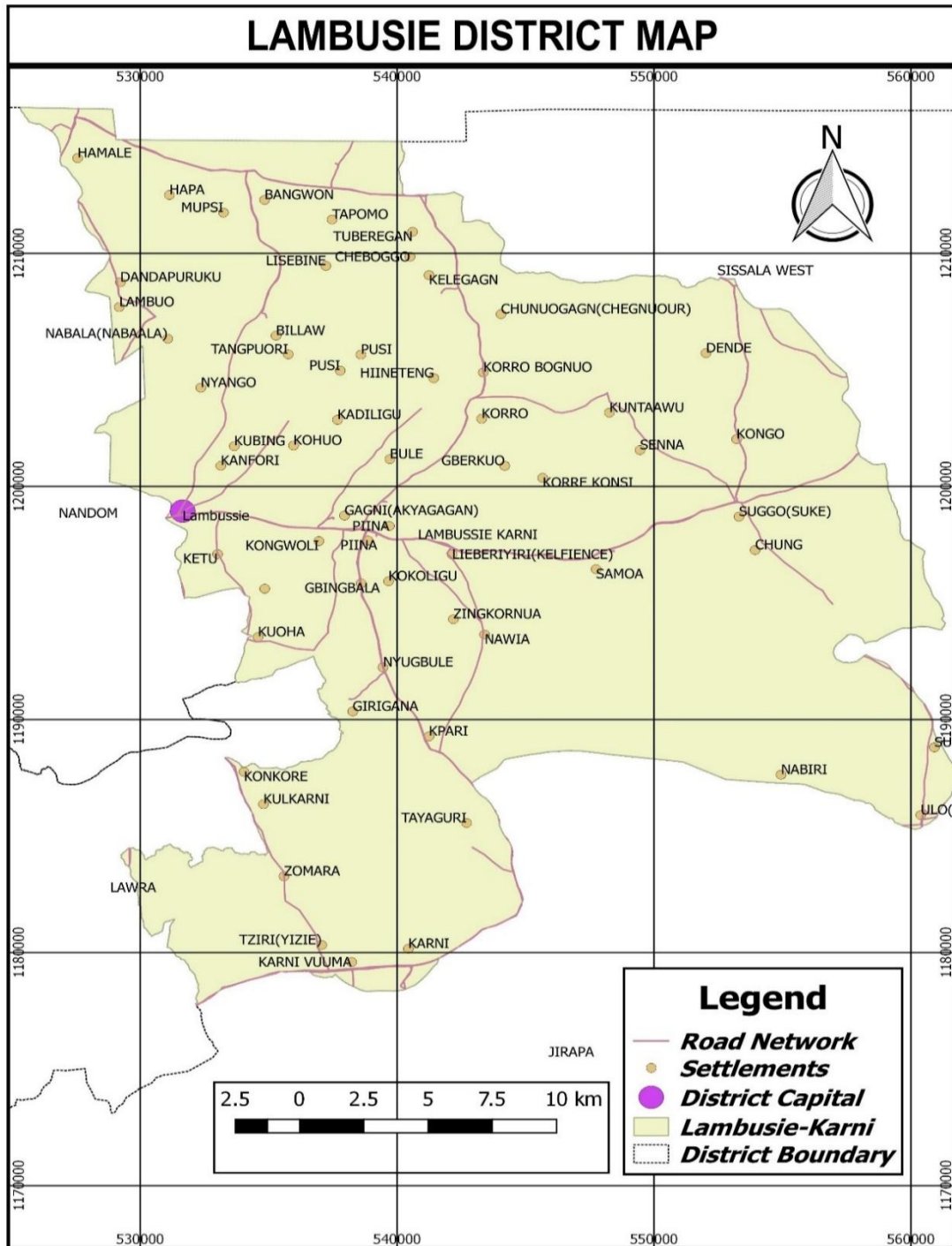


Figure 3.1: Map of the Lambussie District

**Source:** LDA 2013-2017 MTDP, 2013

Additionally, the district is situated in the tropical continental climatic zone and enjoys mean-annual temperatures that ranges between 28 and 31 degrees Celsius. Furthermore, the district experiences a single rainy season which usually starts in the month of May and ends in the month of September and pave way for a long dry season that usually starts in the month of October and end in the month of April. The district also experiences erratic pattern of rainfall that is often interspersed with dry spells. The annual rainfall of the district ranges between 900-1 and 100mm.

The Lambussie District has an agrarian economy with majority of its populates engaged in subsistence crop and animal husbandry, weaving, shea butter extraction and other trading activities. Among the major crops that are cultivated in the district are maize, guinea corn, millet and rice whilst goats, sheep, cattle, pigs and fowls constitute the major livestock that are reared in the district.

The study area was selected as follows: Details of all the eleven (11) districts that there were in the Upper West Region were written on pieces of paper and placed in one (1) bowl. Thereafter, the lottery method was used to randomly select one of them (i.e. the Lambussie District). This number was sufficient to enable the successful conduct of the study because according to Bromley (1990) the generally accepted standard in the sample size determination of a typical case study is that one unit of a phenomenon or trend that relates to what are considered as the "typical" or "average" members of the affected population is representative enough to draw meaningful conclusions in the conduct of research works. Consequently, the findings of the study can be likened to what pertains in



the other local government authorities that there are in the region and elsewhere in the country.

### **3.3 The Study Design**

A case study design and a qualitative approach were adopted to conduct the study because case studies are prescribed for studies that are conducted to describe and explain phenomenon of interest while quantitative approaches are appropriate for studies that seek general information on opinions, attitudes, views, beliefs, preferences etc. to answer their questions (Bromley, 1990). Consequently, the study was conducted between January and June in 2018 to examine how the Lambussie District Assembly applied PM&E on DACF projects as well as the effects and factors that affected the application of this M&E typology on the DACF projects that it implemented between 2013 and 2017. The choice of the period was to allow the Lambussie District Assembly enough time to complete all the DACF projects it rolled out to implement out of its 2013-2017 MTDP. Additionally, the period was to ensure that the recall of the experiences of the key actors who implemented them was not too distant in the past.

### **3.4 The Sampling Design**

Because multiple respondents had to be sampled to enable the successful conduct of the study, sampling was carried out in multiple stages.

### **3.5 The Target Population**

The study targeted stakeholders such as of staff of the Lambussie District Assembly, staff of decentralized departments and community stakeholders who had a stake in M&E pursuant to the NDPC's 2013-2017 M&E guidelines.





### 3.6 Sample Size Determination

All respondents at the district and community levels who had a stake in M&E pursuant to the NDPC's 2013-2017 M&E guidelines were the target of the study. As a result, no particular formula was used to arrive at the sample size that was used to conduct the study.

### 3.7 Sample Distribution

In determining and distributing the sample that was used by the study, the study was minded:

That stakeholder referred to all the individuals, groups, or organizations that could affect and or are affected by monitoring and evaluation process and or its findings (Bryson *et al.*, 2011).

That there was the need to narrow the list of potential stakeholders that form the group of what Patton (cited by Akanbang, 2012) refers to as primary intended beneficiaries of development initiative who should be involved in M&E exercises.

That a total number of forty-one (41) DACF projects were implemented in twenty two (22) different communities by the Lambussie District Assemble between 2013 and 2017 (See appendix 1 for details of these projects).

Consequently, the sample that was used to conduct the study was distributed as follows in Table 3.1 below:



**Table 3.1: Sample Distribution**

NO.	Institution	Total Number in the District/Region	Category/Designation of Respondents	Total Number that was Interviewed or Participated in the FGDs
1.	District Planning Coordinating Unit (DPCU)	11	District Chief Executive, District Coordinating Director, District Planning Officer, District Budget Analyst, District Works Engineer, District Finance Officer, District director of Health Department, District director of Department of Education, District director, of Agriculture Directorate, Chairman of Development Planning Sub-Committee	9
2.	District Heads of Beneficiary Institutions that were not members of the DPCU	4	District Environmental Health Officer, District Police Commander, District Fire Officer and District commander of the Ghana Immigration Service	4
3.	Local Beneficiary Institutions with Identifiable Heads	41	Not Applicable	22



**Table 3.1: Continued**

NO.	Institution	Total Number in the District/Region	Category/Designation of Respondents	Total Number that was Interviewed or Participated in the FGDs
4.	Other key stakeholders	10	Presiding Member, Chairman of Development Planning Sub-Committee, Chairman and Secretaries of the 4 Area Councils	10
5.	Members of project beneficiary communities (focus group discussions)	22	chief of the community, Assembly Member, chairman and secretary of the Unit Committee, one person living with disability, two women, one man and one head of local beneficiary institution(s) with identifiable headship(s) (i.e. 9 people per group)	8
6.	Total Number of DACF funded Projects implemented	41	Not Applicable	16

**Source:** Categories of respondents the study engaged (June, 2018) NB: Multiple respondents



### **3.8 The Sampling Process**

#### *3.8.1 First Level*

Because the institutional respondents who were required to participate in the study were known in advance, purposive sampling method was used to select the following stakeholders as key informants;

District Chief Executive, the Coordinating Director, the District Planning Officer, the District Budget Analyst, the District Works Engineer, the District Director of Health, the District Director of Education, and the District Director of Agriculture. Similarly, district heads of project beneficiary institutions that were not members of the DPCU, the chairperson of the Development Planning Sub-Committee of the Lambussie District Assembly, assembly members, chiefs, chairpersons and secretaries of the unit committees of project beneficiary communities were also purposively selected.

#### *3.8.2 Second Level*

Accidental sampling method was used to select the ordinary citizens of the DACF projects beneficiary communities who participated in the study to afford them equal chance of selection and minimize selection bias by the researcher.

#### *3.8.3 Third Level*

To ensure that all the forty-one (41) DACF projects the Lambussie District Assembly implemented got the same chance to be selected to participate in the building surveys the study conducted, a multistage sampling procedure was applied as follows:



All the forty-one (41) DACF projects were grouped into four (4) clusters conterminous with the four (4) area councils that there was in the district namely Lambussie, Hamile, Samoa and Karni Area Councils.

Secondly, details of all the forty-one (41) DACF projects were written on pieces of paper and placed in the four different bowls with each bowl containing only the list of projects that were implemented in each area council. Thereafter, the lottery method was used to randomly select four (4) projects that were implemented in four (4) different communities in each area council. In all, a total of sixteen (16) DACF projects which represented 39% (i.e. 16 out of 41) of the DACF projects the Assembly implemented were selected to participate the building surveys the study conducted. This number was sufficient to enable the successful conduct of the study because the generally accepted standard in sample size determination is that 30% and beyond of a sampled population is representative enough to draw meaningful conclusions in the conduct of research works (Kumar, 1999).

At the end of the processes, the projects that were selected to participate in the building surveys are presented in Table 3.2 below:



**Table 3.2: Projects the Study Selected for Building Surveys**

Area Council	Project	Location
Lambussie Area Council	Rehabilitation of Assembly Hall	Lambussie
	Construction of 1No. 2-unit classroom block with ancillary facility	Piina No. 1
	Construction of 3-unit classroom block	Hachagan
	Construction of 1 No. 4 seater KVIP	Gberikuo
Samoa Area Council	Construction of 1No. 2-bedroom semidetached staff quarters at Samoa health center	Samoa
	Renovation of 3-unit classroom block	Sina-Dindee
	Drilling of 1 No. borehole	Konsi
	Renovation and Extension of CHPs Compound	Suke
Hamile Area Council	Renovation of 1 No. health center	Hamile
	Rehabilitation of 1No. 2Bedroom teachers quarters	Chetu
	Construction of 1No. 2-unit classroom block with ancillary facility	Kalegan
	Rehabilitation of 1No. CHPS compound	Tapumu



**Table 3.2: Continued**

Area Council	Project	Location
Karni Area Council	Rehabilitation of 1No. 8-Bedroom Teachers Quarters	Karni
	Rehabilitation CHPS Compound	Kulkarni
	Construction of 1No. 2-unit classroom block with ancillary facility	Karni-Yiezie
	Construction of 1 no. 2-unit Kindergarten block at Karni Primary	Karni-Vuuma

**Source:** DACF projects the study subjected building surveys (June, 2018) NB: Multiple DACF projects

#### *3.8.4 Fourth Level*

To ensure that all the sixteen (16) DACF project beneficiary communities that are presented in Table 3.2 above got the same chance to be selected to participate in the focus group discussions the study organized, a multistage sampling method was applied as follows:

All the sixteen (16) communities were grouped into four (4) clusters conterminous with the four (4) area councils that there were in the district namely Lambussie, Hamile, Samoa and Karni Area Councils.



Secondly, details of all the sixteen (16) communities were written on pieces of paper and placed in four different bowls with each bowl containing the list of communities that pertained to each area council. Thereafter, the lottery method was used to randomly select two (2) communities in each area council. In all, a total of eight (8) communities which represented 50% (i.e. 8 out of 16) of the total number of communities within which the study conducted building surveys were selected further to participate in the focus group discussions it conducted to triangulate the findings of the building surveys. This number was sufficient to enable the successful conduct of the study because the generally accepted standard in sample size determination is that 30% and beyond of a sampled population is representative enough to draw a meaningful conclusions in the conduct of research works (Kumar, 1999).

At the end of the processes, the DACF project beneficiary communities that were selected to participate in the focus group discussions are presented in Table 3.2 below:

**Table 3.3: Communities the Study Selected for Focus Group Discussion**

Area Council	Project Beneficiary Community
Lambussie	Lambussie
	Gberikuo
Samoa	Samoa
	Sina-Dindee
Hamile	Chetu
	Kelegan
Karni	Karni-Vuuma
	Kulkarni

**Source:** Communities the in which the study conducted focus group discussions (June, 2018) NB: Multiple communities





### **3.9 Sources and Types of Data**

The study relied on primary and secondary data to answer its questions. Consequently, the study used secondary data on the DACF projects reports the Lambussie District Assembly prepared, M&E reports the institutions that exercised monitoring roles over the Assembly issued, as well as the M&E check lists they used to monitor and evaluate the performance of the Lambussie District Assembly at the initial stages to refine its design, select its methods and formulate the check list of questions it used to conduct interviews and focus group discussions with its respondents. Additionally, the study used secondary data to identify the theoretical frameworks and concepts that guided it and interpret its results.

### **3.10 Methods and Tools of Data Collection**

The following were the methods and tools the study employed to collect its data:

#### *3.10.1 In-Depth Interviews*

The study conducted in-depth interviews with twenty-nine (29) institutional M&E stakeholders in the Lambussie District as key informants. Among them included the District Coordinating Director, the Planning Officer, and the District Budget Analyst etc. A set of open-ended questions were developed based on the various themes that underpinned PM&E and the roles that each category of the study's respondents were required to play to facilitate the application of PM&E on the DACF projects the Lambussie District Assembly implemented were prepared to facilitate the interview processes. The use of the open-ended set of questions allowed the study to ask new questions as the interview sessions progressed.



The interviews were used to probe issues like how the Lambussie District Assembly applied PM&E on DACF projects as well as the effects and factors that affected application of PM&E on DACF projects (see Appendices two (2) and three (3) for details and content of all the interview guides the study used to facilitate interviews it conducted with its respondents) it implemented.

All the interviews the study conducted were then recorded using an audio tape with the expressed permission of its respondents. Thereafter, the study translated the recordings of all the interview sessions it conducted and transcribed them into English. Additionally, all the interviews study conducted included a short feedback session to ensure that the responses and ideas of the respondents of the study were captured accurately.

### *3.10.2 Focus Group Discussions*

The study conducted eight (8) Focus Group Discussions with citizens of the DACF project beneficiary communities composed as follows: assembly member, chairman and secretary of Unit Committees, one person living with disability, two women, one man and one head of local beneficiary institution(s) with identifiable headship(s). Consequently, each focus group was made up of eight (8) people that lived in the DACF project beneficiary communities based on Mattar's (cited by Sana, 2011) postulation that the number of participants in focus group discussions range between six and ten people.

The variegated composition of the focus group discussants allowed them to express varied opinions which enriched the outcomes of the focus group discussions. Additionally, the varied composition of the focus group discussants promoted the cross fertilization of ideas and allowed them to thoroughly debate all the various themes that



underpinned PM&E from a variety of perspectives, encouraged their full participation in the focus group discussions and generated insightful information.

The focus group discussions were used to probe issues like how the community stakeholders were involved by the Lambussie District Assembly to monitor and evaluate the DACF projects it implemented in their communities and the monitoring roles they exercised over the contractors that implemented the DACF projects in their communities. Additionally, the focus group discussions were used to probe the community stakeholders' perspectives on the outcomes their participation to monitor and evaluate the DACF projects that were implemented in their communities and how their involvement to monitor and evaluate the implementation of subsequent DACF projects could be enhanced by the Assembly.

A set of open-ended questions based on the various themes that underpinned PM&E and the roles the community stakeholders were required to play to facilitate its application on the DACF projects the Lambussie District Assembly implemented in their communities was prepared to facilitate the focus group discussions the study conducted. The use of open-ended set of questions allowed the study to ask new questions as the focus group discussion progressed (see appendix four (4) for the details and content of the FGDs guide the study was used to guide focus group discussions it conducted). Additionally, the study used Participatory Rural Appraisal (PRA) tools like mapping, matrix scoring and ranking, and flow diagrams (Chambers, 1994; Selener *et al.*, 1999; IIED, 2007) stimulate the focus group discussions it conducted where appropriate to facilitate reflection and make its respondents more analytical in their responses and increase their participation in its discourses.



The study conducted all its focus group discussion outdoors under shady trees. This provided a relaxed environment and facilitated the use of visual aids during the focus group discussions. Additionally, the study used an audio tape to record the focus group discussions it conducted with the expressed permission of its respondents. Thereafter, it translated and transcribed recordings of the focus group discussions it conducted into English. Furthermore, each focus group discussion session included a short feedback session to ensure that the responses and ideas of the respondents of the study were captured accurately.

### *3.10.3 Building Surveys*

Building surveys are a means to provide a detailed evaluation of a property's condition and involve an extensive inspection. Consequently, the study conducted building surveys on sixteen (16) DACF projects the Lambussie District Assembly implemented as follows: A visual inspection on the spot was conducted on all the sixteen (16) projects to identify, catalogue and record their conditions.

### **3.11 Methods and Tools of Data Analysis**

The study relied mainly on qualitative methods of data analysis to explore the themes that underpinned how the Lambusie District Assembly applied PM&E on DACF projects as well as the effects and factors that affected the application of this M&E typology on DACF projects. Pursuant to the achievement of this objective, the study used thematic coding techniques to summarize and analyze themes and construct that underpinned the application of PM&E (Cooper *et al.*, 1988; Lang *et al.*, 1999; Houghston *et al.*, 2001; Holahan *et al.*, 2001).



Additionally, the study conducted preliminary data analyses with its respondents in the field to eliminate bias in interpreting them. In situations where doubts arose later, follow-up visits were made to the sources of the information in question to clarify them. Furthermore, the study used the field notes it took in the field during its data collection exercises and secondary data it obtained from other sources to support its data analyses. This enabled it to examine the various themes that underpinned PM&E and provided it with a greater understanding of such issues.

Based on Krueger and King (1988) analysis continuum, the study carried out the following types of analyses:

1. Raw data: exact statements, facts and figures, ordered, categorized or classified;
2. Descriptive statement: summaries and brief descriptions, illustrations, the provision of typical or illuminating quotes, especially showing diversity;
3. Synthesis: filtration of preconceptions, expectations, personal opinions and separating biases and stereotypes. Cross-checking and validating and;
4. Interpretations: combining statements, field notes and observations with secondary data. Analyzing consistencies and inconsistencies with a view to provide clues for understanding.

Additionally, in analyzing its data, the study paid particular attention was to the following:

1. Establishing broad areas of consensus and or differences among its respondents on themes that underpinned PM&E and;
2. Drawing attention to differences in the responses that were authored by duty bearers and right holders in the district.



### 3.12 Ethical Standards

Researchers have responsibilities to respondents they involve in their studies. This is due to the fact that the participation of respondents in research works is often associated with data collection, analysis and presentation. Consequently, it is imperative for researchers observe a number of ethical standards in such endeavors (Singh, 2006). Pursuant to the achievement of this objective, the study engaged all stakeholders who had a stake in M&E in the Lambussie District and encouraged them to participate in its conduct.

Additionally, all the institutional M&E stakeholders that participated in the study were given ample and sufficient notice on the pendency of its conduct and the roles they were required to play to enable its successful conduct. Furthermore, study gave them sufficient and ample time to respond to its questions and conducted interviews and focus group discussions with them at their convenience.

Last but not the least, throughout its conduct, the study maintained the highest standard of ethics during all the engagements it had with all its respondents. Pursuant to the achievement of this objective, the study ensured strict adherence to the following ethical standards during its data collection exercises:

1. The study respected the dignity and welfare of all its respondents.
2. Again, the study respected the freedom and rights of its respondents to decline participating in it.
3. Additionally, the study ensured and maintained the confidentiality of all the data it collected from its respondent.
4. Furthermore, the study guarded against violating or invading the privacy of all its respondents.



5. Last but the least, the study anonymized the identity of its respondents (i.e. the study used code numbers instead of the names of its respondents to analyze their individual responses).

Most importantly, in keeping with Cooper et al. (2001) admonishment, the study was conducted in a manner that ensured that none of its respondents suffered any intentional harm, discomfort, mental anguish, embarrassment or loss of privacy.

### **3.13 Reliability and Validity**

Polit et al. (1993) refers to reliability as the degree of consistency with which a research instrument measures the attribute it is designed to measure. To spur the achievement of this objective, data collection instruments that are employed by research works should reveal consistency in the responses they elucidate from their respondents. Additionally, reliability can be achieved by minimizing sources of measurement error like data collector's bias. Pursuant to the achievement of these objectives, data collector's bias was minimized by the researcher serving as the only one who administered all the methods and instruments the study employed to collect its data (i.e. interviews, focus group discussions, building surveys and checklist of questions). Additionally, the researcher standardized the conditions under which the data of the study was collected by exhibiting similar personal attributes such as friendliness and rapport to all respondents of the study.

Content validity refers to the extent to which a research instrument represents the factors it studies (Polit *et al.*, 1993). To achieve content validity, the interviews and focus group discussion guides the study prepared to collect its primary data contained a variety of questions to assess the knowledge, opinions and experiences of all the stakeholders who had a stake in M&E on how the Lambussie District Assembly applied PM&E on DACF



projects as well as the effects and factors that affected the application of PM&E on the DACF projects that it implemented in its area of authority.

Additionally, the checklist of questions the study prepared to facilitate the interviews, focus group discussions and building surveys it conducted were based on the information it gathered in the course the literature it reviewed on how PM&E was required to be diligently applied on development initiatives.

Furthermore, the checklist of questions the study employed to conduct its interviews and focus group discussions were formulated in plain and simple language without ambiguities to enable its respondents to understand them.

Moreover, to achieve validity and shore up the ability of its data collection instruments to elucidate all the information they were designed to collect, all the checklist of questions the researcher prepared to collect primary data for the study were first submitted to his supervisor for review and guidance. The researcher's supervisor inputs and guidance helped to shore up their ability to elucidate all the information they were designed to collect.

Also, the study ensured external validity. Burns et al. (2001) refer to external validity as the extent to which the findings of a given research work can be generalized beyond the sampled units that are involved in it. Consequently, if the number of people that participate in a particular research work is insignificant, generalizing its findings will not be easy to justify. Therefore, the study explained it's rational (i.e. to contribute to knowledge of the policy and practice of decentralized M&E by the MMDAs in Ghana) to its respondents to encourage them to participate in it. This enlisted and sustained their





active participation in the study. Additionally, the study minimized the amount of time and other demands it made on all its respondents to enlist and sustain their active participation in it.

## CHAPTER FOUR

### RESULTS AND DISCUSSIONS

#### 4.1 Introduction

This chapter presents and discusses the results of the study. The demographic characteristics of the three (3) categories of the respondents of the study are first presented. The remaining sections of the chapter presents and discusses the results of the study based on its objectives.

#### 4.2 Demographic Characteristics of Respondents

The demographic characteristics of the respondents of the study was analyzed to facilitate the interpretation of its results. Pursuant to the achievement of this objective, the researcher solicited information regarding the research respondents' gender, level of education, number of years of professional experience etc.

Except the district director of health and the head of the Department of Social Welfare and Community Development, all other officials that manned the district and community level institutions were males. This one sided male-female ratio the study unearthed is in consonance with the traditional dominance of males in most professions in Ghana and the assertion made by Amponsah (cited by Dugele, 2014) that females are generally in the minority in handling managerial positions in most organizations in Ghana.



This phenomenon meant that females were not adequately positioned as M&E stakeholders and therefore were not adequately involved to monitor and evaluate the DACF projects that were implemented in the district. Potentially, it also meant that the needs of females stood a high risk of not being addressed by the DACF projects that were implemented in the district.

Furthermore, the level of education of the community level respondents ranged from having no form of formal education to acquiring basic, secondary and tertiary education; while the district level respondents' attained tertiary education and more. This meant that one of the conditions that facilitates the application of PM&E on development initiatives as argued by Cracknell (2000) was available in the district. However, the Assembly failed to leverage this potential to facilitate the application of PM&E on the DACF projects it implemented in its area of authority as demonstrated in the other sections of the chapter.

#### **4.3 Results and Discussion**





**Figure 4.1: Involvement of Stakeholders in the M&E processes**

Research Objective	Views of Different Stakeholders	Views of Different Stakeholders		
		Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To examine how the Lambussie District Assembly applied PM&E DACF projects	<p>inclusion of PM&amp;E clauses in contracts and awareness by stakeholders</p>	<p>PM&amp;E clauses were not included in contractual agreements the Assembly entered into with service providers that implemented DACF projects</p>	<p>Staff of decentralized departments had no knowledge on the inclusion of PM&amp;E clauses in contractual agreements that the Assembly entered into with service providers that implemented DACF projects</p>	<p>Community stakeholders had no knowledge on the inclusion of PM&amp;E clauses in contractual agreements that the Assembly entered into with service providers that implemented DACF projects in their communities</p>
	<p>access to DACF contracts by stakeholders</p>	<p>The Assembly did not make DACF contract documents available to its stakeholders</p>	<p>DACF contract documents were not made available to staff of decentralized departments</p>	<p>DACF contract documents were not made available to community level stakeholders</p>



**Figure 4.1 continued**

Research Objective	Views of Different Stakeholders		
	Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To explore how Lambussie District Assembly staff and community level stakeholders perceived the implementation of DACF projects	Key stakeholders at the district and community levels were not engaged and encouraged to take a stake in DACF projects that were implemented	Staff of decentralized departments were not engaged and encouraged to take a stake in DACF projects that were implemented	Community level stakeholders were not engaged and encouraged to take a stake in DACF projects that were implemented
To explore how Lambussie District Assembly staff and community level stakeholders perceived the impact of baseline studies on participation in DACF projects	Baseline studies were not conducted to collect information against which changes that were caused by DACF projects were objectively attributed to	Staff of decentralized departments did not participate in baseline studies to provide information against which changes that were caused by DACF projects were objectively attributed to	Community level stakeholders did not participate in baseline studies to provide information against which changes that were caused by DACF projects were objectively attributed to



ntinued

Research Objective	Views of Different Stakeholders	Views of Different Stakeholders		
		Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To evaluate how Lambussie District Assembly applied PM&E DAC projects	<p>Views of Different Stakeholders</p>	<p>Staff of Lambussie District Assembly</p>	<p>Staff of Decentralized Departments</p>	<p>Community Level Stakeholders</p>
<p>vement of holders in Lambussie District Assembly DACF projects that were implemented</p>	<p>Only the directors of agriculture, health and education that were issued invitation letters and taken round by the Assembly to monitor and evaluate DACF projects in each quarter</p>	<p>Except the directors of agriculture, health and education, other heads of decentralized departments were not taken round by the Assembly to monitor and evaluate DACF projects</p>	<p>Only the chiefs and assembly members of project beneficiary communities were taken round by the Assembly to monitor and evaluate DACF projects</p>	
<p>vement of holders in decision making processes</p>	<p>Staff of the Assembly prepared M&amp;E checklists, employed them during M&amp;E exercises and evaluated their findings</p>	<p>Staff of decentralized departments did not participate in the preparation of M&amp;E checklists, did not employ them during M&amp;E exercises and were not involved to evaluate their findings</p>	<p>Community level stakeholders did not participate in the preparation of M&amp;E checklists, did not employ them during M&amp;E exercises and were not involved to evaluate their findings</p>	



**Source:** Different views expressed by the research participants (June, 2018) NB: Multiple responses

Pali et al. (2005) argues that contractual agreements are important in the management of contracts because they spell out the obligations and duties of parties that are engaged in them and provide them the mechanisms they use to manage them. However, it emerged from the results of the study that the Lambussie District Assembly did not include PM&E clauses in the contractual agreements it entered into with the service providers it engaged to implement DACF projects in its area of authority. This empirical finding meant that the service providers the Assembly engaged to implement its DACF projects were not obliged to allow their works to be scrutinized by stakeholders who were not staff of the Assembly. For example, a community stakeholder told the researcher that “when I once attempted prompting a contractor that his artisans were not executing quality workmanship, he retorted! Who are you to meddle in my work?” Therefore, the study argues that the Lambussie District Assembly failed to provide space for its stakeholders in the contracts it entered into with the service providers it engaged to implement its DACF projects to exercise monitoring roles over them. This contributed to their poor outcomes as discussed in the other sections of this chapter.

The World Bank (2010) argues that PM&E offers an opportunity for development agencies to orient beneficiaries of their development initiatives to own and sustain their management. Pursuant to achievement of these objectives, the study argues that development agencies should engage their stakeholders and encourage them to take a stake in development initiatives they intend to implement prior to their actual implementation. However, it emerged from the results of the study that the Lambussie District Assembly failed to engage its stakeholders and encourage them to take a stake in the DACF projects it implemented prior to their actual implementation. Consequently,



the study argues that the Lambussie District Assembly executed its M&E processes in a manner that did not afford it an opportunity to orient the beneficiaries of the DACF projects it implemented to own and sustain their management. For example, a staff of the Assembly stated to the researcher that “after providing DACF projects for our communities, they still depend on us to maintain them when they breakdown”.

Moreover, Biekart (2005) and Cornwall et al. (2006) argue that for people to be empowered through participation, they should be actively involved in the decision-making processes, accorded the power to influence their outcome and participate actively in their implementation. However, it emerged from the results of the study that the Lambussie District Assembly did not involve its stakeholders to prepare its M&E checklists, provide them opportunities to employ them during their M&E exercises and involve them to evaluate their findings. Therefore, the study argues that the Lambussie District Assembly applied a tokenism form of participation and involved its stakeholders as observers to monitor and evaluate the DACF projects it implemented. Additionally, the study argues that this empirical finding suggest that the staff of the Assembly have a capacity challenge on what encapsulates the continuum of PM&E and principles of authentic participation. Overall, on the strength of these observations, the study argues that the Lambussie District Assembly failed to harness, build the capacity of its stakeholders and channel their energies to monitor and evaluate the DACF projects it implemented. This contributed to their poor outcomes as discussed in other sections of this chapter. For example, a staff of the Assembly opined that “if we had empowered our stakeholders to exercise monitoring roles over the contractors we engaged to implement our DACF projects, they would have helped us to shore up their quality of implantation”.







Furthermore, the study argues that the failure of the institutions that have monitoring jurisdiction over the Assembly to make a determination that the observations the study discussed in the paragraphs above did not amount to a satisfactory application of PM&E nor complied with the principles of authentic participation demonstrates that they also have a capacity challenge on what encapsulates the continuum of PM&E and principles of authentic participation. This assertion is based on the fact that the study found no evidence that any of them ever raised a concern in any of the M&E reports they issued to the Assembly that the processes it applied in its M&E processes did not amount to a satisfactory application of PM&E on the DACF projects it implemented nor complied with the principles of authentic participation. Therefore, the study argues that the institutions that have monitoring jurisdiction over the Assembly failed to diligently supervise its work. This contributed to the poor manner the Assembly involved its stakeholders to monitor and evaluate the DACF projects it implemented and resulted in their poor outcomes as discussed in other sections of this chapter.

Overall, on the strength of the forgoing discussions, the study argues that the Lambussie District Assembly failed to discharge the obligations that Article 83 Section 1b of the Local Governance Act of 2016, (Act 936) and the 2013-2017 M&E guidelines of the NDPC imposed on it to implement its development and settlement structure plans with the full participation of the communities that are located in its area of authority.

Moreover, proponents of the right-based approach to development advocate that citizens should be empowered to recognize, claim their rights and make duty-bearers honor their responsibilities to them. Contrary to this proposition, it emerged from the results of the study that the capacity of the citizens in the Lambussie District was not built enough to

enable them recognize, claim their rights and make staff of the Assembly honor their responsibility to involve them to monitor and evaluate the DACF projects they implemented in their communities. This contributed to dereliction of duty by the staff of the assembly and contributed to the poor manner they involved them to monitor and evaluate the DACF projects they implemented in their communities. For example, a respondent of the study stated that “because we depend on the Assembly for many things, we are afraid to do anything that may annoy them”. Therefore, the study argues that the inability of the citizens of the Lambusei District to recognize, claim their rights and make staff of the Assembly honor their responsibility to involve them to monitor and evaluate the DACF projects they implemented in their communities encouraged dereliction of duty by staff of the Assembly and contributed to the poor manner they involved them to monitor and evaluate the DACF projects they implemented in their communities. This contributed to their poor outcomes as discussed in the other sections of this chapter.



**Figure 4.2: Factors that Affected Involvement of Stakeholders in the M&E Processes**

Research Objective	Views of Different Stakeholders		
	Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To evaluate the extent to which the application of PM&E on projects	<ul style="list-style-type: none"> <li>The NDPC's 2013-2017 M&amp;E guidelines did not provide detailed framework to guide them on how to apply PM&amp;E on development initiatives that were implemented in its area of authority</li> <li>Weak capacity for PM&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>Lack of commitment by staff of the Assembly</li> <li>The institutions that had monitoring jurisdiction over the Assembly failed to engage decentralized departments during their M&amp;E exercises</li> </ul>	<ul style="list-style-type: none"> <li>Weak ability to recognize, claim their rights and hold staff of the Assembly to honor their responsibilities</li> </ul>



Figure 4.2 continued

Research Objective	Views of Different Stakeholders	Views of Different Stakeholders		
		Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To evaluate the impact of that at the application of 1 on projec	<p>Views that</p> <p>ed the</p> <p>ation of</p> <p>on the</p> <p>mentation of</p> <p>projects</p>	<ul style="list-style-type: none"> <li>Over concentration of politicians on the implementation of physical projects</li> <li>The institutions that had monitoring jurisdiction over the Assembly failed to conduct empirical studies to identify and address capacity gaps of the staff of the Assembly</li> <li>Inadequate logistics</li> </ul>	<ul style="list-style-type: none"> <li>Poor application of sanctions encouraged dereliction of duty by the staff of the Assembly</li> </ul>	



**Source:** Different views expressed by the research participants (June, 2018) NB: Multiple responses

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New institutional economists argue that all human beings are subject to ‘bounded rationality’. The logic of the principle of bounded rationality is that decision makers irrespective of their level of intelligence, work under the following unavoidable constraints. Only limited and often unreliable information is available regarding possible alternatives and their consequences. Secondly, the human mind has a limited capacity to process and evaluate the information that is available. Finally, only a limited amount of time is available for decision-making. Consequently, the new institutional economists argue that all individuals who intend to make rational choices are bound to make satisficing choices in complex situations. Therefore, to solve the problem of bounded rationality, the study argues that no ‘complex situation’ should be created to allow the staff of the MMDAs an opportunity to make satisficing decisions and render poor services to their citizens. However it emerged from the results of the study that The NDPC’s 2013-2017 M&E guidelines failed to provide detailed framework to guide the staff of the Assembly on how they were required to apply PM&E on the development initiatives they implemented. Consequently, some respondents argued that in the absence of a clearly articulated continuum of PM&E by the NDPC’s 2013-2017 M&E guidelines, staff of the Assembly made satisficing decisions and poorly applied same on the DACF projects they implemented. For example, one of the staff of the assembly stated to the researcher that “in the absence of clear instructions, we applied PM&E on the DACF projects we implemented as we understood it from reading the NDPC’s M&E guidelines”. Therefore, the study argues that the gap that existed in the NDPC’s 2013-2017 M&E guidelines incapacitated staff of the Assembly to discharge their duty to apply

PM&E satisfactorily on the DACF projects they implemented. This contributed to their poor outcomes as discussed in other sections of this chapter.

Secondly, some respondents argued that the DCE of the district concentrated on implementing physical projects because that provided him an opportunity to make money through kickbacks. For example, a respondent questioned the researcher “how do you think the former the DCE who was a poor teacher prior to his appointment made his wealth? He did so by taken 10% of all the contracts he awarded when he was in office from the contractors who implemented our DACF projects”. Consequently, they argued that the DCE did not appreciate releasing resources to implement none physical projects including involving stakeholders to monitor and evaluate the DACF projects that were implemented during his reign. For example, another respondent told the researcher that “the former DCE once told me that he would never release resources to implement projects he cannot point to as his achievement”. Therefore, the study argues that the inability of the DCE to appreciate the effective monitoring roles the stakeholders of the Assembly could have exercised over the contractors who implemented the DACF projects that were implemented during his reign accounted for his reluctance to release resources to enable same.

Thirdly, other respondents argued that the institutions that have monitoring jurisdiction over the Lambussie District Assembly failed to conduct empirical studies to discover, design and implement training programs to address their capacity gaps. For example, a staff of the Assembly told the researcher that “ever since I joined the Local Government Service years ago, no study has ever been conducted to objectively assess our capacity gaps”. Consequently, they argued that the failure of the institutions that had monitoring



jurisdiction over the Assembly to conduct empirical studies vitiated their ability to discover, design and implement training programs to address their capacity gaps and enable them apply this M&E typology satisfactorily on the DACF projects they implemented.

Fourthly, Brinkerhoff (2001) argues that within the continuum of accountability, answerability refers to the obligation to provide information and explanations concerning decisions, actions and inactions while enforcement is the ability to oversee actors and apply sanctions when they give unsatisfactory answers. Therefore, the study argues that among other things, the effective application of PM&E on the DACF projects the Assembly implemented depended on effective supervision of the staff of the Assembly by the DCD in particular and DCE in general. This assertion is based on the fact that the DCE is the political head of the Assembly while the DCD is its administrative head and principal advisor to the DCE. However, some respondents argued that the capacity of DCD and DCE were not built enough to enable them understand and apply the standards they are required to enforce in the Assembly. For example, one of the staff of the Assembly told the researcher that “I can show you copies of memos that the DCD and DCE have failed to approve to enable us to involve our stakeholders in our M&E exercises”. Consequently, the study argues that the ineffective supervision of the staff of the Assembly by the DCD and DCE created a lax environment for their dereliction of duty and contributed to the poor manner they applied PM&E on the DACF projects that they implemented.

Finally, proponents of the right-based approach to development advocate that citizens should be empowered to recognize, claim their rights and make duty-bearers honor their





responsibilities. However, it emerged from the results of the study that contrary to this proposition, the capacity of the citizens of the Lambussie District was not built enough to enable them recognize, claim their rights and make staff of the Assembly honor their responsibility to involve them to monitor and evaluate the DACF projects they implemented in their communities. For example, a citizen in one of the communities stated that “because we depend on the Assembly for many things, we are afraid to do anything that may annoy them”. Therefore, the study argues that the inability of citizens of the Lambusse District to recognize, claim their rights and make staff of the Assembly honor their responsibility to involve them to monitor and evaluate the DACF projects they implemented in their communities encouraged dereliction of duty by the staff of the Assembly and contributed to the poor manner they involved them to monitor and evaluate the DACF projects that they implemented in their communities.



**Figure 4.3: Effects of PM&E on the Outcomes of DACF Projects**

Research Objective	Views of Different Stakeholders		
	Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To assess the effectiveness of PM&E on the outcomes of DACF projects	<ul style="list-style-type: none"> <li>• Poor DACF projects sustainability</li> <li>• Poor attitude of the public to civic responsibilities</li> </ul>	<ul style="list-style-type: none"> <li>• Poor quality of DACF projects</li> <li>• High cost of maintaining DACF projects</li> </ul>	<ul style="list-style-type: none"> <li>• Poor local ownership of DACF projects</li> <li>• Corruption and wastage of the DACF</li> </ul>

Source: Different views expressed by the research participants (June, 2018) NB: Multiple responses



Furthermore, the study subjected sixteen of (16) DACF projects the Lambussie District Assembly implemented in its area of authority to building surveys to triangulate the views the respondents expressed on the effects that the poor application of PM&E caused on the outcomes of the DACF projects the Lambussie District Assembly implemented in its area of authority. Results of the building surveys are presented in Table 4.4 below:



**Defects the Study Observed and Recorded on DACF Projects**

Area	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Samoa Council	Samoa	134,765.00	10/06/2014	02/03/15	<ul style="list-style-type: none"> <li>• General cracks on the on the floor</li> <li>• Dislocation of the ceiling joist and noggins</li> <li>• Peeling off of paint</li> <li>• General cracks on the walls</li> <li>• Door frames decay/rot</li> <li>• Severe cracks on the septic tank</li> </ul>
	Sina-Dindee	24,531.10	15/07/15	15/09/15	<ul style="list-style-type: none"> <li>• Severe cracks on the walls</li> <li>• Poor dressing of the verandah edges</li> <li>• General cracks on the floor</li> </ul>
	Konsi	23,670.00	5/11/15	5/4/2016	<ul style="list-style-type: none"> <li>• The facility broke down a month after it was commissioned</li> </ul>



continued

Area Council	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Samoa Council	Suke	37,785.80	25/04/16	25/07/16	<ul style="list-style-type: none"> <li>• Faulty electrical connection</li> <li>• General cracks on the floor</li> <li>• General cracks on the walls</li> </ul>
Karni Council Karni Council	Karni	32,808.68	25/04/16	25/07/16	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• Windows decay/rot</li> <li>• General floor cracks/ peeling off</li> </ul>
Karni Council	Kulkarni	41,402.00	19/02/15	19/06/15	<ul style="list-style-type: none"> <li>• General cracks on the floor</li> <li>• General cracks on the walls</li> <li>• Decay off of the facia board</li> <li>• Roof leakage at the OPD</li> <li>• Roof leakages at the CHO's bedroom</li> <li>• General cracks on the water tower</li> </ul>



Continued

Area Council	Description	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Karni Council	Construction of 8-room Teachers' Quarters	Karni	32,808.68	25/04/16	25/07/16	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• Windows decay/rot</li> <li>• General floor cracks/ peeling off</li> </ul>
Karni Council	Construction of 2-classroom block ancillary	Karni-Yiezie	87,001.03	5/11/15	5/4/2016	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• General cracks on the beams</li> </ul>
Hamile Council	Construction of 2-Kindergarten at Karni	Karni-Vuuma	98,090.93	10/06/2014	10/11/2014	<ul style="list-style-type: none"> <li>• General wall cracks</li> <li>• General floor cracks</li> </ul>



Continued

Area	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Hamile Council	Hamile	65,950.00	10/06/2014	10/11/2014	<ul style="list-style-type: none"> <li>• Peeling off of the paint at the OPD</li> <li>• Severe roof leakage</li> <li>• General cracks on the verandah</li> <li>• General cracks on the walls</li> <li>• Cracks on the apron</li> </ul>
Construction of 2-classroom block ancillary	Chetu	18,063.78	28/01/16	28/04/16	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• Cracks on the aprons</li> </ul>
Construction of 2-classroom block ancillary	Kalegan	87,001.03	5/11/15	5/4/2016	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• Severe cracks on the ramp</li> </ul>



**ntinued**

Area Co	t	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Lambussie Area Co	Rehabilitation of Assembly Hall	Lambussie	99,341.41	22/08/14	22/01/15	<ul style="list-style-type: none"> <li>• Severe roof leakage</li> <li>• Ceiling decay/rot</li> <li>• Dislocation of the ceiling joist and noggins</li> </ul>
	Construction of 2-unit room block ancillary	Piina No. 1	87,203.03	5/11/15	5/4/2016	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> </ul> <p>General cracks on the apron</p>
	Construction of 3-classroom block	Hachagan	165,005.61	28/06/16	28/12/16	<ul style="list-style-type: none"> <li>• General cracks on the walls</li> <li>• Severe cracks on the on the floor</li> <li>• Cracks on the aprons</li> </ul>





ntinued

Area Cc	ct	Location	Contract Sum	Award Date	Date Commissioned	Defects that were observed
Lambus Area Cc	truction of 1 seater KVIP	Gberikuo	23,516.48	25/03/14	15/06/14	<ul style="list-style-type: none"> <li>• Severe cracks on the aprons</li> <li>• Severe cracks on the verandah</li> <li>• Severe cracks on the floors</li> <li>• Windows decay/rot</li> <li>• Peeling off of paint</li> </ul>

Defects on the DACF projects in the Lambussie District (June, 2018) NB: Multiple defects





Respondents observed that the Lambussie District Assembly applied its M&E processes in a manner that did not afford it an opportunity to orient the beneficiaries of the DACF projects it implemented to own and sustain their management. Consequently, they argued that the Assembly failed to orient the beneficiaries of the DACF projects it implemented to own and sustain their management. For example, a respondent of the study stated that “the Assembly spent additional resources to renovate this school block barely two years after it handed it over to us”. Another respondent wondered “Why should we contribute our resource to maintain the DACF projects that are provided for us by the Assembly?” Therefore, the study argues that the level of ownership and sustainability of the DACF projects the Lambussie District Assembly implemented in its areas of authority is questionable.

Additionally, the results of the building surveys the study conducted showed that the DACF projects the Lambussie District Assembly implemented had many defects which meant that they were poorly implemented. Consequently, the study argues that the nature of the defects and level of deterioration they have suffered in less than three (3) years of their existence is attributable to non-adherence to the ratios of the bills of quantities and other specifications the Assembly spelt out in their respective contracts by the contractors who implemented them. This assertion is based on the fact that the Assembly designed the ratios of the bills of quantities and other specifications it spelt out in its DACF projects contracts to guarantee them a minimum of six (6) years of existence with a minimal or no visible signs of deterioration. This account for the reason why the study argues that the MMDAs should actively involve their stakeholders in their development management processes and utilize their utility to spur the application of PM&E on

development initiatives they implement. Community stakeholders live in communities where development initiatives are implemented and are therefore better positioned to police their contractors to adhere to the ratios of the bills of quantities and other specifications they spell out in their contracts, ensure the execution of quality work and guarantee them value on the resources they expend on their provision. However, this can only be achieved if the MMDAs actively involve their stakeholders in their development management processes, make detailed information of the contracts of development initiatives they implement available to them, break them to their understanding, empower them to monitor and evaluate their implementation through diligent application of PM&E to leverage the enormous benefits of this M&E typology to effectively alleviate poverty in their areas of authority.



**Figure 4.5: Respondents' views on how the application of PM&E can be enhanced**

Research Objective	Theme	Views of Different Stakeholders		
		Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders
To ensure concrete measures are taken to enhance the application of DACF will subsequent cycles	How the application of PM&E can be enhanced on the implementation of subsequent DACF projects	<ul style="list-style-type: none"> <li>DCEs should be oriented to strike a healthy balance between the implementation of physical and non-physical projects</li> </ul>	<ul style="list-style-type: none"> <li>The institutions that have monitoring jurisdiction over the Assembly should institute and implement effective sanction regime</li> </ul>	<ul style="list-style-type: none"> <li>The NCCE and other agencies should be adequately resourced to intensify education of the public on civic education</li> </ul>

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**e 4.5 continued**

Researcher	Theme	Views of Different Stakeholders			
		Staff of Lambussie District Assembly	Staff of Decentralized Departments	Community Level Stakeholders	
To conc how enh of proj impl subs cycl	with s on can ation ACF will in ming	how the application of PM&E could be enhanced on the implementation of subsequent DACF projects	<ul style="list-style-type: none"> <li>Application of PM&amp;E should be incorporated into the performance contracts DCDs sign with DCEs</li> <li>Institutions that have monitoring jurisdiction over the Assembly should conduct periodic studies to discover, design and implement training programs to address capacity challenges of its staff</li> </ul>		



ce: Different views expressed by the research respondent (June, 2018) NB: Multiple responses



Some respondents advocated that institutions that have monitoring jurisdiction over the Assembly should conduct empirical studies at regular intervals to enable them discover, design and implement training programs to address capacity gaps that hinder effective performance of the duties of the staff of the Assembly. For example, a respondent observed that “if the institutions that monitor our work conduct empirical studies at regular intervals, it will enable them to identify and organize training programs to equip us to deliver efficiently on our mandate”.

Some respondents observed that the Upper West Regional Coordinating Council during its monitoring exercises only reviewed documents and reports that the staff of the Assembly prepared without verifying their contents from the stakeholders they supposedly involved to monitor and evaluate development initiatives they implemented. Consequently, they argued that this gap created an opportunity for staff of the Assembly to concoct involving them to monitor and evaluate the DACF projects they implemented. For example, one of the respondents stated that “over the years, staff of the Assembly ‘cook’ documents to show that they involve us in their monitoring exercises only as a means to pass their FOAT assessments”. Consequently, they advocated that the Upper West Regional Coordinating Council should engage the heads of decentralized departments of the Lambussie District Assembly during their monitoring exercises to triangulate claims the staff of the Assembly may make in respect of involving them to monitor and evaluate development initiatives that they implement in the district.

Lastly, other respondents advocated that the government should be adequately resource the NCCE and other agencies to intensify their efforts to educate citizens of the district to enable them recognize, claim their rights and make staff of the Assembly honor their

responsibility to involve them to monitor and evaluate development initiatives they implement in their communities. For example, a respondents questioned the researcher “how can we demand to be involved by the Assembly to monitor and evaluate the DACF projects it implemented in our communities when we are unaware that we have such rights?”

#### **4.4 Proposals on how the MMDAs can enhance the Application of PM&E on the Implementation of DACF projects**

It is important to state that the all the DACF projects the Lambussie District Assembly implemented between 2013 and 2017 were building structures and boreholes. Consequently, the study has developed proposals on how the MMDAs can enhance the application of PM&E on building structures and boreholes they will implement in subsequent planning cycles. Secondly, the PM&E continuum that the study has developed is an adaptation of the Pali et al. (2005) continuum of PM&E and explained as follows:

##### *4.4.1 Pre-implementation Activities*

Many scholars argue that PM&E contributes to the effective implementation of development initiatives, facilitate the mobilization of resources for development, build the capacity of stakeholders, ensure the sustainability of development initiatives and appreciate people as drivers of effecting change in communities. Pursuant to achievement of these benefits, the study proposes that prior to the actual implementation of the DACF projects that the MMDAs will implement in subsequent planning cycles, they should engage their beneficiary institutions and stakeholders and encourage them to take a stake in their implementation and management as follows:



1. In instances where the MMDAs are to build structures in subsequent planning cycles, they are encouraged to animate the institutional stakeholders and or communities where they are to be built to own and sustain them.
2. After such structures are built, the MMDAs are encouraged to task their beneficiary institutions (e.g. GHS, GES, etc.) and or communities to routinely maintain them.
3. Additionally, the study encourages the MMDAs to train and task their beneficiary institutions and or communities to prepare and implement plans to maintain them.
4. Faintly, the study encourages the MMDAs to monitor the operations of such facilities during their quarterly M&E exercises to ensure their managers strictly adhere to and diligently implement their routine maintenance plans.

Additionally, in instances where the MMDAs are to drill boreholes in subsequent planning cycles, they are encouraged to engage their institutional stakeholders and or communities where such facilities are to be drilled and encouraged them to take a stake in their implementation and management as follows:

1. Animate the beneficiary institutions and or communities to own and sustain them.
2. After the boreholes are drilled the study encourages the MMDAs to form water and sanitation management teams (W&SMTs) for their beneficiary communities base on the Community Water and Sanitation Agency's (CWSA's) guidelines (i.e. not more than 9 members in small communities and not more than 13 members in large communities with women making up of not less than 40% of its membership).





3. Moreover, the study encourages the MMDAs to task their W&SMTs to consult their communities and or institutions to determine, collect and deposit an amount of money in their bank accounts and use same to finance their routine maintenance.
4. Additionally, the study encourages the MMDA to train their W&SMTs on how they should efficiently manage their boreholes.
5. Furthermore the MMDAs are encouraged to train and task their W&SMTs to prepare and implement plans to maintain them.
6. Faintly, the MMDAs are encouraged to monitor the usage of the boreholes they will drill in subsequent planning cycles to ensure that their W&SMTs strictly adhere to and diligently implement the routine maintenance plans they have prepared.

#### *4.4.2 PM&E Continuum*

The study proposes that MMDAs should adopt Chambers (cited by Muriungi, 2015) appreciative inquiry approach to animate their stakeholders to inquire into the best of what PM&E is (i.e. the benefits that the application of PM&E will accrue to their DACF projects), in order to imagine what PM&E could be (i.e. how the application of PM&E will enhance the effectiveness of their DACF projects), followed by a collective design of a desired future state that is so compelling (i.e. how the application of PM&E will ensure that they get value from the taxes that they apply to provide them DACF projects in their communities) and thus, will not require them to use incentives to stimulate them to actively participate in their DACF development management processes.



#### 4.4.2.1 Engage Stakeholders and Decide on the Objective of PM&E

Stakeholder analysis is a tool that is used by development agencies to identify the stakeholders of development initiatives they implement and assess their interests (Grimble *et al.*, 1995). Stakeholders include all those who can affect or are affected by policies, decisions and programs development agencies implement. Consequently, involving all stakeholders is critical to mainstreaming their variegated perspectives to apply PM&E on development initiatives that development agencies implement and create ownership of such processes. Additionally, stakeholder analysis is used to identify stakeholders' interests, their roles and responsibilities and strategies that development agencies should employ to enlist and sustain their stakeholders to actively participate in their development management processes (Pali *et al.*, 2005). Consequently, a detailed stakeholders analyses ensures that the key stakeholders of development initiatives that are implemented by development agencies are not left out their development management processes.

However, it is important for the MMDAs to bear in mind that no typology of M&E can by itself single handedly answer all potential questions equally well. Therefore, this means that they will have to employ some processes to narrow down the range of possible questions that their M&E exercises should focus on which in turn necessitates focusing on a narrow list of potential stakeholders that form the group of what Patton (cited by Akanbang, 2012) refers to as the primary intended users that they should involve in their M&E exercises. Consequently, the study proposes that the MMDAs should involve the following stakeholders to monitor and evaluate the DACF projects they will implement in subsequent planning cycles;



1. District heads of their beneficiary institutions (e.g. district director of health etc.).
2. Where applicable, local heads of their beneficiary institutions (e.g. headmaster of an existing school, CHO of an existing CHPS compound etc.).
3. Chiefs of their beneficiary communities.
4. Assembly members of their beneficiary communities.
5. Chairpersons and secretaries of their beneficiary communities' Unit Committees.
6. One person living with disability (PWD).
7. Two women.

Therefore, the study proposes that the MMDAs should involve a maximum of eight (8) stakeholders to monitor and evaluate the DACF projects that they will implement in subsequent planning cycles.

#### *4.4.2.2 Build Capacity for Understanding PM&E Concepts and Principles*

Thereafter, the MMDAs are encouraged to convene a meeting of the stakeholders of the DACF projects that they will implement to develop a common understanding (and local vocabulary where necessary) of concepts and principles such as participation, monitoring, evaluation, indicators etc. using a variety of methods and tools (Pali *et al.*, 2005). It is also important for the MMDAs to bear in mind that capacity development involves discussing how PM&E exercises can shore up the quality of the work that the contractors that they will engage will deliver to implement the DACF projects they will implement. Consequently, the MMDAs are encouraged to use such meetings to develop a common understanding of the concepts and goals that will underpin their PM&E processes, identify local vocabulary and terms that are equivalent to technical terms such as monitoring, evaluation, participation, indicators etc. (ibid, 2005).



#### 4.4.2.3 Decide on what to Monitor

Thereafter, the stakeholders of the MMDAs should begin the implementation of their PM&E process by developing a common vision, measurable results and processes they will employ to monitor and evaluate the DACF projects that they will implement (Pali *et al.*, 2005). A systematic processes for developing results by the MMDAs can apply the continuum of the 'impact chain' analysis which includes the impact, outcomes, outputs etc. that the DACF projects they will implement will occasion in their areas of authority. In the continuum of the impact chain analysis, several activities contribute to an output, several outputs contribute to an outcome, and several outcomes contribute to an impact. Additionally, the continuum of the impact chain analysis include processes such as the approaches, strategies, and methods that the MMDAs will employ to achieve the results of their PM&E exercises and describe what will happen to (and between) their stakeholders while their DACF projects are being implemented (ibid, 2005). Consequently, the MMDAs are encouraged to conduct baseline studies to collect information against which they can objectively attribute the changes (positive and or negative) that the DACF projects they will implement in their areas of authority will be occasioned to.

Additionally, given that the DACF is mostly used to provide infrastructure facilities, the study proposes that the MMDAs and their stakeholders should use the various stages of building a structure namely; digging trenches of foundation, casting foundation concrete, laying foundation blocks etc. and other specifications that they will spell out in the contracts that they will enter into with the service providers that they will engage to



implement them to develop a common vision, measurable results and the processes that they will employ to monitor and evaluate their implementation.

#### *4.4.2.4 Develop Indicators*

According to Hart and McSweeney (cited by Pali *et al.*, 2005) indicators are pieces of information that will help the MMDAs and their stakeholder to understand where they are, which way they are going and how far they are from where they want to be. Consequently, indicators constitute the means which the MMDAs and their stakeholders will use to track the progress they will make to achieve the results of the DACF projects they will implement and compare them to their targets to measure their level of satisfaction and disseminate results of their PM&E exercises. Additionally, indicators constitute the means that the MMDAs and their stakeholders can use to measure their actual results against their planned targets in terms of quality, quantity and time lines (ibid, 2005). However, the MMDAs are encouraged to bear in mind that selecting the best indicators is not an easy exercise because it is a balancing act between choosing what is locally-relevant and what can be applied widely by most of their stakeholders. Moreover, the MMDAs are encouraged to bear in mind that the indicators that they will select should enable them to capture tangible and intangible changes that the DACF project they will implement will occasion in their areas of authority.

Furthermore, the study proposes that the MMDAs and their stakeholders should use brainstorming sessions to develop the indicators that they will employ to measure the changes that the DACF projects they will implement will occasion. Consequently, the MMDAs are encouraged to bear in mind that using small groups for their brainstorming exercises will yield maximum contributions from majority of the members of their



communities to reflect their diversity (Pali *et al.*, 2005). Here again, given that the DACF is mostly used to provide physical projects, the study encourages the MMDAs and their stakeholders to use the ratios of the bills of quantities and other specifications that they will spell out in the contracts that they will enter into with their service providers to implement their DACF projects to formulate the indicators that they will use to monitor and evaluate their implementation. Consequently, the study proposes that the MMDAs should make detailed information of the contracts of the DACF projects that they will implement in subsequent planning cycles available to their stakeholders, break them down to their understanding, empower them to monitor and evaluate their implementation through diligent application of PM&E to leverage the enormous benefits of this M&E typology to effectively alleviate poverty in their areas of authority.

#### *4.4.2.5 Organize for PM&E*

The MMDAs are encouraged to break down the bills of quantities and other specifications that they will spell out in their DACF contracts to the understanding of their stakeholders and utilize same to synthesize their results, formulate indicators and targets that they will use to monitor and evaluate the DACF projects that they will implement in subsequent planning cycles. Additionally, the MMDAs are encouraged to use the work plan of the contractors that they will engage to implement their DACF projects to determine the frequencies of their data collection, analyses and reporting timelines. Consequently, the study recommends that MMDAs and their stakeholders should collect data, analyze same and discuss their findings at the beginning and at the end of each set of activities that their contractors will undertake to implement each phase of their DACF projects. Furthermore, the study encourages the MMDAs to develop



targeted baseline indicators to provide them the starting points from which they can measure changes and assess whether they have occurred or not.

Moreover, study recommends that the MMDAs should task their community stakeholders to select their secretaries preferably people who are literate and charge them with the responsibility to collect data, analyze same and provide regular feedback to the rest of their communities members. On the other hand, the DPOs and the DWEs should be tasked by the MMDAs to jointly collect data, analyze same and provide regular feedback to their district level stakeholders. Additionally, at the beginning and at the end of each set of activities that their contractors will undertake to implement each phase of their DACF projects and before the expiration of their defect liability periods, the MMDAs are encouraged to convene a meeting of the two groups preferably at the DACF projects sites to discuss and reconcile their findings. Furthermore, the study proposes that the MMDAs can use the template below to collect data, analyze same and report their findings to their stakeholders in subsequent planning cycles.

**Table 4.6: Template for Data Collection, Analysis and Reporting for Building Structures & Drilling Boreholes**

Stage of construction/borehole drilling	Scope of works/bills of quantities specified by the contract	If done exactly to the contract specification tick (x)	If not done exactly to the contract specification, state the nature of deviation observed

**Source:** Authors' Construct, 2018



Moreover, the study encourages the MMDAs to include PM&E clauses in the contractual agreements that they will enter into with the service providers that they will engage to implement their DACF projects to oblige them to allow their works to be scrutinized by their other stakeholders.

#### *4.4.2.6 Data Collection and Analysis*

At the stage of data collection and analyses, the study proposes that the MMDAs should use a range of different tools which may include qualitative and quantitative tools such as questionnaires, participatory impact diagrams, resource maps, social maps, and institutional maps to collect, analyze and document the data that they will collect on the DACF projects that they will implement in subsequent planning cycles (Pali *et al.*, 2005). Additionally, the study proposes that the MMDAs and their stakeholders should choose the tools that they will use to collect information on which indicator(s), how they will sample members of their communities, who will collect and analyze the information on which indicator(s), how frequently this will be done and how such information will be shared with other stakeholders.

#### *4.4.2.7 Reflect and Learn from PM&E*

Reflection and learning is a process that will help the MMDAs and their communities to analyze and determine what is working, what is not working and why. Reflection will allow all stakeholders of the MMDAs to reflect on the progress that the DACF projects they will implement will make to achieve their goals and adjust their activities when it becomes necessary (Pali *et al.*, 2005). Consequently, reflection and learning exercises will provide forums for the MMDAs and their stakeholders to exchange and evaluate the information they will gather on the DACF projects that they will implement and allow





them to systematically review their activities. Therefore, the study recommends that the MMDAs should organize reflection exercise for each result (or activity or process) and its indicator(s) one at a time. This can be done using simple graphics or a set of questions to analyze the data they will collect. Among the questions the MMDAs can posed to facilitate their reflection exercises include but not limited the following; what have we achieved? What worked well? What did not work well? What do we need to change? (ibid, 2005).

Additionally, the study proposes that the MMDAs and their stakeholders should determine the implication of the results of the data that they will analyze on the achievement of the objectives of the DACF projects that they will implement in subsequent planning cycles. Furthermore, the MMDAs and their stakeholders are encouraged to use the outcomes of their reflection exercises to make decisions and adjust their activities when it becomes necessary to successfully implement their DACF projects and make such exercises a learning process. To spur the achievement of this objective, the study proposes that the MMDAs should institute and charge a committee in communities where they will implement their DACF projects with the responsibility to collect data, analyze same and share the results thereof with the rest of their communities with the facilitation of their DPOs and DWEs (Pali *et al.*, 2005).

#### *4.4.2.8 Learning and Change*

The path way from knowledge generation to knowledge utilization is direct in PM&E exercises because the same actors are involved in all the activities that are carried out to apply this M&E typology on development initiatives that development agencies implement. Consequently, once information is collected and analyzed in PM&E



exercises, the next step is reflection. Reflection will provide opportunities for the MMDAs and their stakeholders to discuss and communicate the results of their PM&E exercises, exchange and evaluate such information, review and look back to the start of all the activities they will carry out to implement their DACF project and compare them to where they will be to understand what has changed and make adjustments where need be (Pali *et al.*, 2005). The MMDAs and their stakeholders can use different tools to collect data analyze same and present the results of the DACF projects they will implement in subsequent planning cycles. However, it is imperative for them to bear in mind that using simple tools such as graphs, tables and role plays will help their stakeholders to understand the progress they will make to achieve the goals of the DACF projects that they will implement in subsequent planning cycles and what they will need to adjust to ensure their successful implementation.





## **CHAPTER FIVE**

### **SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

#### **5.1 Introduction**

This chapter presents a summary of the major findings the study unearthed as well as conclusions and recommendations it makes base on the empirical findings it discussed in the preceding chapter.

## 5.2 Summary of the Major Findings of the Study

The main objective of this study was to evaluate how the Lambussie District Assembly applied PM&E on development initiatives as well as the effects and factors that affected application of PM&E. Pursuant to the achievement of this objective, the study examined how the Lambussie District Assembly applied PM&E on DACF projects, evaluated the factors that affected application of this M&E typology on DACF projects, assessed effects of application of PM&E on the outcomes of DACF projects and developed proposals to assist the MMDAs enhance the application of PM&E the DACF projects they will implement in subsequent planning cycles.

The major finding the study unearthed on its first objective was that the Lambussie District Assembly applied a tokenism form of participation and involved its stakeholders as observers to monitor and evaluate the DACF projects that it implemented.

Secondly, the major finding the study unearthed on its second objective was that the failure of the NDPC's 2013-2017 M&E guidelines to provide a detailed framework to guide the MMDAs on how they were required to apply PM&E incapacitated staff of the Lambussie District Assembly to discharge their duty to apply this M&E typology satisfactorily on the DACF projects that they implemented.

Thirdly, the major finding the study unearthed on its third objective was that the DACF projects the Lambussie District Assembly implemented had many defect which meant that they were poorly implemented. Therefore, it argues that their level of ownership and sustainability are questionable.



On the fourth objective, the study recommends that the MMDAs should actively involve their stakeholders in their development management processes, make detailed information of the contracts of the DACF projects they will implement in subsequent planning cycles available to them, break them to their understanding and empower them to monitor and evaluate their implementation to through diligent application of PM&E leverage the enormous benefits of this M&E typology to effectively alleviate poverty in their areas of authority.

### **5.3 Conclusions**

The study concludes that the MMDAs can leverage the enormous benefits of PM&E to reduce poverty in their areas of authority if they diligently apply it on development initiatives they will implement in subsequent planning cycles. Consequently, the MMDAs are encouraged to actively involve their stakeholders in their development management processes, make detailed information of the contracts of the projects they will implement in subsequent planning cycles available to them, break them to their understanding and empower them to monitor and evaluate their implementation to through diligent application of PM&E leverage the enormous benefits of this M&E typology to effectively alleviate poverty in their areas of authority.

### **5.4 Recommendations**

It emerged from the study that the Lambussie District Assembly involved its stakeholders as observers to monitor and evaluate the DACF projects it implemented because it did not involve them to prepare its M&E checklists, provide them opportunities to employ them



during M&E exercises and involve them to evaluate their findings. With significant inputs from respondents of the study, it has identified a number of measures the MMDAs can apply to improve how they will involve their stakeholders to monitor and evaluate the DACF projects they will implement in subsequent planning cycles. These measures are classified into capacity development, rule and policy formulation, rule and policy enforcement, rule and policy dialogue and the conduct of action research. The measures are explained as follows:

#### *Capacity Development*

Just as theory informs practice and vice versa, the study argues that it is also important that theory and practice informs rule and policy making. This is because among other things the outcome of social processes in institutions are determined by the laws, policies, procedures etc. Consequently, the study argues that among other things, the set of theories and concepts it reviewed should underpin the laws, policies, procedures etc. that the institutions that have oversight jurisdiction over the MMDAs formulate and issue to regulate how they involve their stakeholders to perform their duties.

Secondly, the study argues that the efficient and diligent involvement of stakeholders in the performance of the duties of the MMDAs also depend on the abilities of their staff to understand and apply the theories and concepts it reviewed in the performance of their duties. This calls for their training and retraining at regular intervals.

Additionally, there is legal maxim that says that ‘he who seeks equity must come to equity with clean hands’. Therefore, the study argues that those who seek to hold others accountable to set standards should themselves be well-versed with the standards that they seek to enforce. Consequently, the study recommends that the capacity of staff of the



institutions that have monitoring jurisdiction over the MMDAs should be developed adequately to enable them understand the standards they are required to enforce.

#### *Rule and Policy Formulation*

New institutional economists argue that due to the problem of bounded rationality, individuals who intend to make rational choices are bound to make satisficing choices in complex situations. Consequently, some respondents argued that in the absence of a clearly articulated continuum of PM&E by the NDPC's 2013-2017 M&E guidelines, staff of the Lambussie District Assembly made satisficing decisions and poorly applied same on the DACF projects that they implemented. The thrust for policy formulation herein is that standard operating procedures should always be developed to clearly explain how policies and guidelines that are developed and issued by national level institutions have to be operationalized and or implemented by decentralized agencies at the grass root level.

#### *Rule and Policy Enforcement*

It has been argued in many quarters that Ghanaians are good at legislating good laws and policies but abysmal at enforcing and or implementing same. Overall, the 1992 Constitution has instituted adequate measures to guarantee Ghanaians that reside in particular local government areas the right to participate in their governance. Similarly, the Ministry of Local Government and Rural Development (MLGRD) has since 1988 formulated and issued a good number of policies and publications to enjoin the MMDAs to involve their citizens to perform their duties. However, these laws and policies in and off themselves alone will not amount to much if they are not rigorously enforced. After all, it has been said that 'people only do what is inspected and not what is expected of them'. Thus, the thrust for policy implementation herein is that all the policies that are



formulated by the institutions that have oversight jurisdiction over the MMDAs should be rigorously implemented to yield their intended benefits to Ghanaians that reside in particular local government areas. Therefore, the study recommends that the following measures should be instituted and implemented to compel the MMDAs to involve their stakeholders in the development management processes of the DACF projects that they will implement in subsequent planning cycles:

1. The study recommends that the MLGRD should collaborate with the NDPC to enact and enforce a law that will require that ‘certificates of satisfaction’ are issued by the RPCUs of the RCCs to confirm that the MMDAs that are in their areas of authority satisfactorily apply PM&E on development initiatives that they implement before their DACF allocations are released to them in each quarter.
2. Additionally, the study recommends that the MLGRD should issue and enforce an administrative directive to the MMDAs to set aside 2% of the value of projects that they will implement in subsequent planning cycles and utilized same to fund the application of PM&E on their implementation.
3. Furthermore, the study recommends that the onsite monitoring of the work of the staff of the MMDAs by the institutions that have monitoring jurisdiction over them should include a dialogue session with a cross section of their stakeholders to ascertain whether particular MMDAs do involve them to monitor and evaluate the DACF projects that they implement in their communities.
4. Moreover, the study recommends that the MLGRD should include ‘satisfactory application of PM&E’ on development initiatives that the MMDAs implement in their areas of authority in the Annual Performance Contracts that are signed





between MMDCEs and MMDCDs in subsequent planning cycles. Additionally, the MLGRD is encouraged to scale up this practice to ensure that the MMDCEs are also made to sign similar performance contracts with their regional ministers. Similarly, the regional minister should also be made to sign performance contracts with the minister for Local Government and Rural Development. Most importantly, ‘satisfactory’ application of PM&E to implement development initiatives should be included as a key performance measure in the performance contracts that are to be signed by the political heads in the manner discussed above. Finally, The MLGRD should include demotion and or pay cut as consequences that will befall MMDCDs, MMDCEs and regional ministers that will fail to ensure that their organizations satisfactorily apply PM&E on development initiatives that they implement in the performance contracts that are to be signed in the manner discussed earlier.

#### *Policy Dialogue and Interaction*

Taabazuig (2010) argues that participation connotes power sharing which makes its realization difficult to attain because those that are vested with institutional or structural powers may be reluctant to devolve their decision making powers to those that they serve. Consequently, the study argues that citizens are likely to be able to counter the power relations that exist in particular societies that ensure that their citizens are well informed about the power their national constitutions and other Acts of parliament grants them to hold the feet of their leaders to the fire of accountability. Therefore, the study recommends that the MLGRD should collaborate with the ministry of information (MoI), the LGSS, the NCCE and CSOs to intensify policy dialogue and briefing sessions in all



the districts in the country to inform and empower the right holders to recognize, claim their rights and demand their participation in development initiatives that are implemented in their communities.

#### *Conduct of Action Research*

Action research are studies that conducted to improve upon the efficiency and effectiveness of employees of particular organizations in the performance their duties. Thus, respondents argued that the failure of the institutions that had monitoring jurisdiction over the MMDAs to conduct empirical studies blighted their ability to discover the capacity gaps that hindered the effective and efficient performance of the duties of the staff of the Lambussie District Assembly. Consequently, the study recommends that the MLGRD should collaborate with the LGSS, the ILGS and other institutions of higher learning to conduct at least one action research annually to discover the capacity gaps that hinder the effective and efficient performance of the duties of the MMDAs. Additionally, the study argues that the conduct of such studies will assist the MLGRD and the LGSS to objectively design and implement training programs to address such capacity gaps and return value for the state on the resources it will expend to organize such training programs.



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**Appendices:**

**Appendix 1: 2014-2017 DACF Project implemented in the Lambussie District**

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No	Project	Location	Contractor	Consultant	Date Awarded	Expected Date of Completion	Contract Sum GHC	Expenditure to Date	Source of Funding	Status
1	Construct office cor	Lambussie	M/S Stonewall Ltd	Northwest Consortium	10/11/09	10/04/11	851,058.85	823,059.29	DACF	91%
2	Construct 3 No. 4 KVIP	Amankrom and Kikuo	Anady Enterprise	Tropical Habitat	25/03/14	15/06/14	70,549.44	70,549.44	DACF	Completed
3	Rehabilit Youth Assembly	Lambussie	Dramani Abdulia Enterprise	Works Department	22/08/14	22/22/14	99,341.41	99,341.41	DACF	Completed
4	Furnishin Assembly Centre	Lambussie	W.S Ismail Enterprise	Works Department	15/07/15	15/09/15	49,698.05	49,698.05	DACF	Completed
5	Renovatio unit cl: block	Lambussie - Dindee	Kaflans Service Limited	Works Department	15/07/15	15/09/15	24,531.10	24,531.10	DACF	Completed

6	Erection of shed for fire service tender	Lambussie	Alhaji Kanazia Enterprise	Works Department	15/07/15	15/09/15	15,333.39	15,333.39	DACF	Completed
7	Renovatio Area cou	ile	W.S Ismail Enterprise	Works Department	15/07/15	15/09/15	27,919.86	27,919.86	DACF	Completed
8	Renovatio Area Cou	oa	Y-Bennima Comp. Ltd.	Works Department	15/07/15	15/09/15	26,713.54	26,713.54	DACF	Completed
9	Rehabilit CHPS Compour	ani	Mahama I.K Ltd.	Works Department	19/02/15	19/04/15	41,402.00	41,402.00	DACF	Completed
10	Renovatio Ghana Immigrat Service C	ile	Alhjaji Nasir Ltd.	Works Department	19/02/15	19/04/15	26,055.00	26,055.00	DACF	Completed
11	Construct 1No. classroom with ε facility	ii	Dramani Abdulia Enterprise	Works Department	5/11/15	5/4/2016	87,001.03	87,001.03	DACF	Completed
12	Construct 1No. 2-unit Piina No. 1		Y-Bennima Comp. Ltd.	Works Department	5/11/15	5/4/2016	87,203.03	87,203.03	DACF	Completed

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	classroom block with ancillary facility											
13	Construct 1No. classroom with ancillary facility	UNIVERSITY FOR DEVELOPMENT STUDIES	gan	W.S Ismail Enterprise	Works Department	5/11/15	5/4/2016	87,001.03	87,001.03	DACF	Completed	
14	Rehabilit 1No. compound		imu	Yussif Ismail Enterprise	Works Department	28/01/16	28/04/16	89,326.26	55,000.00	DACF	Completed	
15	Rehabilit 1No. 2-B teachers c		ile-TI iaddiya ary	Adam Yelivere Enterprise	Works Department	28/01/16	28/04/16	14,766.22	14,766.22	DACF	Completed	
16	Rehabilit 1No. 2B teachers c		ile- ary	Yaasoma Enterprise	Works Department	28/01/16	28/04/16	14,426.49	14,426.49	DACF	Completed	
17	Rehabilit 1No. 2B teachers c			u	Dramani Abdulai Enterprise.	Works Department	28/01/16	28/04/16	18,063.78	18,063.78	DACF	Completed
18	Rehabilit 1No. Semi-Hamile				WS Ismail Enterprise	Works Department	25/4/16	25/07/16	79,820.88	45,000.00	DACF	Completed

	Detached Quarters for Holy Family School									
19	Renovation Area court	ii	Mwin-Lanaa Enterprise	Works Department	25/4/16	25/10/16	26,348.42	21,557.80	DACF	Completed
20	Re-roofing JHS Block	ibogo	Yussif Ismail Enterprise	Works Department	25/04/16	25/07/16	48,405.62	39,604.60	DACF	Completed
21	Construction of 3-unit classroom block	Magagan	Zak Saana Company Limited	Works Department	28/06/16	28/12/16	165,005.61	116,144.23	DACF	Completed
22	Reshaping roads	Completed in the district	Zak Saana Company Limited	Works Department	28/09/16	28/10/16	134,922.08	120,000.00	DACF	Completed
23	Rehabilitation of No. 8-B Teachers Quarters	ii	Dramani Abdulai Enterprise	Works Department	25/04/16	25/07/16	32,808.68	20,000.00	DACF	Completed
24	Renovation and Extension of CHPs		Alhaji Kanazia Enterprise	Works Department	25/04/16	25/07/16	37,785.80	37,596.87	DACF	Completed

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	Compound									
25	Rehabilitation of 1No.2-Bedroom Teachers Quarters	Samoa	Yaasoma Enterprise	Works Department	25/04/16	25/07/16	33,698.33	35,180.30	DACF	Completed
26	Extension Electricit new Administ Block th Block a Works Departme	bussie	Abuyah Enterprise	Works Department	28/01/16	28/02/16	68,636.00	61,772.40	DACF	Completed
27	Construct 1No. 10 Water Cl Mechaniz Borehole	ii ket	Lagson Enterprise	Works Department	25/04/16	25/10/16	130,004.16	117,006.15	DACF	Completed
28	Renovatio 1No. 3-E DCE,s Bungalow and	bussie	Simadong Company Limited	Works Department	14/06/17	14/09/17	60,0163.03	60,163.03	DACF	Completed

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	Supply of Furniture									
29	Rehabilitation of 1No. Office/ of furnit Fire Station	Hamile	Kanda Naa Enterprise	Works Department	03/11/17	03/02/18	68,766.10	20,000.00	DACF	On-going
30	Rehabilit 1No. 3-B Bungalov	bussie	Sunrash Enterprise Limited	Works Department	03/11/17	03/02/18	34,801.03	29,915.70	DACF	On-going
31	Drilling Borehole: Drilling Mechanis 1No. Bor	pa aala pa ile lee		Works Department	03/11/17	03/02/18	98,382.70	32,500.00	DACF	On-going
32	Rehabilit 1No. Police Headqua Station	bussie	Mahama Ik (MIK) Enterprise	Works Department	03/11/17	03/02/18	32,925.73	22,505.40	DACF	On-going
33	Rehabilitation of	Lambussie	Sam James	Works	03/11/17	03/02/18	31,513.79	13,599.73	DACF	On-going

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	1No Agric Quarters		Enterprise	Department						
34	Rehabilitation of 1No. 2-B Teachers Quarters	Bangwon	Abfaissa Ventures	Works Department	03/11/17	03/02/18	24,196.59	11,000.00	DACF	On-going
35	Rehabilit 1No. 2-B Teachers Quarters	re	H. Konate Enterprise	Works Department	03/11/17	03/02/18	23,916.69	9,913.53	DACF	On-going
36	Rehabilit 1No. 2-B Teachers Quarters	bussie	Adamu Eтуisie Enterprise	Works Department	03/11/17	03/02/18	20,068.24	11,569.34	DACF	On-going
37	Rehabilit 1No. Classroom (Disaster	ia	Mahama IK (MIK) Enterprise	Works Department	03/11/17	03/02/18	23,785.08	15,000.00	DACF	On-going
38	Construct 1No. I Room	oa	Lam Afrique GH Limited	Works Department	03/11/17	03/02/18	65,397.92	25,000.00	DACF	On-going
39	Construction of	Lambussie	Razaam	Works	03/11/17	03/02/18	20,146.57	9,410.32	DACF	On-going

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	1No. 2-Seater Wc		Limited	Department						
40	Construction of 1No. Bathroom 2-Unit U: Unit B: with Urinal	Hamile	Kubusco Construction Works	Works Department	03/11/17	03/02/18	60,656.09	15,000.00	DACF	On-going
41	Construct 1No. Classroom		KK Yaro Enterprise	Works Department	3/11/17	03/05/18	181,335.12	40,000.00	DACF	On-going

UNIVERSITY FOR DEVELOPMENT STUDIES



**Appendix 2: Check List of Questions that were used to Interview Staff of the Lambussie District Assembly**

Background of respondent

1. What is your gender? .....
2. How many years of professional experience do you have?  
.....
3. What is your highest level of academic achievement?  
.....

*First research objective:*

To examine the ways in which stakeholders are involved in monitoring and evaluating local level development initiatives.

4. Are participatory monitoring and evaluation clauses included in the contractual agreements your organization enters into with service providers (i.e. consultants and contractors) you contract to implement DACF projects?
5. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
6. If the question above is answered in the affirmative, politely ask the respondent if he/she could make the particular document available for examination?
7. Prior to commencing the implementation of DACF projects, do you engage the projects beneficiary community and encourage them to hold a stake in its implementation?
8. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
9. If the question above is answered in the affirmative, politely ask the respondent if he/she could make the particular document available for examination?
10. Prior to commencing the implementation of DACF projects, do you identify and engage the different stakeholders of the project on participatory monitoring and evaluation continuum?
11. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?



12. If the question above is answered in the affirmative, politely ask the respondent if he could make the particular document available for examination?

*Note: if there exist a documentary evidence, meticulously examine the said document to ensure that all the different stakeholders whose participation is required to make such an exercise participatory complaint have been duly identified.*

13. Prior to commencing the implementation of DACF projects, do you build the identified stakeholders capacity for participatory monitoring and evaluation?
14. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
15. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?

*Note: if there exist a documentary evidence, meticulously examine the said document to ensure the said training covers all the essential elements/steps of PM&E continuum.*

16. Prior to commencing the implementation of DACF projects, do you define and agree with your stakeholders what to monitor and evaluate?
17. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
18. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?
19. Prior to commencing the implementation of DACF projects, do you formulate indicators with stakeholders regarding what to monitor and evaluate?
20. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
21. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?
22. During the implementation of DACF projects, do you and your stakeholders jointly gather information on the progress of the projects?
23. If the question above is answered in the affirmative, politely ask the respondent; is there any documentary evidence to that effect?





24. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?
25. During the implementation of DACF projects, do you and your stakeholders jointly manage and analyse the data you have collected on the progress of the projects' implementation?
26. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
27. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?
28. During the implementation of DACF projects, do you and your stakeholders jointly reflect, share and use the results of your participatory monitoring and evaluation exercises?
29. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
30. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?
31. During the implementation of DACF projects, do you and your stakeholders jointly learn and brainstorm on how to feed the lessons learnt into subsequent project implementation cycle?
32. If the question above is answered in the affirmative, politely ask the respondent whether there exist any documentary evidence to that effect?
33. If the question above is answered in the affirmative, politely ask the respondent whether he/she could make the particular document available for examination?



*Second research objective:*

To examine the factors that affect participatory monitoring and evaluation at the local level of development initiatives.

34. Have ever received training on how to effectively implement participation in the monitoring and evaluation?

35. If the question above is answered in the affirmative, politely ask the respondent whether the said training specified the specific steps that are to be followed in implementing the continuum of participatory monitoring and evaluation?
36. If the question above is answered in the negative, politely ask the respondent whether it would have been helpful for the training to have specified the specific steps that were to be followed in implementing the continuum of participatory monitoring and evaluation?
37. Are budgetary provision made in your district's annual composite budget to cater for the cost of implementing participatory monitoring and evaluation?
38. If the question above is answered in the negative, politely ask the respondent whether it would be beneficial for budgetary provision to be made in your district's annual composite budget to cater for the cost of implementing participatory monitoring and evaluation?
39. How easy is it for you to be resourced to involve stakeholders to jointly monitor and evaluate the implementation of DACF projects in the district?
40. Politely ask the respondent to kindly rank the level leadership support he/she receives from the DCD and DCE in implementing participatory monitoring and evaluation on DACF funded projects in the district.

*Note that this question should be posed the other core staff other than the DCD and DCE*

41. In the case of the DCD and DEC, politely ask them to kindly rank the knowledge, skills and commitment of their line officers in implementing participatory monitoring and evaluation on DACF projects in the district?

*Third research objective:*

To examine the effects of effective/ineffective participatory monitoring and evaluation on the outcomes of local level development initiatives.

42. Are you satisfied with the quality of the DACF projects that have been provided by the Coordinating Directorate of the Lambussie District from 2014 to 2017?



43. Regardless of how the question above is answered, politely ask the respondent would the quality of DACF projects improve if other stakeholders are adequately involved in monitoring and evaluating their implementation?

*Fourth research objective:*

To come out with concrete proposals on how the application of participatory monitoring and evaluation can be enhanced in the implementation of local level development initiatives.

44. Which measures would you propose to improve upon how the Coordinating Directorate of MMDAs in the country involve stakeholder in monitoring and evaluating local level development initiatives?



### **Appendix 3: Check List of Questions that were used to Interview the Heads of Beneficiary Departments/Other Key Stakeholders**

Category of respondent: Heads of beneficiary departments/other key stakeholders

Background of respondent

1. What is your gender?
2. How many years of professional experience do you have?
3. What is your highest level of academic achievement?

*First research objective:*

To examine the ways in which stakeholders are involved in monitoring and evaluating local level development initiatives.

4. Prior to commencing the implementation of DACF projects, have you ever been engaged and encourage them to hold a stake in its implementation?
5. Have you ever been invited to participate in monitoring and evaluating the implementation of any of the DACF projects the Coordinating Directorate of the Lambussie District Assembly have provided for your organization between 2014 and 2017?
6. Have you ever been trained on how to effectively participate in the monitoring and evaluating the implementation of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your organization between 2014 and 2017?
7. Have you ever participated in a meeting with other stakeholders to define and agree on what to monitor and evaluate in respect implementing any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your organization between 2014 and 2017?
8. Have you ever participated in a meeting with other stakeholders to develop and formulate indicators that are to be used to track and assess the progress of implementing any of the DACF project(s) that the Coordinating Directorate of the



Lambussie District Assembly have provided for your organization between 2014 and 2017?

9. Have you ever participated in an exercise with other stakeholders to jointly gather information on the progress of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your organization between 2014 and 2017?
10. Have you ever participated in a meeting with other stakeholders to manage and analyze data that have been collected on the progress of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your organization from 2014-2017?
11. Have you ever participated in a meeting with other stakeholders to reflect, share and use data you jointly collected on monitoring and evaluating any of the DACF project(s) that the Lambussie District by the coordinating directorate of the Lambussie District Assembly have provided for your organization between 2014 and 2017?
12. Have you ever participated in a meeting with other stakeholders to brainstorm and decide who the lessons learnt during monitoring and evaluating any of the DACF project(s) the Coordinating Directorate of the Lambussie District Assembly provided for your organization should be feed into the implementation of subsequent DACF projects?

*Second research objective:*

To examine the factors that affect participatory monitoring and evaluation at the local level of development initiatives.

13. Are you prepared to participate a joint exercise with other stakeholders to monitor the implementation of DACF projects in the Lambussie District?
14. Would you expect any form of material reward each time you participate in a joint exercise with other stakeholders to monitor and evaluate the implementation of DACF projects in the Lambussie District?
15. If the question above is answered in the positive, politely ask the respondent to specify the nature he/she would expect of the material reward to take.



16. Would it be helpful for budgetary provisions to be made to cater for the cost of training and involving stakeholders in the monitoring and evaluating the implementation of DACF projects in the district?

*Third research objective:*

To examine the effects of effective/ineffective participatory monitoring and evaluation on the outcomes of local level development initiatives.

17. Base on your answers so far, how would you rank the application of participatory monitoring and evaluation on the implementation of DACF projects in the Lambussie district Coordinating Directorate of the Lambussie District Assembly between 2014 and 2017?
18. Are you satisfied with the quality of the DACF project the Coordinating Directorate of the Lambussie District Assembly have provided for your community?
19. If the question above is answered in the negative, politely ask them to describe the defects they might have observed on the facility.
20. If you were adequately involved in monitoring and evaluating the projects' implementation would their quality have improved?

*Fourth research objective:*

To come out with concrete proposals on how the application of participatory monitoring and evaluation can be enhanced in the implementation of local level development initiatives.

21. Which measures would you propose to improve upon how the Coordinating Directorate of MMDAs in the country involve stakeholder in monitoring and evaluating local level development initiatives?





#### **Appendix 4: Check List of Questions that were used to the conduct the Focus Group Discussions that were organized**

*First research objective:*

To examine the ways in which stakeholders are involved in monitoring and evaluating local level development initiatives.

1. Prior to commencing the implementation of DACF projects, have you ever been engaged and encourage them to hold a stake in its implementation?
2. Have you ever been invited to participate in monitoring and evaluating the implementation of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your community between 2014 and 2017?
3. Have any of you ever been trained on how to effectively participate in the monitoring and evaluating the implementation of any of the DACF project(s) that the Coordinating directorate of the Lambussie District Assembly have provided for your community between 2014 and 2017?
4. Have any of you ever participated in a meeting with other stakeholders to define and agree on what to monitor and evaluate in respect implementing any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your community between 2014 and 2017?
5. Have any of you ever participated in a meeting with other stakeholders to develop and formulate indicators that are to be used to track and assess the progress of implementing any of the DACF project(s) that the Coordinating Directorate of the Lambussie District.
6. Assembly have provided for your community between 2014 and 2017?
7. Have any of you ever participated in an exercise with other stakeholders to jointly gather information on the progress of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your community between 2014 and 2017?





8. Have you ever participated in a meeting with other stakeholders to manage and analyze data that have been collected on the progress of any of the DACF project(s) that the Coordinating Directorate of the Lambussie District Assembly have provided for your community from 2014-2017?
9. Have you ever participated in a meeting with other stakeholders to reflect, share and use data you jointly collected on monitoring and evaluating any of the DACF project(s) that the Lambussie District by the coordinating directorate of the Lambussie District Assembly have provided for your community between 2014 and 2017?
10. Have you ever participated in a meeting with other stakeholders to brainstorm and decide on who the lessons learnt monitoring and evaluating any of the DACF project(s) the Coordinating Directorate of the Lambussie District Assembly provided for your community should be feed into the implementation of subsequent DACF projects?

*Second research objective:*

To examine the factors that affect participatory monitoring and evaluation at the local level of development initiatives.

11. Are you prepared to participate a joint exercise with other stakeholders to monitor the implementation of DACF projects in your community?
12. Would you expect any form of material reward each time you participate in a joint exercise with other stakeholders to monitor and evaluate the implementation of DACF projects in in your community?
13. If the question above is answered in the positive, politely ask the respondents to specify the nature they would expect of the material reward to take.
14. Would it be helpful for budgetary provisions to be made to cater for the cost of training and involving stakeholders in the monitoring and evaluating the implementation of DACF projects in the district?

*Third research objective:*



To examine the effects of effective/ineffective participatory monitoring and evaluation on the outcomes of local level development initiatives.

15. Based on your answers so far, how would you rank the application of participatory monitoring and evaluation on the implementation of DACF projects in your community by the Coordinating Directorate of the Lambussie District Assembly between 2014 and 2017?
16. Are you satisfied with the quality of the DACF project the Coordinating Directorate of the Lambussie District Assembly provided your community?
17. If the question above is answered in the negative, politely ask them to describe the defects they observed on the facility.
18. If you were adequately involved in monitoring and evaluating the project(s) implemented in your community, would it have helped to improve its/their quality?
19. Are you as a community prepared to contribute toward maintaining the facility that have been provided in our community?

*Fourth research objective:*

To come out with concrete proposals on how the application of participatory monitoring and evaluation can be enhanced in the implementation of local level development initiatives.

20. Which measures would you propose to improve upon how the Coordinating Directorate of MMDAs in the country involve stakeholder in monitoring and evaluating local level development initiatives?

