

**Evaluation Capacity Development Processes and Organisational Learning  
in Ugandan Municipal Local Governments**

**A Research Proposal Submitted to the School of Business and Management in Partial  
fulfillment of the requirements for the award of  
Masters in Project Monitoring and Evaluation**

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### **List of abbreviations**

AfDB	African Development Bank
AfrEA	African Evaluation Association
CD	Capacity Development
CSCU	Civil Service College Uganda
DAC	Development Assistance Committee
DFID	Department for International Development
DLOQ	Dimensions of Learning Organisation Questionnaire
DV	Dependent Variable
ECD	Evaluation Capacity Development
GoU	Government of Uganda
HLG	Higher Local Government
IV	Independent Variable
LG	Local Government
MC	Municipal Council
OECD	Organisation for Economic Cooperation and Development
UNDP	United Nations Development Programme

# **CHAPTER ONE**

## **INTRODUCTION**

### **1.0 Introduction**

This is a proposal for a study to investigate how Evaluation Capacity Development (ECD) affects Organisational Learning (OL) in the municipal Local Governments (LGs) in Uganda. The study will consider ECD as the Independent Variable (IV) and OL as the Dependent Variable (DV). This proposal is arranged in three main chapters namely: the introduction, literature review and methodology. Chapter one addresses the background to the study, problem statement as well as the objectives of the study. It also presents the research questions and hypotheses, the significance and justification, ending with a presentation of the definitions of the key concepts of the study.

### **1.1 Background to the study**

The proposed study on ECD and OL is founded on the following background:

#### **1.1.1 Historical background**

Evaluation Capacity Development (ECD) is rooted in participant-oriented approaches to evaluation which emphasise the enlisting of the cooperation of all stakeholders (Royse, Thyer, Padgett & Longan, 2006) allowing them to define and determine the evaluation approach and parameters (Hogan, 2007. p.9). ECD is reported to have emerged in reaction to the lack of results produced by initiatives based on technical cooperation (Morgan & Baser, 1993; Lusthaus, Adrien & Perstinger, 1999). ECD is less demand driven (Alley & Negretto, 1999) but has of late increasingly captured the interest of evaluation theorists, researchers, and practitioners (Lennie, Tacchi, & Wilmore, 2010; Cousins, Goh, Elliott & Bourgeois, 2014). Meanwhile, donors have over the past few years invested enormous amounts of funding towards capacity building as a

strategic priority (Simister & Smith,2010.p.18) however Uganda is still striving to develop evaluation capacity (Odokonyero, 2014).

### **1.1.2 Theoretical background**

The proposed study is anchored on Argyris & Schön's (1978) Organizational Learning (OL) theory which states that, in order to be competitive in a changing environment, organisations must change and refocus, making conscious decisions to change actions in response to changing circumstances. Thus OL is a product of organisational inquiry and a process that “involves detecting and correcting errors where organisations capture, understand and manage their experiences” (Argyris & Schön, 1978, p.116), often resulting into storage of past events interpretations and ECD is one way to facilitate learning as work in recurrent sequence of functions are a learning vehicle (Levitt & March, 1988) creating learning as well as unlearning (Turyasingura, 2011) in response to experiences. It is a fundamental requirement for sustained organisational existence (Kim 1993). OL denotes a change in organisational knowledge by adding to, transforming, or reducing organisational knowledge and is facilitated by fostering an evaluation culture. In using this theory, the study shall use the dimensions of: Individual, team and organisational level learning which will guide the application of the Dimensions of Learning Organisation Questionnaire (DLOQ) (Yang, 2003).

### **1.1.3 Conceptual background**

Evaluation Capacity Development impacts on Organisational Learning (Horton, et al. 2003) and there is a significant move towards seeing evaluation as an ongoing learning process and as a means of strengthening capacity and improving organisational performance (Horton, Alexaki & Bennett-Lartey, 2003.p.7). ECD is the process in which people, organisations and society as a whole unleash, strengthen, create, adopt and maintain evaluation capacities over time (OECD, 2006) and should be seen as a means to support more effective policies and programmes to

achieve development results, a broader and long term process whose aim is to not at individual knowledge, skills and attitude but also organisations' capabilities and system readiness (Tarsilla, 2014a and b). Government organizations vary in terms of their capacity from one dimension to the next, and indeed, from one sub dimension to the next (Bourgeois & Cousins 2013). ECD is part of the bigger development process (Otoo, Agapitova & Behrens, 2009)

#### **1.1.4 Contextual background**

Municipal LGs in Uganda operate under decentralization (Uganda, 1995; 1997) by which functions powers and responsibilities for development planning and implementation were devolved and transferred from the central to LGs in a coordinated manner through the principle of decentralization to ensure full realisation of democratic governance at all LG levels, with all Local councils being able to plan, initiate and execute policies and LGs are obliged to oversee the performance of persons employed by the government as well as monitoring the provision of government services in their areas (Uganda, 1995.p.138). Additionally, Article 190 of the Constitution of the Republic of Uganda specifically places an obligation to LG councils to prepare development plans while the Local Governments Act, CAP 243 places it upon the LG chairpersons and executive committees to provide an oversight role with regard to implementation of council policies and development initiatives which calls for strategic approaches to ECD in LGs.

#### **1.2 Statement of the Problem**

Evaluation Capacity Development in Uganda has been approached from the perspective of narrow departmental responsibilities rather than comprehensive goals and government-wide ownership (Hague, 2001). This is severally manifested in: the inadequacy of professionally trained evaluators; the insufficient appreciation of evaluation, an evaluation system characterised by poor coordination, fragmented Evaluation Capacity Development efforts and an evaluation capacity

deficiency (Kakande, 2011). It is also a historic fact that most of the Evaluation Capacity Development activities in African countries in the past have been externally designed (Horton, 2002; AfrEA, 2007) to which Odokonyero (2014) alluded highlighting that despite all efforts, Uganda still struggles to develop evaluation capacity. In fact Tarsilla (2014b) has asserted there is lack of a clear and systematic Evaluation Capacity Development vision at the whole African level and calls for the building and dissemination of a truly Africa-based and locally contextualized Evaluation Capacity Development initiatives (p.11) which can be realised more through and for Organisational Learning. Organisational learning takes place at individual, team level and organisational levels (Argyris & Schon, 1978) to which Preskill & Boyle (2008) attested by mentioning that developing evaluation capacity enables organisations to adopt to new requirements and is a force for individual, team and organisational growth and that it should be ongoing and integrated in all work practices thus Organisational Learning.

There exists conceptual and empirical links between evaluation and OL (Cousins & Earl, 1995; Owen & Lambert, 1995; Preskill & Torres, 1999; for example) which was affirmed by studies by Fleischer, Christie & LaVelle (2008) and well as Cousins, Goh, Elliott & Bourgeois (2014) who thought of evaluation as an organisational learning system through the establishment of a link between evaluation activities and Organisational Learning. It is not however clear why ECD is less demand driven as asserted by Alley & Negretto (1999) and why evaluation systems are still not part of the normal business practices of many governments (Kusek & Rist, 2004) as the studies on the matter have mainly addressed the matter (Cousins & Earl, 1995; Owen & Lambert, 1995; Preskill & Torres, 1999; Fleischer et. al, 2008; Cousins et. al, 2014) have not considered the Ugandan Local Government context.

The disjointed Evaluation Capacity Development efforts affect Organisational Learning in the Municipal Local Governments since there is no sharing of lesson in a coordinated manner as new

initiatives keep being designed every other time (Kusek & Rist, 2004; Simister & Smith, 2010) yet Organisational Learning is a fundamental requirement for sustained organisational existence (Kim, 1993) and the effective implementation of the Local governments mandate and obligation to oversee and evaluate implementation of development initiatives under the decentralization framework (Uganda, 1995; 1997).

It has been highlighted by Simister & Smith (2010) that if not dealt with, the prevailing unclear approaches to Evaluation Capacity Development will leave African governments in general and specifically Municipal Local Governments in Uganda doing good evaluation work but in isolated and fragmented cases which will keep affecting organisational learning thus the need for a study on the Evaluation Capacity Development process and Organisational Learning in Municipal Local Governments in Uganda.

### **1.3 Purpose of the study**

The study will seek to establish if and how Evaluation Capacity Development (ECD) affects Organisational Learning (OL) in the Municipal Local Governments (LGs) in Uganda.

### **1.4 Objectives of the Study**

The objectives of the proposed study are:

- i. To determine the relationship between designing of evaluation capacity development and organisational learning in the municipal Local Governments of Uganda.
- ii. To assess the effect of implementation of evaluation capacity development on organisational learning in the municipal Local Governments of Uganda.
- iii. To establish the relationship between evaluation of ECD and organisational learning in the municipal Local Governments of Uganda.

### **1.5 Research questions**

The study will be motivated by the following questions:

- i. How does designing of evaluation capacity development affect organisational learning in the municipal Local Governments of Uganda?
- ii. To what extent does the implementation of evaluation capacity development affect organisational learning in the municipal Local Governments of Uganda?
- iii. How does evaluation of ECD affect organisational learning in the municipal Local Governments of Uganda?

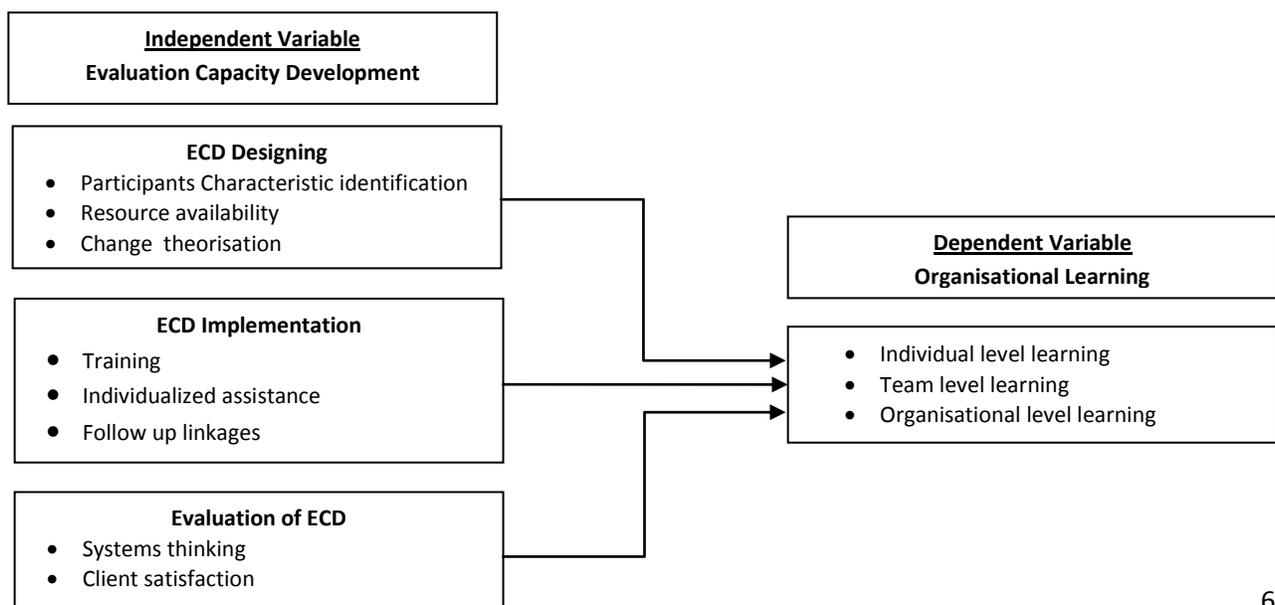
### 1.6 Hypotheses of the Study

The study will seek to test the following hypotheses:

- i. There is a strong positive relationship between designing of ECD and organisational learning in the municipal Local Governments of Uganda.
- ii. There is a strong positive relationship between the implementation of ECD and organisational learning in the municipal Local Governments of Uganda.
- iii. There is a strong positive relationship between evaluation of ECD and organisational learning in the municipal Local Governments of Uganda.

### 1.7 Conceptual framework

The proposed study will be guided by the following conceptual framework.



**Figure 1.1: Conceptual Framework for the study on Integrated Evaluation Capacity Development and Organisational Learning. Adapted from: Nu'Man, King, Bhalakia & Criss (2007) and Preskill & Boyle (2008).**

The above conceptual framework presents ECD as the independent variable with three dimensions: ECD designing, ECD implementation and evaluation of ECD. OL on the other hand is presented as the dependent variable to specifically consider: learning at individual, group and Organisational level. The conceptual framework is based on: Nu'Man, King, Bhalakia & Criss (2007) who proposed a framework for building sustainable organisational capacity that combines high- and low-intensity approaches; integrates program planning, monitoring, and evaluation; and focuses on building understanding of the value of appropriate organisational change (p.24); Preskill & Boyle's (2008) understanding of the ECD process; and, the OL theory as advanced by Argyris & Schön (1978) which states that, to be competitive in a changing environment, organisations must change and refocus, to make conscious decisions to change their actions in response to changing operational circumstances.

## **1.8 Significance of the Study**

Scientific research improves decision making, reduces uncertainty, enables adopting new strategies, and helps in planning for the future and ascertaining trends (Ahuja, 2001.p.48). In line with this, the proposed study will:

- i. Contribute to the understanding of the theory and practice of ECD and OL in Municipal Local Governments in Uganda.
- ii. Contribute to deeper understanding of ECD successes and the challenges faced while trying to ensure ECD in Municipal Local Governments in Uganda.
- iii. Contribute to enhancing knowledge on facilitating OL for the survival and continuation in Municipal Local Governments in Uganda and the civil service generally.

- iv. Contribute to recommendations for improving the relevancy, efficiency and effectiveness of policy framework and practices of evaluation particularly in Local Governments and Uganda civil service in general.
- v. Contribute to the researcher's academic progress towards earning a Master's Degree in Project Monitoring and Evaluation of Uganda Technology and Management University (UTAMU) and as well enhance the researcher's professional visibility.

## **1.9 Justification of the study**

Organisations that provide capacity development services are increasingly funded through a variety of different sources and it is more and more important to have some accepted frame of reference within which evaluation can take place (Simister & Smith, 2010. p.21). DANIDA (2004) posited that there is no precise map showing how to achieve meaningful capacity development results in specific conditions (p.47).. There is need for a clear understanding of the designing and implementation of ECD as well as evaluation of ECD and their effect on OL more so in the Municipal LG setting of Uganda which aspects have no ready answers (Amin.2005.p.63). ECD is relatively new in the Ugandan Local Government sector and Municipal LGs have unique service delivery and development demands that the study provides opportunity to for lessons to provide new dimensions for evaluation, capacity development and OL for LGs in Uganda.

## **1.10 Scope of the study**

### **1.10.1 Content scope**

The study will limit itself to ECD as the independent variable which will consider three dimensions: ECD Designing, ECD implementation and evaluation of ECD while OL will be the

dependent variable and will specifically consider learning at individual, team and organisational levels.

### **1.10.2 Geographical scope**

The study will be conducted on five Municipal LGs in Uganda to be selected from the five regions basing on key factors of: population, distance from the national capital and the period of existence since their creation.

### **1.10.3 Time Scope**

The study will limit itself to municipal LGs activities specifically in the period July 2006 to the present. This timeframe is specifically chosen on basis that this was when the most recently created municipal Local Governments started operations and is meant to also capture their experiences in the subject matter.

## **1.10 Operational Definitions**

In the study, the following will be key concepts and terms and shall be construed to have the following meanings and interpretations:

**Capacity Development:** A deliberate process through which individuals groups, organizations increase their abilities to perform functions, understand and deal with their development needs in a sustainable manner.

**Capacity:** An expression of the ability to economically, efficiently, effectively and sustainably perform mandated functions.

**Evaluation Capacity Development:** The process whereby people, organisations and society create, strengthen and maintain their evaluation capacities over time.

**Evaluation:** A deliberate and planned process of determining the worth of a development intervention.

**Local Government:** A body corporate with decentralized powers and responsibility to plan and budget for, implement and evaluate local development interventions.

**Organisational Learning:** The process through which an organisation supports, encourages and actualises acquisition of knowledge and skills to improve individual, team and organisational performance for organisational survival in a changing environment.

## **CHAPTER TWO**

### **LITERATURE REVIEW**

#### **2.0 Introduction**

Research does not exist in isolation and each research study is part of an existing body of knowledge building on the foundation of each research and expanding that foundation for the future of research (Gravetter & Forzano , 2011p.49) thus it suffices to note some works have been done on ECD and OL before. This chapter provides a review of the literature accessed by the researcher explaining in detail the theory that will guide the study, the concepts to be used as well as their importance.

#### **2.1 Organisational Learning theory**

Argyris & Schön (1978) are among the key earliest reported contributors as they proposed models that facilitate OL. The OL theory states that, in order to be competitive in a changing environment, organisations must change and refocus, to make conscious decisions to change their actions in response to changing circumstances. OL is a product of organisational inquiry (Argyris & Schön, 1978), a process that “involves detecting and correcting errors where organisations capture, understand and manage their experiences” (p.116), often resulting into storage and interpretations of the past events. It suffices to observe that ECD facilitates learning as Levitt & March (1988) have pointed out that the recurrent sequence of work functions become a learning vehicle which creates learning and Turyasingura (2011) noted that the process also actually involves unlearning in response to experiences. OL is thus the study of experience, knowledge, and the effects of knowledge within an organisational context (Fiol & Lyles, 1985).

OL is a fundamental requirement for sustained organisational existence (Kim 1993) and denotes a change in organisational knowledge by “adding to, transforming, or reducing organisational

knowledge and is facilitated by fostering a culture of evaluation. OL advocates for creation, capturing, transferring and mobilizing knowledge to enable an organisation adapt to a changing environment whose key aspect is the interaction amongst individuals and in pursuing OL, an organisation promotes, facilitates, and rewards collective learning. However, the process of learning may not be straight forwardly easy as it involves unlearning – consciously giving up on learning practices that in many cases have long been ineffective a far more proposition that learning as it involves changing engrained patterns of behavior (Sorgenfrei & Wrigley, 2005.p.35). The gist of this proposed study is to establish if and how ECD contributes to OL in the Municipal Local Governments of Uganda.

## **2.2 Conceptual Review**

Following is a review of the key concepts for the study.

### **2.2.1 Evaluation Capacity**

Capacity of an organisation has been defined as its ability to successfully apply skills and resources to accomplish goals and satisfy stakeholder expectations (Ker, 2003) and in the context of evaluation, the OECD (2006) has defined it as the ability of people and organisations to define and achieve their evaluation objectives. The capacity to evaluate includes the power to set an evaluation agenda, determining what is evaluated and what questions are asked. Capacity covers the complete evaluation process, from the demand for evaluation, initiation and carrying out of evaluations, to learning from and disseminating the results (OECD DAC, 2009.p.4). Capacity development: is an ongoing process (Lusthaus et al. 1995) by which individuals groups, organizations, institutions and societies increase their abilities: to perform functions solve problems and achieve objectives; to understand and deal with their development need in a broader context and in a sustainable manner" (UNDP, 1997). Capacity is thus an expression of the ability

to efficiently, effectively and sustainably perform functions, solve problems and set and achieve objectives.

### **2.2.2 Evaluation Capacity Development**

ECD is the process through which people, organisations and society as a whole unleash, strengthen, create, adapt and maintain evaluation capacities over time (OECD 2006). At the United Nations and the World Bank, capacity development typically refers to improving national institutions to improve governance and economic management (UNDP 1998; Picciotto & Wiesner 1998). This definition however misses the importance of addressing capacity at the LG level. A concept that is receiving increasing attention in theoretical and research-based literature as well as a construct of organizational evaluation capacity, it is situated within a stream of inquiry that has come to be known as evaluation capacity building (Cousins, et. al, 2014). Simister & Smith (2010) highlighted that the capacity is not static and changes over time (p.3).

Authorities (like Horton, 2002) have pointed out that most capacity development efforts are driven by external agencies and thus reflect their priorities, assumptions, and the services they offer. Additionally, it is apparent such approaches use less of local resources. In a study on multilateral aid conducted by the Department for International Development (DFID, 2011), for instance, only six donors (out of the total sample of 30 included in the study) use partner country systems for at least two-thirds of their bilateral aid. It also established that only one out of 13 ECD-friendly targets set by donors in relation to their efforts to strengthen capacity through coordinated donor support had been met. The study also concluded that most of the donor support for capacity development both within and outside of the evaluation arena (accounting for \$25 billion per year) remains supply driven and that technical cooperation initiatives appear more tied than other forms of bilateral assistance. Indeed according to Tarsilla (2014b), such figures are discouraging.

Under decentralization where local authorities were given powers and responsibilities to manage development processes, it is important to develop capacity for evaluation. Evaluation of performance is expected to be carried out at local level while at the same time this creates localized points of service delivery with implications for the locus and process of evaluation particularly challenging the approach that formulates and allocates responsibility and thinking about evaluation (MCCathy, 2000,p.111). It also suffices to note that capacity development is a process that needs to be nurtured and managed over time (Horton, 2002), not to be viewed as a one-time event.

### **2.2.3 Dimensions of ECD**

Bourgeois & Cousins (2013) mention that the actual dimensions of evaluation capacity have not been clearly articulated. Literature is awash with suggestions of various dimensions by various authorities which include: The hard side and the soft side (Kapalan, 1999; Keijzer, 2010); Low, Developing, Intermediate and Exemplary (Bourgeois, 2008; Bourgeois & Cousins, 2013); Human resource development (training and education, Organisational development (changing and strengthening structures, processes and management systems), Systems development ( linkages between organisations and the context or environment within which organisations operate and interact), Laws and rules, Values and norms (Kruse & Forss, 2014); Human capacity, Organisational capacity, Institutional capacity (World Bank, 2005); Capability to act, Capability to generate development results, Capability to relate, Capability to adapt and self-renew as well as Capability to achieve coherence (Morgan, 2006); and Capacity for Conducting Evaluations, Capacity for Managing Evaluations and Capacity for using Evaluations (Léautier, 2012).

What comes out of all attempts by the various authors is that ECD is about establishing and enhancing capacity for organisations to plan for, implement and use evaluation and the context of this study for Organisational survival.

Even when most practitioners are in favor of capacity, there are few with interest in spending much time on devising a more sophisticated formulation of capacity with fewer actually talking in specific and strategic ways (Morgan, 2006.p.2). Capacity expresses the ability to effectively, efficiently and sustainably perform functions, solve problems and set and achieve objectives (Hague, 2001) while evaluation can be thought of as an organizational learning system (Cousins et al., 2003). Integrated Evaluation Capacity Development is anchored on the participatory-Oriented approach which according to Hogan (2007), stresses first hand experiences with activities and emphasises the importance of participants in a process allowing for the evaluator to engage with the stakeholder as a partner (p.9).

Of special interest for this study, the focus of ECD will be in terms of ECD designing, ECD implementation and evaluation of Capacity Development based on Nu'Man, King, Bhalakia & Criss' (2007) framework for building sustainable organisational capacity as well as Preskill & Boyle's (2008) conceptualisation of the ECD process which spell out ECD designing, implementation and evaluation on the side of ECD and Application of learning, building infrastructure and practicing on the side of OL.

### **2.3 Evaluation Capacity Development and Organisational Learning**

Generally, ECD has bearing on OL: ECD can be used to improve the knowledge and skills of individuals - Staff members need to have an understanding of evaluation, and the confidence to apply basic evaluation approaches and methods to their work. Everyone does not need to be an expert, but everyone does need to have a basic support for and understanding of evaluation; strengthen organizational evaluation approaches -. Within an organization, there have to be effective mechanisms to support evaluation. Established systems and processes support organisational members to identify, collect, and use evaluative information. It is important to note that making further headway with evaluation should be viewed as an ongoing and long-term

process that involves awareness building, institutional liaison, systems adjustment, and skills formation, which typically require coordination and operational action in an integrated manner.

OL is the process through which an organisation supports and encourages acquisition of new knowledge and skills to improve individual, team and organisational performance for organisational survival in a changing environment. The OL theory (Argyris & Schön, 1978) states that, in order to be competitive in a changing environment, organisations must change and refocus, making conscious decisions to change actions in response to changing circumstances. OL denotes a change in organisational knowledge by adding to, transforming, or reducing organisational knowledge and is facilitated by fostering a culture of monitoring and evaluation.

In their 2008 work, Preskill & Boyle aver that building evaluation capacity enables organisations to adopt to new requirements and is a force for individual, team and organisational growth and that it should be ongoing and integrated in all work practices (p.43). This is achieved through the realization of organisational learning. Organisational learning takes place at three levels namely: Individual level, Team level, and organisational level.

A number of authors have done works on ECD and OL and have intimated that ECD contributes to OL. There is a significant move towards seeing evaluation as an ongoing learning process and as a means of strengthening capacity and improving organisational performance (Horton et al., 2003.p.7) due to the need for people and organisations to engage in ongoing learning and to adapt to changing conditions (Lennie, Tacchi, & Wilmore, 2010.p.2). it has been highlighted (Patton, 1998; Horton, 2002: Horton et al., 2003; Diaz-Puente, Yague, & Afonso, A 2008; among several) that a participatory evaluation processes can in most cases result in organisational changes that include capacity, processes and culture which is in agreement with Morgan's (1997) definition of capacity development as the process by which individuals, groups and organizations improve their ability to carry out their functions and achieve desired results over time.

### **2.3.1 Individual level learning**

Argyris & Schon (1978) stated that learning starts from individuals who are actually the ‘agents’ for organisations to learn are the mainstream of organisational learning and the learning process of individuals in the organisation (Senge,1990; Burgoyne & Pedler, 1994). The most important aspect that distinguishes learning organisations from one another is the relationship between individual and collective learning (Matlay, 2000) thus organisations should emphasise enhancing the individual development of their employees (Scarborough, Swan & Preston, 1998. p.2). It is essential therefore to understand the individual learning process to facilitate understanding of organisational learning (Wang & Ahmed, 2002.p.5). During the ECB event, participants need to be explicitly told why they are learning about evaluation (Trevisan, 2002) and that they will be expected to transfer their learning to other work situations (Preskill & Boyle, 2008. p.11).

### **2.3.2 Team level learning**

Stata (1989) averred that organisational learning occurs through shared insights, knowledge, and mental models and builds on past knowledge and experience while Wang & Ahmed (2003) suggested that team based learning encourages people to think together and diffuse their knowledge and skills from the level of individuals to the members of the collective which was further affirmed by Bennet & Bennet (2004) who asserted that teams enable the sharing of information and knowledge, broadening the competency of team members and bringing together a diversity of thinking knowledge and behaviors to bear on understanding and action. In light of the above, ECD should be seen to impact on learning at the team level and this may include departments and units in the municipal Local Governments.

### **2.3.3 Organisational level learning**

Simister & Smith (2010) noted that organisations carry out effective evaluation that enables them to build up a picture of individual or organisational change and learn in the process (p.28) while prominent authorities (Cousins & Earl, 1995; Owen & Lambert, 1995; Preskill & Torres, 1999, among several) have concluded that there exists conceptual and empirical links between evaluation and OL, and Cousins et al., (2014) argued that evaluation may be reasonably thought of as an organisational learning system which has been supported by the results of a survey conducted by Fleischer, Christie, and LaVelle (2008) through the establishment of a link between evaluation activities and OL as well as change outcomes which was further vindicated by Patton's (2011) conception of developmental evaluation where evaluators work closely with organizational decision makers to navigate complexity and enhance innovation. In this systemic context, evaluation is inextricably linked to organizational uses of systematic inquiry and evidence.

Horton (2011) observed the apparent lack of knowledge sharing with regard to evaluation and pointed out that knowledge sharing offers an excellent opportunity for improving the evaluation of capacity development. Many evaluators have participated in evaluations of capacity development, but they are hesitant, or lack opportunities, to share their experiences. One reason for their reluctance might be that few evaluators feel proud of their efforts to evaluate capacity development and many feel that their work has been mediocre or their experiences have been negative while Preskill, Zuckerman & Matthews (2003) pointed out that to create transferable learning, there is need to dialogue, reflect and articulate clearly the expectations for what and how to transfer participants' evaluation knowledge and skill for long term impact of ECD .

Participatory, learning oriented self-assessment processes can enhance management and improvement of organisational capacity development since it involves 'learning by doing',

flexibility which facilitates responsiveness to change in the organisational context, creation of equal partnerships between participants, and increase utilisation of evaluation results and recommendations among others (Horton et al. 2003, p.46-48) while still, it can be a cost-effective method of ECD (Diaz-Puente et al, 2008; Forss et al., 2006; Lennie, 2005;; Papineau & Kiely, 1996; Taut, 2007; Valery & Shakir, 2005).

Unfortunately most of the support to developing countries in the arena of ECD is supply driven (Tarsilla, 2014b p.2). However it is important to note it is also important however to note that Tarsilla (2014b) mainly relied on a comparative analysis of literature review even when there is need for joint analysis of findings between different stakeholders involved (Simister & Smith, 2010.p.13) which should actually feed back into ECD. It is also important to note that an organization's performance also depends on its internal motivation and the external conditions of its operating environment (Lusthaus, Anderson & Murphy, 1995).

It is thus practical and relevant that various authors look at capacity development in relation to organisational learning when they define it by using expressions like: An organisation with capacity having the ability to function as resilient, strategic and autonomous entity (Kaplan, 1999.p.20); Capacity representing the potential for using resources effectively and maintaining gains in performance with gradually reduced levels of external support (LaFonde & Brown, 2003.p.7); Capacity being the emergent contribution of attributes that enable a human system to create development value (Morgan, 2006.p.8) which all are in line with the principal concern of organisational learning – organisational survival in changing times.

In advocacy for OL, Horton (2002.p.10) argued that organisations ought to own responsibility for their own capacity development and that the acceleration of changes in technology, institutions, and markets, organisations need to be changing continuously. Consequently, organisations ought to develop the ability to undertake their own capacity-development efforts. He specifically makes

mentions that organisation can benefit from external sources of support, but should avoid a dependence on external suppliers.

#### **2.3.4 ECD designing and Organisational learning**

Designing an ECD programme has great implications for its success more so in terms of OL. Horton (2002) noted that most capacity-development efforts are driven by external agencies and thus reflect their priorities, assumptions, and the services they offer and makes mention common examples of this that include “standardized training courses offered by universities, development agencies, and international NGOs, which cover a prescribed set of technical areas presumed to be useful for a broad range of organizations (p.8). He further cautions that there is no single formula or recipe for capacity development that is appropriate for each and every organisation. Thus while defining priorities for capacity development, managers need to assess the factors that limit a particular organisation’s performance and identify those capacities that constrain performance the most. Additionally, asserted that Capacity-development interventions are often badly designed (Horton, 2011).

While ECD may not occur with on wide range members of the organisation, ECD participants may be program designers, program staff, managers, volunteers, office staff, board members, and, in some cases, program recipients (Preskill & Boyle, 2008.p.6). It also suffices to observe that the various individuals in each of these groups, as well as the group overall, may have certain experiences, responsibilities, or needs relative to learning from and about evaluation processes and findings (Gilliam et al., 2003; Kiernan & Alter, 2004; Milstein et al., 2002; Newcomer, 2004) thus Preskill & Boyle (2008) point out four major concerns: identification of ECD participants, determination of availability of resources, identification of relevant theories and establishment of ECD objectives. This is in agreement with authorities like: (Arnold, 2006) who emphasises the need to assess the ECD participants’ levels of evaluation capacity before and after implementing

an ECD initiative (Arnold, 2006, p. 258), Taut (2007) who suggested that “sufficient resources must be made for ECD, including facilitation, and time must be officially dedicated to such practice” (p. 57), use of change models by Compton et al. (2001) and Kiernan & Alter (2004) among several to ensure that the ECD efforts are appropriately designed in ways that are culturally competent, and effective, and that it is useful to draw on theories from several disciplines (Preskill & Boyle, 2008.p. 7) while a great deal of the instructional design literature (Knowles, Holton, & Swanson, 1998; Smith & Ragan, 2005 for example) highlights the need for a program’s design, implementation, and evaluation should flow directly from the desired goals and objectives. In agreement with Harnar & Preskill (2007) as well as Preskill & Boyle, (2007), Preskill & Boyle (2008.p. 8) have emphasised that the clarification of ECD objectives intentionality makes ECD a strategic process that maximizes learning from and about evaluation. Horton (2011) also places premium on capacity development designs stating that that although capacity developers should not invest heavily in detailed, indicator-based plans, it is important that capacity-development interventions have well-thought-out designs. Unfortunately, the planning documents for most interventions – including those containing numerous quantitative indicators for activities, outputs, outcomes and expected impacts – seldom present credible programme theories that are clear about what types of capacity are to be developed, how the programme is expected to work and how it proposes to bring about its results.

In a cautionary manner, Horton (2002) posits that most common techniques involved in the planning and managing of development projects and programs usually assume that objectives are well defined and that blueprints and logical frameworks can be developed to properly guide the implementation, monitoring, and evaluation processes (p.9). In a much earlier caution, Hirschman (1967) highlighted that blueprint approaches seldom work for capacity-development efforts and that most development programs are “voyages of technological and sociological discovery,” in

which the goal and the path to that goal remain highly uncertain which is especially true for capacity development including ECD. Therefore, ECD managers should be as flexible to enable modification of planning targets and implementation procedures in light of changing conditions and lessons learned (Mosse, Farrington & Rew, 1998) and the plans developed should be viewed as works-in-progress rather than finished blueprints (Horton, 2002.p.9).

## **2.4 ECD Implementation and Organisational learning**

Nu'Man, King, Bhalakia & Criss (2007) advanced a framework for ECD that is builds on the values of active participation, learning by doing, and respect for diversity by combining strategies that when applied singly will either have only limited effectiveness or may be cost prohibitive and specifically mention: group training, individualized assistance and follow-up, linkages to other capacity building providers.

### **2.4.1 Training**

According to Horton (2002.p.6), virtually all capacity-development efforts disseminate information in one form or another. Training is actually one of the most common tools applied in developing organisational members' knowledge, skills, and attitudes.

Nu'Man, King, Bhalakia & Criss (2007) asserted that in respect to training, the capacity Development team should use the needs assessment and analysis data to tailor training provided to groups of organizations with a common need and that the training should focus on knowledge transfer and skills building and reflects the identified capacity needs of the organisation. They further call for capacity development teams to use the needs assessment and analysis data to tailor training provided to groups of organizations with a common need (p.28). They propose provision of training that lets organisational members internalise and appreciate the foundation of basic concepts and principles of what they are attempting to accomplish, as well as a common understanding of the organizational changes that may be necessary to accomplish the desired

ends. However training as a vehicle for capacity development has fallen off the agenda over recent years (Cracknell, 2000) and evaluation has been mainstreamed as a tool for accountability, not improvement, Capacity-development processes have been inherently complex with poorly designed Capacity-development interventions (Horton, 2011). Finally and important to note is that Kakande (2011) pointed out that there is a glaring inadequacy of professionally trained evaluators with only about a quarter of practitioners having basic monitoring and evaluation capacity (p. 38).

#### **2.4.2 Individualized assistance**

Individualized assistance provides organisations with an opportunity to generalize and apply the information and skills to the specific context and concerns of their organisation (Nu'Man, King, Bhalakia & Criss, 2007. P.28). In this approach, the capacity development team provides the individualised assistance in the same location in which training is given, over a few more days, with in a context of tailored sessions for a number of hours. Additionally, Nu'Man, King, Bhalakia & Criss (2007. P.28) point out that this approach capitalizes on the lower comparative cost of group training while offering individualized, tailored assistance.

#### **2.4.3 Follow up linkages**

Learning from experience and using evaluation results to improve programmes are enhanced by the direct participation of programme stakeholders in all aspects of the evaluation. Consequently, professionally facilitated participatory evaluations are ideal for promoting learning and programme improvement. Nu'Man, King, Bhalakia & Criss (2007) contended that contingent on a determination of need for additional assistance made by the organisation during the individualized session, follow-up assistance should be provided to organisations either directly or through linkages to other providers (p.28) while follow-up helps the one in charge of ECD to obtain information on how the knowledge and skills are being applied and subsequent changes

that are needed in the organization, and depending on the defined needs of an organization, follow-up contact can be made to develop or revise an action plan designed to build development (p.29).

There are many examples of organisations that carry out effective evaluation that enables them to build up a picture of individual or organisational change and learn in the process. There are also many examples of organisations that are able to illustrate wider changes resulting from improved capacity. In some circumstances this is easier than others (Simister & Smith, 2010. p 28).

Horton (2011) asserted that over the years, there have been significant advances in the methods available for measuring programme costs and benefits, and these should be employed in summative evaluations of capacity-development processes and interventions. Horton (2011) further calls for: Enhancing knowledge sharing among evaluators, and; shifting the emphasis of evaluation from accountability to learning and programme improvement pointing out that Given the large and growing number of evaluations that are now expected to address issues of capacity development, it is important to expand opportunities for professional development in this area.

## **2.5 ECD Evaluation and Organisational Learning**

It is important to consider the need for evaluation of ECD to see if it leads to OL. Nacarrella et al. (2007) and Nielsen, Lemire, & Skov (2011) point out, there has been much focus on the methods and roles of ECD but not much attention to evaluation capacity itself. To this, Horton (2011) asserted that there is need for professional development by those who conduct evaluations of capacity-development interventions, and also by those who commission and supervise such evaluations. He specifically mentioned that it is not uncommon to encounter personnel in several agencies whose job it is to manage evaluations, but who have little or no training or practical experience in carrying out evaluations which he identifies as one reason for the poor quality of evaluation design.

Horton (2011) further charged that in addition to the inherent complexity of capacity-development processes and weaknesses in the design of capacity-development interventions, the terms of reference for capacity-development evaluations also tend to be weak. Frequently, evaluators are expected to answer several challenging evaluation questions with a single evaluation carried out over a short period of time and with limited resources and that evaluation designs for capacity-development interventions often call for evaluators to apply a range of qualitative and quantitative methods and conduct an evaluation that is 'participatory' while conforming to general evaluation standards such as those issued by the Development Advisory Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD).

On the other hand however, it is important to appreciate that ECD may not be solely responsible for OL. There are various aspects to consider while dealing with evaluation of ECD but importantly are: Systems thinking (Williams, 2010) and client satisfaction (Simister & Smith, 2010) while still, much as it is often assumed that developing individual capacities will automatically lead to improved organisational capacity and performance, this may not be the case. Blackburn & Holland (1998) for example, noted there are many cases where individuals have developed skills in participatory research, but very few cases where participatory research has become institutionalized in the standard operating procedures of research or development organizations and Horton (2002) highlighted that the need to improve planning and evaluation procedures is often addressed by providing technical training for middle managers, which seldom leads to better management, however, because changing an organization's planning or evaluation procedures requires top-management decisions and changes throughout the organisation (p.5). Finally, while training is generally more effective in promoting learning, it is also more costly than information dissemination (Horton, 2002.p.7), it is important to note that the simple provision of information or one-off training sessions seldom produce lasting changes in the

participants' behavior (Kibel, 1999).

### **2.5.1 Systems thinking and Organisational Learning**

Systems thinking has implications for the design, management and evaluation of capacity-development interventions. Williams (2010) highlights the importance of thinking systematically during the ECD process and emphasises the need to appreciate inter-relationships as central to any systemic development with dimensions of: dynamic aspects (where inter-relationships affect the behaviour of a situation over a period of time); nonlinear aspects (where the scale of an 'effect' is apparently unrelated to the scale of the 'cause'; often but not always caused by 'feedback'); the sensitivity of inter-relationships to context (where the same intervention in different areas has varying results, making it unreliable to translate a 'best' practice from one area to another); and massively entangled inter-relationships (distinguishing the behaviour of 'simple', 'complicated' and 'complex' inter-relationships). He also points out the need to appreciate perspectives which are a result of different interpretations that people make when they observe inter-relationships which perspectives help to underscore the notion that a situation can be 'seen' in different ways scientifically explain and predict unanticipated actions and reactions behaviours - since they provide insight into motivations - and they help in draw attention to consequences thereof, unplanned and unintended. Finally, Williams (2010) states the concept of boundaries which should help ECD differentiate between who or what is 'in' and who or what is 'out', what is deemed relevant and irrelevant, what is important and what is not, what is worthwhile and what is not, who benefits and who is disadvantaged. This means that every ECD endeavor should make a choice between what it includes and what it excludes, what is deemed relevant and what is not, which perspectives are honoured and which are marginalised.

### **2.5.2 Client satisfaction and Organisational Learning**

Simister & Smith (2010) have pointed out that one of the key principles of participatory

monitoring and evaluation is that whenever a service is provided one should seek the views of the intended beneficiaries. This means that the recipients of capacity development support should be encouraged to say not only whether or not their needs were met, but also whether or not the process itself was appropriate and rewarding. They hastened to add that however, a surprising number of capacity development providers do not collect any formal feedback in this way (p.17). To this, Horton (2011) calls for: Enhancing knowledge sharing among evaluators, and; shifting the emphasis of evaluation from accountability to learning and programme improvement. Horton (2002) calls for the periodic evaluation of the contributions of capacity-development efforts to the organization's performance as a "reality check" and to provide a basis for improving future capacity-development efforts (p.4) which in essence is organisational learning. Additionally, for a comprehensive understanding of the contribution of ECD, Arnold (2006) proposed the assessment of ECD participants' level of evaluation capacity before and after implementing the ECD initiative (p.258).

## **2.6 Synthesis of the literature review**

From the literature reviewed: Capacity development is part of the bigger development process (Otoo, Agapitova & Behrens, 2009) thus holistic approaches to evaluation and ECD demand for planning and higher levels of participation and engagement (Diaz-Puente et al, 2008) therefore, that time as well as other resources are needed for adequate planning, diagnosis of an organisation's strengths, weaknesses and capacity building needs, development of trust, and encouraging involvement (Horton et al., 2003; Diaz-Puente et al, 2008). Much focus has been given to methods and roles of ECD and not as much to evaluation capacity itself (Nacarrella et al., 2007; Nielsen, Lemire & Skov, 2011) and most international partners have a formal evaluation policy lack an explicit recognition in it of ECD as a priority area of intervention and the predominance of sporadic short-term training despite its limitations (Tarsilla, 2014b). African

evaluation standards and practices should be based on a combination of both African values and world views (African Evaluation Association, 2007). All organisational members should own the ECD process in order to avoid degeneration of the whole process into a useless technical procedure that is not cognizant of reality (Barefoot Collective, 2009).

It also comes out clearly that ECD is incredibly important for OL and the ECD process helps in improving an organisation's ability to use evaluation to learn from its work and improve results but ECD may only be one of the factors for OL as an organization's performance also depends on its internal motivation and the external conditions of its operating environment (Lusthaus, Anderson & Murphy, 1995) while organisations ought to own responsibility for their own capacity development and that the acceleration of changes in technology, institutions, and markets, organisations need to be changing continuously. Consequently, organisations ought to develop the ability to undertake their own capacity-development efforts (Horton, 2002.p.10). Additionally, Horton (2002) noted that as capacity development becomes mainstreamed in international development assistance programmes, demand for the systematic evaluation of capacity-development initiatives is growing. OL is a product of organisational inquiry (Argyris & Schön, 1978) which in the context of this proposed research topic is ECD. Duong et.al (2003) have asserted that in a dynamic environment, organizations not only need to operate efficiently and effectively, they need to learn to adapt and change if they are to survive and prosper and that organizational CD is essential for organizations to be successful in this era of change (p.37).

Finally, CD is a process that needs to be nurtured and managed over time. Research and development organizations need to continuously develop their capacities to deal with new opportunities and threats arising from changes in technology, markets, politics, and other factors. In this sense, there is no final, achievable goal for an organization's capacity development (Horton, 2002).

## **CHAPTER THREE**

### **METHODOLOGY**

#### **3.0 Introduction**

Ahuja (2001) defined methodology as the procedure for carrying out the research, which elaborates techniques and strategies for obtaining valid information and is concerned with how knowledge is built by providing the description, explanation and justification of methods (p.41) and the process of handling data for a study. This chapter details the approach that will guide the study and details the research design, the study population, sample size and procedure of sample selection. It also addresses data collection methods and instruments, explaining the ethical considerations as well as data quality control ending with, data processing and analysis.

#### **3.1 Research Design**

The study shall use a cross sectional survey design that will adopt mixed methods. A survey is where data is gathered just once on a sample to represent a population (Sekaran 2003.p.13). Survey designs enhance measurement of a wide variety of unobservable data such as participants' preferences, traits and attitudes; are ideal for collecting data from large populations that are not easy to directly observe; and, they use questionnaires which are usually preferred by respondents due their unobstructive nature and the ability to be filled at one's convenience (Bhattacharjie, 2012. p. 73). Mixed methods approach, also called methodological pluralism (Asif, 2013) is where the researcher combines quantitative and qualitative research techniques, methods, approaches, concepts or language (Johnson & Onwuegbuzie, 2004, p. 17) in a single study to understand the research problem (Creswell, 2003).

The researcher will employ both quantitative and qualitative methods and instruments to solicit information from respondents. Quantitative research employs numerical indicators to ascertain the relative size of a particular phenomenon" (Matveev, 2002.p.60) and involves counting and

measuring of events as well as performing the statistical analysis of a body of numerical data (Smith, 1988). Qualitative approaches allow a researcher to solicit information that cannot be expressed in textual format (Mugenda & Mugenda, 1999), makes it possible to obtain non-numerical information about the phenomenon under study to aid establish patterns, trends and relationships from the information gathered (Mugenda & Mugenda, 1999; Sekaran, 2003) and, provides opportunity for the researcher to interact with the research subjects in “their own language and on their own terms” (Kirk & Miller, 1986).

### **3.2 Study Population**

The study will target the Municipal council executive committees and Technical Planning Committees as well as officers functionally responsible for evaluation and capacity development in four municipalities in Uganda. The municipal executive committees will be target because of their legal responsibility and powers to oversee, monitor, coordinate and evaluate the implementation of development initiatives in their areas of jurisdiction as stipulates in Section 26 (b), (d) and (f) of the Local Governments Act, CAP 243 while the members of Technical Planning Committees will be targeted because they are obliged to perform the technical details in the development planning and implementation process as stipulated in Sections 35, 36 and 27 of the Local Governments Act, CAP 243.

### **3.3 Determination of the Sample size**

Sekaran, (2003) has noted that it is not practically possible to get data from an entire population. It is thus better to use a sample which has been defined by Ahuja (2001) as a portion of people drawn from a larger population (p.156). Kothari (2004) defined sampling as the process of selecting some part of an aggregate or totality on the basis of which a judgement or inference about the aggregate or totality is made (p.152).

### 3.3.1 Sampling of Municipalities

The researcher shall use a selection of five Municipal Local Governments basing on a criteria of population, distance from the national capital and length of existence as well as creating a balance and representation from all the four geographical regions of the country as detailed in the table below:

**Table 3.1: Criteria for selecting Municipalities.**

Criteria		Municipalities eligible	Data Source
1	Population	One with the highest and one with the lowest population.	UBOS (2014), Provisional Results of the National Population and Housing Census
2	Distance from the national capital	One that is furthest from and one that is nearest to Kampala.	Ministry of Works and Housing
3	Length of existence	Two of those selected using the above criteria will be those that were established before 2006 while two will be those established after 2006	Ministry of Local Government
4	One MC from any region that will not have been not represented using the above criteria	The region that may not have been represented following the above criteria	Ministry of Local Government

From the above selection criteria, the researcher will have ensure that the municipalities with the highest and lowest populations, furthest from and nearest to the national capital, oldest and newest as well as all regions in Uganda and this will make the study more representative.

### 3.3.2 Sampling of Respondents

The sampling of respondents will follow the procedure shown in the table below:

**Table 3.2: Sampling Procedure**

SN	Category	Population	Sample	Sampling procedure
1	Executive committee members	25	24	Random sampling
2	Technical Planning Committee members	50	44	Random sampling
3	Officials from the Ministry of local government department for inspection	6	3	Purposive Commissioner and two other officers
4	Officials from the Prime Minister's	6	3	Purposive

	Office			Commissioner and two other officers
5	Two officials from the Civil Service College Uganda	14	6	Purposive to target technocrats involved in capacity development of the civil service in Uganda.
Totals		76		

Curtis et al. (2000) emphasised that a sampling strategy should: stem right from the conceptual framework; be able to generate a thorough database on the phenomena under study; allow the possibility of drawing clear inferences and credible explanations; be ethical and feasible (p.1003). As seen in the table above, the researcher shall conduct the study on a sample of 76 respondents. The sampling will be guided by Krejcie & Morgan’s (1970) table. The researcher will select 24 respondents from members of Municipal Executive Committees out of the possible maximum of 25, 44 from members of the Municipal Technical Planning Committees out of a possible maximum of 50. Additionally 3 from the Ministry of Local Government, 3 members from the Office of the Prime Minister as well as 2 officials from the Civil Service College Uganda for role they play in coordinating, monitoring and developing capacities of Local Governments that of evaluation inclusive.

### 3.4 Sampling techniques

The study shall employ two sampling techniques: Random sampling and purposive sampling. Random sampling also known as probability or chance sampling offers all units in the population equal chances of inclusion in the sample and “ensures the law of statistical regularity which states that if on average, the sample chosen is random, it will have the same composition and characteristics as the universe population” (Kothari, 2004. p.60). The researcher will adopt the strategy of sampling without replacement where once a unit is selected, it will not be allowed to be sampled another time. Purposive sampling strategy on the other hand, is where respondents will be selected on purpose. This will specifically target ministry and Prime Minister’s Office as

well as the Civil Service College Uganda (CSCU) due to the critical role they play in play in coordinating, monitoring and developing capacities of LGs.

### **3.5 Data Collection Methods**

According to Kruse & Forss (2014. p.10), method is the word used for data collection and analysis. The study will employ both primary and secondary data collection methods as explained below.

#### **3.5.1 Primary data collection methods**

The researcher shall use primary data collection methods – the ones that will collect data for the first time and these will be: A questionnaire survey where a self administered questionnaire will be given out; Interviewing which will involve asking key informants some questions o which they will be expected to provide answers.

Kumar (1996) points out that questionnaires facilitate the collection of information in a relatively short time which information can easily be transcribed yet they strengthen protection of the respondents' identity (p.114) while key informant interviews facilitate the collection of data and in-depth understanding and more explanations (p.115) Additionally, interviews involve the “unearthing of preexisting meaning nuggets from the depths of the respondent” (Kvale & Brinkman, 2009.p.18) which will add value for reliability of the study findings.

#### **3.5.2 Secondary data collection methods**

The secondary data collection method will be document review. The document review will supplement the primary methods and is expected to provide the researcher with an opportunity to gain more contextual in-depth appreciation of the phenomena under study. Sekaran (2003) averred that that secondary data are indispensable (p.220) and that collecting data through

multiple methods and from multiple sources lends rigor to the research leading to stronger conviction in the goodness of the data (p.256).

### **3.6 Data collection instruments**

A data collection instrument is a tool used to gather data for a study. To achieve the objectives of the study, the researcher proposes to apply a self administered questionnaire, an interview schedule, and a documentary review schedule.

Bhattacharjee, (2012) defined a questionnaire is an instrument that is completed in writing by the respondents (p.74). A questionnaire - with both open ended and closed ended questions – will be administered on the municipal executive committee as well as technical planning committee members. The questionnaire will use a combination of questions rafted by the researcher and will also adapt Yang's (2003) short form of Dimensions of Learning Organisation Questionnaire (DLOQ) to enable establish participants' opinion on how municipal Local Governments in Uganda have supported and used learning at individual, team and organisational levels. An interview schedule - a list of preset questions to follow during an interview – will also be used to ease collection of data from key informants and will beef up the questionnaires by collecting some more information that may not be easily written down by respondents to questionnaires and provide a more in-depth appreciation of some important aspects of the phenomena under study. Finally, the use of a document review guide - a pre-designed list of indicators to guide the review of project documents – will enable collection of additional organisational level relevant information more so related to and intended to answer the research questions.

### **3.7 Pre-testing of instruments**

It suffices to note the need for scientific rigor in research. Ahuja (2005) for example asserted that any statement pertaining to any social phenomenon made on the basis of scientific inquiry can be

accepted as true and meaningful, if it is empirically verifiable (p.20). As such, the researcher will take note of two practical research methodological principles of validity and reliability.

### **3.7.1 Validity**

In social research, validity refers to the accuracy and meaningfulness that are based on the research findings, the measure of the extent to which an instrument measures what it is meant to measure (Mugenda & Mugenda, 1999). The research will prepare research instruments and subject them to validity tests before finally administering them on respondents. The draft questionnaire will be subjected to expert judgment to verify the validity of the questions in line with Lynn (1986) where the researcher will use the Content Validity Index (CVI). Bhattacharjee (2012) pointed out that CVI is concerned with assessing how well a set of scale items matches the relevant content domain of the construct that it intends to measure (p. 58).

The researcher will distribute an initial draft questionnaire to 7 (seven) subject matter specialists in evaluation as well as CD who will be requested to validate the contents of the draft tool whose results will be subjected to a CVI calculation whose formula is:

$$CVI = \frac{\text{Number of items considered valid}}{\text{Number of items on the draft}}$$

The researcher will seek to ensure that the draft tool content complies with the recommended minimum CVI of 0.7 as averred by Amin (2005) and will specially consider comments of the subject matter specialists on the contents of the instruments and make improvements accordingly.

### **3.7.2 Reliability**

Reliability refers to the ability of the instrument(s) to collect the same data consistently under similar conditions (Ahuja, 2001; Amin, 2005). Upon establishing the mentioned CVI, the researcher shall clean the draft questionnaire and will pretest it on twelve respondents using the “test – retest” technique with a time frame of three weeks between the testing and re-testing. This

will facilitate the easy understanding of the tool by the proposed respondents in line with the assertion by Mugenda & Mugenda (1999. p.97) and will enable the researcher establish if the tool will be able to solicit similar responses at different times (Amin, 2005) thus proving reliability. From this, the researcher will be able to make improvements on the tools (Bhattacharjee, 2012) thus improving reliability.

Basing on the fact that the questionnaire will have closed ended questions, which will use a Likert Scale, the questionnaire will be subjected to Cronbach's Alpha to establish internal consistency – “how items correlate amongst themselves” (Mugenda & Mugenda, 1999. p.99). A reliability coefficient demonstrates whether the test designer was correct in expecting a certain collection of items to yield interpretable statements about individual differences” and that “if a test has substantial internal consistency, it is interpretable (Cronbach,1951.p.297).

The formula for Cronbach's Alpha to be used is follows:

$$\text{Cronbach's alpha} = \left[ \frac{n}{n-1} \right] \left[ \frac{SD^2 - \sum \text{Variance}}{SD^2} \right]$$

where:  $n$  = Number of items on the test

$SD$  = The Standard Deviation for the set of test scores, and

$\sum \text{Variance}$  = Summation of the variances of the scores for each of individual item on the test.

It is important for researchers to establish the relationships between the construct of interest and other related constructs or variables (Cronbach & Meehl, 1955) which empirical evidence of interrelations among constructs provides a means for establishing and validating theories in social sciences (Yang, 2003). Cronbach's Alpha produces values n=between 0 and 1.00 with the higher value indicating a higher degree of internal consistency and reliability (Gravetter & Forzano, 2012) yet Nunnally (1978) recommended minimum Cronbach's Alpha of 0.7 which will be the targeted minimum by the researcher.

### 3.8 Procedure of Data Collection

The researcher shall employ a systematic procedure during data collection:

The researcher will ensure acquisition of a clearance letter as well as a letter to introduce him to the municipal Local Governments, ministries and the Civil Service College Uganda from UTAMU to enable him seek the acceptance of the management and leadership of the selected institutions to access and interact with proposed respondents.

The researcher will seek to deliver questionnaires to respondents to whom he will in detail explain the objectives of the study, how they will have been selected and as well seek their consent to participate as respondents and request them to thus fill the questionnaire. The researcher will at a later date collect the filled questionnaires and verify the completeness of responses therein.

The researcher will also fix appointments to conduct interviews with key informants and will review selected documents to search for data to support answering the research questions.

### 3.9 Data Analysis

Data analysis is the process of bringing order, structure and meaning to the data gathered to create information out of it (Mbaaga, 2000). The analysis of data was both qualitative and quantitative. Quantitative analysis will involve editing, coding and summarizing the data into frequencies and percentages which assists in their presentation in tables, charts and graphs as well as simple summaries, frequencies and percentages to describe basic features of data.

The researcher shall apply Spearman's correlation to test the existence, direction and magnitude of relationships between the dimensions of ECD as the Independent variable and OL as the dependent variable (Sekaran, 2003). The formula for Spearman's rank correlation is:

$$r_s = 1 - \frac{6\sum d^2}{n(n^2 - 1)}$$

where:  $n =$  the number of items in each data set,  
 $d =$  the difference in the ranks for any pair of data values,  
and

$\sum d^2 =$  *the sum of the difference of the squares of the ranks for the data set.*

The choice for Spearman's rank correlation is based on the fact that the data will be collected using a Likert Scale.

The researcher shall use Statistical Package for Social Scientists (SPSS) to derive Computed Variables and will adopt the significance level of 1% while calculating the correlations. It is important however to note that correlation of variables does not suggest or prove causation as "two casually unrelated variables can be correlated because they relate to a third variable" (Hussey & Hussey, 1997.p.230).

Regression analysis which is "used when the researcher is interested in finding out whether an independent variable predicts a given dependent variable" (Mugenda & Mugenda, 1999.p.135) will also be used to establish which of the ECD dimensions is more responsible for Organisational Learning.

Qualitative data analysis on the other hand will be done both during and after collecting the data and shall include summarizing and organizing the data to be collected and to be followed by coding and categorizing it in a manner that will enable provision of answers to the research questions. This process shall be concluded with writing up summaries of observations. The process is expected to be iterative and will thus involve moving ahead as well as back to steps already covered.

Processing and analysing the interview data will entail transcribing and typing the records of interviews as well as separately typing the handwritten notes. The interviews will be conducted in English language and as such will need no translations. Transcribing will support the researcher to critically reflect while creating an atmosphere to relive the interview moments. The information from interviews will be noted under pre-coded themes that will follow the arrangement of the

conceptual framework, research objectives and questions. This will then be followed by identification of patterns and making of summaries in relation to themes of the study. This will provide more understanding on preliminary findings as well as get the opinions of the ministry and Civil Service College Uganda based respondents on the topic under study. It will also assist establish meanings, attitudes and arguments that will be grouped into themes, categorized and then discussed in the context of interpreting the research outcomes in relation to the objectives. Mugenda & Mugenda (1999) asserted that “it is from the results of such analysis that researchers are able to make sense of the data” (p.115).

### **3.10 Measurement of variables**

The study variable shall be measured at three levels: Univariate, Bivariate and Multivariate. At the univariate level the researcher will be concerned with single variable analyses especially with nominal data like gender, respondent category status using frequencies and will mainly help in preparation and presentation of descriptive findings. The researcher will also made cross tabulations in effort to express differences in responses by different respondents. At bivariate level, the researcher will consider two variables at the same time and will include establishment of involved correlations of dimensions of ECD with organizational learning while at the multi level measurement, the researcher will make measurement of more than three variables at once especially in the Regression analysis.

### **3.11 Ethical Considerations**

The researcher shall make efforts to ensure compliance with ethical research conduct that will include: compliance with the UTAMU research guidelines and constantly seek the guidance of the supervisors; explaining the purpose and objectives of the study; stating the estimated time that the interaction will likely take and seek respondents’ individual voluntary consent; encourage respondents to feel free as well as not coerced to participate in the study; ensuring that

the self-esteem and self-respect of respondents will not in any way be threatened and or violated; observing and respecting the privacy of respondents and as such will not ask any questions that will seem like soliciting any sensitive personal information about them; assuring them that they are free to drop off the study at any stage of the process they will feel like; respecting them and ensuring that appointments will be fixed for the times that they will individually feel appropriate; guaranteeing confidentiality by ensuring that no respondent's name will be required to be noted anywhere on the questionnaire or during any interview or require any of them to identify themselves; explicitly pointing it out to all respondents that there will be no monetary compensation for participating in the study but highlighting that their ideas and thoughts will contribute to more knowledge and understanding on ECD and OL as well committing that the final results of the study will be shared with all that wish to while at the beginning of each interview, the researcher will point out that he will be recording and taking some notes.

Additionally, in line with research objectivity, and concern for the truth, the researcher will ensure sticking to and presenting the true findings of the study the way they came out as well as acknowledging all authorities whose literature will be used and referred to together with which, the researcher shall use the American Psychological Association (APA) Guidelines on citation.

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## APPENDICES

### *Appendix 1: Research Budget*

<b>Item</b>	<b>Description</b>	<b>Cost rate in Ug Shillings</b>	<b>Cost amount in UG shillings</b>
1	Telecommunication	300,000	300,000
2	Transport expenses	1,600,000	1,600,000
3	Secretarial and production	700,000	700,000
4	Personal incidentals	300,000	300,000
	Total		2,900,000

## Appendix 2: Draft Questionnaire

### Part A. Introduction

Hello, you are humbly chosen to participate in a study on evaluation capacity development and organisational learning in Municipal Local Governments in Uganda.

The aims at assessing to establish if and how Evaluation Capacity Development (ECD) affects Organisational Learning (OL) in the Municipal Local Governments (LGs) in Uganda and will:

- i. Contribute to the understanding of the theory and practice of ECD and OL in Municipal Local Governments in Uganda.
- ii. Contribute to deeper understanding of ECD successes and challenges in Municipal Local Governments in Uganda.
- iii. Contribute to enhancing knowledge on facilitating OL for the survival and continuation in Municipal Local Governments in Uganda.
- iv. Contribute to the host of recommendations on how to contribute to the improvement of policy framework and practices of evaluation particularly in LGs and Uganda public service in general.
- v. Contribute to the researcher's academic progress towards earning a Master's Degree in Project Monitoring and Evaluation.

The study is meant to capture your experiences from July 2006 to the present.

The study is purely for academic reasons and you are kindly requested to honestly fill this questionnaire by **providing your true answers** to all questions. There is no pledged compensation for participating in this study. However, your thoughts will certainly contribute to the growing body of work on ECD as well as OL. At all stages of the study, there will be **no mention** of your personal identity details.

You may use the address below to return the filled questionnaire, seek more clarification or make more contribution:

Ronnie Kiwumulo Mbabaali, Civil Service College, Jinja, Uganda C/O. Ministry of Public Service Kampala Uganda  
Telephone: +256 075 2459391 (Uganda). Email: kiwumulo.mbabaali@utam.ac.ug and ronkiwumb@gmail.com

<b>Part B: Background Information</b>	
BK01	Code: <i>(For Researcher Use Only)</i> <b>RSP 000</b>
BK02	Respondents category: Sex <i>(please tick or circle)</i> 1 = Elected Official 2 = Appointed Official
BK04	Year you were first appointed or elected? .
BK05	Respondent's Sex <i>(please tick or circle)</i> 1 = Female 2 = Male
BK06	Your age group <i>(please tick or circle)</i> <ol style="list-style-type: none"> <li>1. (29 years or less)</li> <li>2. (30 – 39 years old)</li> <li>3. (40 – 49 years old)</li> <li>4. (50 – 59 years old)</li> <li>5. (60 years or more )</li> </ol>
BK07	Highest education level <i>(please tick or circle your answer)</i> <ol style="list-style-type: none"> <li>1. Primary School certificate</li> <li>2. Ordinary Secondary School Certificate</li> <li>3. Advanced Secondary School Certificate</li> <li>4. Ordinary Diploma</li> <li>5. First Degree</li> <li>6. Post Graduate Diploma</li> <li>7. Post Graduate Degree (Masters and or PhD)</li> </ol>

<b>Part C1: ECD Designing</b>						
	Using the scale of (SDA= Strongly Disagree, DA= Disagree, NS = Not Sure, A = Agree, SA = Strongly Agree), please tick or circle your answer to <u>indicate the extent to which you agree</u> with the following statements.					
DS01	The Evaluation Capacity Development initiatives in our Municipal Council are similar in design with those of other Municipal Councils in Uganda	SDA	DA	NS	A	SA
DS02	The past Evaluation Capacity Development initiatives have put into consideration the factors that are responsible for any poor performance of my Municipal Council with regard to evaluation.	SDA	DA	NS	A	SA
DS03	The past Evaluation Capacity Development initiatives have rightly identified the correct participants for the process	SDA	DA	NS	A	SA
DS04	There has always been adequate provision of financial resources for Evaluation Capacity Development in my Municipal Council	SDA	DA	NS	A	SA
DS05	There has always been adequate provision of time for Evaluation Capacity Development in my Municipal Council	SDA	DA	NS	A	SA
DS06	In trying to develop evaluation capacity, my Municipal council has taken advantage of and used the existing multiple disciplines and skills at its disposal	SDA	DA	NS	A	SA
DS07	Our evaluation system has always linked directly with well documented desired organisational goals and objectives.	SDA	DA	NS	A	SA
DS08	Our evaluation processes are characterised by flexible procedures that respond to changing conditions and lessons learned.	SDA	DA	NS	A	SA
DS09	<p>What do you think are the key weaknesses in the process of designing capacity development for evaluation in the Municipal Local Governments?</p> <p>How do you think these weaknesses can be addressed?</p>					
<b>Part C2: ECD Implementation</b>						
IM01	My Municipal Council has organised specialized training on project evaluation since July 2006	1. YES 2. Not Sure 3. No				
IM02	I have ever attended a specialized training organised by another entity other than my Municipal Council since July 2006	1. YES 2. Not Sure 3. No				
IM03	<p>If your answer to the question IM02 above was “YES” please provide details of:</p> <ol style="list-style-type: none"> <li>1. The year it was held .....</li> <li>2. Which actual organisation provided the training               <ol style="list-style-type: none"> <li>a. Central Government Ministry (please state the name).....</li> <li>b. Central Government/National Authority (please state the name).....</li> <li>c. National NGO (please state the name).....</li> <li>d. Local NGO (please state the name).....</li> <li>e. Other (please state the name).....</li> </ol> </li> <li>3. What was your experience of the training with regard to the knowledge and skill gained?  <i>Please circle or tick:</i> <ol style="list-style-type: none"> <li>a. Not rewarding at all</li> <li>b. Somehow rewarding</li> <li>c. Greatly rewarding</li> <li>d. Excellently rewarding.</li> </ol> </li> <li>4. Was the training preceded by a Capacity Needs Assessment? <i>Please circle or tick</i> <ol style="list-style-type: none"> <li>a. YES    b. Not Sure    c. No</li> </ol> </li> </ol>					
IM04	The persons that received training in evaluation received further support by the trainers even after the training	SDA	DA	NS	A	SA
IM05	There have been efforts to establish how the knowledge and skills gained from the training is applied by the learners.	SDA	DA	NS	A	SA

IM06	The follow up of beneficiaries of the training in evaluation greatly contributes to learning in the organisation	SDA	DA	NS	A	SA
<b>Part C3: Evaluation of ECD</b>						
EV01	There is evaluation of the capacity development efforts fir evaluation in Municipal Councils in Uganda	SDA	DA	NS	A	SA
EV02	The officials that benefited from training in evaluation have helped to ensure that evaluation is institutionalized in the general Municipal operations	SDA	DA	NS	A	SA
EV03	The past activities to build capacity for evaluation have been strict and systematic on who to include and exclude from the capacity development for evaluation	SDA	DA	NS	A	SA
EV05	After capacity development events for evaluation, there have always been follow-up to establish for the participants if they found the training had been useful to them as individuals.	SDA	DA	NS	A	SA
EV06	After capacity development events for evaluation, there have always been follow-up to establish for the participants if the Municipal Top leadership found the training had been useful to the Municipal as a whole.	SDA	DA	NS	A	SA
EV07	What do you think are the key weaknesses in the process of implementing capacity development for evaluation in the Municipal Local Governments?  How do you think these weaknesses can be addressed?					
<b>Part D: Organisational Learning</b>						
	Using the scale of (SDA= Strongly Disagree, DA= Disagree, NS = Not Sure, A = Agree, SA = Strongly Agree), please tick or circle your answer to indicate the extent to which you agree with the following statements about your Municipal Council.					
OL01	In my organisation, people are rewarded for learning	SDA	DA	NS	A	SA
OL02	In my organisation people give open and honest feedback to each other	SDA	DA	NS	A	SA
OL03	In my organisation, whenever people state their view, they also ask what others think	SDA	DA	NS	A	SA
OL04	In my organisation, people spend time building trust with each other	SDA	DA	NS	A	SA
OL05	In my organisation, teams/groups have the freedom to adopt their goals as needed	SDA	DA	NS	A	SA
OL06	In my organisation, teams/groups revise their thinking as a result of group discussions or information collected	SDA	DA	NS	A	SA
OL07	In my organisation, teams/groups are confident that the organisation will act on their recommendations	SDA	DA	NS	A	SA
OL08	My organisation makes the lessons it has learned available to all employees	SDA	DA	NS	A	SA
OL09	My organisation recognizes people for taking initiative	SDA	DA	NS	A	SA
OL10	My organisation works together with the outside community to meet mutual needs	SDA	DA	NS	A	SA
OL11	In my organisation, leaders continually look for opportunities to learn	SDA	DA	NS	A	SA
OL12	Please make recommendation on how to ensure that individuals who are selected for capacity development in evaluation actually gain knowledge and skills and practice these upon return to their workplaces.					
OL13	Please make recommendation on how to ensure that individuals who are selected for capacity development in evaluation actually share and pass on the knowledge and skills gained to their colleagues.					

Thank you very much for your great time and contribution to the study. Please be assured that the information will be used for academic purposes only.

**The End**

### ***Appendix 3: Draft Interview Schedule***

#### ***A. Introduction to the interview***

1. Name of interviewer
2. Stating the purpose and objectives of the study
3. Highlighting the sample and sampling procedure
4. Highlighting confidentiality and anonymity
5. Assuring respondent that s/he could drop the interview at any stage s/he felt
6. Highlighting the rights of the proposed interviewee and clarify on benefits
7. Request for consent to interview

#### ***B. IV (a). ECD designing***

1. Are you satisfied with the processes of designing ECD in the Municipal Councils in Uganda since 2006?
2. Please provide details and reasons for your answer above.
3. Please provide any challenges that think face the designing ECD in the Municipal Councils in Uganda.
4. What do you propose to improve designing ECD in the Municipal Councils in Uganda?

#### ***C. IV 1 (b) ECD Implementation***

1. Are you satisfied with the processes of implementing ECD in the Municipal Councils in Uganda since 2006?
2. Please provide details and reasons for your answer above.
3. Please provide any challenges that think face the designing ECD in the Municipal Councils in Uganda.
4. What do you propose to improve designing ECD in the Municipal Councils in Uganda?

**D. IV 1 (c). ECD Evaluation**

1. Are you satisfied with the processes of evaluation of ECD in the Municipal Councils in Uganda since 2006?
2. Please provide details and reasons for your answer above.
3. Please provide any challenges that think face the evaluation of ECD in the Municipal Councils in Uganda.
4. What do you propose to improve evaluation of ECD in the Municipal Councils in Uganda?

**E. DV – Organisational Learning**

1. In your view, do you think the past and current efforts for developing capacity for evaluation have contributed to learning in the Municipal local governments in Uganda?
2. Please provide details and examples to clarify your opinion.

- F. Is there any information you feel might be relevant to my study as per the introductory brief given to you about the study at the beginning of this interview?

**Conclusion of interview** – thanking respondent and re-assuring them of confidentiality and promising to share with them the final results.

#### ***Appendix 4: Draft Document Review Guide***

The researcher will ask the Key Informants for any relevant documentary content they deem useful and free to share. This will include by not limited to: the Municipal development plans, annual budgets, capacity development plans and progress reports. From these, the researcher will for indications of the following:

1. Record of participation and contribution by organisational members on the ECD planning, implementation and evaluation since. Take note of the timing and critical details.
2. Record showing the extent to which objectives and interests ECD initiatives have been realised out of the activities for 2006 to date.
3. Any mechanisms in place to track the ECD initiatives and learning at: individual, team and organizational learning from 2006 to date.
4. Any record of benefits of the ECD to the municipal Local governments.
5. Any record of challenges and lessons learned in relation to ECD and organisational learning.

*Appendix 5: The Sampling Table*

N	S	N	S	N	S
10	10	220	140	1200	291
15	14	230	144	1300	297
20	19	240	148	1400	302
25	24	250	152	1500	306
30	28	260	155	1600	310
35	32	270	159	1700	313
40	36	280	162	1800	317
45	40	290	165	1900	320
50	44	300	169	2000	322
55	48	320	175	2200	327
60	52	340	181	2400	331
65	56	360	186	2600	335
70	59	380	191	2800	338
75	63	400	196	3000	341
80	66	420	201	3500	346
85	70	440	205	4000	351
90	73	460	210	4500	354
95	76	480	214	5000	357
100	80	500	217	6000	361
110	86	550	226	7000	364
120	92	600	234	8000	367
130	97	650	242	9000	368
140	103	700	248	10000	370
150	108	750	254	15000	375
160	113	800	260	20000	377
170	118	850	265	30000	379
180	123	900	269	40000	380
190	127	950	274	50000	381
200	132	1000	278	75000	382
210	136	1100	285	1000000	384

Note.—N=Population size. S = Sample size. Source: Krejcie & Morgan (1970.p.608).