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UNIVERSITY OF THE WITWSTERSRAND
JOHANNESBURG, SOUTH AFRICA

TECHNICAL CAPACITY DEVELOPMENT FOR EVALUATION IN THE NATIONAL DEVELOPMENT PLANNING COMMISSION, GHANA

A Research Report submitted to the Faculty of Commerce, Law and Management University of the Witwatersrand, Johannesburg, South Africa, in partial fulfilment of the requirements for the Degree of Masters of Management (In the Field Public and Development Management)

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31 March 2011

DECLARATION

I declare that this report is my own, unaided work. It is submitted in partial fulfilment of the requirements of the degree of Masters of Management (in the field of Public and Development Management) in the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination in any other university.

Stephen Ayiku A-D

Signature:…… Date:……..

DEDICATION

This study is dedicated to my mum, Janet Akua Mamphey and My brother Pius Boadi for instilling in me the discipline to study hard. God bless you both.

ACKNOWLEDGEMENTS

My deepest gratitude is to my maker and keeper, the almighty God!

First, I would like to thank my supervisor, Stephen Porter, for his encouragement, guidance and support throughout this study. I am most grateful for his invaluable and quick responses that greatly assisted me from conceptualising the research problem through to finalising this report. I am also pleased to thank Dr Jerome Awortwi-Abban of MDPI, Ken Owusu of NDPC, Mr Joseph Mamphey of Goldfield Exploration, Ghana and Jennifer Musangi for their insightful inputs at the throughout stages of the study.

ABSTRACT

Evaluation of projects and programmes in most developing countries has consistently been a challenge from various factors such as capacity, and institutional constraints. Ghana is no exception to these challenges for developing technical capacity for evaluation in the public sector. In this study, technical capacity refers to human capacity of individuals within organisations involved in executing Monitoring and Evaluation functions. The study sought to establish the challenges for building and developing technical capacity for evaluation in the public sector. In addition, it sought to recommend interventions to improve technical capacity building challenges in the public sector. A qualitative research approach was used with the National Development Planning Commission as a case study. The study focused on directorates and technical assistants who are members of the senior management service.

The study established that although developing technical capacity has an important role to play in developing the nation, its implementation is hindered by several challenges that were identified as the main challenges in the implementation of developing and building technical capacity, these include: Inadequate resources and managerial authority; political interference; inadequate leadership; inadequate training and development; systems and processes challenges; organisational culture and a weak implementation strategy. The study recommends interventions to improve the developing and building technical capacity. These include: the development of a comprehensive technical evaluation capacity development strategy that takes cognisance of the identified challenges and the provision of adequate political and administrative leadership.

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LIST OF ABBREVIATIONS

APR Annual Progress Report

CMD Centre for management development

DPCUS District Planning Coordinating Units

ECD Evaluation capacity development

GIMPA Ghana Institute of Management and Public Administration,

GPRS Growth Poverty reduction Structure

HR Human Resource

HRM Human Resource Management

IEG Independent Evaluation Group

IL The legislative Instrument (LI)

ILO International Labour organisation.

MDA Ministry, District and Agencies

MDPRI Management Development and Productivity Institute

MESW Ministry of Employment and Social Welfare

NDPC National Development Planning Commission

OECD Organisation for Economic Co-operation and Development

OED Operation Evaluation Department

OHCS Office of the head of the civil service

PSC Public Sector Commission

PSR Public Service Reform

RBME Results-based Monitoring and Evaluation System (RBME)

RPCU Regional Planning Coordinating Unit

RPCUs Regional Planning Coordinating Units

SMS Senior management service

TCA Technical capacity advisor

UNCED United Nations Conference on Environment and Development

UNDP United Nation for Development Project

WB World Bank

CHAPTER ONE

1.0 INTRODUCTION

The issue of capacity development remains a major focus of transformation of the public performance management agendas both nationally and internationally. This case study of the NDPC has shown that political interference, absence of capacity development strategies and inadequate resources such finance were identified as capacity development constraints. This means purpose of the champion in conducting the development should be emphasised. More specifically, there are constant and growing pressures on the Ghanaian Government to be responsive to develop capacity in order to meet the challenges of globalisation and international competitiveness. Clearly there is a need to explore the challenges for developing technical evaluation capacity and to address those issues.

The study sought to explore reasons why technical evaluation capacity has remained a persistent challenge to the Ghana National Development Planning Commission. In addition to the findings, this research report recommends ways through which capacity development challenges for evaluation in the public sector can be improved or eliminated. OECD/DAC (2006:3) explains "Capacity development as a concept is often used within a narrow meaning mainly focusing on staff development through formal education and training programmes". Ghana, like most other developing countries, has persistently been facing these challenges in their public institutions with regard to the evaluation of development programmes. Among these challenges are institutional and technical capacity constraints as well as a fragmented and uncoordinated information system (Annual Progress Report, 2008 and GPRS II National M&E plan 2006-2009). These are evident at both the national and sub-national levels. However, most notable and critical of these challenges is technical evaluation capacity constraints (ibid).

Furthermore the OECD/DAC (2006:3) argues that "lack of adequate country capacity is one of the critical factors that hinder current efforts to meet the Millennium Development Goals (MDGs) in most poor countries and particularly in Ghana." If this is not address,

development efforts in many of the countries will fail, even if they are supported with substantially increased funding and if the development of sustainable capacity is not given greater and more careful attention (ibid). The report further shows that this inadequacy in sustainable capacity is now widely recognised by donor organisations and partner countries alike, as articulated in the *2005 Paris Declaration on Aid Effectiveness (ibid)* .The Declaration calls for capacity development to be an explicit objective of national development and poverty reduction strategies (OECD/DAC, 2006:3)

Technical co-operation and various forms of capacity development have used substantial funds over many decades. While a few countries (for example Kenya, Zambia among others) have done well, donor efforts in most other countries have produced little to show in terms of sustainable country capacity (OECD/DAC, 2006). It is this contrast between the importance of the technical evaluation capacity development and the difficulty of meeting its challenges that stimulated this study. The report draws on a large volume of documented experience provided by bilateral and multilateral donors and scholars. Although the report is mainly concerned with capacity and performance in the public sector, the private sector experience is drawn on where relevant. Indeed, capacity development involves much more than enhancing the knowledge and skills of individuals since it depends crucially on the quality of the *organisations* in which those individuals work (ibid). In addition to the above comment, Enemark and Williamson (2004) add that, "the operations of particular organisations are influenced by the *enabling environment*– the structures of power and influence and the institutions – in which they are embedded. Capacity is not only about skills and procedures; it is also about incentives and governance". Also, Enemark (2008) added that, "the capacity development measures should be seen in a wider context of developing and maintaining institutional infrastructures in a sustainable way".

1.1 Background

The National Development Planning Commission in Ghana is the institution mandated by Ghana's Constitution to guide the formulation of Development Plans and to undertake Monitoring and Evaluation (M&E) of the implementation of the country's development programmes. The NDPC, under Article 87 of the 1992 Constitution, is mandated, among

other things, to monitor, evaluate and co-ordinate development policies, projects and programmes. Act 480 of 1994 defines and regulates the planning procedures and specifies the monitoring and evaluation functions of all district, regional and national planning committee units. Clearly, the activities of the NDPC are conducted within a decentralised system that ensures feedback right from the districts to the national level. According to the Ghana Monitoring and Evaluation Forum(2009), the actual monitoring and evaluation takes place at the district level, and results are collated and forwarded to the NDPC through the Regional Planning Coordinating Unit (RPCU), (Ghana Monitoring and Evaluation Forum, 2009). The Commission then advises the President and Parliament (on request) on the performance of public policy and programmes, their outcomes/ impacts, and on the need for policy reforms. In this regard, the NDPC has adopted the Results-based Monitoring and Evaluation System (RBME) and results-based budgeting. According to Kusek and Rist (2004:2) a central reason for building a national evaluation system is to provide objective evidence that ascertains the results of the interventions of the government and other agencies in the country. Development efforts in many of the poorest countries will fail, even if they are supported with substantially increased funding unless the development of sustainable capacity is given greater attention (OECD/DAC, 2006).

Though NDPC seemingly organised monitoring and evaluation, but capacity development remains a challenge in Ghana precisely because of the privileging of monitoring over evaluation. As Ndiritu, (1999:6) posits, "[i]t is evident that there is a tilt towards monitoring as compared to evaluation". This tilt, this study argues, emanates mainly from inadequate technical evaluation capacity in the NDPC. This poses serious evaluation challenges and in recent years, administrative reform programs in the public sector as well as non-profit organisation have placed significant emphasis on policy and program evaluation as a central element in the reform process.

Indeed, substantial efforts have been put into developing and institutionalising evaluation capacity in many countries, particularly in developing countries, as evaluation is seen as a part of "managing for results". In Ghana it is not the absence of institutions for building technical evaluation capacity that is the problem, but rather the execution of the objectives

that such institutions set for themselves. Institutions such as the Management Development and Productivity Institute (MDPI) and the Ghana Institute of Management and Public Administration (GIMPA) run programmes in capacity development. For instance, MDPI conducted a result-based monitoring and evaluation of projects that targeted monitoring and evaluation specialists, project managers, development planners and human resource managers (Daily Graphic, February, 2, 2010:23-25). Likewise, within its Business School, GIMPA has courses relating to building and developing technical capacity skills. However, in spite of all these measures to address capacity development challenges, there is still a need to: 1) restructure course material to directly address existing structural issues within institutions rather than or in addition to targeting individual capacity development; 2) adequately provide funding for such institutions to achieve their goals; and 3) develop sufficient communication and feedback models between such institutions and the government in order to ensure that results from such institutions are absorbed into larger governmental/managerial frameworks and policies.

1.2 Problem Statement

The Ghana National Development Planning Commission (NDPC) has over the years identified several areas as its key constraints in evaluations of the country's development programmes. Two of these key constraints are institutional and technical capacity constraints as well as a fragmented and uncoordinated information system (Annual Progress Report, 2008). Among these challenges, technical evaluation capacity is noted as most severe and critical (APR, 2008; GPRS II NATIONAL M&E PLAN 2006-2009). However, what is clear is that existing literature has addressed these constraints; identifying their possible solutions and makes recommendations for the specific countries in which such research has been done. Nonetheless, although this literature could be recommended for Ghana, the particularities of the country need to be examined and specific solutions set in place with evidence emanating from the NDPC. This research report seeks to explore the challenges faced by the NDPC in developing technical evaluation capacity for their developmental project as well as in decision-making. The study focuses on a 4-year time

period (2006 to 2010). The findings of this study will assist in addressing the issue of evaluation capacity constraints and hence improve evaluation efforts in the country.

1.3 Purpose Statement

The main objective of this research was to explore why technical evaluation capacity remains a challenge in the Ghana National Development Planning Commission. The finding of the research will also help make recommendations on how to address the issues in an effort to build evaluation capacity for the commission. Görgens and Kusek approach to developing technical capacity are used in this report as a guide to develop the challenges for the NDPC capacity development. This approach classified capacity development into three levels: system, organisation and Individual level. According to Görgens and Kusek (2009:92) the individual level focuses on people in the national, district and service delivery who executes M&E functions or who manage those responsible for M&E.

1.5 Research Question

The following research questions have been designed to explore the research problem:

1 What framework is used in developing technical capacity for evaluation in NDPC?

2 What are the factors contributing to technical evaluation capacity constraints in the NDPC?

3 What can be done to address the technical evaluation capacity constraints of the NDPC?

1.4 Limitations of the Study

This research study faced a number of limitations. One of the limitations is that the public service is continuously subjected to research, studies and investigations that demand much of senior management's time. As a result, the interviews were mainly delegated to deputy directors who are the lowest level members of Senior Management Service (SMS). Only one director was interviewed. As such their responses may not provide a complete picture of the members of SMS in regard to technical capacity development for evaluation. Another important aspect of this research is that it was based on the sensitive issue of capacity

development about which many public sectors do not wish to disclose details. It is also a possibility that their responses were subjective and this might have negatively impacted on the accuracy and quality of research findings challenges. Also the study acknowledge the fact the that, the NDPC has some successful programs in developing technical capacity such as training of their staff to evaluate some of their National Developmental programmes but this studies focuses on mainly challenges face the commission. Furthermore the study was not based on training but rather on organisational on capacity development. Finally, the short time and resources available for the research, may have limited the findings and recommendations.

1.5 Report Structure

This research report is organised as follows:

Chapter One: Introduction**: -** Chapter one presents a detailed introduction of this research report and consist of the background, research problem, purpose statement, research questions, the significance and limitations of the study.

Chapter Two: Literature Review**: -** Chapter two presents a review of books, journals, reports and other literature on major topics that relate to performance contracting. It provides the theoretical framework that underpin this study

Chapter Three: Research Methodology**: -** Chapter three presents the research methodology that was used in the study. This includes the research approach, research design, data collection, data presentation, analysis and interpretation.

Chapter Four: Data Presentation**: -** Chapter four presents the data collected based on the research questions. Information gathered from the interviews and document review is presented.

Chapter Five: Data Analysis and Interpretation**: -** Chapter five presents an analysis and interpretation of the data presented in chapter four in response to the research questions. The results are presented as the study findings.

Chapter Six: Conclusions and Recommendations**: -** Chapter six is the last chapter in this research study report in which the research problem, the purpose of the study and research questions are summarised. Thereafter, the conclusions and recommendations based on the findings are presented. Areas requiring further research work are also highlighted.

CHAPTER TWO

2.0 LITERATURE REVIEW

2.1 Introduction

This chapter presents a review of literature relevant to the study. The review provides the theoretical framework to the study. As an introduction, the section discusses what a literature review is and what it entails. Key topics presented include: evaluation, capacity development for evaluation, challenges in evaluation capacity development in developing countries and in Ghana. A conclusion is also presented at the end of the chapter.

There exists an amount of literature on capacity development within the field of public and development management. Scholars such as Görgens and Kusek (2009), Boyle and Taylor-Powell (1999), Antwi *et al* (2007) among others, have all shown the significance of adequate capacity development in any managerial system. Within this existing body of knowledge, these scholars seem to agree that there is a need for policy-makers and capacity development institutions to develop a communication/feedback component that would facilitate the implementation of capacity development strategies. Görgens and Kusek (2009), for example, argue that although many governments and organisations have different kinds of M&E tracking systems as part of their management toolkits, which include good human resource system, financial system and accountability systems, "[m]any management systems have been missing a feedback component to enable them to track the consequences of actions" (Görgens and Kusek, 2009:2). According to Görgens and Kusek (2009:2), "building an M&E system gives the decision-makers an additional management tool by providing feedback on performance as a basis for future improvement". From this literature, three major themes with regard to improved capacity development can be identified. In the pages that follow, these themes will be discussed in detail.

- Definition of terms

- Evaluation capacity development
- Evaluation capacity development challenges

It is therefore important to acknowledge the skills provided by these technical capacity advisors in evaluation. Kusek and Rist, in Görgens and Kusek (2010:111), posit that technical capacity skills profile includes four critical domains.

The first domain is institutional analysis that enables the Technical Capacity (TC) to assess the relevant political situation as a demand for or interest in building an M&E system. Under this domain, the technical capacity advisor (TCA) has the ability to understand the role of M&E in the larger context in the country in both the public sector reforms as the supply side or as the donor. Similarly, the TCAs ability to conduct a need assessment of an organisation's requirements is another important part in institutional analysis of the M&E system; this is because it enables the organisation to identify its weakness and strength in conducting monitoring, evaluating and its capacity strength. Finally they have the ability to identify the individual champions in the organisation and successfully work with them to build understanding of and the support for an M&E initiative.

The second profile skill in their domain is that of Design and Application where the Advisor has the ability to and contributes to the design of the M&E system for the Ministry, District and Agencies (MDA). Also the TCA has the ability to see applications of an M&E systems for various levels and components of the government. In addition to that, the TCA has the ability to link the core functions such as budget, accountability and oversight of the system, as well as to design a minimal statistical collection strategy on relevant M&E variables or the indicators.

Third skill profile area is the methodological tools which provide reviews so that the Technical Capacity advisor has the ability to understand the logic and applications of the data collected.

Also, they have the ability to assess the quality of the data and statistical information collected. "This further adds that the TCA has the ability to specify the appropriate data collection tools for the various variables and indicators and finally the ability to conduct appropriate analysis from relevant data". (Quoted from Görgens and Kusek (2010:111),

The last profile skills relate to information and knowledge utilisation that enables TCA to understand the application of M&E data to the usage needs. Also, TCA in this domain has the ability to target appropriate officials and finally to understand how to accumulate over time longitudinal or trends information on policy areas of concerns such as the political situation as a demand for or interest in developing capacity.

There is therefore a critical need to explore the challenges faced by NDPC which has the mandate by law in conducting monitoring and evaluation of national developmental programs and projects in developing technical capacity for evaluation in Ghana.

2.2 Definition of Key Terms

This section provides definitions of some key terms and concepts used in this research report. This is important so as to avoid the possibility of ambiguity or multiple interpretations by different people in meanings whenever they are used in this document.

2.2.1 CAPACITY

- According to Görgens and Kusek (2010:91), capacity is defined as the ability to perform appropriate tasks effectively, efficiently and sustainably. Any organisation values the performance of its capacity as the basic tenet in the achievement of its overall goals and objectives. Likewise the World Bank Institute (2009) defines capacity as, "the availability of resources and the efficiency and effectiveness with which societies deploy these resources to identify and pursue their development goals on a sustainable basis".

2.2.1.1 CAPACITY DEVELOPMENT

The concept of capacity development remains imprecise. Thomson, an advisor to UNDP's Capacity 21 programme, posits that, "like sustainable development, capacity development is a catch phrase poorly defined, widely used, and often abused" (Thomson, 1996:1). Peter

Morgan concurs with this stating that, "[t]he term 'capacity development' remains an elusive concept for analysts and practitioners in international development to explain".

This is so, in spite of the fact that, in 1991, the UNDP and the International Institute for Hydraulic and Environmental Engineering defined capacity development as "the creation of enabling environment with appropriate policy and legal frameworks; institutional development, including community participation (of women in particular); and human resources development and strengthening of managerial systems" (UNDP, 1991:1). This definition was developed further and popularised after being accepted by the Organisation for European Co-operation and Development (OECD) which understood capacity development "as the process whereby people, organisations and society as a whole unleash, strengthen, create, adapt and maintain capacity over time". Similarly, the UNCED accepted this definition at the 1992 Agenda 21 plenary in Rio de Janeiro to read as follows: "Specially, capacity development encompasses the country's human, scientific, and technological organisational, institutional and resources capabilities. A fundamental goal of capacity development is to enhance the ability to evaluate and the crucial questions related to policy choices and modes of implementation among development options, based on an understanding of the environment potentials and limits and of needs perceived by the people of the country concerned" (UNCED,1992:1)

Another common definition of capacity development is adopted by World Bank's Operation Evaluation Department (2005:270) which states that, "capacity development is much more than training" and includes the following:

2.2.1.2 .Human capacity development: This is the process of equipping individuals with skills to analyse development needs; design and implement strategies, policies, and programs; deliver services; and monitor and evaluate results of programs and projects.

2.2.1.3. Organisational capacity development: This is the elaboration of groups of individuals bound by a common purpose, with clear objectives and the internal structures, processes, systems, staffing, and other resources to achieve them. It also involves the management relationship between the different organisations and sectors (public, private and community).

2.2,1.4 Institutional capacity development: This is the formal making of "rules of the game" and informal norms—for example, in collecting taxes, reporting on the use of public resources, or regulating private business—that provide the framework of goals and incentives within which organisations and people operate.

2.2.1.5 Technical (Human) Capacity: Technical Capacity and Human Capacity as terms are often used interchangeably. According to Lamptey *et al* (2001), human capacity is, "the development of skills and the effective use of managerial, professional and technical staff and volunteers (for example, through training). This involves identifying the appropriate people to be trained, providing an effective learning environment for training and education, in-service and field supervision for continued skills transfer, and long-term mentoring" (quoted in Görgen and Kusek, 2009:92).

The definition from various organisation such UNCED, UNDP and authors such Thompson were drawn to give wider area of capacity development. This report used the definition of Lamptey in Görgens and Kusek. This definition suggests that we undertake capacity development initiatives to ensure effectiveness and efficiency in achieving our goals and contributing to ensuring sustainable development in the NDPC.

2.2.2 Evaluation

The American Evaluation Association (2006) defines evaluation as "involving c*ertai*n steps including; assessing the strengths and weaknesses of programs, policies, personnel, products, and organisations with the ultimate goal of improving their effectiveness." Rossi and Freeman (1993:1) define evaluation as "the systematic application of social research procedures for assessing the conceptualisation, design, implementation, and utility of programs". In accordance with Patton (2008:5), it is important to ask 'what'? So What? Now what? The AEA definition is used in this report since developing capacity in NDPC has the entire component in their definition.

2.3 Evaluation Capacity Development

Evaluation Capacity development (ECD) has emerged as an area of great interest as governments, organisations, and programs that seek to enhance their effectiveness and

accountability. King and Volkov (2005) and King (2007) posit that strengthening and sustaining an organisation's capacity will help the organisation to achieve the following goals:

(1) Design, implement, and manage effective evaluation projects;

(2) Access, build, and use evaluative knowledge and skills;

(3) Cultivate a spirit of continuous organisational learning, improvement, and accountability; and

(4) Create awareness of and support for program evaluation and self-evaluation as a performance improvement.

(Quoted in Taylor-Powell and Boyd, 2008: 56)

Preskill and Boyle (2008) define Evaluation Capacity Development (ECD) as involving the design and implementation of teaching and learning strategies to help individuals, groups and organisations, learn about what constitutes effective, useful and professional evaluation practices. They further explain that ECD is a sustainable evaluation practice where the members continuously ask questions that matter, collect, analyse and interpret data and use evaluation findings for decision making and action.

Furthermore, Duttweiler *et al* (2001) add that "ECD helps to build knowledge, belief and skills of individuals in evaluations" In fact, ECD is often viewed as professional development and it has been argued that it is an important section in developing the capacity of an organisation. Most organisations are not able to achieve their objectives in the area of monitoring and evaluation because of an absence of ECD frameworks that outline what should be done in the process of capacity development. The ECD needs to have a framework that an organisation has to follow during the evaluation of a project or a programme. Taylor-Powell (2008; 58) posits that this "framework guides both the individuals as well as the institution to be able to be abreast of what is been done in the

task". Taylor-Powell and Boyd adopt the following framework for developing technical evaluators that include the component elements below:

Professional development: this is accepted that evaluation capacity development involve building of knowledge, skills and belief. This component involves training, developing of technical assistance, involving TCA in collaborative evaluation projects, mentoring and coaching and finally communities of practice.

The second component within the ECB framework concerns the resources and supports factors that are needed to sustain evaluation. The resources needed to develop these capacity advisors are evaluation and ECD expertise, evaluation materials, evaluation champions, organisational assets, financing, technology and time. The third component is the Organisational environment that involves the experience of Leadership, Demand, Structures, Policies and procedures.

This framework, according to Taylor-Powell (2008), will address the attainment of knowledge and skills in a field which is not just about observing how capacity development is evaluated but also which entails the input-output processes as in most manufacturing fields in many developed and developing countries. To achieve such an evaluation process, Preskill and Boyle (2008: 6) outline the following ten approaches that can be used for building the evaluation capacity of individuals and groups:

1. Internship: participating in a formal programme that provides practical evaluation experience for novices

2. Written materials: reading and using written documents about evaluation processes and findings

3. Technology: using online resources such as Web sites and/or e-learning programs to learn from and about evaluation

4. Meetings: allocating time and space to discuss evaluation activities specifically for the purpose of learning from and about evaluation

5. Appreciative inquiry (AI): using an assets-based, collaborative, narrative approach to learning about evaluation that focuses on strengths within the organisation

6. Communities of practice: sharing evaluation experiences, practices, information, and readings among members who have common interests and needs (sometimes called learning circles)

7. Training: attending courses, workshops, and seminars on evaluation

8. Involvement in an evaluation process: participating in the design and/or implementation of an evaluation

9. Technical assistance: receiving help from an internal or external evaluator

10. Coaching or mentoring: building a relationship with an evaluation expert who provides individualised technical and professional support

This approach may not be the best-fit approach since evaluation of capacity development differs due to the internal and external environment factors for conducting evaluation.

2.4 Challenges of Evaluation Capacity Development

The challenges of capacity development, according to OECD/DAC (2006), vary across sectors as well as across countries. This is because governments, generally, are inclined to improve services demanded by powerful interests (for example, trunk roads) more readily than those sought by weaker or more diffuse interests (such as primary education). In addition, the tractability of capacity development problems depends on sectoral characteristics like labour intensity and the decentralisation of service provision (ibid). As Taylor-Powell and Boyd (2008:58) argue, though there are commonalities, the extension organisation and the evaluation function differ across countries. Even program areas within a community extension organisation may have distinct cultures, philosophies, and support for evaluation. In this context, ECD relies on flexibility and the ability to seize opportunities.

According to OECD/Development Assistance Committee, DAC (2006) capacity development involves much more than enhancing the knowledge and skills of individuals but also the restructuring of organisations in which those individuals work. In turn, the operations of particular organisations are influenced by the *enabling environment* – the structures of power and influence and the institutions – in which they are embedded. They conclude that "Capacity is not only about skills and procedures; it is also about incentives and governance as it is pointed out in the conceptual framework" but rather it depends on the frameworks/strategies and crucially the quality of the *organisation* in which they work (OECD/DAC, 2006:7).

Ghana's NDPC, like such other commissions in other developing countries, is not an exception to the numerous challenges of efficient capacity development evaluation. Below gives the various challenges in detail and these includes:

2.4.1Absence of Senior Management Systems

According to Kusek and Rist (2004), the presence of a national champion can go a long way towards helping a country develop and sustain M&E systems. Many developing countries are still struggling to put together strong, effective institutions. Some may require civil service reform, or reform of legal and regulatory frameworks, (ibid). Trying to build institutions, undertake administrative and civil service reforms, and revamp legal and regulatory codes, while at the same time establishing M&E systems can be quite a challenge. However, it should be remembered that instituting M&E systems can help better inform and guide the government in undertaking needed reforms in all of these areas. Absence of senior management support in such institutions will therefore add challenges in executing M&E activities including that of capacity development. Another factor hindering technical capacity development for evaluation is the incentives package existing for the participants. In Ghana, most technical capacity advisors leave the country and go to other countries to seek greener pastures due to lack of incentives and proper job conditions. It is estimated between 2006 and 2010, there has been over two hundred thousand people turnover in the public services, which most relate to poor incentives and motivation in the public sector. Kusek and Rist, (2001:17) posit that developing capacity is important to determine whether incentives exist in the area of political, institutional, or personal before

beginning to design a capacity development system. It is therefore acknowledged that the role of senior management and champion to buy-in to the idea of capacity development will serve as motivation and increase the incentives factors to developing national capacity.

2.4.2 Lack of or inadequate training institutions

Carden (2010:219) raises several concerns about evaluation capacity in international development at many different levels. These concerns range from the lack of, inadequate or inefficient training institutions where they exist, to that of trained personnel. According to Carden (2010:220), "the small number of trained evaluators in many developing countries, the nature and location of training (training designed by developed country organisation and trainer and training that is often in developed countries), the cultural, linguistic, political differences post a challenge in capacity Development". Kusek and Rist added that "technical assistance and training for capacity and institutional development may be required but lack of training facilities for developing these technical capacities hinder this process as seen in the case of Uganda and Bangladesh". With respect to in-country evaluation capacity development, Carden (2010:220), speaks about what he calls the "real evaluation gap''. "The evaluation gap", in Carden's view, "is not found in the methodological debates of which the evaluation community is so fond, but in the lack of focus on supporting the development of evaluation as a profession in developing countries. The challenge goes beyond training and capacity developing to embracing all the elements a field of practice will have: training, research, curriculum development for academic as well as technical education, executive training, a professional association that considers standards, advocates on evaluation policy, brings innovation to its members, and so on".

Furthermore, Preskill and Boyle (2008) explain that, the *implementation* component of the model suggests that the timing of the ECD effort, the facilitator's expertise and effectiveness, the participants 'frequency and quality of participation, and the extent to which the activity is implemented as designed will also affect how well participants learn from and about well-designed evaluation. Most developing countries' capacity development support, such as those institutions for conducting this training, are fragmented. The World Bank-OED (2004: IV) explains that "capacity development support is designed and managed operation by operation; it is difficult to capture cross sectoral

issues and opportunities and to learn lessons across operations". Some of the new multi-sector projects in countries with strong public sector reform programs address, in an integrated way, the institutional, organisational, and human resource changes needed to improve public sector performance (ibid). The Report further argues that "many such capacity development activities are not founded on adequate needs assessments and do not include appropriate sequencing of measures aimed at institutional or organisational change and individual skill development".

It is important note that inadequate training and in efficient institution as well as political interference in the component of training models continues to be a challenge in capacity development.

2.4.3 Lack of or inadequate funding

Capacity development for evaluation is mostly demand driven in many developing countries. There is greater accountability on donor funding and therefore absence of this policy will definitely lead to such challenges. Developing capacity does not happen overnight, but needs a number of years and funds for sustained intervention. It is therefore a challenge to such countries which do not have funds to implement their development projects not to even talk about evaluation rather than to developing their capacity to evaluate this program.

It is therefore acknowledge that capacity development constraints will continue to exist so far there is inadequate fund to support this programme

2.4.4Absence of workable strategies

The international development community, including the World Bank, "has traditionally treated public sector capacity development as a collateral objective that is, as a by-product or instrumental measure to advance near-term project outcomes rather than as a core goal in its own right, along with intended developments on the ground" WB/OED(2005). This general attitude has resulted in the underdevelopment of capacity development as a well-defined area of development practice with an established body of knowledge about what works in meeting different needs under different countries and sector conditions (OED 2005: 6).

The strategy of institutional and individual capacity-development is one that could contribute to successful implementation and achievable objectives of national programmes in public institutions. Human capacity development is the development of skills and the effective use of managerial, professional and technical staff and volunteers (for example, through training). This involves identifying the appropriate people to be trained, providing an effective environment for training and education, in-service and field supervision for continued skills transfer and long term mentoring (Lamptey *et al*., 2001 in Görgens and Kusek, 2010). For any capacity development initiative to have a real impact, human capacity development needs to be taken seriously. Developing working strategies and framework will ensure what kind of capacity development to undertake since these will assist the learning techniques and the interactive methodologies to be applied during training.

2.4.5Political unwillingness/Interference

Political interference in building capacity has also emerged as one of the major challenges in the public sector development programmes. OECD/DAC (2006) acknowledges that, "until recently, capacity development was viewed mainly as a technical process, involving the simple transfer of knowledge or organisational models from North to South". This happened because not enough attention was given to the broader political and social context within which capacity development efforts takes place. Kusek and Rist (2006) posit that, "In contrast to developed countries, developing countries may find it more challenging to do longer-term strategic economic, investment, and policy planning". Thus weak political will and institutional capacity may slow progress. Difficulties in inter-ministerial co-operation and co-ordination can impede progress toward strategic planning for developing technical capacity too. Indeed, lack of sufficient governmental co-operation and co-ordination can be a factor in both developed and developing countries (ibid). They further added that, "highly placed champions who are willing to assume the political risks in advocating results-based M&E are also needed—again emphasising the political nature of building such system since such a system demands technical capacity to implement their projects and programs" (Kusek and Rist 2006: 34).

If Ghana is to address the challenges above, it would be necessary to implement thorough public sector reforms (PSR). These reforms will aim at ensuring that 1) individuals are trained within the context of the organisations in which they work, 2) funding meant for capacity development is not misappropriated and is budgeted for at the beginning of each financial year. This will also be helpful in accounting for donor funding and for channelling adequate funding into proper training, 3) government departments and agencies delegate capacity development duties to qualified individuals for successful monitoring and evaluation.

2.4.6 Public Sector Reforms (PSR)

Human capacity development strategy is a national, regional or district strategy in most developing countries. Ghana is not an exception to this strategy and therefore has mandated the Public Service Commission (PSC) by the constitution to draw and organise strategies for developing human capacity for the civil services and other public institutions.

The National Development Planning Commission is part of the public sector there is a need to survey Public Sector Reform in Ghana in relation to capacity development in the country. The quality of the public sector, government departments and agencies, in terms of accountability, effectiveness, and efficiency in service delivery is a basic ingredient to a country's development (Schacter, 2000:1; World Bank, 2008). In order to realise the government's economic and social policies, the public sector designs and implements relevant projects and programs, collects revenue and is accountable to the public. Whilst line departments are specialised around programmes and policies that relate to a particular economic or social sector such as health, transport and education, central agencies are specialised around functions that serve the entire government such as planning and finance (Schacter, 2000).

Generally, Public Sector Reforms (PSR) refers to a collection of efforts geared to review, change and strengthen management of the public sector operations (Schacter, 2000:1). Some of the reforms are targeted to deal with specific institutional issues while others are an effort to overhaul the whole system through a combination of strategies, innovation and

other approaches (Ayeni, 2002). Critical aspects mainly targeted in recent reforms include financial management, justice and rule of law, the civil service and administration and other operations that relate to delivery of public services. The overall objective is that implementing the reforms will ultimately result in economic growth, poverty reduction, good governance and delivery of quality public services to the public (World Bank, 2008).

PSR has become crucial in recent times due to an increase in demand for good governance, transparency, integrity and accountability (Kiragu, 2002: 7). Most of the recent PSR worldwide are designed based on the precepts of NPM, which mainly focuses on adoption of private sector management practices (Ayeni, 2002:6). The reforms have been mainly as a result of the failure of the public service to deliver efficiently and effectively on its mandate. Kiragu (2002:7) asserts that developing countries' debts and budgetary constraints adversely affect the capacity and performance of their public service and as such justify their dire need for reforms as compared to developed countries. The Office of the Head of Civil Service (OHCS) is an element of the PSR that includes: - Human Resource Management (HRM) issues such as recruitment, retention and performance management; Organisational reforms aimed at improvement of operational efficiency through contracting, use of agencies, restructuring; and Capacity building, among others (World Bank, 2008). World Bank points out that, despite the fact that OHCS reform is expected to play a critical role in the success and sustainability of other elements of PSR, it has fared worse compared to other reforms. This is mainly attributed to lack of a coherent strategy, inherent political difficulty and the weak diagnostic work on civil service (*Ibid*). However, it is imperative to note that improvement in public service performance and accountability can be significant only if OHCS reforms succeed.

An evaluation report on reforms in several countries supported by the World Bank's Independent Evaluation Group (IEG) identifies three factors that contribute to their success. These include considering the political and institutional feasibility, focus on changing behaviour and organisational culture and undertaking relevant preparatory work to provide a firm background and sustainability of the reforms (World Bank, 2008).

Major constraints to PSR in developing countries include: inadequate support by the various stakeholders (Kiragu, 2002; World Bank, 2008); lack of performance incentives and inadequate implementation capacity (Kiragu, 2002). In Ghana, failure of a significant number of PSR efforts, initiated since 1992, to yield the expected results, has been mainly attributed to weak implementation (Kambuwa and Wallis, 2002). Schacter (2000:7) argues that the highly "technocratic" approach commonly used is a major contributor to failure in PSR efforts as they undermine the need for "culture change".

Promoting collaboration between the decentralised governmental structures and the national level has been demanding but has been necessary to enhance commitment and ownership. There are still a number of independent vertical reporting systems that do not routinely feed into the district, regional, or national response systems. This is not unexpected because the process of building consensus and trust among partners to share their data takes time and on-going commitment. The process of consensus building to formalise linkages between the various stakeholders at all levels, therefore, needs to continue to further harmonise reporting systems.

As will be shown in Figure 1, Antwi, Analoui and Cusworth (2007:19) conclude that "human resource capacity challenges manifest in three-dimensions as: policy-related, task/skill/organisation-related and performance motivation-related". Also, Enemark (2006:20) notes that "donors, in general, will often have a long-term vision of what they want to achieve and at the same time however, they will have to account to their constituencies and superiors at home for the progress of the project". This tends to shape the project in a "manageable" way by using accountable deliverables for short-term achievements (such as the number of parcels registered, number of training courses provided, etc.) while the long terms goals (such as building the institutional capacity, designing and implementing tertiary educational programmes, etc.) are more difficult to turn into visible and accountable activities. This kind of accounting management will work as a self-justifying system that pumps huge amounts of money to developing countries.

In align with this argument; Görgens and Kusek (2010:107) outline the following possible constraints of building and developing technical capacity:

- Lack of willingness by senior management to invest in the M&E system by investing in human resources capacity development
- Lack of local training institutions or trainers to provide M&E capacity building and development
- Lack of fund for M&E capacity building and development
- Lack of standardised and approved curricula, leading to inconsistent quality of training
- Lack of coordinated training efforts, leading to repetition and sub-optimal use of the limited funds for capacity building and development
- One dimensional capacity building strategies, such as relying only on workshops
- Workshop culture where workshops are associated with additional per diems and a day away from the office, instead of an opportunity to build and develop skills
- Lack of demand for data and M&E, leading to low levels of attendance at the M&E training courses.

2.5 Conclusion

The literature review presents a detailed background to the study and critical issues that relate to Technical capacity development. This study was an effort to establish the reasons why Technical Capacity development in NDPC Ghana has been a constraint in conducting Evaluation of project and programmes. Key issues that may contribute to capacity development not achieving the intended objectives are likely to be based on the key requirements or considerations outlined by the literature. The key issues were: absence of senior management system, absences of working strategies, inadequate and lack of training institution, inadequate fund, and Political willingness or interferences, were find as the challenges for capacity development. A review of public sector reform and the challenges they contribute to Technical capacity Development was also presented.

CHAPTER THREE

3.0 RESEARCH METHODOLOGY

3.1 Introduction

Chapter three presents the research methodology used in the research study. This includes the research approach, research design, data collection, data presentation and analysis. The chapter presents a detailed account on how the research was conducted and specifically addresses the overall research approach selected, research design and the related aspects on data collection and data analysis. This includes a presentation of the theory and the argument on its applicability in the context of this research study.

This research study sought to answer the following questions:

1. What framework is used in developing technical capacity for evaluation in NDPC?
2. What are the factors contributing to technical evaluation capacity constraints in the NDPC?
3. What can be done to address the technical evaluation capacity constraints the NDPC?

3.2 Research Approach

There are two main distinct research approaches, quantitative and qualitative. A research study may use either of the approach depending on the applicability to the study. However, in some cases a mix of the two methods is used to complement one another and draw on the strengths of the two approaches. This research study used a qualitative research approach. However, some quantitative data was incorporated to support the qualitative data. "Qualitative research is an umbrella term that encompasses several philosophical or theoretical orientations, the most being interpretive, critical, and postmodern" (Merriam, 2002:15). This approach can be used to describe, understand, interpret, verify or evaluate a phenomenon (Peshkin in [Leedy and Ormrod, 2005]). Most suitable to this study was the aspect of interpretation, as the researcher obtained a better understanding of the situation,

identified the problems and constructed new perspectives (*Ibid*). The researcher was central to the whole process of data collection and analysis (Creswell, 2003; Merriam, 2002).

The qualitative approach was used to gather and analyse information on the challenges in developing technical capacity for evaluation in the NDPC in Ghana. The approach was suitable for this research, as not much research had been done on technical evaluation capacity development and the specific issues on the challenges that need to be focused on for interrogation are not well known (Creswell, 2003). In addition, the approach provided for researcher flexibility in the framework (Neuman, 2006) and allowed for active participation by both. This flexibility allowed the researcher to modify research questions and accommodate the responses of the persons interviewed. Moreover, given that the researcher was the primary instrument for data collection, the methods used in a qualitative approach allowed the researcher and data source to interact and to take into consideration the participants' sensitiveness (Creswell, 2003).

Further, the qualitative approach did "expand [the researcher's] understanding through nonverbal as well as verbal communication, process information (data) immediately, clarify and summarise material, check with respondents for accuracy of interpretation, and explore unusual or unanticipated responses" (Merriam, 2002:5). The researcher was able to make adjustments as the research proceeded and there were new insights. The clarity on what needs to be asked and who to ask at times precipitated a review of the interview questions (Creswell, 2003). Another key aspect of a qualitative approach is that it is mainly inductive as the researcher analyses the data collected to draw meaning and conclusions on the research topic. Using the data collected, the researcher, through induction, constructed concepts and meanings, and generated hypotheses (Merriam, 2002). However, Creswell (2003) argues that in this scenario the interpretation of the data may be influenced by the researcher's experiences and background.

3.3 Research Design

In this research study, a case study research design was undertaken. Stake (2005:443), argues that a case study is "not a methodological choice but a choice of what is to be studied". The "what" in this case refers to one specific NDPC unit that has a clearly defined boundary of existence (Merriam, 2002). The National Development Planning Commission was used as the case study. The unit of analysis, which is based on the context, can be defined as "the case and the interaction between context and action" (Henning, 2004:41). The unit of analysis in this study was the challenges of developing technical capacity for evaluation. This study involved an in-depth description and analysis of only the department of housing in relation to performance contracting implementation.

The National Development Planning Commission, the case study in this research, was chosen to gain an in-depth understanding of the challenges in developing technical capacity for evaluation for those who are involved. A case study approach was chosen due to its inherent attributes that were applicable to this research. In this research, a case study was applicable as the researcher had no influence in the events and evaluation capacity development is a current practice in the public sector (Yin, 1994). Another key attribute contributing to choosing a case study for the research design in this study was that it "allows an investigation to retain the holistic and meaningful characteristics of real-life events" (Yin, 1994:3). In this regard, the commission's actual operations processes, organisational and managerial were not tampered with during the study. However, despite the fact that a lot more can be learnt from a case study (Merriam, 2002), it may not be easy to generalise the findings to others instances of the case. The challenges that were found from the National Development Planning Commission may not necessarily be concluded as the case for all other Ghanaian Commissions.

3.4 Data Collection

Data collection in a qualitative case study is similar to that adopted by other qualitative research (Merriam, 2002). The qualitative approach uses interviews, and document reviews as the main instruments for data collection (Merriam 2002; Neuman, 2006) two

types of data, primary and secondary data were collected for the purpose of this study. Primary data, central to this research, refers to data that is collected from the primary source of evidence while secondary data refers to data collected by other people and is contained in documents. Interviews were used as the primary data collection instrument while documents review was used for collection of secondary data. The documents review was intended to complement the interviews by providing further insights on the practices and challenges. The use of the two data collection instruments enhanced the validity of the results (Merriam, 2002).

3.4.1 Interviews

An interview refers to a social interaction between the interviewer and a selected participant, the interviewee, in which the former poses questions to the latter in an effort to gather specific data or information (Neuman 2006). There are three main types of interviews which include; structured interviews, in which the same questions are asked in the same order for every participant; unstructured interviews, in which the interviewer has just a list of topics, as a guide to the discussion and the questions or their order is not determined prior to the interview; and semi-structured interviews, in which there is a mix of some structured and some less structured questions. The interview guide is attached as appendix 1.

The researcher conducted semi - structured interviews that comprised a number of closed ended questions but consisted mainly of open-ended questions. The interviews were conducted in the National Development Planning Commission offices, situated in Cantonments in Accra. Five people from different deputy directorates and directorates within the commission were interviewed. One of the interviewees was from the HRM directorate which oversees the recruitments and training of staff. Also there were three technical officers interviewed from the M&E unit. The documents reviewed were mainly from NDPC. In the interviews, the structured questions were geared toward gathering particular information from all participants while the rest of the questions not explicitly stated or ordered were meant to be used to probe and gather information on some key

issues (Merriam, 2002). This provided the necessary flexibility to the researcher to determine what and how to put across the questions, probe further and give the interviewee the opportunity to give as much insight to the issue as possible.

3.4.2 Documents Review

Document review involves the review of books, reports, journals and newspapers among others. Documents are an easy source of information in that they are readily available and neither is their form of existence affected in any way by the researcher's presence nor are they expected to co-operate or change as the information is already documented (Merriam, 2002). Also important to note is that evaluation capacity development is a rather sensitive area in the public sector. It is on the premise of these reasons that this research used documents review, to provide insights, in addition to interviews.

The National Development Planning Commission has a monitoring and evaluation unit which is in charge of monitoring and evaluating the progress of implementation of its various programmes and projects. This study reviewed some of the unit's reports as well as the commission annual reports. In addition, the office of the head of the civil service and the PSC, and government agencies such GIMPA and MDPI mandated to oversee the public sector capacity development, have several relevant documents among others which were useful to the study. To supplement these documents and build on existing knowledge, books, journals and reports from international agencies such as the World Bank, the United Nation for Development Programs and the OECD were also reviewed.

3.4.3 Sampling

Qualitative research mainly uses purposive sampling to identify potential interviewees. Purposive sampling is the best in qualitative research given that the approach uses the information collected from the people to construct meaning and make conclusions. In light of this, it is crucial that the selected sample be one that can provide the most information, as does purposive sampling (Merriam, 2002). As such, the sample of persons interviewed in this research was purposive. Purposive sampling involves selecting interviewees who

will give the most information on the issue being investigated (Henning, 2004). The persons interviewed were mainly those who undertake evaluation and are also involved in developing capacity in the commission.

A total of five people who are members of commission, including four deputy directors and one technical assistance to the director-general, were interviewed. One person from the human resource management directorate was interviewed to provide information on the general overall management of the monitoring and evaluation process in the National Development Planning Commission. Two people external to the commission, from the Public Sector Commission who had been sampled for interview were not available but provided documents for review. The interview was done one-on –one and was recorded as well the main point written down. It was later transcribed. Appendix A was the interview question used.

3.5 Data Analysis

Data analysis involves the researcher understanding and interpreting the data collected in order to generate findings, make conclusions and recommendations on the phenomenon under investigation. In qualitative approach, data analysis begins and continues through and after the data collection process (Merriam, 2002; Neuman, 2006). Qualitative data analysis also requires that the researcher goes through the process to refine the interpretations made from the data (Basit, 2003). In this study, the researcher analysed the data collected on technical capacity building for evaluation, both from documents and interviews all through the data collection period. The data analysis was inductive, one of the major qualitative research principles, since the themes and conclusions were argued and based on the collected data and facts (Tashakkori and Teddie, 2009). The researcher began to form concepts at the start of data collection and as the analysis continued, these concepts, constructs and their relationship were refined (Neuman, 2006) and at times precipitated adjustments in assumptions and data collection. This gave prospect to collection of quality data in terms of reliability and validity (Merriam, 2002).

Neuman (2006) argues that given qualitative data is mainly descriptive, statistical analysis, which is more developed and systematic, is rarely used. However, qualitative data analysis is currently more systematic, unlike in the past, though there does not exist a single universally proposed or prescribed approach (*Ibid*). In analysing more than one type of data, primary and secondary, more than one type of analysis may be used to take into consideration the source differences (Tashakkori and Teddie, 2009). The qualitative data in this study was first organised for analysis and then reviewed severally to identify relationships, patterns or trends. The researcher then identified themes, similar dominant features or arguments, to be used as the basis for synthesising and categorising the data.

In finalising the analysis, the researcher looked through the data and selected what fitted and supported the identified key themes (Neuman, 2006). The resulting major themes are eventually presented as the key findings and are the premise on which interpretation was made (Creswell, 2003). The key findings on internationally existing best practices from literature are also presented in the discussion against those of National Development Planning Commission.

3.**6 Reliability and Validity**

3.6.1 Reliability

In general, reliability is used to indicate the extent to which a research would yield the same results if it were repeated. It "refers to the extent to which research findings can be replicated" (Merriam, 2002:27). However, given the nature of qualitative research, replication or a repeat of a study may not produce the same results. Instead, dependability or consistency, an indication of concurrence on the sense of research results should be used as the determinants to judge reliability (Neuman, 2006). Strategies such as triangulation, through the use of several data collection methods, and peer review can be used to ensure reliability (Merriam, 2002). In this study, the researcher used interviews, document reviews and peer reviews to ensure that the results are reliable.

3.6.2 Validity

In qualitative research the researcher focuses on capturing and presenting the participants' account of how they view, understand and interpret social life. Validity refers to the extent to which the research results presented agree with reality. There are two main types of validity in qualitative research, internal and external validity, which are discussed in the next sub-section.

3.6.2.1 Internal Validity

Internal validity in a qualitative approach concerns whether the research findings are compatible or reflect the reality (Merriam, 2002). This is in cognisance of the assumption by the inquiry that reality is relative and ever changing. In addition, each individual's point of view on reality is unique as it represents how they interpret the situation. The researcher interpreted the data collected, views and perceptions of participants, to provide a case of the reality of the issue being studied. This reality can be viewed as one that reflects more true sense of reality and which qualifies as internal validity (Merriam, 2002).

Triangulation is one of the strategies that were used to enhance the internal validity of this qualitative research. There are four main types of triangulation: "multiple investigators, multiple theories, multiple sources of data, or multiple methods to confirm emerging findings" (Denzin, 1970 in Merriam, 2002:25). The most commonly used type of triangulation is the 'multiple source of data' that is achieved by using two or more different data collection instruments. Data collected through interviews was confirmed against what had been found in documents. In this study, triangulation was implemented through use of interviews and documents analysis to enhance the internal validity of the research findings.

Other strategies of ensuring validity include: 'member checks', which requires that the researcher confirms with the participant on his or her interpretation of the data provided, and 'peer review', which requires that the researcher subjects the data and findings to his or her peers' review (Creswell, 2003; Merriam, 2002). These two approaches were also utilised in this study. Two member checks, one from the finance division and the other

from the planning division and two peer reviews from the M&E division were conducted to enhance the validity of the research results.

3.6.2.2 External Validity

External validity refers to the extent of the applicability of research findings to other situations. In order for other people to decide whether to transfer or apply these research findings, the study provides comprehensive and detailed information for them to study and compare the similarities of this research to their situation (Merriam, 2002). The findings of this research may be to an extent applicable to other national ministries and commissions as well as parastatals in Ghana given that they use similar monitoring and evaluation guidelines and are under the same Public Sector Commission (PSC) of the Office of the President.

3.7 Conclusion

This chapter presented the research methodology used in this study. The study used mainly a qualitative approach and a case study as the research design. Interviews and documents review were used for data collection. Five interviews were conducted and documents were reviewed. Data analysis was inductive as themes and conclusions were based on the data collected. Two sources of data, interviews and documents review were used for triangulation to ensure reliability and internal validity of the data. Finally, member checks and peer reviews were also used to ensure internal validity of the data collected. Having presented a detailed account of the how the research was conducted, the next chapter presents data collected during this study.

CHAPTER FOUR

4.0 DATA PRESENTATION

4.1 Introduction

This chapter presents the data collected through interviews and document reviews. The first section presents data from document reviews while the second section presents data collected through interviews. The interviews were conducted in the National Development Planning Commission offices, situated in Cantonments in Accra. Five people from different deputy directorates and directorates within the commission were interviewed. One of the interviewees was from the HRM directorate which oversees the recruitments and training of staff. Also there were three technical officers interviewed from the M&E unit. The documents reviewed were mainly from NDPC.

This research study sought to answer the following questions:

1. What framework is used in developing technical capacity for evaluation in NDPC?
2. What are the factors contributing to technical evaluation capacity constraints in the NDPC?
3. What can be done to address the technical evaluation capacity constraints in the NDPC?

4.2 Documents Review

The documents review was used in this study to provide data to fill gaps and validate data collected through interviews. Documents from NDPC, Ghana Institute Of Management And Public Administration, (GIMPA) Office Of The Head Of Civil Service, (OHCS) Public Sector Commission, (PSC) and Management Development And Productivity Institute (MDPI)were reviewed and provided critical insights mainly on evaluation issues in the commission. Prior to presentation of the results of the review, brief profiles on NDPC as well as the public sector reform are presented.

4.2.1 Ghana Institute of Management and Public Administration (GIMPA)

The Ghana Institute of Management and Public Administration (GIMPA), a co-operative body with academic, financial and administrative autonomy, was established in 1961. Currently GIMPA is the leading management development institution in Ghana serving as a world class Centre of Excellence for training in Leadership, Business Management and Public Administration, (GIMPA, 2008). The Centre for Management Development (CMD) is the training and development arm of the business school of GIMPA, offering programmes and courses in several professional development areas such as monitoring and evaluation (M&E), project management and certificates in human resources management which is a four week programme designed to strengthen the capacity of human resource managers and administrative manager in both public and private sectors. The M&E programme is designed to equip participants with the knowledge and skills to effectively undertake monitoring and evaluation of development projects. This implies that capacity development challenges are not about absence of institutions, but there are other factors that lead to capacity development challenges in Ghana.

4.2.2 Management Development and Productivity Institute (MDPI)

The Management Development and Productivity Institute (MDPI) is a sub-vented Agency under the Ministry of Employment and Social Welfare (MESW). The institute was established on 26th October under a joint Ghana Government, United Nations for Development Programme (UNDP) and international labour organisation (ILO) project. The legislative Instrument (LI) 1077 of 1st July 1976 incorporated the MDPI as parastatals.

The Management Development and Productivity Institute (MDPI) exist to promote increased productivity in both public and private organisations, primarily in Ghana, to enable them to contribute to the growth of the economy on a sustainable basis.

It achieves this through "Productivity Improvement Activities", "Management Development Programs", and "Research and Publications and their Dissemination", using a team of highly motivated staff with varied industrial and professional experience**.** Similar to GIMPA,

the MDPI offers management training programmes, conferences, workshops and seminars for personnel from all sectors of industry and commerce in various fields - including General Management, Financial Management, Industrial Engineering, Project Management, Marketing Management, Transport Management, Agricultural Marketing Management, Maintenance Management, Small-Scale Enterprises Management, Construction Business Management; and CIT Applications. They also embark upon practical aspects of training and problem solving with a view to building up managerial capacity and promoting increased Productivity (MDPI, 2010).

4.2.3 The Office of the Head of Civil Service

The Office of the Head of Civil Service established in 1996 through the Public Service Act of 1994, is mandated to provide dynamic leadership for the efficient management of human resources and the promotion of effective organisational development for the Ghana Civil Service. It is the government department that oversees Human Resource Management and Development (HRM&D), conditions of service, labour relations, IT and service delivery in the public service

4.2.4 The NDPC

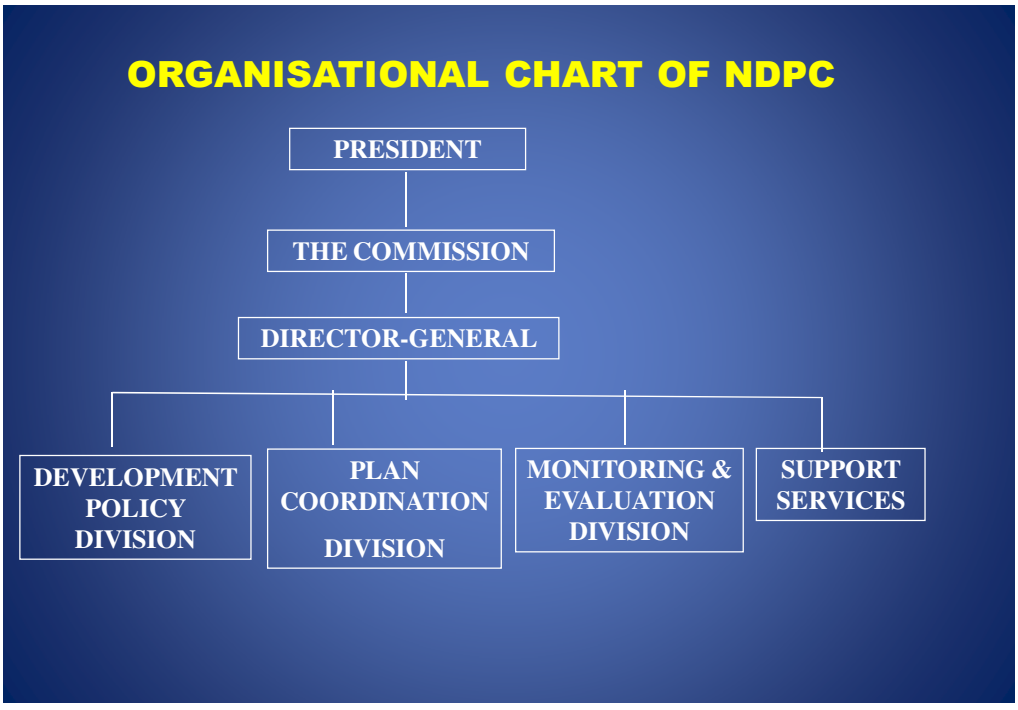
"The Commission shall advise the President on development planning policy and strategy (NDPC, 2006:1). The Commission shall at the request of the President, Parliament or on its own initiative: study and make strategic analyses of macro-economic and structural reform options; prepare broad or perspective national development plans; co-ordinate the decentralised national development planning systems; monitor, evaluate and co-ordinate national development policies, programmes and projects; ensure effective implementation, monitoring and evaluation of approved national development plans." (Quoted in NDPC, 2008:1)

Additionally, NDPC (2006) states that, the Commission "make proposals for the protection of the natural and physical environment, ensure even development (spatial balance) of the districts in Ghana, issue guidelines for the preparation of sector and district development

plans; and approve sector and District Development Plans based on national development goals".

This mandate allows the NDPC to prepare Monitoring and Evaluation guidelines, through a participatory process, for monitoring and evaluation of Sector and District Medium Term Development Plans prepared to support the implementation of the Growth and Poverty Reduction Strategy (GPRSII: 2006 –2009). Being the first of its kind, the NDPC organised an orientation and training programme on the guidelines for Regional Planning Coordinating Units (RPCUs) and District Planning Coordinating Units (DPCUs) as well as for representatives from the private sector and civil society organisations. Below is the organisational structure of the commission

Figure 1: Organisational chart of NDPC



Source: NDPC, 2010

The NDPC M&E unit is responsible for co-ordinating the monitoring and evaluation of these plans and strategies within a decentralised system. Below is the chart indicating the capacity strength of the unit where V indicates the vacant post in the commission.

The APR, (2008) review that one of the challenges facing the commission was inadequate technical and financial resources to conduct monitoring and evaluation activities at all levels and/or to undertake regular and systematic studies; NDPC,2010

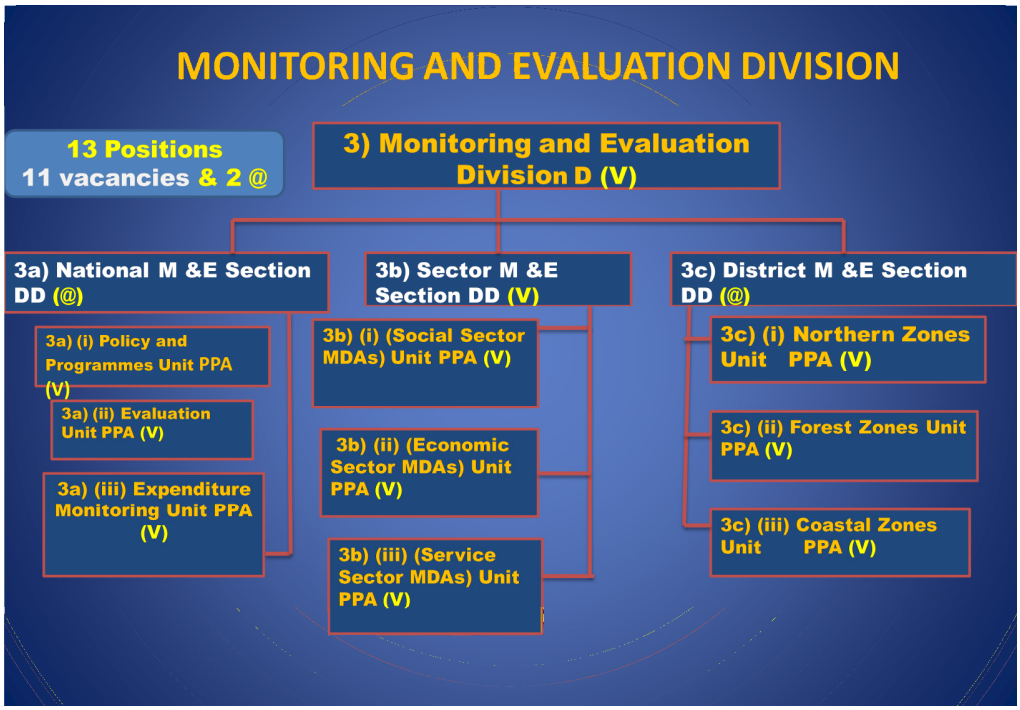


Figure 2 **Source: NDPC, 2010**

4.3 Interviews

Interviews were conducted to obtain data on capacity development challenges of the National Development Planning Commission. In total, five people including three technical deputy directors of the M&E unit and one technical assistant were interviewed. Each of the

deputy directors reports to a director-general due the absence of directors in the commission. Secondly each has between three to five planning assistants reporting directly to him. The period in which the interviewees have been on the unit range from 3 to 8 years. On average, each has been on the process of planning, implementing and monitoring and evaluating of developmental programs and projects for a period of five years. For purposes of anonymity, their names and Deputy Directorates or technical assistants are not mentioned. In this report, the interviewees are identified using alphabet letters (A, B, C, D, E, and F). However, the supervisor was provided with the details of the interviewees.

Among the interviewees was a representation from the HRM directorate which oversees the recruitment and training of staff in the National Development Planning Commission.

The data presented in this section is organised in three broad themes that emerged from the responses to interview questions that were guided by the research questions. The themes mainly relate to the stated purpose statement that sought to establish the challenges of developing technical capacity for evaluation. In addition, there are proposals on how it can be improved.

4.3.1 Challenges in Developing Technical Capacity

The data presented in this section is organised in three broad themes namely the Preparation to Develop Evaluation Technical Capacity, Challenges specific in conducting evaluation capacity development and recommendations on improvement that emerged from the responses to interview questions which were guided by the research questions. The themes mainly relate to the stated purpose statement that sought to establish the challenges of developing technical capacity for evaluation in the National Development Planning Commission. In addition, there are proposals on how it can be improved.

The interviewees were in general agreement that despite the challenges facing evaluation capacity development, they have a critical role to play in conducting evaluation on developmental projects and programmes in the public sector. They cited that it assists in drawing clear lines of accountability and in spelling out the performance targets against

which performance is to be assessed. However they noted that for it to effectively achieve its objectives, the implementation challenges need to be addressed. Subsequently they put forward proposals on how technical capacity development can be improved to be successful.

4.3.1.1 Challenges in Developing Frameworks for Technical Capacity for Evaluation

Policy and needs assessment is a critical step in capacity development. Under this general theme, the interview responses mainly revolved around the framework policy related to capacity developing in the commission provided to assist them in conducting their capacity development strategies.

The issue of institutional policy featured prominently as a challenge during the interviews. All the interviewees expressed dissatisfaction on the current institutional policy that they use to conduct evaluation capacity developing as well the process in conducting a need assessment in the commission. One respondent stated that "there is no institutional policy owned by the commission" but rather it is based on the national institutional policy which was not even provided by the PSC. Another respondent further added that "NDPC does not have staff development plan. *The staff development plan is expected to identify the challenges and propose solutions to addressing the gaps*" [D]. In conclusion another respondent stated that "The commission does not have any human resource policy to build or develop the capacity of existing staff to present and address the emerging issues even to solve National Development".

Another key section of the policy issues on which the interviews responded was legal provision to enforce the mandate of the commission which intend affected the building capacity to conduct evaluation. One respondent stated "*Inadequate legal provision to enforce what we want to do. No sanctions and rewards have been prescribed by the law for plan preparation and implementation" [D]*

4.3.1. 2 Factors contributing in conducting evaluation capacity development.

Factors contributing in conducting evaluation capacity development were identified as another broad theme under which most of the responses were concentrated. Under this theme, implementation is used to refer to the next major step that follows once a member of NDPC M&E unit has been assessed to go through the process of developing skills in the area of conducting an evaluation of developmental programmes and projects.

To begin with, some respondents [A] cited the issue of inadequate financial resources as a challenge to implementation of activities meant to achieve the targets specified in the capacity development. There were claims that there is no commitment or assurance on resources required to implement the evaluation capacity development as no money is ring fenced for targets specified in the M&E [D] unit and incidentals such as inflation are not taken into consideration [B]. In addition, budget provision and control, especially for staffing, is dependent on the relationship with the ministry of finance and economic planning as the supervisor [D]. A respondent stated, "*Managers of the commission have limited authority due to principals' inability to delegate* [D].

Human resource capacity, in terms of skills and numbers, is critical for ECD implementation. However, respondents indicate that this is hardly ever adequate as there is a high turnover of staff and persistent numbers of vacancies throughout the year(s) that take a long time to fill [B]. One respondent stated, *"When people leave, their share of work is allocated to the remaining staff leaving them overloaded since in addition they have their own* targets to meet. In certain cases those to be assigned the work do not even have the relevant skills" [E]. Efforts to handle all the assigned work would eventually affect the achievement of other targets, respondent E confirms that "those of us here are very much qualified having the requisite knowledge and skills to perform M&E, but because their number is small they do face a lot of pressure". There are only four M&E staffs working under the Division. Respondents claim that it takes a long time to fill vacant positions. One respondent stated that "*We have positions that have been vacant in this directorate for three years now",* [E]. He further went on to add that the "M&E unit until now does not have a Director for M&E Division". Hiring of staff cannot be done for one chief directorate or directorate as all vacant positions in the department have to be consolidated over an

indefinite time and then advertised together. The delay in filling vacant positions affects the performance of the directorate.

Political interference in the implementation of capacity development featured consistently as a key challenge. All of the respondents cited some form of political interference. These are:

1. Priorities of the commission get to change along the way in the course of the year,
2. Political appointees have their own agenda to pursue and
3. Transition periods of new elected governments adversely affect the operations of the department and consequently those of the directorates.

Upon the completion of an election and a 'new' government taking over, numerous changes are made, especially in the political leadership and top management of the commission. Four of the respondents stated that the changeover always results in the commission's major activities being put on hold until the new government gives direction on how to proceed [A]. New leaders and top management may not wish to make major decisions until they understand how things work and are clear on the implications of their actions. These changes affect the department adversely in that the required direction and guidance is lacking and the implementation of projects stall. It takes one to two years before the commission can stabilise again and may even result in a complete overhaul of the commission's operation. Two of the respondents were of the view that the commission get to spend less time fully functioning in the span of the four years a government is in power [D].

Political interference results in the introduction of new tasks and targets or reprioritisation of planned activities during the year [A] One respondent argued that political pronouncements during the year results in changes in the 'goal posts' that affect the commission's targeted outputs and subsequently those of its chief directorates and directorates [D]. Instructions from the political leadership to implement *ad hoc* activities,

whose resources are not provided for, conflict with planned activities and derail the implementation of the capacity development policies and funds allocated for such programmes and projects from the track [B] .In addition, there is the interference by political appointees with special interests in the activities of a deputy directorate or directorate [E]

Technical capacity advisor's performance review is a critical attribute of a capacity development system in the M&E unit of the commission as it ascertains the extent and level of performance achieved against expected performance. The interview responses revealed the issue of TCD performance reviews as a major challenge to the implementation of evaluation capacity development. There was consensus from four [C] of the five deputy directors implementers interviewed that absence or quality of performance reviews was a big challenge to TCD implementation.

Respondents indicated that no proper performance reviews are ever conducted in most of the directorates and deputy directorates [A]. The reviews are rarely done but managers prepare reports to comply with the HR directorate requirements [C]. A respondent referred to the reports sent to HR as "spin doctored" and that "they lack on content and objectivity since no one bothers to look at them" [C]. This was confirmed by another respondent who indicated that nothing is done to establish whether what is in the report is true or whether the actual targets have been achieved. These reviews are not objective, more so if poor performance is evident. A reflection of non-achievement may be interpreted as personal dislike and managers who try to do follow ups receive no support or co-operation from the staff [C.]

Effective technical evaluation capacity development performance management requires continuous review and building of the staff capacity to ensure that they have the skills relevant to their work and for career advancement. The training and capacity development document of the OHCS have a section which requires one to specify personal training and development requirements for the technical and financial year as agreed with the

supervisor. However, this never gets implemented and similar to other sections, managers no longer give it the attention it deserves when conducting the training and workshops for technical capacity development. As a result the staffs resorts to continuous attendance of unnecessary training that only benefit them financially [C]. Performance may not improve as some tasks that require certain enhanced skills may not be completed.

However, one respondent [A] gave a contradicting response that indicated managers are trained on the priority areas identified and agreed on with their supervisors during preparation of capacity development or performance reviews. Three respondents identified bureaucracy in the systems as a hindrance to implementation of developing technical capacity for evaluation. Bureaucratic procedures and processes are a bottleneck to progress that in turn affects capacity development. An example is requirements for approvals for conducting and attending workshops and training programmes such as from some specific person(s) or committee(s), not within your control on certain aspects of a task before it progress. The completion of the task is dependent on the availability and speed to take action of the person(s) or committee(s). A respondent argued that "*Development of a policy or engagement of a consultant may take a long period to complete if the relevant committee does not get to meet and act on the proposal or terms of reference*" [D]. Another respondent was of the view that "persons in certain positions use the bureaucratic processes to maintain their 'comfort zone(s)'. "If he or she is the only one who can give approval or make the decision(s) on certain issues in the process, they wield a lot of power which they would lose if the bureaucracy is dismantled".

Poor information management was also identified as a challenge to implementation of capacity development strategies and plans. This is due to what one of the respondent stated as *"absence or inadequate data cuts across all institutions in Ghana. As a result analysis of documents and findings from research poses a lot of challenge*" [E]. In addition respondents [D] indicated that information systems to capture, store and disseminate information are non-existent and subsequently performance monitoring is not established [D].

Another issue raised by the respondents was on leadership. Respondents were of the opinion that the political and top management leadership necessary to guide the

implementation of capacity development for evaluation has been weak and in many cases non-existent [B]. There is basically no existence of high-level commitment and leadership on Monitoring and Evaluation management. Some respondents were of the opinion that political leaders' utterances and actions do not match what is been practiced.

Furthermore top management is not keen on evaluation in practice but rather on paper [E].

All of the respondents raised issues that relate to the organisation culture. Four respondents cited lack of a performance culture in the commission to have played a significant role in hindering the implementation of ECD. Support and collaboration based on relationships was cited as a common practice. Two respondents pointed out that support or facilitation from sections not within one's control is mainly dependent on relations [E]. Another respondent cited recognition and adoption of any innovative ideas to be dependent on the relationship with the supervisor [E].

Co-ordination, communication and sharing of information between the various divisions within a directorate and among directorates were identified as weak. All the five respondents highlighted the issue of various units within the commission operating in 'silos'. A respondent was of the view that "Divisions, directorates and chief directorates exist as kingdoms" .In addition to the above reasons; one respondent stated that there is a "Weak collaboration of NDPC with other institutions of higher learning. How do we link up with Kwame Nkrumah University of Science and Technology (KNUST), University Development Studies (UDS) who are producing planning students to train their students at NDPC and staff of NDPC also going for refresher programmes" [D]. This is affirmed by another response who indicated that "directorates prefer to operate in isolation to 'protect kingdoms' and do not give priority, either in terms of time or budget to tasks or issues that they perceive as not their core mandate" [A]. There is a 'silo mentality' in the commission, ministries districts and agencies which contributes to lack of integration and co-ordination among the divisions and directorates and affects evaluation capacity building of activities that depend on one another [B].

Finally, re-alignment of the planning cycle; every Ministry, District and Agency and Metropolitan, Municipality, Districts and Agency is supposed to undertake evaluation of their sector and district plans respectively and NDPC is supposed to do for the national plans. Evaluation is done in order to provide lessons for formulation of the subsequent policy and plan, unfortunately by the time you finish implementing one plan, the subsequent one is ready because it has to feed into the next year budget. As one respondent quoted "using GPRS II as an example, by the time it ended in 2009, we should have started preparing its successor because the budget for 2010 is done in 2009. So we can't wait to do the evaluation before we prepare the policy and plan. Because the cycles are not properly aligned, it takes away some relevance from the evaluation; then again, you are not keen on doing evaluation anymore because the critical component of getting information from assessment of evaluation is lost" [A]. The other part that is left is how you can learn lessons to influence implementation. This takes away the enthusiasm to conduct evaluation on the national plan because essentially whatever lessons you learn is going to influence implementation and not plan preparation, with such problem its leaves no motivation to builds technical capacity for evaluation. In addition to these one respondent responded the "Issues of motivation is not the best at NDPC, it might be attributed to the fact that it's under the public service/public sector" [D].

4.3.1.3 Recommendation on Addressing Technical Capacity Development in NDPC

Effective evaluation capacity development requires adequate support from other relevant systems such as budgetary, procurement and personnel. These systems should be aligned with the national system in order to facilitate the capacity development by supplying adequate resource requirements. Mechanisms for co-ordination and integration among the various divisions, directorates or chief directorate should be developed and established to deal with the 'silo mentality'.

Political interference in public sector management should be restricted. Political leaders should be made to refrain from interfering unnecessarily with the commission's management and while political appointees should focus on achieving the targets specified

in the ensuring of service delivery and assisting the commission to get the required technical capacity to monitor and evaluate the developmental projects and programmes. In addition, directorates who refuse to divert the use of resources meant for priority areas should be protected through law.

Also, it is critical to have high level, both political and the commissions' top management, commitment, in order to mobilise the necessary facilitation for capacity development. Top management embracement of the capacity building will be easily cascaded to the rest of directorates in the commission. Appropriate leadership should be provided to guide the capacity development policies in both national units as well as in the commission.

Finally, the issues of training and data, NDPC should have a continuous training program for districts and sectors capacity. The M&E training manual that has been developed is to be used to train experts on M&E at district level on an annual basis. This is done in a sustained manner to let them get the tools needed. Instituting of a national database system will also assist the challenges of data quality and accessibility.

4.4 Conclusion

This chapter presented data collected during this study through interviews and document reviews. A brief on the three key departments, OHCS, GIMPA and MDPI, and their role in developing evaluation capacity the public sector was presented. In addition, a brief on National Development Planning Commission and the interviewees' profiles was presented. All the respondents appreciate that technical capacity development has an important role to play in monitoring and evaluation of the developmental programs and project. However, they are of the opinion that it has failed to do so due to a number of prevailing challenges that hinder its implementation. The interviewees' responses are presented under three broad themes which include: - challenges in conducting of technical capacity development; challenges in implementation of capacity development policies; and recommendations on

improvement implementation of technical capacity development**.** With regard to preparation of developing technical capacity for evaluation, respondents indicate that the policies are not in action and also there is an absence of capacity development plan.

On the issues of the technical capacity development, managers encounter several challenges. The challenges identified by the respondents were mainly on resources and managerial authority. Others include political interference; performance reviews; personal training and development; systems and processes, and finally, political and administrative leadership; public sector organisation culture and the implementation plan.

In the area of professional development component of capacity development, the following gaps were identified in terms of training, leadership, monitoring, prioritisation, co-ordination and integration with other systems serve as evidence that the implementation plan has weaknesses.

To improve the development of technical capacity for evaluation in the NDPC, respondents proposed that the policy for capacity development should be reviewed. Secondly, managers should be provided with adequate resources and the necessary authority. Also, performance reviews must be instituted. Furthermore, political leaders and political appointees must be restrained from interfering in the department's management. In addition, managers' capacity gaps must be addressed and finally, systems, processes and public servants are made performance-oriented.

The next chapter presents a discussion of the data presented in view of the literature review and the researcher's opinion.

CHAPTER FIVE

5.0 DATA ANALYSIS AND INTERPRETATION

5.1 Introduction

The previous chapter presented data collected in the course of this study. Chapter five presents an analysis and interpretation of this data in response to the research questions. The results are presented as the study findings. The analysis and interpretation results presentation encompass the data collected (voice of data), the literature review (voice of literature) and the researcher's views (voice of the researcher). The findings are presented based on the themes that emerged from the analysis of the data compiled and presented in the previous chapter. In the analysis and interpretation, the study also takes a comparative analysis of the case of the NDPC and the proposed factors from Görgens and Kusek approach for challenges of developing technical capacity in developing countries.

5.2. Factors Contributing In Conducting Evaluation Capacity Development

The analysis and interpretation of the data collected through the interviews and document reviews sought to establish the challenges of developing technical capacity in the National Development Planning Commission, Ghana and in addition, to make recommendations on how it can be improved. Specifically, it is geared to provide answers to the study's research questions defined in chapter one and which include:

1. What framework is used in developing technical capacity for evaluation in NDPC?
2. What are the factors contributing to technical evaluation capacity constraints in the NDPC?
3. What can be done to address the technical evaluation capacity constraints in the NDPC?

Technical capacity advisor is a skill when developed in an institution improves performance and assists an organisation to achieve its developmental goals. However, it is faced by several challenges which if not addressed can be a hindrance to its success. This is supported by evidence from the literature, document reviews and data collected through the interviews during this study.

5.2.1 Inadequate Resources and Managerial Authority

Financial and human resources and managerial authority are a critical requirement for successfully developing technical capacity for evaluation. However, as this study established, the resources and authority availed to managers for implementation of technical capacity development are inadequate.

This study established that though there are some efforts to provide financial and human resources they are still inadequate. The respondents stated that there is limited commitment or assurance on financial resources required to develop capacity in the M&E unit. The M&E work plan that clearly indicates the activities against key results areas to be implemented to achieve results. It is therefore necessary to provide the funds required for these activities to be implemented. A recent review of ministries, districts and the assemblies revealed inadequate funds as one of the main impediments to public sector performance and productivity improvement (OHCS, 2009). This should be equally translated as an impediment to capacity development in the commission which culminates in public sector performance.

However, it can be argued that, given that capacity developments financial requirements are supposed to be within the budget provisions, the issue of financial resources should not arise. It is likely, as stated by one respondent, that there is allocation and utilisation of funds on activities not planned for. Notwithstanding, reports from the media indicate that government institutions continue to be plagued by corruption risks in financial management not probably from the commission, which have the potential to deviate funds earmarked for assisting in building capacity activities.

Besides the funds, human resource capacity in terms of skills on its own and numbers is also critical for developing technical capacity. As this study established, there is a high turnover of staff and a persistent number of vacancies throughout the year(s) that take a long time to fill. Activities such as evaluation of projects spelt out in the M&E work plans have to be put on hold if the required human resources are not available. In certain cases where staff workload is increased due to others having left, their time and attention is thinly spread dragging completion on activities as is seen in the case of evaluation of the GPRS I and II. Those left behind may not even possess the right skills and depending on how crucial their work was, achievement of targets may be curtailed. Cameron (2009) attributes the persistent high vacancy rates in the public service to shortage of critical skills and delays in recruitment.

As established in this study, inextricably linked to the issue of inadequate resources is the manager's lack of authority on the budget and staff. Respondents stated that budget control is dependent on the relationship with the supervisor while HR issues are centralised (Ministry Finance and Economic Planning-MOFEP). This leaves the managers in a precarious situation with regard to undertaking their responsibilities to ensure that activities are implemented as scheduled in order to achieve the expected results. As Holzer and Lee (2004) argues, clarity on expected results and the associated responsibilities is not adequate for public sector managers to be held accountable as they are constrained by inadequate control on financial and human resources and various regulatory procedures that must be adhered to. Managers should be accorded authority commensurate with the responsibilities (Jabbra and Dwivedi, 1989).

Respondents indicated that all human resource management issues are handled by the HR directorate and take a long time to be dealt with due to the bureaucratic procedures. For example, hiring of staff cannot be done for one chief directorate or directorate. All vacant positions in the department have to be consolidated over an indefinite time and then advertised together. This can delay the filling of vacant positions for a year or more, while at the same time performance of the directorate is at stake due to shortages of staff. As

Görgens and Kusek (2010:106) argue, capacity needs of full time people responsible for implementing and managing the M&E system should be addressed, since without their leadership, the system will not be fully operational.

Moreover, it can be argued that politicians have been accorded more managerial power than the managers. Cameron (2009:8) views this practice as more of 'let the politicians manage' and is against the 'let the managers manage' key requirement for capacity development through policies on capacity development. But this is not without contradiction, as on the other hand, Directors-General (DGs) have the financial management authority (*Ibid*). Managers relying on authority delegation from either of the two may get caught up in the maze as the two hold on their powers of authority. Moreover, as the directorates continue to experience technical capacity shortage, they may have to be on good terms with their supervisors in order to influence expenditure on their activities. Though delegation to managers is provided for, it is evident that those with the power use their own 'personal discretion' to delegate authority.

5.2.2 Political Interference

Political interference in the implementation of capacity development policies and regulations featured consistently as a key challenge. Political interference in public administration varies in form and magnitude depending on powers vested in the political office concerned and the intended objectives. Respondents in this study argued that priorities of the commission get to change along the way in the course of the year and political appointees have personal or political parties' agenda to pursue. It cannot be contested that politicians often use their positions of authority to influence what and how things should be done in government departments regardless of the rules, procedures and plans laid out to be followed. Public managers are constrained by political authority due to the hierarchical flow of authority in government (Bozeman. and Straussman, 1990).

Görgens and Kusek (2010:107) posit that lack of willingness by senior management to invest in M&E system by investing in HR capacity is a constraint in addressing capacity gaps. In this case political interference in NDPC -M&E unit without prioritising capacity

development will continue to undermine the output of the commission as a whole. This study affirms that once elections are completed and a 'new' government takes over, there are numerous changes, especially in the leadership and top management of the commission. The change-over always results in the ministry's major activities being put on hold until the new government gives direction on how to proceed. World Bank (2008) argues that lack of political commitment and changes in political leadership are the most common political challenges to reforms. New leaders and top management may not wish to make major decisions until they understand how things work and are clear on the implications. These changes affect the commission even though the NDPC has over the years maintained most of their top executive with exception of their Board of Directors adversely, in that the required direction and guidance is lacking and the implementation of projects is delayed or stalled. Consequently, it follows that associated activities under implementation within certain managers' jurisdiction may come to a halt. Such incidences cost the government a lot of money and create uncertainty which discourage the managers from keen pursuit of the achievement of targets in the future. It may take one to two years before the commission can stabilise again and may result in a complete overhaul of the commission's operations. The commission may get to spend less time fully functioning in the span of the four years the government is in power.

According to Ketelaar *et al.,* (2007:11), failure to separate political and administrative tasks, results in focusing on "the selection of performance targets rather than achieving them". This study's findings reflect a similar scenario. The respondents indicated that political interference may result to new things being introduced or reprioritisation of planned activities during the year. Political pronouncements during the year result in changes in the goal posts affecting the commission's outputs and subsequently those of its chief directorates and directorates. Instructions from the political leadership to implement *ad hoc* activities, whose resources are not provided for, conflict with planned activities and divert the implementation of the capacity development framework from the track. The deployment of unskilled and inexperienced persons to senior management positions exacerbates the issue of political interference (Cameron, 2009). This is supported by the

respondents' indication that there is interference by political appointees with special interests in the activities of a directorate or deputy directorate.

5.2.3 Inadequate capacity needs assessment Reviews

Capacity needs assessment review is a critical attribute of a technical capacity development and ascertains the extent and level of performance achieved against expected performance. In this study, there was consensus from most of the directorates interviewed that absence or quality of capacity reviews was part of the biggest challenge. Upon realisation that there is likely to be no monitoring of the implementation, managers prepare capacity needs assessment reports just to comply with the job description requirements. Respondents indicated that no proper capacity needs assessment reviews are ever conducted in most of the divisions. The reviews are rarely done but managers prepare reports to comply with the HR directorate requirements and this is what one respondent put it, us "who monitor the monitor". As confirmed by the study, such reports cannot be objective, based on the fact that there is no mechanism to establish and confirm the contents. The need for monitoring and feedback as a key attribute of successful performance management (Fryer, Antony and Ogden, 2009) cannot be overemphasised. In their absence, poor performance in evaluation of programmes and projects cannot be identified or addressed. Görgens and Kusek added that "Planning a human Capacity assessment will help ensure that its objectives purpose and output such an assessment" will enable the commission to develop the necessary capacity for their evaluation programmes.

5.2.4 Inadequate Personnel Training and Development

Effective conducting of evaluation requires continuous review and development of the staff capacity to ensure that they have the skills relevant to their work and for career advancement. The need to have the most competent and committed personnel capable of providing the services required of the civil service cannot be overemphasised. Effective technical capacity development for evaluation requires continuous training and practices

for participants since training unearths and enhances the potentials of civil servants to enable them to perform to higher quality and performance standards. (OHCS, 2008)

Continuous training and development of staff and managers is critical for improvement in organisational performance. Human resource literature emphasises the importance of continuous training and development of staff and managers for improvement in organisational performance. Managers' development is critical and as stated by Towers (1992:151), it involves "identification of those skills and knowledge needed by managers in order for the organisation to meet its strategic objectives and the management of those processes necessary to produce them".

The training and development policy of the civil service have a section which requires one to specify personal training and development requirements for the capacity development financial year as agreed with the supervisor. However, as this study established, this never gets implemented and similar to other sections, there is now a tendency not to give it the attention it deserves when one is embarking on capacity development. As a result, the staffs ends up continuously attending unnecessary training which benefits them financially. These challenges in conducting evaluation may not improve as some tasks that require certain enhanced skills may not be completed. Görgens and Kusek (2009) argue that there will be continues human capacity gaps if there is a lack of standardised and approved curricula, leading to inconsistent quality of training. They further argue that uncoordinated training efforts, leading to repetition and sub-optimal use of limited funds of capacity building will not be able to address this capacity development which has been most of the practice in the commission. As Towers (1992) argues, consistent failure to train and develop staff construes an obstruction to effective HRM which is critical for organisational development and hence constrains its performance.

5.2.5 Systems and Processes Challenges

The public sector is basically known for its bureaucratic systems and processes, some of which are a hindrance to performance. There is also the issue of lack of technical capacity of these systems and processes. In addition, the absence of established information systems

contributes to poor management of information critical to performance monitoring and reviews of these technical capacity trained. Görgens and Kusek (2010) posit that "lack of demand for data and M&E system, leading to low levels of attendance at the M&E training courses. This also weakens co-ordination, communication and sharing of information between the various divisions within a directorate or even among directorates". It is evident from interview responses that bureaucracy in the public sector is a challenge to organising training and workshops as well as the financing of participants to build technical capacity for evaluation. This is mainly attributed to the existence of bureaucratic and complex systems and processes that do not support or focus on results and accountability. Systems identified as bureaucratic include budgetary, procurement and personnel. Bureaucracy of various forms may slow down implementation of activities meant to achieve the set targets and hence affect performance. A common problem identified by the respondents in this study, was on approvals from persons not within a manager's control, on certain aspects of a task before it can progress. They claim that officials in key offices may delay the approval as they seek to assert their authority. Its can then be concluded that the completion of a task is hinged on how fast the necessary approval or decision can be made.

Information Systems have the capacity to process information that can be used to facilitate effective management (Bozeman and Straussman, 1990). This study established poor information management within directorates as a challenge to develop technical capacity for evaluation. Respondents indicated that there are no information systems to capture, store, process and disseminate information necessary in decision-making and hence effective management. Subsequently, this, coupled with lack of established reporting systems and collaboration within the commission, adversely affects the professional development, organisational environment, and resources components of capacity development as a tool and therefore leads to weak feedback from participants of the training and workshops.

5.2.6 Inadequate Leadership

Leadership can be viewed as the evidence of commitment and the desire to achieve results and excel. However, it is worthwhile to note that in the contemporary organisations, it is difficult to draw a line between leadership and management. As such, this study discusses the two under one section. Supported by this study's findings, is the wide and uncontested consensus in most literature that leadership is a critical factor in the success of organisations, both private and public (De Waal and Cournet, 2009; Fryer *et al.*, 2009: Laking and Norman, 2007); likewise Kusek and Rist (2004), Görgens and Kusek (2010) also posit that the ability to identify individuals champions in organisations and successfully work with them to build understanding of and support for, M&E initiatives like capacity development, will be a fluke in the evaluation of programmes and projects. Specifically, crucial and relevant to this study is the role of leadership in public sector management reforms purportedly adopted to improve public sector performance and accountability. Leadership in this context encompasses both political and administrative leadership.

This section presented the study findings as interpreted from the data collected, supported by the literature and the researcher's views. The next section presents recommendations on how technical capacity development for evaluation in the National Development Planning Commission can be improved.

5.3 Recommendations on Technical Capacity Development Challenges

The previous section presented the analysis and interpretation of the data collected. In this section, some recommendations on how technical capacity building challenges can be improved are presented. Over and above the challenges facing public sector reforms, there are also proposed measures that can be put in place to ensure successful implementation. In summary, Analoui (2009) urges public sector organisations planning to undertake reforms to ensure that they have the appropriate structure, systems, culture, management and leadership. One can also contend that alignment between the various elements is also critical.

This study established that the capacity development has an important role to play in the M&E system of the National Development Planning Commission and therefore management is generally appreciated.

Secondly, in the area of funding, one respondent suggested, M&E system has not been part of their chemistry, the sectors have not been conducting M&E on their own plan and therefore do not even know how many resources they are committing as a nation to M&E. So there is a need to establish a baseline on how much government spends on M&E both at district, sector and national levels, once that is established, then it is necessary to find out the benchmarks that operate elsewhere.

Finally in the area of leadership and political challenges, Görgens and Kusek (2009) recommend that the developing countries institution such as the NDPC should seek leadership or multi-sectored team of decision-makers to help implement the action plan which will therefore enable them to monitor their results. Another respondent added that the absence of M&E directors needs to resolve. In the section of political interference, it was recommended by another respondent that there should be a policy to address too much political interference in the commission plans and programmes.

5.4 Conclusion

This chapter presented an analysis and interpretation of data collected with the support of literature and the researcher's views. These findings were also analysed against the theory of Görgens and Kusek capacity development. The analysis and interpretation results addressed the three research questions namely:

- What framework is used in developing technical capacity for evaluation in NDPC?
- What are the factors contributing to technical evaluation capacity constraints in the NDPC?
- What can be done to address the technical evaluation capacity constraints in the NDPC?

The challenges identified were discussed under six categories which include:-

Inadequate resources and managerial authority; Political interference; capacity needs assessment reviews; Inadequate personal training and development; Systems and

processes challenges; and Inadequate leadership. In addition, a set of recommendations on how Technical capacity development challenges can be improved was presented.

There is no clear vision communicated to managers and neither is the necessary commitment and guidance accorded. In addition, systems and processes challenges that range from bureaucracy, non-alignment to capacity development,

The endemic behaviour and attitudes entrenched in the public service have the power to downplay reforms as soon as they emerge. Finally, the study findings provide evidence of weaknesses in the capacity development implementation strategy as an all-encompassing challenge. Issues ranging from training, leadership, monitoring, prioritisation, coordination and integration among others mentioned in the challenges can be as well attributed to a weak and absence of capacity development strategy.

Having recognised the above challenges, this chapter also made an analysis and an interpretation on the recommendations made by the respondents in view of the literature reviewed and the researcher's views. Of utmost importance is to ensure that the existing structure, systems, culture, management and leadership are all oriented to performance and accountability. Specific recommendations include: - institution of performance monitoring and reviews; development of a comprehensive capacity development frame and strategy; provision of effective leadership; Development of information systems and integration of performance management with other systems; and Restriction on political interference.

CHAPTER 6

6.0 RECOMMENDATIONS AND OVERALL CONCLUSION

6.1 Introduction

Chapter five presented an analysis and interpretation of the data collected during the study. Chapter six presents conclusions and recommendations based on the research findings. In addition, areas requiring further research work are also proposed.

6.2 Conclusions

This research study sought to establish challenges encountered in the development of technical capacity for evaluation in the National Development Planning Commission. In addition, the study proposed, based on the findings, to recommend possible ways in which developing technical capacity for evaluation NDPC can be improved. Specifically, the study was geared to provide answers to the research questions defined in chapter one and which include:

1. What framework is used in developing technical capacity for evaluation in NDPC?
2. What are the factors contributing to technical evaluation capacity constraints in the NDPC?
3. What can be done to address the technical evaluation capacity constraints in the NDPC?

The National Development Planning Commission was used as a case study and specifically, the study focused on the technical managerial staff of the commission. The respondents included four deputy directors and one technical assistant from the National Development Planning Commission. The study concludes that though developing technical capacity is envisaged to facilitate evaluation, there are several key challenges hindering it from being

effective. These challenges include: absence of a capacity development framework and the build-up of this is very slow in the commission. Inadequate resources and managerial authority, Political interference, inadequate need assessments and policy review; inadequate personal training and development; inadequate leadership; system and process challenges and public sector organisation culture.

This study established that the managers highly appreciate the potential benefits of developing technical capacity for evaluation. Technical capacities clarify their responsibilities and expected results and can be an effective mechanism for accountability and performance improvement.

Technical capacity development, featured as a success in the most literature, provide evidence of the potential benefits. However, as the study established the prevailing implementation challenges in NDPC has hindered technical staff from providing any significant contribution to performance management.

The study concludes that though technical capacity development is envisaged to facilitate performance management, there are several key challenges hindering it from being effective. These challenges include: - Inadequate resources and managerial authority; Political interference; Inadequate personal training and development; Systems and processes challenges; Inadequate leadership; Public sector organisation culture; and a weak technical capacity development implementation strategy.

It further established that lack of adequate training and support for quality control on the development of technical capacity for Evaluation premised on the fact that the staff in division responsible for coordination of capacity development does not have the requisite adequate capacity.

Inadequate resources and managerial authority accorded to senior management service members in the Ghana public sector is a challenge to the implementation of training and

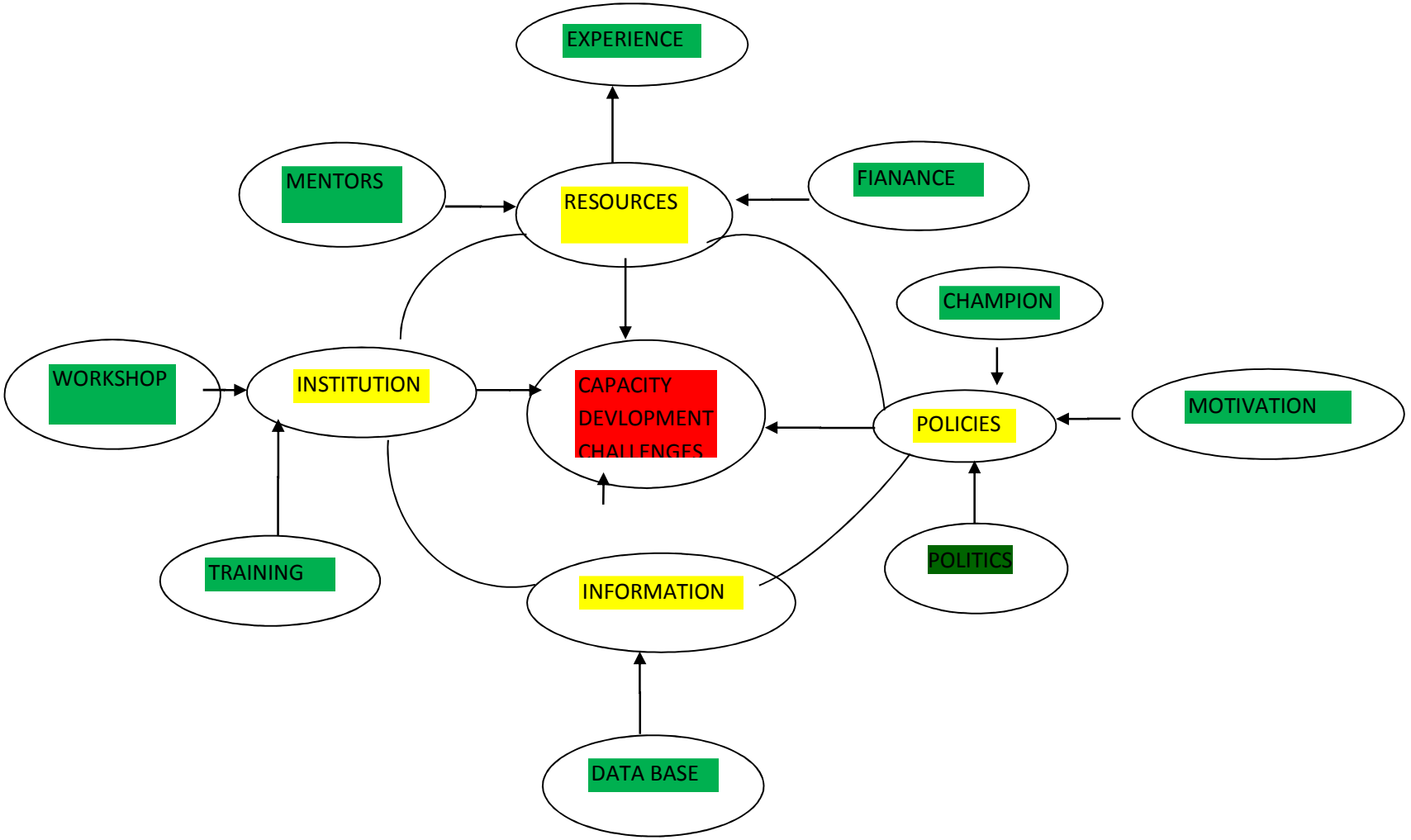
workshop for capacity development. This is against the principle of NPM that qualify managers' commitment to their responsibilities and to be held accountable of results. Senior managers claim there are misallocation, non-prioritisation and deviation of budgetary resources and there are no funds set aside specifically for developing capacity for evaluation. There is shortage of staff due to scarcity of skills and persistent vacancies that takes too long to be filled. The situation is aggravated by lack of managerial authority. Political interference in public management is a well-known fact in most developing countries. It was evident in this study that political leaders and appointees introduce other priorities not aligned to prevailing plans that take up scarce resources and at times create disharmony among staff that hinder development of technical capacity for evaluation. Uncertainties during takeover by new governments result into a slow down or abandonment of projects adversely affecting technical capacity development.

Systems and processes challenges including bureaucracy, lack of alignment to Developmental programs and lack of integration were identified as hindering technical capacity development for evaluation. The bureaucracy in making of decisions, delays in recruitment of staff and procurement, input focused financial reporting and lack of information systems are common in government institution. Inadequate political and administrative leadership also pose a challenge in the implementation programs for developing Technical capacity for evaluation. The study findings established that the political and administrative leadership is not committed and neither is it providing guidance. Contrary to the expectations, the political leaders and top management do not 'walk the talk'. In addition, the prevailing public sector organisation culture does not facilitate the process of developing Technical capacity for evaluation. The endemic behaviour and attitudes entrenched in the public service has waged resistance on building of a performance culture.

Finally, the study established that many of the challenges stemmed from weaknesses in the implementation strategy. The top-down approach in reforms has many times resulted in public servants retreating back to old practices. The strategy would have articulated how

issues such as training, leadership, enforcement, monitoring and alignment were to be effectively addressed. The diagram below summaries the challenges faced by the commission to develop technical capacity for evaluation.

Figure 3: Technical capacity development challenges in NDPC



6.3 Recommendations

Based on the findings of this study, below are some key recommendations on how developing technical capacity for evaluation can be improved. This also includes recommendations on areas that require further research.

One of the key areas of technical capacity development challenges is lack of capacity development framework for developing capacity in the commission. This cuts across all the division in the commission. It is therefore recommended that, there should a legislative requirement to back the Public service to prepare their own capacity development framework rather than depending on the Public Sector Commission framework.

Secondly, there should be buy-in by champions to motivate individuals, groups and entire institutions to conduct capacity development programmes. This is because champions such NGOs, civil society, private co-operates, provides knowledge, skills, innovative and proven methodologies, networking and fund opportunities during capacity development programmes.

Finally, the purpose of the champion in conducting the capacity development should be emphasised since this will serve as a motivational factor in developing technical capacity for evaluation. This can be seen in the area of provision of strategies for advocacy government relations and public outreach.

6.4 Areas for Further Research

To begin with, this study should be expanded in terms of the number of participating

Commissions and divisions required to conduct evaluation on developmental projects and programmes. In addition, further research work should be undertaken to establish national frameworks for building technical capacity in all the various ministries, district and agencies for the evaluation of programmes to be conducted smoothly.

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APPENDICES

Appendix 1: Interview Guide

Introduction

The questions below were used to guide the researcher in collection of data from the selected participants who are members of Senior Management Service.

Interviewer: Stephen Ayiku Ampem-Darko

Institution: Graduate School of Public and Development Management, Faculty of

Commerce, Law and Management, University of the Witwatersrand,

Johannesburg.

Objective: Research Study for Partial Fulfilment of MM P&DM

Topic: Technical Capacity Development for Evaluation in the NDPC

Purpose: to explore the challenges in Developing technical capacity for evaluation

Background Information

Name of Interviewee:

Position:

Section/Division:

No. of Direct Reportees:

Period on M&E unit:

Date interviewed:

Interview Questions (For a members of technical staff)

1. How is technical capacity defined and how often have you been involved in conducting evaluation?

2. What type of evaluation does this commission mostly conduct?

3. What part of technical capacity development is mainly difficult to prepare?

4. What do you find challenging in developing technical capacity for evaluation?

5. What systems affect you in pursuit of achieving the targets specified in the building technical capacity in this commission?

6. In your opinion, what do think can be done to address the technical evaluation capacity constraints in the NDPC?

Interview Questions (The HRM- deputy director)

1. What is the role of HRM in technical capacity for evaluation in this commission?

2. What are the challenges you encounter in playing your role?

3. What are the challenges faced by senior managers in developing technical capacity for evaluation?

4. What is your opinion on the role of technical capacity in conducting evaluation?

5. In your opinion, what can be done to address the technical evaluation capacity constraints in the NDPC?