

ADDRESSING THE LACK OF EVALUATION CAPACITY IN  
POST-CONFLICT SOMALIA

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***“Education is the most powerful weapon which you can use to change the world.”***

Nelson Mandela (1918-2013)

## ABSTRACT

The purpose of this study was to describe the nature of institutional evaluation in non-governmental social programs in Somalia. A large number of agencies that evaluate social programs in Somalia are international organizations located in Nairobi, Kenya. Somali professionals were typically not involved in these evaluations. This had limited evaluation capacity because the evaluators from the international organizations left the country after brief visits in Somalia.

This study focused on the lack of professional evaluation infrastructure and education, and its impacts on development practice in Somalia. The combination of a limited government evaluation policy, the absence of modern professional development opportunities, and the practice of international organizations in outsourcing evaluation activities had contributed to the evaluation skill deficiency in Somalia. The study used a qualitative design and an ethnographic semi-structured interview approach. A purposeful sample of 8 evaluators and 2 program managers from local non-governmental organizations and public institutions participated in the interview to provide information-rich cases pertaining to the nature of institutional evaluation in non-governmental social programs in Somalia. All participants had previously participated in evaluation activities. The research study explored participants' conceptual understanding and the larger modern theoretical framework of developing evaluation capacity.

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# CHAPTER 1

## INTRODUCTION

In 2008, one of the most important limitations in non-governmental social programs in Somalia was the lack of capacity in monitoring and evaluation (Cassanelli & Abdikadir, 2008). More recently, a report by the United Nations International Children's Emergency Fund (UNICEF) raised similar problems regarding the absence of evaluation processes in the country's social programs (Williams & Cummings, 2013). The infrastructure to develop and support evaluation knowledge, as well as the capacity to maintain evaluation activities in non-profit organizations, was limited.

This lack of institutional evaluation and monitoring was not limited to a particular sector, but was widespread in other social programs. As Mauch et al. (2010) observed, existing programs in Somalia performed below capacity due to a lack of effective monitoring and evaluation activities. Their study of a tuberculosis (TB) program showed that valid and quality data were not always available, thus inhibiting the production and sustainability of robust monitoring and evaluation efforts in healthcare services. While a better outcome in treating TB was achievable, the paucity of capable human resources, low case detection, and decreased access to care affected the program's performance.

The problem this dissertation sought to address is that additional understanding of the evaluation capacity, that is the knowledge and skills needed by professionals to evaluate the effectiveness of programs in Somalia, is critically needed. Without viable evaluation, program staff may lack necessary information to make proper decisions (King & Stevahn, 2013; Mertens, 1999). Effective evaluations require theoretical and

practical evaluation skills (Chelimsky, 2014) since evaluators seek to track and recognize opportunities for program improvement (Scriven, 1967).

### The Problem

Somalia is not only in one of the most underdeveloped regions in the world, but it is also a region that has experienced devastating conflicts and insecurity (Menkhaus, 2011). More than twenty-five years of fighting and destruction had affected the country's ability to govern and provide basic services to citizens. Despite several attempts to revive a national government in Somalia, none of the state-building efforts have, to date, succeeded to effectively govern the country (Menkhaus, 2011). Although there is an internationally recognized government in Somalia, it does not effectively control a large part of the country. Furthermore, the relationship between the federal government and the regional administrations is often contentious. In early 2016, an Al-Qaeda-aligned Somali group called Al-Shabaab attacked a popular beach restaurant in Mogadishu, detonating two car bombs and firing at people, killing more than a dozen (<http://www.dailymail.co.uk/news/article-3410591/Car-bomb-explodes-shots-fired-popular-seaside-restaurant-Somali-capital.html>).

Such domestic challenges underline the need for effective social programs and the role of evaluations in addressing that need. Consequently, efforts to improve programs through ongoing program evaluations expose the demand to build knowledge and skills in modern program evaluation's theories and practices.

### **The Role of the Somali Government**

Evaluations, especially in government programs, are becoming more prevalent in Western countries. In the United States, forty-nine states have state legislative

evaluation offices, which are the equivalent of the U.S. Government Accountability Office at the federal level (Vanlandingham, 2010). These evaluations in government programs have a dual purpose. First, they are meant to establish and maintain close control of resources in order to serve the whole community in an equitable way. Second, they address the question of accountability for public resources. For example, the Canadian Government's Performance Management and Evaluation program is an indication of government's control of resource and accountability (Chouinard, 2013). A similar example is the United States government's strong platform of evaluation in which it has adopted an evidence-based policy in programs such as those related to violence, teenage pregnancy prevention, and reduction of HIV risk behaviors (Weiss & Murphy-Graham, 2008).

Conversely, there is minimal government accountability in Somalia. Menkhaus (2014) identified corrupt government officials and criminals who tax and divert humanitarian aid as spoilers who thrive on the accountability-free environment of Somalia. The Somali government did not have a clear policy that encourage evaluations of public-funded programs, which, in turn might promote evaluation knowledge (Cousins, Goh, Clark, & Lee, 2004).

### **Evaluation in Somali Educational Institutions**

The Somali National University (SNU) was established in 1970 by the government. Although SNU was the only university in the country at that time, it was mainly dependent on the Italian government for financial assistance. The Italian language was the language of instruction in almost all faculties. By 1985, the

university expanded to fifteen faculties with 7431 students graduating before it was closed in 1990 due to the civil war (<http://mu.edu.so/historical-background/>).

Presently, there are more than a dozen privately owned universities in the country. For example, Mogadishu University, Benadir University, SIMAD University, and City University are among those that private individuals established after 1991. While these educational entities provide some form of post-secondary education, higher education in general is unstable and lacks formal national regulation to ensure standardized accreditation.

Educational institutions have a valuable role in creating and disseminating evaluation knowledge. Since the emergence of modern evaluation in the 1960s, the demand for evaluation studies has increased as scholars echoed the sentiment that “evaluators are made, not born, and an extended period of training is necessary to master the evaluation-specific skills and knowledge” (LaVelle & Donaldson, 2010, p. 3). Arguing for the need to develop professional standards for evaluators, Stevahn, King, Ghere, and Minnema (2005) wrote that faculty in educational institutions have a role in creating and equipping students with knowledge that can lead to successful evaluation practice. Sustained evaluation knowledge sharing was not evident in Somalia as most professional evaluators were expatriates who did not reside in the country, but traveled from neighboring countries. Somali universities are lagging far behind in evaluation studies. Although there were 40 universities in Somalia (Jegade, 2012), there were limited or no available publications from local universities specifically focused on evaluator knowledge and skills (Mohamed, Uthman, & Affan, 2012).

## **The International Community's Evaluation Practice**

As Somalia's humanitarian crisis unfolded in the early 1990s, international agencies deemed it necessary to intervene and try to resolve social and economic challenges. The international community has set up and funded different humanitarian social programs to provide assistance in the country. However, aside from some staff in the field, most of the managerial and operational employees, including evaluation firms, are in neighboring countries (Schäferhoff, 2014). Except in limited activities, Somali professionals are typically not involved in these evaluations. The outsourcing of evaluation activities has contributed to the minimal evaluation capacity since expatriate evaluators leave the country after brief, short visits in Somalia (Ika et al., 2012).

### **Significance of the Study**

The cost of human suffering in countries with civil war is enormous. Due to difficult situations that resulted from death, destruction and displacement, the process of rebuilding the country's institutional capacity to fully recover may take time. If we can understand how to build evaluation capacity in difficult post-conflict situations, there is good opportunity to avoid hostilities, preserve peace, stability and development in the world.

Literature around building evaluation capacity is growing among scholars and evaluators (Leviton, 2014). Evaluation capacity building (ECB) and developmental evaluation (DE) approaches helped this study examine evaluation deficiencies in non-governmental social programs in Somalia. The research shows how difficult it can be to improve local NGOs' evaluation capacity

This research sought to present the nature of institutional evaluation in non-governmental social programs in Somalia using participant interviews as the primary data collection source. Discussions revolved around how evaluations were viewed, funded, planned, and carried out in local social programs. Evaluators, both internal and external, and program managers offered perspectives about existing barriers such as security, financial, and political challenges. Participants also pointed to opportunities such as understanding the value of evaluations at the local level, regional and federal authorities' commitment, and improving political climate regarding accountability. The study focused on perspectives, beliefs and attitudes. Although opportunities for professional development were limited, participants showed determination in seeking to expand knowledge and the use of evaluation findings for improving society.

### **Research Questions**

The purpose of this study was to describe the nature of institutional evaluation in non-governmental social programs in Somalia. Program evaluation is a process of systematic inquiry to provide viable information about a program (King & Stevahn, 2013). The research questions that guided this research were as follows:

1. What current evaluation capacity actually exists in Somalia?
  - What evaluation capacity existed prior to 1991 according to reports by participants?
  - In what ways have specific types of opportunities (organizational support, financial needs, social and political issues) influenced the development of evaluation capacity in non-governmental organizations in Somalia?

2. What specific strategies, approaches, or methods need to be considered for improving the evaluation capacity in non-governmental organizations in Somalia?

### **Delimitations**

The purpose of this research is to advance a further comprehensive understanding of the nature of institutional evaluation and monitoring in Somalia. Such exercise is important for two reasons. First, unless evaluation knowledge is built at the local level, the sustainability of evaluation efforts to develop or improve social programs in Somalia will be limited (Patton, 2011a). Second, the argument that evaluations are necessary for both effective governmental and non-governmental decision making and programming has already been established in the literature (Mertens, 1999). Somalia's society could benefit from effective social programs in which evaluation knowledge is given a key role. To make this argument, I will focus solely on social programs designed, implemented, and monitored by internationally funded non-governmental organizations (NGOs) in Somalia.

### **Study Rationale**

Due to a prolonged war in the country, Somalia has been characterized as a failed state (Bueger & Bethke, 2013; Schmidt, 2013; Silva, 2013). In failed states, social programs cease to function or are ineffective in providing basic services to citizens (Silva, 2013). According to Schacter (n.d.), there is an insufficient supply of qualified people in the sub-Saharan region with the capacity to design and implement monitoring and evaluation activities. Consistent with this finding is a UN/World Bank joint report on Somalia that showed a shortage of trained staff to collect economic and

social data (<http://www.somali-jna.org/downloads/vol2.pdf>). This is a significant challenge because, as the country is emerging from the challenges of the civil war, there is a severe shortage of trained personnel to develop or improve programs. The lack of qualified personnel has negative consequences on social programs. Modern evaluation theories and practice have not yet taken hold in Somalia. The information collected and the findings of this research could help evaluation practitioners and researchers understand the impact of building evaluation capacity in Somalia utilizing modern evaluation theories and practices.

This dissertation has been organized into 6 chapters. Chapter 1 covered the introduction as well as the problem the study intends to address. Chapter 2 will look at the literature regarding building evaluation capacity as it relates to the post-conflict environment in Somalia. Chapter 3 will provide a description of the methodology, participants' information, and limitations. Chapter 4 will present the findings of the study based on participants' perceptions. Chapter 5 will cover discussion of the findings, and Chapter 6 will provide the study's conclusions and implications.

## CHAPTER 2

### LITERATURE REVIEW

This chapter reviews the post-conflict environment in Somalia using two relevant bodies of literature that can illuminate the lack of evaluation knowledge in Somalia: evaluation capacity building (ECB), and developmental evaluation (DE). The literature review will guide the discussion in later chapters and point to potential solutions that could gradually offer a viable way to approach building capacity into local social programs.

#### Post-Conflict Somalia

Chetail (2009) defined the term “post-conflict” to describe a society that has recently witnessed violent conflict that has affected people’s daily lives. It can take a while for some post-conflict citizens to move beyond the trauma of violent hostilities. For example, although the Somali government has made some progress in preventing child recruitment into armed conflicts, a recent UNICEF report showed that an estimated 5000 children and youth are with armed groups ([http://www.unicef.org/esaro/5440\\_som2015\\_child-recruitment.html](http://www.unicef.org/esaro/5440_som2015_child-recruitment.html)). Unless these children and youth see a better alternative, such as education and employment, they are likely to prolong hostilities in Somalia.

Due to the humanitarian crisis and ineffective government in Somalia, the intervention of international agencies to resolve the unfolding social and economic challenges is important. Silva (2013) wrote that in certain situations, it might be appropriate for the international community to retain part of the sovereignty of the failed state to be able to assist with different humanitarian programs. Without a viable

intervention, the Somali problem could spill over to the neighboring countries, thus adding to the difficulties that already exist in the East Africa region. International donors such as the United States of America, the European Union, the United Kingdom, Japan, Italy, France, and Norway have contributed to assisting Somalia in recovering from the civil war. In 2009, excluding military assistance, the Overseas Development Assistance (ODA) aid to Somalia reached \$661.65 million (Schmidt, 2013).

While the West may see Somalia as a typical problem country and a provenance of Islamic terrorism, the country has become a fast-developing economic opportunity with foreign corporations, businesses, and the Somali diaspora around the world returning to invest (Harper, 2012). As there is new hope that the country is on the right path to recovery (Hammond, 2013), it is expected that more private agencies, including international organizations, will participate in the development of the country. Similarly, non-profit organizations providing humanitarian assistance are opening offices as the country becomes more stable. For example, there are 150 humanitarian agencies currently working only in the health sector (Moore, 2014).

Butler (2001) defined in simple terms the word “diaspora” as “the dispersal of a people from its original homeland” (p. 189). The Somali diaspora’s remittance is important to the different development sectors of the economy. The diaspora, which is estimated to be around 1.5 million people, contributes up to \$2 billion per year to community relief and development programs (Hammond et al., 2011).

Due to the increasing number of private and non-profit organizations and the large

amount of funds involved in post-conflict Somalia, proper evaluation skills and knowledge have an important role to fulfill. As Cousins et al. (2014) pointed out, “One dimension of impact evaluation would be value-for-money performance management which uses cost effectiveness analysis and other econometric tools” (p. 2). Preskill and Torres (1999) posited, “Organizations can no longer afford to offer products and services without knowing the extent of their effectiveness” (p. 62). The failure to evaluate programs using modern evaluation theories and practices may render them ineffective by not achieving their intended goals. For example, despite early warnings of a widespread famine in 2011, lack of ongoing monitoring and unreliable data made assessment problematic (Slim, 2012). This, in part, made local non-governmental agencies less effective in preventing widespread malnutrition that resulted in the death of tens of thousands of people (Hillbruner & Moloney, 2012). International news was filled with stories of families trekking thousands of miles from remote areas in Somalia to refugee camps in northeast Kenya to find food and shelter.

While the need to do evaluation is present, there are challenges to conducting evaluations in a post-conflict environment. Quaynor (2012) wrote that post-conflict societies in Africa do not trust and avoid interacting with individuals from rival groups. Because stakeholder input in evaluations is important, an evaluator’s skills and knowledge are important in managing different stakeholders. Full participation and the trust of stakeholders are needed for an evaluation to succeed. Not only does participation facilitate the utilization of the evaluation findings through buy-in, it also ensures the quality of data collected (Wholey, Hatry, & Newcomer, 2010). It is important that practicing program evaluators know the best strategy to meet

stakeholders' needs (Chen, 2005). Patton (2012) wrote that an evaluation is valid if it includes a competent evaluator. Knowledge and skills to utilize evaluation as a tool for learning and improving programs are important in post-conflict Somalia.

### Brief History Leading to Building Evaluation Capacity

Although the history of evaluation can be traced back as far as 2200 B.C, Stufflebeam (2001) observed that the development of program evaluation as a field of professional practice started with a number of seminal writings that included publications by Tyler (1942, 1950), Campbell and Stanley (1963), Cronbach (1963), Stufflebeam (1966, 1967), Tyler (1966), Scriven (1967), Stake (1967), Suchman (1967), Alkin (1969), Guba (1969), Provus (1969), (1971), Parlett and Hamilton (1972), Weiss (1972), House (1973), Eisner (1975), Glass (1975), Cook and Reichardt (1979), Cronbach and Associates (1980), House (1980), Patton (1980), the Joint Committee on Standards for Educational Evaluation (1981), and Stake (1983). However, the widespread use of modern program evaluation emerged at a time when the United States was experiencing rapid economic growth after World War II (Shadish, Cook, & Leviton, 1990). During the last six decades, the social research of earlier days became more adaptive to embracing evaluators' perspectives and judgments in evaluation theories and practices (Fitzpatrick, Sanders, & Worthen, 2004).

In 1963, Campbell and Stanley's work on experimental and quasi-experimental design emerged and influenced the traditional discussion of internal and

external validity. In this research, Campbell and Stanley focused on the distinction between internal and external validity. The authors characterized that external validity was useful, but that internal validity was fundamentally necessary for any experiment to be meaningfully interpreted (Chen & Rossi, 1987).

The prominence of evaluation as a field in itself emerged in 1967 with Michael Scriven's definition of evaluation as "judging the worth or merit of something" (Fitzpatrick et al., 2004). As a result, evaluators started to focus on valuing and judgment. While this may have defined new conceptual underpinnings, the role of the evaluator as the sole authority of the evaluation was popular (Alkin & Christie, 2004). With the publication of Michael Quinn Patton's *Utilization-Focused Evaluation* (UFE) in 1978, there was a paradigm shift in the literature. The evaluator's role with final authority on activities of the evaluation changed to one that is more of facilitator of the primary intended users' needs. UFE views interaction with people as the centerpiece of this evaluation approach. UFE starts with the notion of the personal factor, which the author explains could be an individual or group of people who personally care about the evaluation, and that the evaluator "develops a working relationship with intended users to help them determine what kind of evaluation they need" (Patton, 2012, p. 4).

Other scholars also noted the importance of stakeholders' input and participation in the evaluation (Bourgeois & Cousins, 2013; King & Stevahn, 2013; Preskill & Boyle, 2008). Widening the scope of the evaluation beyond the evaluator to include program staff and funders brings to light the importance of building the

capacity of stakeholders to effectively execute their role. Similarly, an evaluator's responsibility evolves among:

. . . collaborator, trainer, group facilitator, technician, politician, organizational analyst, internal colleague, external expert, methodologist, information broker, communicator, change agent, diplomat, problem solver, and creative consultant. (Patton, 2011, p. 49)

More recently, focus was also placed on organizational capacity as the way to building and sustaining evaluation practice in the organization. Cousins, Goh, and Elliott (2014) identified evaluation capacity as a fundamental part of organizational learning capacity. The interface of evaluator capacity, stakeholder engagement, and organizational learning capacity exposed the importance of understanding and sustaining evaluation knowledge in organizations.

#### Evaluation Capacity Building (ECB)

Evaluation capacity building (ECB) needs to be envisioned as a two-way relationship between science and practice in which both elements contribute and strengthen each other (Suarez-Balcazar & Taylor-Ritzler, 2013). This can mean that the relationship between ECB science and ECB practice is a continuous and dynamic interaction necessary for nurturing ECB. Programs need to be simultaneously practicing evaluation activities and building new knowledge, since the core principle of ECB is improving program outcomes (Labin, 2014). Understanding the complex process of ECB is important for non-profit organizations that often wrestle with limited resources.

Evaluators use ECB practices to develop evaluation capacity in non-profit organizations (Taylor-Ritzler, 2013). Scholars espouse various definitions of ECB

(Boyle & Lemaire, 1999; Preskill & Boyle, 2008; Stockdill, 2002a) due to the complexity of ECB in encompassing several different elements, such as the individual, organization, processes, and outcomes (Labin & Duffy, 2012). While research on evaluation capacity is currently limited (Cousins, Goh, & Elliott, 2014), Stockdill et al. (2002) provided the most widely cited definition of evaluation capacity building:

ECB is a context-dependent, intentional action system of guided processes and practices for bringing about and sustaining a state of affairs in which quality program evaluation and its appropriate uses are ordinary and ongoing practices within and/or between one or more organizations/programs/sites. (p. 8)

The two key factors of knowledge transfer are the sources of the knowledge, with the role of sharing, and the recipient of this knowledge, with the role of acquisition and application (Wang & Noe, 2010). From the ECB perspective, the evaluator and program staff can be the source of knowledge, while the organization can take the role of repository of this knowledge and facilitate practicing evaluative thinking through daily organizational operations.

In ECB practice, the role of individual learning is highlighted since one of the responsibilities of the evaluator is to provide technical assistance to program staff in the organization. Cousins et al. (2013) labeled individual learning in evaluation capacity building an important factor by pointing out that the capacity to do evaluations comes from staff obtaining requisite skills to carry out different evaluation activities, such as evaluation planning, data collection, analysis, interpreting, and reporting. Likewise, individual learning includes understanding the political and cultural context in which the evaluation is conducted (Rossi, Lipsey, & Freeman, 2003) as evaluators must choose the appropriate strategy to achieve a fitting

evaluation outcome. Arguing for multicultural validity in evaluation theory, Kirkhart (2010) wrote that an appropriate evaluation recognizes the importance of the context of the evaluation. The validity of evaluations can therefore be presumed to be dependent on the evaluator's competence (Patton, 2011). The evaluator needs to be aware of the context of the evaluation and consider input from program staff and donors in the evaluation. Without effective engagement, stakeholders can resist using the evaluation process and product, thus rendering the evaluation ineffective by causing it to miss the intended goal of program improvement.

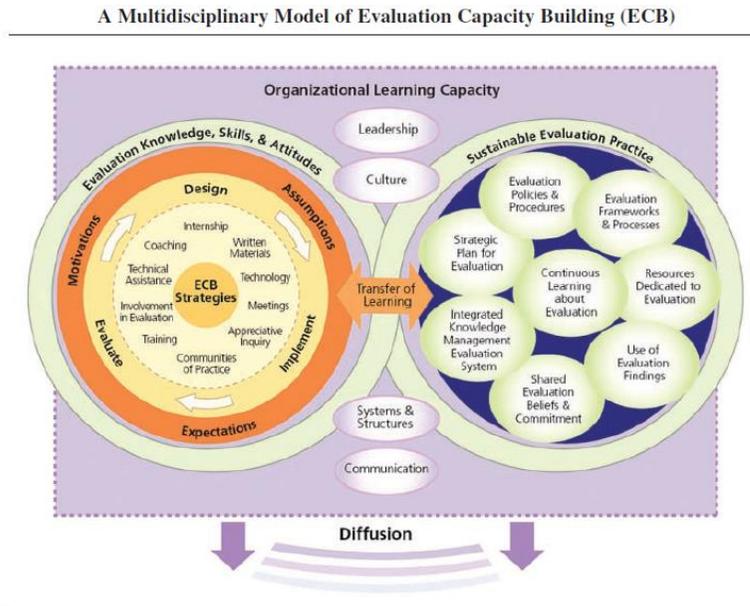
The ECB practitioner assists in facilitating and instructing program staff to evaluate their programs. However, simply acquiring evaluation knowledge is not a comprehensive strategy in itself and does not delineate evaluation capacity building. The interplay among individual knowledge in evaluation, organizational support, and the effort invested in sustaining the evaluation practice cannot be overlooked. Exercising evaluation knowledge by putting it into practice is essential since evaluation capacity building is about learning and transferring that learning into ongoing practice (Preskill & Boyle, 2008). Describing the link between building evaluation capacity and improving evaluation use for learning, Taut (2007) reported:

... for widespread use of self-evaluation and evaluation for learning to occur, staff must own the evaluative process and have responsibility for the quality of the evaluated object and autonomy to bring about suggested changes based on the insights gained from the evaluation. (p. 56)

Preskill and Boyle highlighted this notion in their multi-disciplinary model of ECB (see Figure 1). Drawing on the ECB model, Preskill and Boyle (2008) argued

that ECB is more than learning to thinking evaluatively, but also involves transfer of learning into a more sustainable evaluation practice.

**Figure 1.** ECB Model



Source: Preskill and Boyle (2008)

The model shows two circles connected by a two-way arrow. The left circle depicts several categories of evaluation knowledge, skills, and attitudes. Under these headings, the authors listed practical steps such as internships, written materials, meetings, training, coaching, involvement in evaluations, and technical assistance. The right circle shows sustainable evaluation practice. In this circle, the authors mentioned organizational infrastructure, support, resources, and use of evaluation that can lead to sustainability of evaluation practice in the organization.

It is a plausible assumption that an individual's participation in the evaluation process contributes to developing evaluation capacity (Preskill & Boyle, 2008). The authors also introduced the following strategies that may be used for building

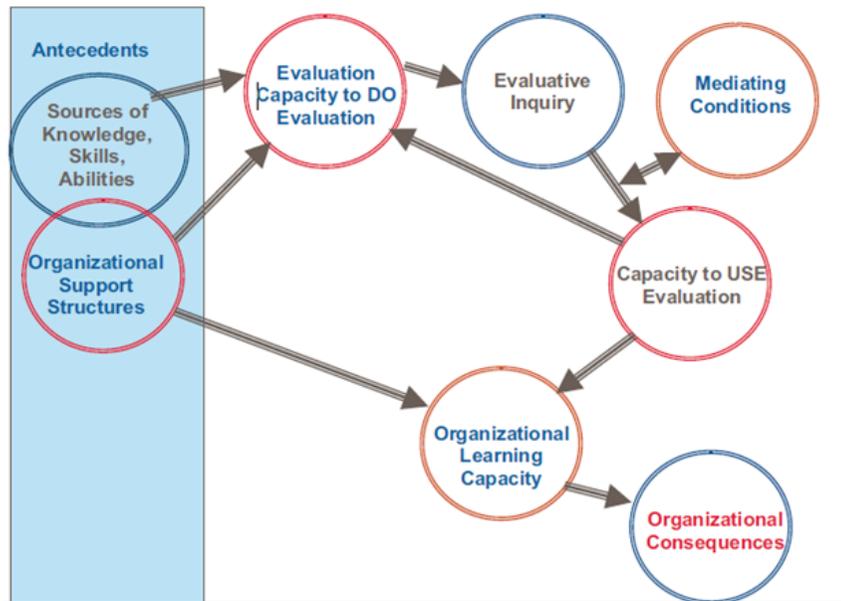
evaluation capacity: internships, written materials, technology, meetings, appreciative inquiry, communities of practice, training, involvement in an evaluation process, technical assistance, and coaching and mentoring. With an individual's regular practice within the organization comes learning and understanding of ways to improve program outcomes (Taylor-Ritzler, 2013).

Scholars agree in general to the concepts of the multi-disciplinary model of ECB Preskill and Boyle presented. A disadvantage of Preskill and Boyle's multi-disciplinary model of ECB, however, is that it portrays ECB as a linear cause and effect relationship, i.e., that individual learning and practice enhance evaluation capacity in organizations (Labin & Duffy, 2012). This approach neglects other possible variables such as increased donor funding or improvement in program management that could influence change. A key advantage of the model is that it addresses evaluation capacity building not only from an individual learning perspective, but also taking into consideration the organization's ability to ensure sustainability as an outcome indicator of ECB.

Looking at government and voluntary sector differences in organizational capacity to do and use evaluations, Cousins, Goh, Elliott, Aubry, and Gilbert (2014) presented a diagram to illustrate how organizational learning and organizational support are integral to evaluation capacity (see Figure 2). The figure shows two intersecting circles on the left that connect to six different circles on the right. One of the left circles shows source of knowledge, skills, and abilities, and the other circle shows organizational support structures. Five of the circles on the right are evaluation capacity to do evaluations, evaluative inquiry, mediating conditions, capacity to use

evaluations, and organizational learning capacity. These connected circles lead to an organizational consequences circle as a final destination.

**Figure 2.** Evaluation and Organizational Capacity



Source: Cousins, Goh, Elliott, Aubry and Gilbert (2014).

Both the multi-disciplinary model of ECB and the figure by Cousins et al. point to the importance of organizational learning and readiness for building evaluation skill and ongoing evaluation activities that can lead to evaluation capacity building (ECB) in organizations, with sustainability and use as an outcome. Both illustrations also show several steps and interconnections to achieve the desired outcomes. However, what is not clear is how these connections affect each other or what leads to where. For example, the multi-disciplinary model of ECB does not identify a clear relationship between different components in the circles. Similarly, the

model does not specify how each activity contributes to overall ECB in organizations. This validates the complexity revolving around ECB that the literature discussed.

Other scholars also observed that organizational culture and leadership contribute to building and sustaining evaluation capacity in organizations. However, they argue that processes, policies, and practices (PPP) are more important than organizational leadership, culture, mainstreaming, and resources in ECB (Labin & Duffy, 2012).

Based on existing frameworks in collaborative, participatory, and empowerment evaluation approaches, Labin and Duffy developed the integrative evaluation capacity building model that shows that organizational change occurs by having policies and the evaluation process in place. The authors observed that an organization's internal and external factors could inhibit evaluation practice - factors such as leadership commitment to having an ongoing evaluation process and policy and to allocating sufficient resources for it. Thus, organizational design is an important element to consider. Flat organizations with less hierarchical structure have better evaluation learning potential (Cousins et al., 2013) than those with several layers of decision processes. The organizational structure can be an impediment to improving evaluation knowledge.

While Preskill and Boyle stressed sustained evaluation programs as indicators of outcomes in organizations, Labin and Duffy adopted doing and using evaluation as a general framework for ECB outcomes. Other scholars have also espoused a closely related ECB position that ECB requires involvement in the evaluation process

(Bourgeois & Cousins, 2013; King & Rohmer-Hirt, 2011). This implies that using the evaluation process enhances ECB.

Bourgeois and Cousins (2013) also noted the importance of individual and organizational engagement in ECB by classifying evaluation capacity building into direct ECB and indirect ECB. Direct ECB occurs within or outside of an actual evaluation project, e.g., data analysis. Indirect ECB contributes to the production of knowledge through involvement in the process. Both these direct and indirect ECB approaches highlight that the use of evaluation process contributes to evaluation knowledge and skills. However, unlike other scholars, Bourgeois and Cousins did not explicitly place evaluation use as an outcome of ECB.

Conversely, Cousins et al. (2013) agreed that individual learning and organizational capacity play an important role, but have been explicit that evaluation use - conceptually and practically - is an indicator of ECB. Their contention is that evaluation capacity grows when members in non-profit organizations use evaluation processes and findings since users somehow benefit from this exercise. Although scholars such as Weiss (1998) have not fully embraced the perspective of evaluation use as the primary goal of evaluation, this observation has been gaining momentum in the evaluation field (Alkin & Christie, 2004; Patton, 2012). However, while Patton (2012) differentiated primary intended users from general stakeholders, Cousins et al. (2013) widened the field of evaluation users to include all demand-side members of the organization who can extend in this case beyond Somalia's borders. Actively enlarging the pool beyond program staff, however, can be a very expensive process for non-profit organizations.

In sum, then, ECB is a complex phenomenon that combines individual learning and organizational capacity for change (Labin & Duffy, 2012). The implication of establishing an environment where knowledge is shared is conducive to building evaluation capacity and the use of evaluation skills.

### Developmental Evaluation (DE)

The nascence of developmental evaluation as a way of working with clients can be traced to Patton's 1994 seminal article (Patton, 1994) in the *American Journal of Evaluation* (Lam & Shulha, 2014). While DE is a new, subtle approach to evaluation (Hargreaves & Podems, 2012), what makes DE appealing to programs under development is that it possesses the attributes of most other evaluation approaches, yet is nimble enough to accommodate innovation in a fluid environment.

The premise of developmental evaluation is that it facilitates action and flexibility in adapting innovative initiatives in an uncertain environment (Patton, 2011a). Patton argues that developmental evaluation (DE) is different from traditional evaluation since DE is centered on situational sensitivity and adaptation and is appropriate to address highly uncertain, unpredictable, and uncontrollable situations. As DE takes a different approach from the conventional prescriptive/descriptive nature of most evaluations, it may prove useful for evaluators who work in complex environments such as conflict zones in Somalia where uncertainty and unpredictability persist. The practice of continuous adaptation, flexibility, and innovative initiatives proposed by DE may contribute to building evaluation capacity and to a better decision-making process that is important to social programs in Somalia. A key

distinction of developmental evaluation is that it does not aim to impose structure on the evaluation process. Traditional evaluations tend to control and predict (Patton, 2011a) while DE draws on the complexity concept and systems thinking to orient the evaluator to the dynamics of the program (Lam & Shulha, 2014; Reynolds, 2014).

There are many writings on the topic of complexity. However, Patton (2012) explains two categories of the complexity concept with implications for developmental evaluation. First is the concept of nonlinearity, which explains that cause and effect relationships do not always follow a straight path. Second is the concept of emergence, that what might emerge or not emerge cannot be pre-determined. How to interpret and address nonlinearity and emergence could be important evaluation skills for evaluators in chaotic environments. It encourages innovative, real-time action for desired effects.

Additionally, developmental evaluation uses systems thinking and the complexity concept concomitantly to better address the dynamics of programs. Thus developmental evaluators need competency in systems thinking to incorporate the findings from relevant system-based interpretations into the evaluation (Patton, 2011a). To make sense of the processes, it may be important to reflect on the interconnectedness and inter-relatedness of all relevant pieces while being mindful of the bigger scope. Within the context of systems, all pieces are interconnected, and every piece, big or small, may affect the short- and long-term outcomes of the processes.

Both the developmental evaluator and organization can benefit from continuously re-strategizing their learning and evaluation skills based on changing

priorities. In a dynamic and unpredictable environment such as Somalia, double loop learning (Argyris, 1976) has more advantages than single loop learning. The single loop learning process is to make changes for short-term improvements, while double loop learning involves “making changes to the system either to prevent the problem or to embed the solution in a changed system” (Patton, 2011, p. 11). The continuous recalibration of the thought process may stimulate a different solution to be proposed and tested and re-tested several times. Thus, the developmental evaluator’s success stems from focusing on the dynamics of the innovation since program improvement assumes stable programs and identifies incremental changes while program development assumes fluid programs that respond to changing dynamics (Lam & Shulha, 2014).

This differentiation perhaps explains developmental evaluation’s radical departure from adhering to pre-formative, formative, and summative evaluation processes that tend to focus on programs and models that are already in place. Instead, DE is focused on emerging issues and ongoing feedback and strategies in uncertain environments. In developmental evaluation, possible changes to a program under development can depend on understanding the importance of continuous feedback and real-time action.

Developmental evaluation does not follow prescriptive processes to a predetermined or even presupposed outcome. Accordingly, the developmental evaluator may describe a past process, reflect on it, adjust thinking, and be ready for the next development. Drawing on this continuous learning experience and putting it back into the process, the developmental evaluator can help broaden a program’s

prospect for development and social innovation since promoting social innovation has the potential to change the context (Argote & Miron-Spektor, 2011).

Patton's view of developmental evaluation does not paint an evaluation model, instead, portraying a relationship based on collaboration with program clients. To develop this relationship and institute real-time evaluative thinking, the developmental evaluator needs to be embedded in the programs and working closely with program staff. Although developmental evaluation's real-time innovation practice is attractive for program staff, donors may be reluctant to invest in such an extensive approach. Another challenging aspect of Patton's view is that since the evaluator is limited to a facilitator's role, program staff can view this as one of incompetence, especially if they are used to depending on expatriate evaluators with prominent roles in evaluations (Schäferhoff, 2014).

While Patton described DE as a process, Lam and Shulha (2014) explained DE as a theoretical model. Furthermore, the authors were concerned about using developmental evaluation when programs have the potential to be stable for a longer period. Their concern stems from the general understanding that the premise of developmental evaluation is innovation of social programs in fluid situations. Thus, the authors align DE with the complexity concept and systems thinking. Lam and Shulha contend that, taken together, the complexity concept and systems thinking enable developmental evaluators to focus on the dynamics of a program's development, thus advancing evaluators' knowledge and skills beyond the traditional evaluation approach. Developmental evaluators refrain from forcing structure on fluid, chaotic situations. Instead, developmental evaluators refocus their evaluation approach

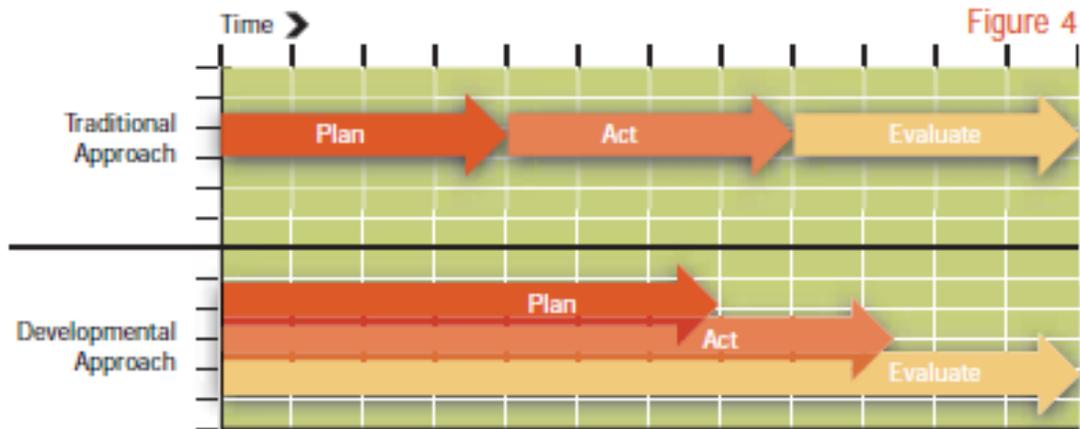
using the experience learned when a “best choice” solution does not achieve the desired effect.

This approach suggests acquiring skill in interpreting and incorporating real-time data since it is important to take into consideration the interconnectedness and inter-relatedness of all relevant pieces and their relationship to long-term outcomes. The purpose of DE is to specifically address complexity and uncertainty while attending to emerging issues (Reynolds, 2014).

An important challenge facing Lam and Shulha’s approach to DE is that it is difficult to distinguish program improvement from program development. For example, formal education in Somalia is not new and has been around over time, yet continues to be one of the least developed educational systems in the world (Williams & Cummings, 2013). Some higher education institutions in Somalia such as Mogadishu and Benadir Universities have been in existence for more than a decade. Although these institutions started with one faculty, both institutions continued to expand their programs to more than half a dozen faculties.

Gamble (2008) came up with a model that contrasted development evaluation (DE) with traditional evaluation approaches (see Figure 3). Gamble agrees with the general perspective that a linear thinking approach works well when the problem is comprehensible and logical, while DE does not follow a clear path to the destination because “destination is often a notion rather than a crisp image” (p. 3). Perhaps this so contemporary way of looking at and implementing continuous improvement is what builds evaluator and organizational capacity in evaluations.

**Figure 3.** Traditional and Developmental Approaches to Evaluation



Source: (Gamble, 2008)

Gamble further explained that there was ample opportunity to improve evaluation skills in developmental evaluation since the evaluator is often embedded in program staff and acts as facilitator to the team. Other scholars endorsed Gamble's suggestion when using developmental evaluation. Evaluating changes to school board policy on sex education in Chicago public schools, Fagen et al. (2011) wrote that the integration between the evaluation team and program policy staff improved the evaluation team's understanding of varying practices of core groups across sites and shaped the evaluation strategy. The developmental evaluator is often surrounded with knowledgeable program staff who can foster deeper understanding of context.

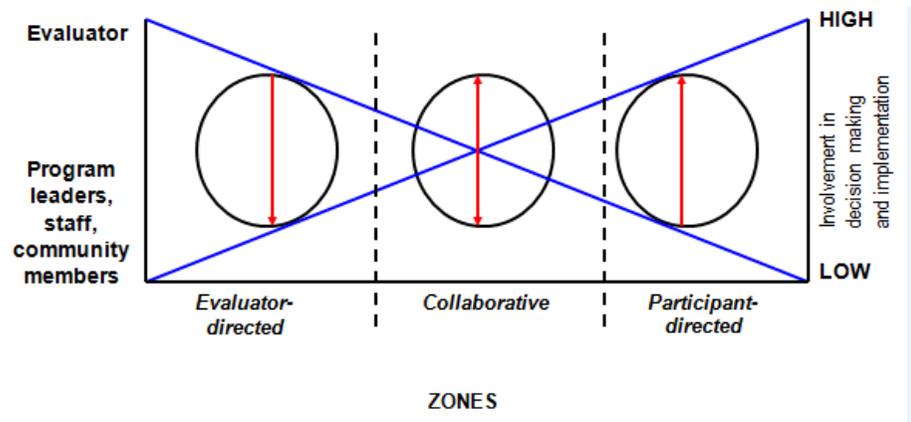
Gamble (2008) espoused a model that contrasted DE with traditional evaluation approaches. Gamble's figure illustrates the linear sequences of the traditional evaluation approach, in which one activity is planned to take its full course before initiating another. Conversely, in developmental evaluation, activities do not go in a sequence, but overlap each other in a non-structured manner. Gamble aimed to

draw attention to the continuous changes expected in developmental evaluation as new dynamics emerge.

A disadvantage of Gamble's figure is that it conveys that activities in DE have a starting point and head in a predestined direction, thus suggesting a more structured process. This goes against the purpose of DE, which aims to not impose or control activities to achieve an ideal prescribed solution. Another disadvantage in Gamble's view of DE is that stakeholders' contributions should be included before the evaluator proposes a solution. This observation can create a cumbersome evaluation process, especially if the stakeholder's aim is to only satisfy a program funder's demand for evaluation.

As noted, while DE's position of giving stakeholders more leverage in evaluation has been challenged by Weiss (1998), engaging program staff, donors, and community members in evaluations is an important factor that cannot be overlooked. In the book *Interactive Evaluation Practice*, King and Stevahn (2013) argued that engaging stakeholders can "make or break any evaluation process" (p. 17). To further explain evaluator and stakeholder engagement, the authors adapted an Interpersonal Participation Quotient (IPQ) framework (see Figure 4) that shows three different possibilities of relationship that can exist in the evaluation process: a) evaluator-directed evaluation in which the evaluator is the sole authority of the evaluation, from designing to delivering the final product; b) collaborative evaluation in which the evaluator is co-investigator with stakeholders in the different stages of the evaluation process; and c) participant-directed evaluation where participants play a major role in evaluation and the evaluator facilitates the evaluation.

**Figure 4.** IPQ Framework



Source: King and Stevahn (2013)

Empowerment evaluation is another evaluation approach that gives a greater role to program participants in evaluations. Empowerment evaluation argues for strengthening the capacity of clients to address their evaluation needs (Fetterman, 2010). Furthermore, there is the expectation that clients start using the evaluation conceptually and practically at the first stages of the evaluation (Schnoes, 2000). A key limitation of empowerment evaluation is that careful consideration must be given to the circumstances of the evaluation as it places a high responsibility on clients.

This section investigated evaluation capacity building and developmental evaluation approaches and highlighted the advantages and limitations of these different approaches. The section also presented several models that can contribute to the building evaluation capacity. There is agreement in the literature that individual learning and organizational capacity play an important role in ECB (Cousins et al., 2013; Labin & Duffy, 2012; Preskill & Boyle, 2008). There is also general agreement that ECB involves the capacity of program staff and the organization to improve

outcomes and accountability (King, 2002; Taut, 2007). However, there is limited agreement on measuring the outcomes of ECB. For example, there is the view that the outcome of ECB is about sustainability (Preskill & Boyle, 2008). Others argue for use as an outcome (Cousins et al., 2013). A third school of thought points to organizational structure and leadership commitment to ECB as the preferred outcome (Labin & Duffy, 2012).

Addressing a somewhat different issue, one of the primary purposes of DE is to explore real-time innovative responses in the face of crises. Infusing real-time data with program development advances social innovation since acquiring knowledge through learning is embedded in the organization's framework. However, DE is a relatively recent, emerging literature with implications not fully explored. In addition, DE may not be appropriate for all programs. For example, DE is not ideal if the purpose is program improvement and not program development.

While ECB, DE and EE aim for improving the evaluation knowledge of organizations and program staff, the literature review shows that empowerment evaluation (EE) has likely limitations in addressing evaluation needs in Somali social programs. First, unlike ECB and DE, EE emphasizes a clear understanding of the situation, which is not applicable for programs under development. Since the country is emerging from a civil war, most of the social programs are still under development. Second, social programs are instituting innovative thinking and flexibility to adapt to the new environment. An evaluator's technical knowledge is important in facilitating the evaluation process. EE places a higher responsibility on the client/stakeholder than the evaluator, thus limiting the evaluator's expertise in innovative thinking and real-

time feedback in a rapidly changing environment. Third, EE attempts to empower clients to do their evaluation and does not encourage the evaluator and intended users to carry the same level of responsibility for the success of the evaluation. EE does not hold the evaluator technically responsible for the evaluation direction and product.

Finally, ECB works well for program improvement with sustainability and leadership commitment as preferred outcomes. However, ECB is complex and may not respond well to sudden changes in programs under development. DE is nimble and responsive to changes, but is a newly emerging evaluation approach with implications not fully discovered. This is a gap that I intend to pursue and explore further to learn how ECB and DE might contribute in addressing evaluation capacity in Somali social programs.

### Conceptual Framework

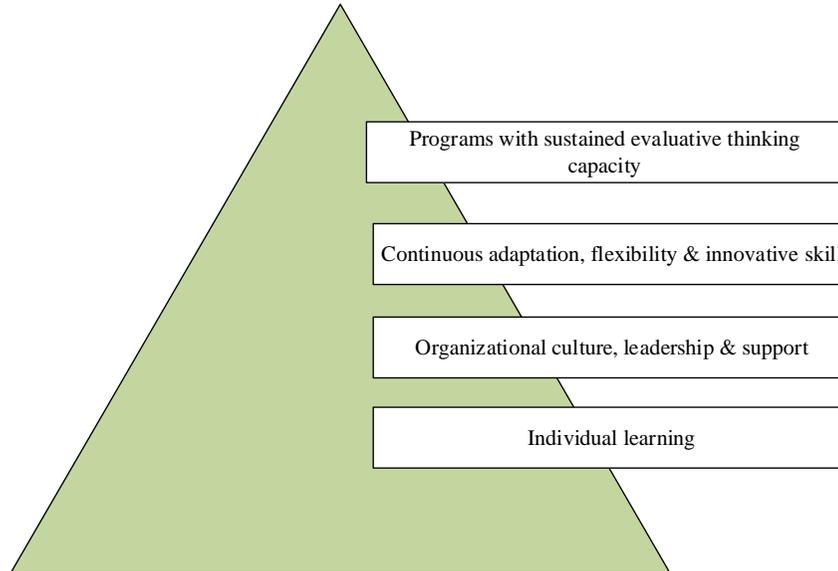
The conceptual framework for this research draws on an eclectic approach to argue that evaluation capacity building (ECB) and developmental evaluation (DE) literature/models can carry the weight of explaining and ameliorating the lack of evaluation knowledge and skills in post-conflict Somalia social programs. The ECB and DE approaches agree on the important roles of individual learning, leadership support, and organizational infrastructure in building evaluation capacity. Both DE and ECB encompass sustainability and leadership commitment, as well as continuous learning, adaptation, and adjustment that stimulate incremental changes. While ECB promotes sustainability as a goal, DE has a starting point, but not a destination. DE also shows the potential to work in countries in distress. For example, a developmental evaluation on the Ushahidi Haiti Project - an endeavor to map the crisis of the 2010

earthquake - produced recommendations beneficial for planning similar disaster recovery (Morrow et al., 2011). Likewise, evaluating the Narmada dams project in India, Reynolds (2014) wrote that evaluators used a developmental evaluation approach as a learning process to address potential political crises related to water security. While the evaluators' consideration of the unanticipated changes and challenges in both of these studies fit the use of the development evaluation approach, the context in which the evaluations were conducted does not match the post-civil war environment of Somalia.

In a complex uncertain environment such as Somalia, evaluators' knowledge and ability to continuously adapt to what might emerge, innovative thinking, and the flexibility to address unexpected changes are all important to developing programs. The country needs development after a prolonged civil war. Due to social, political, and technological changes, operating the same way as pre-civil war organizations can be unsuitable or onerous for non-governmental organizations.

Aligning or combining various evaluation approaches to address evaluation capacity is not new to evaluation practice. Several scholars practiced mixing different evaluation approaches, especially when programs are assumed to be unstable and are in constant need for innovation. For example, Huffman, Thomas, and Lawrenz (2008) mixed collaborative evaluation with their ECB approach in a National Science Foundation (NSF) project. The project team created collaborative evaluation experiences to develop evaluation capacity for individuals and organizations. The combination of ECB and DE attributes has the potential to address evaluation capacity needs in non-governmental organizations in post-conflict Somalia.

**Figure 5.** Conceptual Framework for Understanding Evaluation Capacity Needs in Post-Conflict Somalia



The conceptual framework is grounded in the literature review that showed that individual learning, organizational support, and leadership comprise the key foundation for building evaluation skills and knowledge. Since the developmental evaluator works with program staff and is embedded in the organization, there is potential in advancing individual learning. There is also a good possibility of stimulating organizational capacity to encourage, support, and facilitate evaluation activities. DE is nimble and attempts to be responsive to changes. Its continuous recalibration and re-conceptualization process can be important in advancing the evaluation skills and organizational capacity to sustain evaluative thinking in programs. DE can affect the institutionalization of evaluative thinking in Somali social programs. While evaluation capacity is limited in Somalia, studying how the newly emerging DE approach may contribute to building evaluation knowledge and hence sustained program development in Somalia context is promising.

Different evaluation approaches can be considered to align best with organizational goals. ECB and DE are appropriate for internationally funded non-governmental organizations that are involved in development in post-conflict Somalia. First, ECB and DE promote individual learning and organizational capacity that are important for development programs. Second, with ECB and DE, international development programs have the potential to gain the knowledge and skills needed to be flexible and incorporate changes. Third, as programs develop with the help of international aid, institutional learning and sustained evaluation capacity are important since donor fatigue can affect program funding. ECB and DE can provide fully developed programs the institutional capacity to improve and incorporate changes, thus giving organizations the opportunity to grow and expand with limited resources from international donors.

## Chapter 3

### METHODS

The Somali government does not have a clear policy that encourages evaluation of publicly funded programs. Allegations exist that blame corrupt government officials for diverting humanitarian aid and thriving on the accountability-free environment of Somalia. In February 2016, a new series of elections brought new hope that the country is on the right path to recovery. This hope has inspired foreign corporations, businesses, and the Somali diaspora around the world to return and to invest. Additionally, many countries in west Europe and Asia participated in helping Somalia recover from the prolonged civil war by providing necessary funds to different social and political programs. This has led to the outsourcing of many evaluation activities, which has contributed to minimal evaluation capacity since expatriate evaluators leave the country after brief, short visits in Somalia. Although there is a high degree of uncertainty that compels outside evaluators to be reliant on local people, Somali professionals, except in limited activities, are typically not involved in these evaluations. Such domestic and international challenges underline the need for effective social programs and the role of evaluations in addressing that need. Consequently, efforts to improve programs through ongoing program evaluation expose the demand to build knowledge and skills in modern program evaluation's theories and practices.

This chapter proposes the methods that address the research questions in this study. The first question is geared to examine the historical context of evaluation capacity that existed before the 1991 civil war. Subsequently, it will examine the

organizational support, donor requirements, financial needs, and social and political issues that may have influenced the development of evaluation capacity in non-governmental organizations in Somalia. The second research question explores other strategies or methods, such as organizational development and commitment, professional development, and developmental evaluation that need to be considered in improving the evaluation capacity in non-governmental social programs in post-conflict Somalia.

### **Research Questions**

The purpose of this study is to understand the nature of institutional evaluation in non-governmental social programs in Somalia in relation to evaluation capacity needs and professionalization of the field in post-conflict regions. The research questions that guide this study are as follows:

1. What current evaluation capacity actually exists in Somalia?
  - What evaluation capacity existed prior to 1991?
  - To what extent have specific types of opportunities (organizational support, financial needs, social and political issues) influenced the development of evaluation capacity in non-governmental organizations in Somalia?
2. What specific strategies, approaches or methods need to be considered in improving the evaluation capacity in non-governmental organizations in Somalia?

## **Study Rationale**

This study used a qualitative research design utilizing an ethnographic, semi-structured interview approach. Creswell (2012) wrote that qualitative research “begins with assumptions and the use of interpretive/theoretical frameworks that inform the study of research problems addressing the meaning individuals or groups ascribe to a social or human problem” (p. 44). While qualitative study seeks to capture the uniqueness of participants, in quantitative study, the focus is more about the variables within the subject and the instrument the researcher uses. Although Guba and Lincoln (1994) argue that both qualitative and quantitative methods may be suitable to use in any research model, quantitative research is not appropriate to this research since the purpose is to explore the shared understanding of the participants.

Unlike the quantitative approach that relies on numbers and statistical analysis to explain a problem, the qualitative method is appropriate for this study for several reasons. First, it accepts the study of human lives not from technical perspectives, but sees from a concrete quality standpoint (Kvale & Brinkmann, 2009a). Second, qualitative research facilitates understanding of the context in which participants address problems (Creswell, 2012). Third, qualitative methods are more about exploring a phenomenon or subjects with potential to shed light on the phenomenon (Sandelowski, 1986). Describing and interpreting the program staffs’ shared understanding, beliefs and behavior toward evaluation activities in NGOs is important in this research. Qualitative methods have the potential to capture deeper meaning from participants.

## **Methodology**

Qualitative interviews are widely used in social science research since quantifying some aspects of social issues can be challenging. Kvale and Brinkmann (2009) posited that a semi-structured qualitative interview aims to understand themes of living experience from participants' perspective and that it can be captured in words but not with numbers. The authors suggest that one way to describe science is the ability of producing new knowledge in a systematic way, and that the qualitative interview offers knowledge worth knowing with potential to make a difference. Qualitative research emphasizes subjectivity through subjective involvement of the researcher with participants, as well as "engagement with rather than detachment from the things to be known is sought in the interests of truth" (Sandelowski, 1986, p. 34).

In this research, it was important to describe the program staff's conceptual understanding of evaluation and their practical comprehension of evaluation activities that can further evaluation knowledge. For example, exploring the complexity of institutionalizing evaluation in North America Quitline Network for tobacco users, Terpstra and Best (2013) employed nineteen semi-structured interviews of program staff to gain a deeper understanding of their evaluation practice. While the mechanics of semi-structured interviews may seem simple, it can be challenging to capture the exact meaning of participants. One of the challenges of qualitative interviewing is focusing on the mechanics of administering the interview (Creswell, 2012) while managing the relationship between the interviewer and interviewee (Kvale & Brinkmann, 2009b).

Since the implications of the participants' understanding of evaluation knowledge and skills and perceived barriers to institutional evaluation practice in organizations are important aspects of this study, qualitative interviewing can offer new knowledge from the conversational reality of participants. Choosing this interpretive framework helped understand evaluations in non-governmental organizations in a rich contextualized way. The researcher sought to reconstruct an interpretive framework by seeing the world from the subjects' angle. To gain a deeper understanding of their evaluation practice, I employed semi-structured interviews that guided my questions to examine evaluation in a post-conflict environment in Somalia.

### **Participants**

The researcher contacted the SOS Children's Village and Concern Somalia to recruit participants for this study. The location of these programs was the capital city of Mogadishu because it had a large number of internationally funded agencies and programs. Additionally, the director of the Somali NGO consortium based in Nairobi sent out an email asking member organizations to participate in this research.

**SOS Children's Village Profile.** SOS Children's Village is an international organization consisting of 117 SOS Children's Village associations. Hermann Gmeiner founded the first SOS Children's Village in Austria in 1949. The SOS Children's Village in Somalia started in 1983 and has been in operation since the start of the civil war. SOS Somalia manages a health program through medical centers. In addition, the agency operates educational programs through kindergarten, primary, and secondary schools and a vocational Training Center for courses in nursing and midwifery.

**Concern Somalia Profile.** The organization Concern was found in 1968 in Dublin Ireland. Since its creation, Concern has become an internationally recognized company working in more than fifty countries and employing over 3,200 staff of different nationalities. Concern Somalia was established in 1986. In addition to providing education to internally displaced people (IDP) due to the conflict in the country, Concern operates development programs in water facilities, sanitation, nutrition, and agriculture.

**The Somali NGO Consortium.** The profile of this consortium in addition to other organizations with potential to contribute to evaluation capacity in local NGO will be presented in detail in Chapter 5. However, the consortium had 70 member organizations with programs in Somalia (see Table 1).

**Table 1.** Somali NGO Consortium Organizations

Number	Organization	Abbreviation
1	ActionAid International Somaliland	<a href="#">AAIS</a>
2.	Action Contre La Faim	<a href="#">ACF</a>
3.	Agency for Technical Co-Operation and Development	<a href="#">ACTED</a>
4.	African Development Solutions	<a href="#">Adeso</a>
5.	Adventist Development and Relief Agency Somalia	<a href="#">ADRA Somalia</a>
6.	American Friends Service Committee	<a href="#">AFSC</a>
7.	Al-Khair Foundation	<a href="#">AKF</a>
8.	American Refugee Committee	<a href="#">ARC</a>
9.	Care-Cooperative Assistance and Relief Everywhere	<a href="#">CARE</a>
10.	Caritas Switzerland	<a href="#">Caritas</a>
11.	Comitato Collaborazione Medica	<a href="#">CCM Italy</a>
12.	European Committee for Training and Agriculture	<a href="#">CEFA</a>
13.	CESVI Onlus	<a href="#">Cesvi</a>
14.	Chemonics International	<a href="#">CI</a>
15.	International Committee for the Development of Peoples	<a href="#">CISP</a>
16.	Concern Worldwide	<a href="#">Concern Worldwide Somalia</a>

Number	Organization	Abbreviation
17.	Cooperazione Internazionale	<a href="#">COOPI</a>
18.	Catholic Relief Services	<a href="#">CRS</a>
19.	Danish Refugee Council	<a href="#">DRC</a>
20.	Diakonia	<a href="#">DS</a>
21.	Environmental Care Organization	<a href="#">ECO</a>
22.	Finn Church Aid	<a href="#">FCA</a>
23.	Gargaar Relief and Development Organization	<a href="#">GREDO</a>
24.	Horn of Africa Aid and Development Organization	<a href="#">HADO</a>
25.	Handicap International	<a href="#">HI</a>
26.	Handicap Initiative Support and Network	<a href="#">HISAN</a>
27.	International Aid Services	<a href="#">IAS</a>
28.	International Medical Corps	<a href="#">IMC</a>
29.	International Peacebuilding Alliance	<a href="#">Interpeace</a>
30.	Intersos Humanitarian Aid Organization	<a href="#">INTERSOS</a>
31.	International Rescue Committee	<a href="#">IRC</a>
32.	Islamic Relief Worldwide	<a href="#">IRW-Somalia Program</a>
33.	International Solidarity Foundation	<a href="#">ISF</a>
34.	Jubbalandese Charity Centre	<a href="#">JCC</a>
35.	Japan Center for Conflict Prevention	<a href="#">JCCP</a>
36.	Jubafoundation	<a href="#">JF</a>
37.	KAALO Aid and Development	<a href="#">KAD</a>
38.	Legal Action Worldwide	<a href="#">LAW</a>
39.	Mines Advisory Group	<a href="#">MAG</a>
40.	Mercy Corps	<a href="#">MC</a>
41.	Medecins du Monde-France	<a href="#">MdM</a>
42.	Mercy USA for Aid and Development	<a href="#">Mercy-USA, MUSA</a>
43.	MEDAIR (Somalia/Somaliland)	<a href="#">MR</a>
45.	NAGAAD NETWORK	<a href="#">NAGAAD</a>
46.	Nomadi Assistance for Peace and Development	<a href="#">NAPAD</a>
47.	Norwegian Church Aid	<a href="#">NCA</a>
48.	Nordic International Support Foundation	<a href="#">NISFoundation</a>
49.	Norwegian Refugee Council	<a href="#">NRC</a>
50.	One Earth Future Foundation	<a href="#">OEF</a>
51.	Oxfam	<a href="#">OX</a>
52.	Oxfam GB Somalia	<a href="#">OXGB</a>
53.	Physicians Across Continents	<a href="#">PAC</a>
54.	Polish Humanitarian Action	<a href="#">PAH</a>

Number	Organization	Abbreviation
55.	Progressio	<a href="#">Progressio</a>
56.	Physicians for Social Responsibility – Finland	<a href="#">PSR - Finland</a>
57.	Rural Education and Agriculture Development Organization	<a href="#">READO</a>
58.	Relief International	<a href="#">RI</a>
59.	The Rift Valley Institute	<a href="#">RVI</a>
60.	Save the Children Somalia/ Somaliland Country Office	<a href="#">SCI</a>
61.	Solidarites international	<a href="#">SI</a>
62.	Secours Islamique France	<a href="#">SIF</a>
63.	SOS Children's Villages International	<a href="#">SOS CVI</a>
64.	Somali Youth Voluntary Group Association	<a href="#">SOYVGA</a>
65.	Somali Relief and Development Action	<a href="#">SRDA</a>
66.	Save Somali Women and Children	<a href="#">SSWC</a>
67.	Saferworld	<a href="#">SW</a>
68.	SWISSO-KALMO	<a href="#">SWISSO - KALMO</a>
69.	Tearfund	<a href="#">Tearfund</a>
70.	Tropical Health and Education Trust	<a href="#">THET</a>

Twelve evaluators and 3 program managers agreed to participate in interviews. The criteria guiding the selection of participants were: (1) evaluators who conducted evaluations of internationally funded non-governmental social programs in Somalia or (2) managers who supervised these programs. To ensure diversity, respondents were contacted and invited for the interview. Ultimately, 8 evaluators and 2 program managers took part in the research. The interviews were open-ended and loosely structured, giving the participants freedom to express individual perceptions and observations.

### **Participants' Profiles**

Participant 1 had a master's degree in public health from the University of London. In 2006, he started his evaluation career working for Global Fund Somalia and Comitato Collaborazione Medica (CCM) as a monitoring and evaluation (M&E)

supervisor. He later started conducting evaluations for other international organizations such as the United Nations Development Program (UNDP) and the World Health Organization (WHO) as an internal evaluator. In 2008, Participant 1 started conducting evaluations as an independent consultant or in association with other firms. He worked as an external consultant for 8 years conducting evaluations for different international organizations, including the Catholic Relief Service, Oxfam Novib, and the International Rescue Committee (IRC).

Participant 2 was a professionally trained evaluator with a PhD in agricultural economics and a graduate degree in evaluation. Working for an international organization over 30 years as internal evaluator and supervising the organization's evaluations, Participant 2 was responsible for all internal evaluations as well as for coordinating external evaluations. This evaluator's unit was responsible for his organization's evaluations in Somalia.

Participant 3 had a research background, but with 15 years' experience in regional- and national-level evaluations. He started his career as an internal evaluator for the World Food Program (WFP), which is a branch of the United Nations. He then took the role of external evaluator as a consultant conducting evaluations for a public university and a health institute in one of the African countries. At the time of the interview, he worked as an internal evaluator for a consortium of non-governmental organizations that conducted evaluation in Somalia. His evaluation experience with the consortium was mainly in the field of humanitarian assistance.

Participant 4 had 5 years' experience with evaluation in Somalia. The participant managed the evaluations of different programs for major donors

conducting evaluations in Somalia. The participant's role in the organization was internal evaluator, but also managing external evaluations with recruitment, planning logistics, and putting together the technical process, such as budget and reports.

Participant 5 was conducting evaluations over a period of 11 years, 3 of which were for non-government organizations in Somalia. The participant had a community development degree in undergraduate studies and a master's degree in project planning and management. He conducted evaluations both as an internal and external evaluator.

Participant 6 had 4 four years' experience conducting evaluations for international organizations in Somalia. He had a doctoral degree in agriculture, and most of his evaluations were related to that sector. The participant had a consulting firm doing external evaluations as well as research projects in agriculture and the environment.

Participant 7 worked both as internal and external evaluator for non-governmental humanitarian organizations in Somalia. His background was in statistics. The participant had 5 years' experience mainly conducting mid-term and end-of-project evaluations. He worked as an independent consultant doing third party monitoring and evaluation.

Participant 8 worked for a research institute in Somalia conducting evaluations and had worked as an internal evaluator for 5 years. The participant's background was in research analysis and conducting evaluations on development projects in Somalia.

Participant 9 directed a monitoring and evaluation directorate in one of the ministries of the Somali federal government. He was in charge of institutionalizing

and coordinating M&E activities in other government institutions. He started evaluating projects in his directorate to learn the challenges of starting a new monitoring and evaluation process in the organization. The participant justified this effort describing it as the “charity begins at home” approach. Every Sunday staff attended a weekly meeting to do assessment and evaluative thinking.

Participant 10 worked for an international non-profit organization that had existed since 1991. The participant had taken different roles during his tenure with the organization. In the early 1990s, he was in charge of an emergency response program dealing with health crises. In 1997, he had the title of project coordinator for all programs in Somalia. These included family-based care projects for orphaned and destitute children and education institutions such primary and secondary schools. In 2007, he was appointed to the position of the country director for Somalia. The participant hired and worked closely with an internal evaluator who conducts monitoring and end-of-project evaluations for the organization.

All participants took part in the one-on-one interview process. The questions consisted of three parts. Part I was about participants’ understanding of evaluation use – process and product. Part II was about understanding organizational culture, leadership, and support for evaluations. Part III looked at the sustainability of innovative thinking in the organization.

To equalize the power dynamics between the interviewer and interviewee (Creswell, 2012), participants were given the option to have the interview conducted in English or the Somali language. All participants opted for the English language.

The interviews lasted 20-40 minutes. All interviews were audio recorded digitally and later transcribed for analysis. The recording was tested for clarity and adaptability due to a technologically challenging environment.

Due to security reasons, the location of the interviews was at the SOS Village compound in Mogadishu, which was close to the heavily defended Adan Adde International Airport. Other interviews were also conducted at the SOS Village compound in Nairobi, Kenya. This offered the opportunity to become familiar with the routine and context of the work environment since the combination of descriptive information and the context creates meaningful narrative (Lincoln & Guba, 1994). As noted, all participants agreed to in-person interviews, and interviews were conducted in English.

One of the important tasks that is often forgotten is securing transcripts and recordings (Kvale & Brinkmann, 2009b). The interview transcripts were stored in a password-protected laptop with active anti-virus software and automatic back up to safeguard against data loss. Additionally, the transcripts were stored in a cloud database.

According to Kvale and Brinkmann's (2009b) writing that "validation does not belong to a separate stage of investigation, but permeates the entire research process" (p. 249), triangulating information from different sources was important to ensure data validation in this research. Additionally, the researcher did a limited member check by going back to interview participants to see if they agreed with the researcher's understanding of their discussion.

The researcher thematically analyzed the transcripts, and a graduate student independently coded using color-coding. Employing Creswell's (2012) lean coding approach, the researcher and the student identified up to six themes. The themes were added together, and after another analysis, 8 general themes emerged. The emerging themes will be discussed in Chapter 4.

### **Researcher Positionality**

For a native Somali inquirer like this researcher who shares the same language, culture, and history with some participants, I was aware that it could be difficult to suspend judgment when interacting with participants. Born and raised in Mogadishu, Somalia, I have lived most of my life in Mogadishu. Although both the SOS Children's Village and Concern have branches in other parts of the country, their main offices are in Mogadishu in the same quarters in which I lived.

While objectivity is paramount in research, the researcher cannot be completely divorced from subjectivity. Therefore, being cognizant of my positionality was important when I was engaging with participants of same culture and language. I had a good knowledge of the political, social, and cultural background of the city and people. Reflexivity was necessary in order to not only influence participants' responses, but to restrict bias in my observation and interpretation.

One way to address the potential bias was to do a member check by going to participants to validate their information or to do information triangulation by collecting information from multiple sources. Positionality awareness, reflexivity, and information validation can limit bias and help constructs to be more meaningful (Visser, n.d.)

## **Limitations**

The researcher personally solicited the assistance of 5 international NGOs and 1 local NGO to recruit evaluators with experience conducting evaluations for internationally-funded social programs in Somalia. Aside from one organization that raised concerns for possibly jeopardizing newly awarded contract due to their participation, the other entities sent an email blast to organizations and individuals with instruction to contact this researcher if they were willing to participate in this study.

Fifteen evaluators and program managers electronically or verbally responded to the request. A follow up email was sent to all respondents with the researcher's contact information and confirmation of interview times. Unfortunately, 5 respondents were unavailable for the actual interview. One evaluator relocated to a different continent due to employment. One had family problems and could not attend in person or participate in a phone interview. Two evaluators and one program manager simply did not come to the interview meeting. Although qualitative interviews can lead to in-depth contextualized findings, the small number of interviews is a clear limitation of this study.

Due to security reasons and the concentration of the population, the capital city of Mogadishu has the highest number of internationally-funded agencies. It is the hub for international organizations and other non-governmental organizations involved in relief and development activities. While the security of the city was much better than it has been in the past twenty years, violence continued, including assassinations, bombings, and occasional skirmishes between different militia. As a Somali native

from the Somali American diaspora, some potential participants declined because, they did not feel comfortable speaking openly for safety reasons or felt that I have grown alien to the society's tradition.

Although all participants used the English language during the interview, some participants had difficulty in expressing themselves clearly. As a result, one or two research questions may lack epistemological clarity due to linguistic limitations.

Another key point was the limited number of women who participated in the interviews. Although 3 responded to the invitation, only one ultimately participated in the interview. Unfortunately, the participation of women evaluators in this research was minimal. Consequently, women's perceptions and input were not generally captured in this research.

## **Conclusion**

The method that was employed in this research was in-depth interviews that were recorded and transcribed verbatim. Additionally, since the interviews were to be digitally recorded, the recording was tested for clarity and adaptability to a technologically challenging environment.

The text from interview transcripts and memos was systematically organized, coded into small categories, and combined into themes of recurrent ideas. The researcher and a graduate student analyzed the transcripts from 8 evaluators and 2 program managers. After several discussions and converging the meanings in the data, 8 main themes emerged from the participants' interviews. The themes that emerged from data will be further discussed in Chapter 4 to explain the state of evaluation, the

challenges the organizations face related to evaluation capacity and themes that relate to the broader professionalization of evaluation in Somalia.

## Chapter 4

### FINDINGS

As noted previously, the focus of this study was the nature of evaluation capacity in non-profit organizations in post-conflict Somalia. The research, which is exploratory in nature, identified several institutions with the potential to advance evaluation capacity in non-governmental organizations in Somalia. These institutions, both public and non-profit organizations, are involved in conducting evaluations and disseminating evaluation reports. The Somali NGO consortium and the Building Resilient Communities in Somalia coordinate their members to pool resources or share information for better achievement. Member organizations of these consortia are funding and implementing programs in Somalia through partnership with local NGOs. Later in this chapter, I will describe in detail information regarding these two consortia's work in Somali, especially in relation to evaluations. Similarly, the Ministry of Planning and International Cooperation (MoPIC) of the federal government of Somalia has launched a far-reaching national development plan designed to foster better governance. The monitoring and evaluation section of this plan will be presented in this chapter. Furthermore, the research identified several themes from the semi-structured interviews that have the potential to guide improvement of evaluation capacity in post-conflict Somalia.

The purpose of this study, again, was to describe the nature of institutional evaluation in non-governmental social programs in Somalia. The research questions are:

1. What current evaluation capacity actually exists in Somalia?

- What evaluation capacity existed prior to 1991 according to reports by participants?
  - To what extent have specific types of opportunities (organizational support, financial needs, social and political issues) influenced the development of evaluation capacity in non-governmental organizations in Somalia?
2. What specific strategies, approaches, or methods need to be considered for improving the evaluation capacity in non-governmental organizations in Somalia?

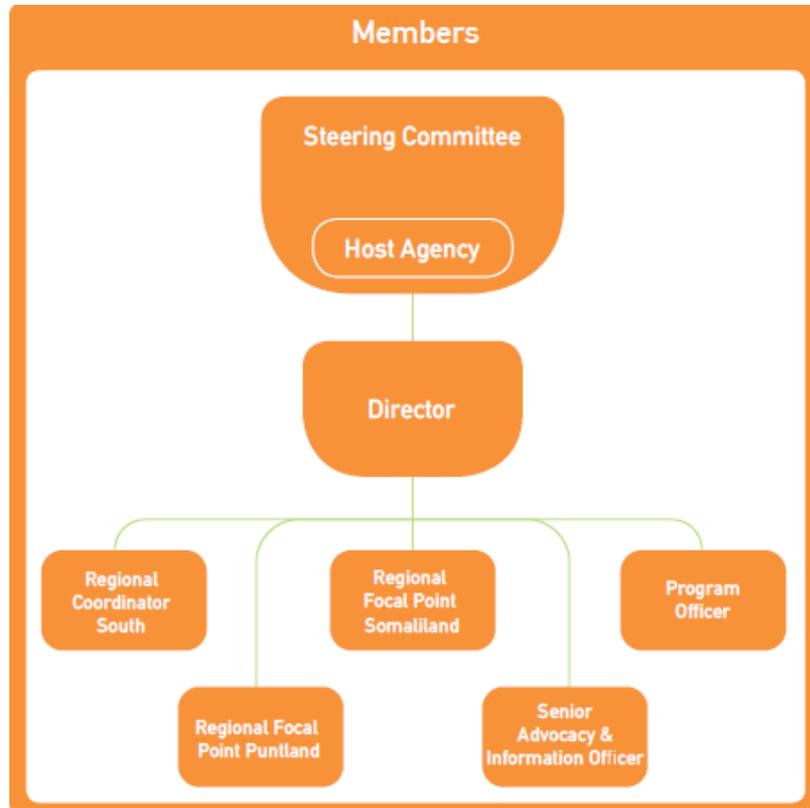
In what follows, I first discuss opportunities for developing evaluation capacity at the two consortia as well as the Somali federal government's national development plan. I then present the themes from participants' interviews to discuss the barriers that inhibit building local evaluation capacity.

### **Somali NGO Consortium**

The Somali NGO consortium was established in 1999 with a mission to facilitate an “environment for the efficient and effective delivery of humanitarian and development assistance for all Somali people” (<http://somalianngoconsortium.org/>). While skill development is one of the services the consortium provides, there are minimal resources targeted toward building evaluation capacity for NGOs. Rather, the consortium's official mandate, adopted in 2006 and updated in 2011 and 2013, focuses more on coordination, safety, information sharing, representation, and advocacy.

The headquarters of the Somali NGO consortium is at Peponi Rise, off Peponi Road, Nairobi, Kenya. The Somali NGO consortium’s organizational chart (see Figure 6) shows sections that coordinate different regional administrations of Somalia.

**Figure 6.** Somali NGO consortium’s organizational chart



Source: Somali NGO Consortium (<http://somalangoconsortium.org/>).

The organization is well-established in Somalia with local offices in Somaliland in the North, Puntland in the Northeast, and Mogadishu in the South. Since most non-governmental organizations that operate in Somalia are members, the Somali NGO consortium, using its extensive network, has the potential to develop and advance evaluation education and skill in post-conflict Somalia. However, while the

Somali NGO consortium commissions evaluations and provides educational support to member organizations, according to participants of the study, information sharing is not often exercised or is not widely used among member NGOs.

The final evaluation reports are shared with organizations that initiated the evaluation itself and the donors get finally the evaluation report. These are the two [entities] who get the evaluation report. Then there are other cadres nowadays – Somali NGO Consortium, I do not know whether I mentioned this to you earlier – Somali NGO Consortium is a body coordinating activities in Somalia for organizations, and they might get the evaluation report. (Participant 1)

The organization's website had a skill development hub section that stores articles and publications as well as a consultants' data base. However, aside from a few articles that are a couple of years old, there are limited educational materials that could help develop evaluation capacity for the Consortiums' members.

According to the website, the Somali NGO consortium advocates and represents all members in the international arena. The consortium coordinates different NGOs to improve international aid. Since most international donors mandate evaluations in almost all projects, the Somalia NGO consortium could play an important role to advocate building evaluation capacity at the local level. The consortium's vast network includes international organizations that have funding for different projects in different parts of the country. These donors have background knowledge of the evaluation capacity existing at the local level.

Another key opportunity for the Somali NGO consortium lies in the facilitation of information sharing activity between member organizations. The consortium attempts to ensure that member organization receive relevant information regarding security, humanitarian, and political development. This offers an opportunity to build

on that platform so local organizations can learn from each other about effective practices, including evaluation activities.

### **Somali National Development Plan (NDP)**

There is limited information that shows the state of evaluation capacity before the collapse of the Somali government in 1991. Most of the institutions were public, and information about the government was very controlled. Evaluation activity was not a high priority since key figures were above accountability. Participant 6 mentioned, “The reality is that these interventions mainly started after the collapse of the former government [in] 1991.”

Another participant expressed similar sentiment stating,

Certainly, there have been some important pieces of research undertaken in Somalia before 1991. In terms of program evaluation, I sincerely have not seen any specific case. I have just seen some general studies maybe of sociological, anthropological and political nature on Somalia. (Participant 3)

Even if there was some form of evaluation, the process was not transparent, and the outcomes were not shared with most stakeholders. As one participant put it,

I do not think there were such [things] as what you would call evaluations itself. Evaluations should be more, to my understanding, transparent, accountable. It should be information that is shared to all levels of the citizens, government, but also international donors and that was not the case. It was [the] central government that was doing its own work and had an internal [evaluation] here and there, but the citizens never had access to it, or even the international donors never had access to it. (Participant 9)

However, two and half decades after the collapse of the pre-war central government, in 2016 the Ministry of Planning and International Cooperation (MoPIC) of the new federal government developed a comprehensive Somali National Development Plan (<http://mopic.gov.so/wp-content/uploads/2016/12/SOMALIA->

[NATIONAL-DEVELOPMENT-PLAN-2017-2019FINAL14DEC.pdf](#)). The goal of the NDP is to produce a plan that facilitates the delivery of government services and direct investments supporting the plan. It is interesting to note the incorporation of a monitoring and evaluation (M&E) component into the national development plan, with roles and responsibilities for the parliament, prime minister's office, MoPIC, ministry of finance, line ministries, federal member states, the office of auditor general, private sector, and development partners (Appendix A).

Yes, we can proudly say today we have the strategic plans and policies in place, like we have a National Development Plan developed, finalized for the first time in 30-some years. That plan has monitoring and evaluation framework linked to it. So that we are saying, if we want that plan to be successful we have to be measuring it, evaluating, monitoring it. (Participant 9)

In Somalia, as in several countries in east Africa, evaluation is rarely expressed as a stand-alone activity. Instead, evaluation is usually linked with monitoring and is mostly expressed as “monitoring and evaluation.”

The objective of the M&E component is to develop a policy and operational framework, produce a harmonized data system, and institutionalize monitoring and evaluation activities in federal and regional administrations. While these objectives offer a promising opportunity for building evaluation capacity, a survey of federal government line-ministries found that skilled personnel with adequate analytical capacity were lacking in almost all of these institutions. Some of the MoPIC's specific M&E role and responsibility are:

- Coordination of M&E functions among the Federal Government of Somalia (FGS) and Federal Member States (FMS)

- Resource mobilization for M&E-related activities across the government
- Standardization of M&E in government institutions
- Facilitation of technical support for line ministries
- Dissemination of evaluation results

The inclusion of monitoring and evaluation in the NDP offers a promising opportunity for spreading evaluation in FGS and FMS. Key advantages for including federal member states in the NDP is that local NGOs implementing social programs in different regions need FMS participation in and buy-in from federal states for political cover and legal expediency.

In addition to FMS, the NDP also mentions the role and responsibilities of international and national NGOs. Some of the responsibilities of international partners are to align activities M&E activities and share data, according to the NDP plan. Such practice calls for a close collaboration between and among public, non-profit, and private sectors. This can lead to leveraging resources for evaluations.

It is also encouraging to note that one of the responsibilities of the MoPIC is to facilitate the use of M&E in government entities. Evaluation utilization is the first domain of the five categories of standards for program evaluation (Stufflebeam, 2004). As discussed in the literature review, conducting ongoing evaluations is important for sustainable ECB.

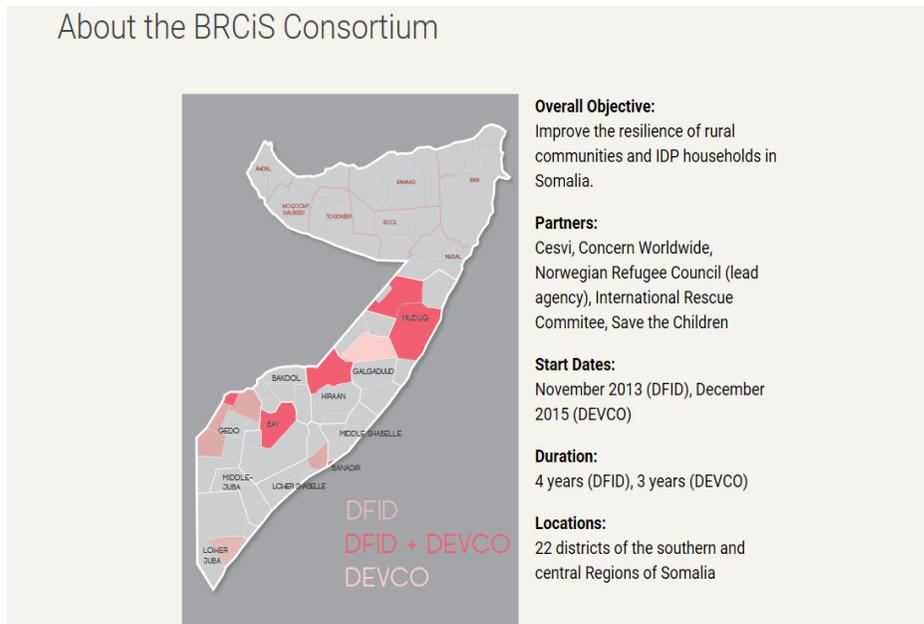
Some of the limitations of the NDP regarding evaluations in FGS- and FMS- institutions are the lack of clear policy and practical guidelines for evaluations. For example, the MoPIC was assigned to provide capacity development, technical support, and resource mobilization. The plan also assigned line ministers to “plan and budget

for monitoring and statistics annually.” However, the plan fails to identify the responsible entity for *conducting* evaluations. The initiative of incorporating evaluations in government operations could derail if such responsibility is not assigned to a specific authority. Another limitation of the Somali National development plan is that it is in its infancy. The Ministry of Planning and International Cooperation has included the process of collecting feedback from different stakeholders, including the Somali diaspora and international community. However, the Somali parliament has not ratified the plan to make it mandatory for all government institutions.

### **Building Resilient Communities in Somalia (BRCiS) Consortium**

Building Resilient Communities in Somalia (Figure 7) is a consortium of NGOs that consists of Cooperazione e Sviluppo (CESVI), Concern Worldwide (CWW), the Norwegian Refugee Council (NRC), the International Rescue Committee (IRC), and Save the Children International (SCI). These members formed the consortium to address the Somali communities’ vulnerability to repetitive disasters, and its main objective is to improve the resilience of non-urban communities and internally displaced population (IDP) households. The organization provides short-term humanitarian projects to 56 communities and works to build their resilience to shocks and stress that impact humanitarian needs (<https://www.nrc.no/what-we-do/brcis-consortium---building-resilient-communities-in-somalia/>).

**Figure 7.** Building Resilient Communities in Somalia (<https://www.nrc.no/what-we-do/brcis-consortium---building-resilient-communities-in-somalia/>)



Building Resilient Communities in Somalia seeks to pool resources and reduce redundancy to maximize impact. For example, the consortium has offices in 22 locations in Somalia, which offers an opportunity that if an evaluation is conducted by one organization, other organizations in the area can contribute resources to the evaluation activity. Ideally, all organizations would benefit from the evaluation findings.

As the evaluators who participated in the interviews had some connection to the 2 consortia coordinating development work in Somalia, the discussion was focused on their perspective on the nature of evaluations in Somalia. The evaluators shared their experience and understanding based on the evaluations conducted in the country.

## **Themes that Emerged from Participants' Interviews**

As noted in Chapter 3, eight main themes emerged from the participants' interviews:

1. Lack of educational background and professional development in evaluation
2. A top-down approach to evaluation
3. Limited scope evaluations
4. Minimal frequency of evaluation activities
5. Ambiguous stakeholder roles in the evaluation
6. Limited knowledge sharing/knowledge transfer
7. Different standards for internal/external evaluators
8. Inconsistent use of the evaluation process and its products

Each of these themes will be explicated in detail in the following pages.

### **1. Lack of educational background and professional development in evaluation**

With the exception of one participant who had a degree in evaluation and another with one evaluation college course, most participants had no formal academic background in evaluation. Instead, evaluation skill was acquired through research background knowledge or through gaining experience by conducting evaluations over a period of time.

My background is [in] community development. That is what my undergraduate was all about, and then I took a master in project planning and management. But in my master's degree, I had a bias in monitoring and evaluation. I have been doing lots of monitoring and evaluation for different organizations, including organizations in Somalia. (Participant 5)

It was interesting to note that most evaluators entered the evaluation field as monitoring and evaluation (M&E) employees of a non-profit organization, but left their job after gaining experience to start their own evaluation and research consulting firms.

I have an MSc from University of London, University College London... [M]y background in evaluation is that I first of all work[ed] as a monitoring and evaluation supervisor with Global Fund Somalia and [Comitato Collaborazione Medica] CCM Italia organization with [The United Nations Children's Fund] UNICEF. And that is the time I did evaluation from almost international organizations, ten of them, two UN bodies, that is [United Nations Development Program] UNDP and [World Health Organization] WHO and over thirty civil society organizations in Somalia. That was the year 2006 to the year 2007. After that, I did a number of other evaluations as an individual consultant and as an associate consultant with some other firms who are doing evaluations in Somalia. (Participant 1)

Since evaluations are gaining prevalence due to international donors' mandate on programs, a number of program staff who worked in research had switched to conducting evaluations. With the exception of impact evaluation, modern evaluation theories or tools (e.g., developmental evaluation or evaluation capacity building) did not come up during the discussion when local evaluators described evaluation activities. Although there are limited educational institutions that provide evaluation courses, participants felt their background in research was sufficient to do evaluations.

In addition, the need for donors to conduct evaluations on the many programs they fund in remote areas in Somalia transcended the need of finding and employing individuals with evaluation credentials to do evaluations. There simply were not enough people with modern evaluation skills available to do these studies. Conversely, expatriate evaluators skilled in modern evaluation were awarded expensive contracts

when donors wanted to have evaluation on multi-million dollar projects that might take six months or more. According to participants, most of the local evaluators conducted less expensive evaluations that lasted less than three months. Since local evaluators could get more of these less expensive evaluation contracts with their research backgrounds, the incentive to acquire professional development in evaluation was minimal.

A number of participants had a degree in research and with that academic background, ended up doing evaluations for small and large international non-profit organizations. These participants interchanged research and evaluation experience to describe their evaluation skills.

Apart from having undertaken research before starting working, I have undertaken monitoring and evaluation tasks for the UN, in particular the World Food Program in Liberia. I undertook three different nationwide evaluations on large programs undertaken by the World Food Program. Later on, I also worked as a consultant undertaking evaluation for the University of Liberia, also for the Italian Institute of Health, also in Liberia. I have undertaken some research also for NGOs in Afghanistan, in Niger, in Mali, and now in Somalia. (Participant 3)

Similarly, another participant stated that he had a degree in statistics and had conducted internal evaluations before becoming an independent consultant. The participant had experience in third party monitoring as well as conducting evaluations for non-governmental organizations. One participant, Participant 4, viewed her role as an evaluator since she was tasked with planning, budgeting, procuring resources, and recruiting external evaluators to conduct evaluations. The participant did not mention professional experience or academic background in conducting evaluations. Instead,

she described herself as an evaluator by managing the organization's external evaluations.

One of the key findings of the research is that none of the participant evaluators mentioned that continued evaluation knowledge and skill development are available to them. Participant evaluators explained partners' organizational commitment in evaluation budget allocation, setting evaluation policy, assistance in mobilizing communities, and providing security or evacuation when conducting evaluation in danger zones. Local evaluators were utilized for their language skill, knowledge of the demographic of beneficiaries, and, to some extent, the number of evaluations conducted in Somalia. There was less competition for local-level contracts as the pools of evaluation consulting firms were limited. Partner organizations were satisfied to employ or reward contracts without focusing on expensive consulting firms or individuals equipped with modern evaluation skills and theories. This diminished the need for educational institutions to offer courses, certificates, or degrees in evaluation.

For the internal evaluation, I would say the rigor is not as much as it [would] be for an external evaluation. This goes into the issue of objectivity; inasmuch as possible we try to be objective for internal evaluations, but I'd say the rigor that goes into this objectivity is not that much compared to an external evaluation. (Participant 5)

As noted, the Somali NGO consortium offered to help member non-profit organizations with resources, including professional development. Although most of the evaluators worked for or consulted with non-governmental organizations that were members of the consortium, the evaluators did not bring up professional development opportunities during the interviews.

## **2. A top-down approach to evaluation**

International donor organizations mandated evaluations to foster transparency and to measure effectiveness. Donors allocated a percentage of project budgets for evaluation.

The evaluation is funded also by donors, largely, and it is put in the budget, or it can be money set aside by the donors to carry out evaluations. Organizations like European Union (EU) which is a big funder, bilateral funders, Department for International Development (DfID) and others have got evaluation processes and even third-party monitors in place currently.

A third party monitoring means independent monitors engaged by the donor directly to carry out activities of certain organizations which are funded. This is to see the effectiveness of the resource usage, and this is an independent evaluator, which will go in maybe even without consulting the implementing agency to just know exactly what is happening. (Participant 1)

Organizations were required to perform evaluation according to a specified timetable and sometimes in a pre-determined scope. Since organizations have had to follow their mandate, donors initiated evaluations almost all the time.

First of all when a project is approved, we have a certain schedule of evaluation that is already approved by the donor. So the donor is giving us money to undertake the project, and [they] ask for a list, normally an initial and final evaluation so that we can see if there has been any change that can be attributed to the project. (Participant 3)

The international organizations funded several humanitarian and development projects that spanned across Somalia. These entities tried to ensure that projects had positive impact on the lives of different communities in Somalia. Mostly, they mandated evaluation at the project's mid-term and a final evaluation after the project was completed. They aimed to justify the cost involved in the project. They also

wanted to decide whether to fund similar projects. Partner organizations focused on evaluations that international organizations mandated.

Since Somalia is still a [country in] crisis, we always get an extension of the program or a cost-modification of the program. We use the outcome of the evaluation exercise to build up the proposal or the intervention of the continuation of what we have been doing.  
(Participant 10)

Partner organizations rarely initiated evaluations due to the extra cost involved. Such practice not only inhibited building evaluation capacity through on-going evaluation activities, but also created dependency on donors to dictate when and how partner organizations carried out evaluations. Overall, partner organizations were reportedly not interested in jeopardizing donor funding that helped them implement humanitarian and development projects that could assist communities.

Things that the implementing agency does not see as important, the evaluators will see as important so agreeing on what is important to evaluate and also agreeing on the analysis, itself becomes a problem because someone will tell you “Look at it this way,” then it will be different. (Participant 8)

Another participant, Participant 4, corroborated the top-down approach by supporting Participant 3’s assertion. This participant mentioned that program managers initiated evaluations at the project level and program directors at the program level, but that the conduct of evaluations was determined by the donor.

The way it happens [is] first of all when a project is approved, we have a certain schedule of evaluation that is already approved by the donor. So, the donor is giving us money to undertake the project, and [they] ask for a list, normally an initial and final evaluation so that we can see if there has been any change that can be attributed to the project.  
(Participant 3)

Project directors had offices and worked in Somalia while almost all of the organization's program directors that distributed funding were in Kenya. Furthermore, the headquarters of the international organizations that oversaw the establishment and funding of the programs were mostly outside of the African continent. These three different levels of structural hierarchies that spanned different countries and continents were responsible for evaluation activities in Somalia. In most cases, the authorization came from the top entity before program and project directors carried out evaluation activities.

The donor is giving us money to undertake the project, and [they] ask for a list, normally an initial and final evaluation so that we can see if there has been any change that can be attributed to the project.  
(Participant 1)

Another evaluator noted that while donors initiated evaluations, the consortium was changing the stand-alone organization of commissioning evaluations. This participant explained that the consortium was now embarking on commissioning joint evaluations for organizations. While the consortium was not a donor organization, the decision to initiate evaluation was not bottom-up and did not start at the local organizational level.

For most of the time it has been donor-initiated... So you find in the donor requirements they have these requirements on evaluation, they are required to have evaluation conducted. So primarily, it is been donor-initiated. But again, with the growing interest in learning, I would say I have seen some organizations also initiating the evaluation of late. Also, consortia, I think it is also changing in that before it used to be stand-alone organization initiating or commissioning evaluations, but am seeing a shift whereby organizations are now jointly commissioning evaluations to avoid duplication of activities or evaluation activities... I would say it is a shift in the right direction, but initially it was all donor-initiated. (Participant 5)

Participant 8's observation was that since most evaluations were impact evaluations done on implementing agencies, donors initiated evaluations in Somalia. This is consistent with the general view that evaluations assess the merit of a program. The participant further explained that external evaluation was usually the approach donors took because they funded the programs. Sometimes, partner organizations and beneficiary communities in Somalia were not involved in evaluations that international organizations conducted on programs or projects as most of the work was planned and executed at headquarters outside the African continent.

Food and Agricultural Organization (FAO) is very committed to evaluation. The head of the evaluation division in Rome is actually regarded at [the] director's level. He is at director level, and he reports directly to the executive director of FAO... Fully external evaluations, which are managed by [the] Rome office, these are reported to the Board of FAO. (Participant 2)

The participants' view was that these evaluations were extremely lengthy, expensive, robust, and highly objective. This implies, of course, that other evaluations were sub-standard and did not match the quality that expatriate evaluators produced. This may be true, but it could also have a negative impact on local evaluators' quest to acquire the necessary skills to be competitive, especially when there was minimal opportunity for skill development. Participant 8 stated, "In my experience, most organizations have an M&E person, they have a monitoring and evaluation person, but the 'M' is more pronounced than the 'E.'"

### **3. Limited scope evaluations**

According to Participant 10, the intention to do evaluation to make organizations efficient is present. Most of evaluators mentioned that the scope of the

evaluations revolved around learning the impact of a program or showing accountability in how resources were used. Impact evaluation focused on the impact of a program/project and whether a decision to continue funding was justified. This type of evaluation was usually conducted after a project was concluded. This limits evaluation activities that could improve evaluation capacity. For example, if the project cycle is two years, program staff and evaluators conduct monitoring activities, but will have to wait two years before they can do a full evaluation.

Participants' conversation revolved around outcomes and what was learned from the outcomes. According to one evaluator, the object of the evaluation was to get results.

I think if I am talking about the specific situation here in Somalia is that focusing on results is really important because we have other procedures and processes to ensure that things are delivered on time, at same quality. So normal, traditional monitoring and evaluation which will make sure processes are done and outputs are created. My focus, I think, is on results. As you can see here, I think focusing on impact and outcomes is the most important thing in evaluations in Somalia.  
(Participant 2)

Another evaluator stated that results were necessary so that practical changes could be observed. Reflecting on what had been learned and how that translated into an evaluator's knowledge and skills were overlooked.

Evaluations are seen as an essential component of our work. Essential because from the very start we need a baseline, let us say a first picture of the situation. And then on an annual basis in our case we take other pictures, so to say, of the situation, other annual assessments. We strongly believe this can help us identify changes in the communities that we work with so it is a key moment in our programs. (Participant 3)

The participants' perspectives were more focused on outcomes and overlooked how the outcomes were achieved. More importantly, they ignored the organizational role and infrastructure that was needed to have an on-going evaluation process and sustainable outcomes.

Another observation related to the perception of a subject matter expert's role in evaluation. One evaluator whose background was in agriculture, mentioned that all evaluations he conducted were related to that field. It was interesting to note that the evaluator had a research background and often conducted evaluations in a different social science field. The evaluators felt that since they were the subject expert matter in a specific field, they did not often consider the involvement of program staff in the evaluation. Describing his background in evaluation, one evaluator stated,

I have a master's degree in statistics, and I have been working this section in humanitarian [aid] for five years conducting internal evaluations and even working as an independent consultant as well as [doing] third party monitoring for other non-governmental organizations. (Participant 7)

Conducting evaluations in a more pre-determined structure narrowed the opportunity to be innovative by infusing real-time data or by adapting to a changing context. Similarly, evaluators who were comfortable conducting evaluations in their area of expertise missed the opportunity to be flexible in an unstable environment. For example, some evaluators who have background in a specific discipline did not take into consideration the expertise of program staff such changes in policy.

Collaboration with program staff could not only provide the expertise needed, but also helped sustain evaluation knowledge in organizations.

#### 4. Minimal frequency of evaluation activities

Most evaluators mentioned that they conducted mid- and final-term evaluations or annual evaluations on programs instead of on-going evaluation activity. While budget, logistics, and security play a big part in limiting evaluations, most evaluators believed in waiting ample time to assess impact. For example, projects that have a timeline of two years conduct a mid-term evaluation after one year and a final evaluation after completion.

Evaluations [are] mainly influenced by the nature of the program and the length of the program. For example, if we have a five-year program, it is mandatory to do an end-line evaluation and a mid-term evaluation. . . I conduct evaluation very often. I would say at the minimum on an annual basis for the projects that we implement. There are different types of evaluations that we are looking into so depending on the nature of the project, depending on where the project is being implemented then we have different timeframe for evaluation but at the minimum it is [on] an annual basis. (Participant 5)

Sudden and unforeseen changes to security, political, and social factors can occur within a short period. Responding to the question regarding barriers to conducting evaluations, an evaluator stated:

I think the main thing we face in Somalia is insecurity. Insecurity [restrains] our access. Although we came up with very, very innovative ways to work around insecurity – like, for example, subcontract some of the evaluations to consulting firms and to NGOs or even to the government or using remote sensing or call center interviews – but at the end sometimes, you as the lead evaluator in the organization may want to check something. But for me to go, for example, to certain areas in Somalia, there must be really some very, very stringent security processes because as you know [Participant 2's organization] is a target in Somalia. The organization has to ensure the safety of staff. So I regard insecurity as the main hindrance that we face. (Participant 2)

Because most donors mandate evaluations, the frequency of evaluation was limited to annual or bi-annual events. There were organizations that used internal evaluators who conducted more frequent or on-going evaluations, but those who reported such undertakings were roughly 30% compared to wider organizational practice. Additionally, as most evaluators resided in neighboring countries and the programs were in Somalia, it took longer to plan the logistics and procure required resources.

I have done evaluations, and the evaluation process for me starts with the planning. Planning includes budgeting for the evaluation because it is costly to do evaluation in Somalia because of the remoteness of the region, [and] because of the security situation. Evaluation starts at the planning stage when we are developing proposal whereby you do budgeting for the evaluation and after that clearly coming up with terms of reference which clearly [spell] out what do you want to achieve in this evaluation with clear objectives. (Participant 4)

Evaluators in collaboration with organizations identified stakeholders and secured financial resources. Next evaluators designed the study and developed tools before leaving for the field. After data collection, they returned to their foreign residence to complete the evaluation process, including disseminating evaluation reports.

As the literature points out, evaluation is a field of practice. The potential to build evaluation skill is greater with on-going evaluation activities (Baizerman, Compton, & Hueftle Stockdill, 2002; Cousins, Goh, & Elliott, 2013; Stockdill, 2002). Individuals and organizations can benefit by sustaining evaluation practice. As the old saying goes, “Practice make perfect.” Unfortunately, this was not occurring for the evaluators who participated in the interviews.

## 5. Ambiguous stakeholder roles in the evaluation

The description most evaluators provided showed minimal stakeholder participation in the evaluation process. The evaluator might involve program staff at the initial stage of the process when putting together the inception report that shows the timeline and action plan of the evaluation. However, once the evaluator secured the go-ahead approval, field operations started where the evaluator worked directly with program beneficiaries to collect data. The evaluator reconnected with program staff and sometimes donors when finalizing the evaluation report. Some evaluators even stated that the report was submitted only to donors, especially if the donor who commissioned the evaluation was using an external evaluator, or when evaluation findings were unfavorable to organizations and program staff.

We need always to meet with the program officers from the organization, and we need also the program officer of the local partners [of] the main organization. So, you always need to meet with them to have more information. There is sometimes - you may skip interviewing them because of some challenges that there are. For example, if there are some suspicious things about the project implementation, if there were reports or secret information that [the] project has not been implemented or it is not done as it was planned, something like that. In that case, you do not want to meet with the program officer because you have to work independently, completely, 100%. (Participant 6)

Another evaluator described that program staff and managers do not participate in the evaluation. According to this participant, the role of program staff was important in providing beneficiaries' information for sampling and framing evaluation questions.

We usually get the list of participants from them [program staff]. Who are the beneficiaries? Their phone numbers, their contact information. Where are they based? In which village? But we usually do not involve

them in the evaluation process itself because this would pollute the evaluation... No, they do not participate in the data collection, but they participate in the design of the study and allocating budgets, in providing the sampling frame because I need to go and do a proper sample, so without knowing the sampling frame, it would be hard to actually do an accurate sample. (Participant 2)

Another evaluator specified that when doing impact evaluation for a donor, evaluators do not involve program staff of the organization where the evaluation was conducted. This participant viewed this type of evaluation as an “external audit.”

The participants’ narrative minimized, or overlooked, stakeholders’ participation in the evaluation process. The stakeholders’ role in evaluation is important since the aim of the evaluation is the use of the evaluation process and products. To ensure this goal, stakeholders need to be equipped with necessary knowledge to collaborate and have ownership in the evaluation. Having the evaluator as the sole authority with minimum interaction with stakeholders limited the expansion of evaluation knowledge and skills.

## **6. Limited knowledge sharing/knowledge transfer**

Several evaluators mentioned that information sharing was not well developed and was even sometimes ignored. While there was a substantial amount of information about Somalia, donors and development organizations did not use this available resource. This created redundancy that impacted the limited resources that could otherwise be put to better use. Additionally, there was a lack of community engagement in the evaluation process and lack of feedback of the evaluation results to the community. As a result, stakeholders experienced evaluation fatigue that could cause them to not participate in future evaluations.

There is a lot of fatigue among the Somali public because every time there is data collection and there is no feedback. Sometimes when I am doing data collection, there is this expectation that “why are you collecting this and we do not get any feedback?” There is that ethical question that needs to be addressed by organizations because there is this fatigue at [the] community level, and sometimes it raises expectations because there is no feedback. You need to be very clear about what you are doing and give feedback on the results of the evaluation. (Participant 4)

Most participants commented that the evaluation inception reports and final evaluation reports were shared with organizations, donors, and to some extent the beneficiary community. Participants talked more about the technical and the planning aspect of the evaluation they shared with these entities. However, one participant raised the concern that evaluations in Somalia were not based on communities’ needs, but on those of the organization and that sometimes the community and beneficiaries do not participate in the evaluations.

Generally, what I have learned and experienced in conducting evaluation [is] when you see the evaluations we are conducting, we are saying it is participatory and yet it is not participatory. It is based on the organization needs and not based on the community needs. (Participant 7)

Some evaluators stated they submitted evaluation reports to the Somali NGO Consortium. However, most evaluators did not mention the Somali NGO Consortium’s role in organizing and overseeing knowledge sharing or transfer between and among member organizations. One evaluator showed concern about “reinventing the wheel” when sufficient information to learn from was available.

I think there is so much written about Somalia, the development actors and the donors, I think, need to use that information and not really reinvent the wheel or – how would I say? – put a lot of money on already existing information. (Participant 4)

Participants generally agreed that stakeholder participation was important. However, they had different perceptions on the extent of stakeholders' involvement in the evaluation process. Some said this involvement was necessary during planning because program and beneficiaries' information was important. Other participants said the stakeholders' role, especially local authorities, was necessary for political and security needs. About 30% of the participants indicated it was up to the evaluator or donor to involve stakeholders if the evaluation process or product revealed unethical or less transparent issues.

### **7. Different standards for internal/external evaluators**

Most evaluators had different perceptions regarding internal and external evaluation. A common theme was that external evaluations were extremely robust, rigorous undertakings compared to internal evaluations. Donors often used third parties to perform external evaluations. Furthermore, donors had more control and were closely engaged in external evaluations thus making this type of evaluation more appealing to local evaluators than internal evaluations. External evaluators had access to more donors through referrals. The transaction for their services was undertaken using hard currency such as dollars or euros rather than local currency such as Somali or Kenyan shillings. Additionally, most external evaluators had insurance benefits. Because of these extra benefits, donors hired professional evaluators on a contract basis. This relegated internal evaluators to monitoring activities, which were perceived as monotonous, ongoing, and with minimal or no benefits.

Normally what they do is they emphasize on monitoring more than they do evaluation because monitoring is a very routine thing, fill in the

papers, ticking a list, saying this has been done, this has not been done.  
(Participant 8)

Another participant reinforced this perception by describing the external evaluator as more capable in technical evaluation skills. Because of this perception, experts from outside Somalia reviewed and approved the Terms of Reference (TOR) before recruiting external evaluators.

Big evaluations need to be done by an external expert to give an independent view. We have internal evaluation and external evaluations. Mostly, my experience is managing external evaluations, and this involves recruiting the external consultants and planning the logistics around it. After the evaluation's terms of reference are advertised, we get a technical person externally. (Participant 4)

One evaluator mentioned that an external evaluator working more independently had more flexibility than the internal evaluator had and worked more closely with funders than with the implementing agency. Participant 8 described that an external evaluator had “a lot of liberty, and mostly you're more likely to work with the donor than the partner.”

As donors were reportedly more interested in the effectiveness of the program to justify resources, rigorous external evaluations were primarily conducted at the end of the projects. Implementing organizations tended to carry more monitoring activities than evaluations. As a result, more internal evaluators tended to leave their jobs to become external evaluators. They set up consulting firms out of the country since most donor offices were not in Somalia. As a result, there appeared to be a limited number of internal evaluators in non-governmental organizations in the country.

## **8. Inconsistent use of the evaluation process and its products**

In Somalia, evaluations were used mainly to justify program initiation and outcomes.

Evaluations are a tool that we can use to help us [better] understand the context and how the context [changes] while we should always keep in our mind the doubt of better understanding what is going on and use these findings in the most appropriate way. . . We strongly believe this can help us identify changes in the communities that we work with so it is a key moment in our programs. (Participant 3)

Several evaluators mentioned that evaluations were used at the beginning of programs for planning and budgeting purposes. However, most evaluators reported that evaluations were used at the end of the program to learn if the program made the intended impact or to learn what needed to change in case a similar program was planned. The use of evaluation was not an on-going process. As Participant 3 put it, “We have become very good at undertaking evaluations and maybe still not so good at using evaluation. Maybe that is something that we can certainly improve on.”

Another evaluator indicated that although development organizations and individuals could learn from evaluations, the challenge lay in using the evaluation products. This evaluator pointed out that recommendations that could improve innovation and foster creativity were often neglected.

Evaluation can serve very good lessons learned. However, there is so much evaluation happening and recommendations are not really utilized, so for me there is a major shortcoming. (Participant 4)

Another evaluator, Participant 5, offered a different perspective when describing evaluation use. This evaluator stated that implementing agencies were

involved in the utilization of the results after the evaluation was completed. There was no indication that stakeholders were involved in the evaluation process all the time.

Evaluators offered different views regarding evaluation use. Organizations tended to conduct evaluations because donors mandated it, but they did not consider the use of evaluation reports beyond fulfilling the donors' requirement. There was no reported consistency in evaluation use at the level of implementing agencies in Somalia. Since it was primarily a donor requirement, funding agencies presumably used the evaluation information for decision-making. Partner organizations depended more on donors when it came to evaluation activities.

## **Conclusion**

The findings of this research focused on organizational infrastructure in developing and sustaining evaluation capacity. Additionally, evaluators' educational achievement and background experience in evaluation were explored. Although the Somali NGO consortium, Building Resilient Communities in Somalia, and Somali federal government institutions are relatively new and can play an important role in developing evaluation capacity in Somalia, coordination and professional development were reportedly lacking.

The internal and external evaluators and program managers revealed the status of the evaluation from their individual perspectives. Most of the evaluators interviewed started as internal evaluators and later set up their own evaluation consultant firms. These participants provided an important insight into organizational readiness as well as individual development in evaluation. For example, it is interesting that they described monitoring activities as an evaluation rather than as part

of the evaluation process. Arguing for the importance of understanding the history of the program in situational analysis, Kirkhart (2010) mentioned that the history of the program includes monitoring and evaluation approaches. Although monitoring activities can be part of the evaluation process, the two approaches cannot be described as the same.

A key finding was that although the stakeholders' involvement was important, the evaluator was reportedly the sole authority of the evaluation's direction and process in the Somali context. Some evaluators even mentioned that the evaluator should be vigilant against the continuous involvement of beneficiaries as that could pollute the evaluation process and make it biased.

Another key observation was the gender imbalance in the evaluation field. Of the more than dozen invitations sent to organizations and individuals, only two female evaluators responded to the request, one expatriate and one local. Perhaps the problem lies in cultural norms in Somalia coupled with the insecurity at the fields of operation. Conversely, women are the major factor in providing for the household. Their role is visible in the major markets and small retail stores all over Somalia. Gender balance in evaluation is important to capture Women's perspective.

In this chapter, the researcher presented evaluators' experience and perceptions regarding the nature of evaluations in Social non-governmental organizations in post-conflict Somalia. The next chapter will discuss the key findings and how that relates to the nature of evaluation in Somalia.

## Chapter 5

### INTERPRETATION and DISCUSSION

The focus of this study was on the nature of evaluation capacity and the opportunities for building evaluation capacity in non-profit organizations in post-conflict Somalia. Baizerman, Compton, and Stockdill (2002) pointed out that evaluation capacity building (ECB) starts with “an assessment of organizational wants, needs, and dream for evaluation” (p. 110). The research questions looked at the existing evaluation capacity in Somalia and the specific strategies, approaches, or methods that people believe need to be considered in improving evaluation capacity. The findings of the study provide insight into evaluation capacity and the potential to develop evaluation skills in non-profit organizations in post-conflict Somalia. This chapter will interpret and discuss the findings. The final chapter will discuss possible implications of evaluation practice for non-profit organizations in post-conflict Somalia and future research.

#### **What Evaluation Capacity Existed in Somalia Prior to 1991?**

The data show there was little information about the nature of evaluation in Somalia prior to the collapse of the central government in 1991. Coming into existence during the Soviet era and being allied to the Soviet bloc, the Somali government nationalized almost all major privately owned institutions in the country. For example, private banks, the energy sector, and a major part of the hospitality industry were in the hands of the revolutionary government that came to power in 1969. Loyalty to central authority was above accountability, thus dramatically minimizing the role of evaluation in programs.

As the country is presently transitioning from civil war to recovery, development projects funded by international organizations are increasing. With that background, local NGOs are learning the concept of evaluation and realizing that program evaluation has an important role in this transitional environment. While local NGOs face barriers such as a lack of professional development, insufficient funding, and fragile security, there may also be the opportunity to shift the old paradigm of mismanagement and corruption to accountability and efficiency, a new paradigm that encourages building organizational capacity and learning and that institutionalizes on-going and sustainable evaluations that can offer better outcomes.

### **What Evaluation Capacity Currently Exists?**

The study showed that most of the non-profit organizations in Somalia lack the organizational infrastructure and management practice needed to develop evaluation capacity. This is not a good position to be in since the country is emerging from a time of crises into one of recovery. More international NGOs are integrating humanitarian relief work during crises into development projects addressing, for example, health care, sanitation, education, and agriculture. Furthermore, the development projects are taking place at a grassroots level in different parts of the country. Typically, the large international organizations such as CARE, World Vision, and Save the Children contract smaller NGOs in Somalia to implement the projects. While these small scale NGOs are close to program beneficiaries and are also in a better position to provide culturally competent services, they are not completely autonomous, but take direction from branch or corporate offices outside Somalia. The latter offices mandate, fund,

and oversee evaluations while implementing organizations mostly assist in providing program documents and beneficiaries' information, coordinating evaluation site activities, and handling logistical and safety issues. It is interesting to note that a participant evaluator of a large international organization justified the exclusion of program staff from evaluation activities after the initial contact because, reportedly, that "would pollute the evaluation."

Local non-profit organizations rarely participate in evaluation analysis and report preparation since expatriate evaluators perform this task outside Somalia after collecting data from project sites in the country. As discussed in Chapter 2, restricting the participation of program staff in evaluations not only makes their voice unheard, but will likely also make evaluation use and sustainability a challenge since staff will have no ownership of the evaluation conducted on their program or project. Branch or corporate offices outside Somalia contract external expatriate evaluators to go in and leave after minimal stays and limited interaction with local agencies at the early stage of evaluation activities. Due to the expectation of higher quality professional evaluation reports, international NGOs tend to hire more qualified evaluators from consultant firms in Kenya. Without being fully responsible for conducting the evaluation and with minimal participation in the process, most local organizations were, at best, left with monitoring activities that do not reflect the other components of the evaluation process such as data analysis, interpreting and reporting of the findings.

Therefore, the question arises that if donors mandate evaluations and contract external evaluators from neighboring countries to conduct the evaluations, what is the incentive for organizations in the country to invest in building evaluation capacity. Would not such practice make organizations dependent on outside sources since minimal evaluation expertise exists internally? These questions were central themes in this study and demonstrated the evaluation challenges present in Somalia today. For example, by hiring external, short-term consultants to conduct evaluations, organization staff miss the opportunity to foster a learning culture and transfer knowledge by making evaluation activities routine. The practice of the evaluation process and use of both the process and results helps achieve better decisions as it makes organizations analyze differently and in all likelihood makes them effective. It is also an important factor in building organizational capacity for sustainable evaluation use practice.

Organizations that lack structure, leadership, and consumption capacity can experience difficulty in building and sustaining evaluation skills. As Labin and Duffy (2012) posited, there is a strong relationship between building evaluation capacity and organizational capacity. Organizational and leadership support, infrastructure, funding, and resources need to be considered so that programs use evaluation as a tool for continuous improvement or development. Somali NGOs need to appreciate the complexities of effectively negotiating with funding partners to assist them in obtaining the requisite skill that can lead to effectiveness and development.

Two theoretical concepts inform the findings of this study, which are uniquely situated in a post-conflict environment: evaluation capacity building, and

developmental evaluation. The first concept describes how organizational readiness and support and individual learning can lead to the use of evaluation process and findings. The second concept points to how evaluations can be sustained in a constantly changing environment. The lack of evaluation capacity of local non-governmental organizations (NGOs) creates scenarios where larger organizations (many of which are based in Nairobi) hire out evaluation tasks, rather than depend on local staff to support or lead efforts. Such activities prevent local NGO personnel from gaining experience (or even structured guidance) from evaluation experts, so the cycle continues. This cycle prevents organizational learning at all levels of projects.

Additionally, local organizations in Somalia often face security and political challenges that necessitate flexibility in order to continue operations in the changing context. Lessons learned from these changes could be incorporated in policies and processes for organizational development.

### **What are the Barriers to Evaluation Capacity?**

Non-governmental organizations in Somalia that implement projects are subject to funding agencies that increasingly focus on result-based outcomes--an end product that relies on systematic review and analytical skills. Despite organizations' lack of infrastructure for evaluation, there is strong support for evaluation at the leadership level. As noted in Chapter 4, the intention to do evaluation to make organizations efficient is present. However, local non-profit leaders currently lack the resources to make their intention a reality. In general, it is easier for local project-implementing agencies to have access to beneficiaries in affected areas, but decisions

regarding evaluation budget, schedule, and projects to be evaluated are mostly reached with minimal participation of local organization leaders.

In addition, since small NGOs in Somalia are dependent on larger NGOs for funding, final evaluation reports are sometimes not shared with local agencies, but rather are submitted directly to donor agencies. This inhibits ongoing evaluation activities and evaluative thinking that are important for organizational learning.

Equally important to developing evaluation capacity is acquiring requisite skills to perform different evaluation activities. Evaluation is a relatively new concept in Somalia and gained prominence after the collapse of the central government in 1991. Non-profit organizations receiving international funding learned that evaluations were mandatory and needed to be carried out because funders demanded them. Since building evaluation capacity depends on training and creating opportunities for professional development (Cousins et al., 2014), the dilemma was how to meet this obligation when there were no educational institutions that offered evaluation studies while, at the same time, organizations lacked institutionalized evaluation practices.

Although Somali non-profit organizations turn to individuals with research skills to conduct evaluations, local evaluators with modern evaluation skills are still scarce. While there is no general consensus on specific requisite evaluation knowledge, evaluators need to carry out important activities such as evaluation planning, data collection, analysis, and interpretation. In addition, as noted in Chapter 2, Preskill and Boyle (2008) introduced the following strategies, including

communities of practice, training, involvement in an evaluation process, coaching, and mentoring to develop evaluation capacity

Although these activities and strategies are important in defining an effective way of building evaluation skill, they are not readily available in the country. Similarly, there is a minimal mechanism in organizations for training a few staff members who can in turn transfer evaluation capacity to other members.

The skill shortage becomes more pronounced with the increase of non-government organizations implementing projects in the country without governmental oversight of policy and practice. For example, there are many places in Somalia that are not under local, regional, or federal government's authority due to the presence of Al-Shabab. Local NGOs provide the needed humanitarian assistance in these areas with minimal oversight from recognized entities or funding partners. The problem of the skill shortage was made worse by local evaluators who, after gaining some evaluation experience, leave the country to set up their own consulting firms closer to the funding sources. The evaluation knowledge drain in organizations becomes more challenging in an environment that lacks the capacity to produce evaluation skills. The dual dilemma of the shortage of capacity in organizations and the migration of those with capacity is an ongoing challenge for Somali NGOs.

### **Evaluation Skill Flight and Gender Imbalance**

As the country is transitioning to a post-conflict environment, donors provide Somali NGOs short-term funding to implement development projects that last up to two years. In addition, donors know the challenges of obtaining long-term funding. The underlying assumption is that the state will soon become more viable to attend to

its citizens' needs. However, Somalia is still viewed as a post-conflict country that is unpredictable and for which stability is a challenge. Perhaps this drives the mid-term and final evaluation cycles donors require of external consultants in neighboring countries where donor branches or corporate offices reside.

Relief Web (<http://reliefweb.int/jobs>) job reports constantly post more than a couple of dozen evaluation jobs in the east Africa region for each email blast. These jobs range from short-term humanitarian evaluations of one to six months to development project evaluations for a year or longer. Many large international NGOs are based in Nairobi, Kenya. For example, a recent search (June 6, 2017) of the Relief Web website yielded 16 evaluation job postings related to Somalia. Of these, 11 were based in Nairobi. These large NGOs have the funding and expertise to respond to different humanitarian crises in the region. An evaluation budget is part of humanitarian and development programs. As local evaluators gain experience, they tend to migrate out of the country to be close to corporate offices in Nairobi to compete for evaluation jobs. Somalis with evaluation experience were most likely in Nairobi. More than half of the Somali research participants of Somali origin work for or had consulting firms in Nairobi.

Additionally, a large number of Somalis who immigrated to Kenya after the collapse of the central government reside in the Nairobi metropolitan area. Both Somali Kenyans and Somali immigrants share the same language, culture, and religion. Although not part of this study, fragile security in the country might well be a contributing factor to the evaluators' migration.

Due to the security stability in Kenya compared to Somalia, most of evaluation contracts were available in Kenya. This created a power difference between evaluators in Kenya and Somalia, as the technical aspects of evaluations and funding were readily available in Kenya. This, in turn, had exacerbated the lack of evaluation knowledge in Somalia, as internal evaluators in Somalia did not get the same opportunity of those in Kenya. Perhaps having international development organizations add support roles in evaluation contracts where external evaluators develop internal evaluators in Somalia could contribute to the development of evaluation skills in Somalia.

The absence of local female evaluators is also evident in Somalia. Of the ten evaluators who agreed to participate in this study, only two were female. It is rather unrealistic to have predominantly male evaluators in the evaluation field when, according to the World Bank statistics, women make up almost half the population in the country (<http://data.worldbank.org/indicator/SP.POP.TOTL.FE.ZS>). Perhaps this brings to light the general lack of basic and higher education opportunities for women that result in them not being in positions that would allow them to be trained as evaluators. The data show that some evaluators tend to address the cultural and religious aspects of the community during evaluations. However, in a Muslim country where opposite gender interactions are limited according to Sharia law (derived mainly from the Quran), capturing women's voices can be challenging. For example, a man and a woman are not supposed to touch, hug, or be in a room alone unless they are related by blood or marriage. Local NGO organizations implement humanitarian and development projects targeted to deliver social services for community

betterment. Input from affected communities is important in finding creative and innovative ways of delivering the services. Having qualified local women in the evaluation field could improve the participation of women stakeholders in the process, which in turn could lead Somali organizations to better decisions.

### **The Cycle of Non-Learning**

Local NGOs and subcontractors in Somalia lack the necessary experience to conduct professional evaluation. This necessitated international NGOs to hire external evaluators who did not engage or train local evaluators but left the country after collecting data and completed the rest of the evaluation process outside Somalia.

**Figure 6.**

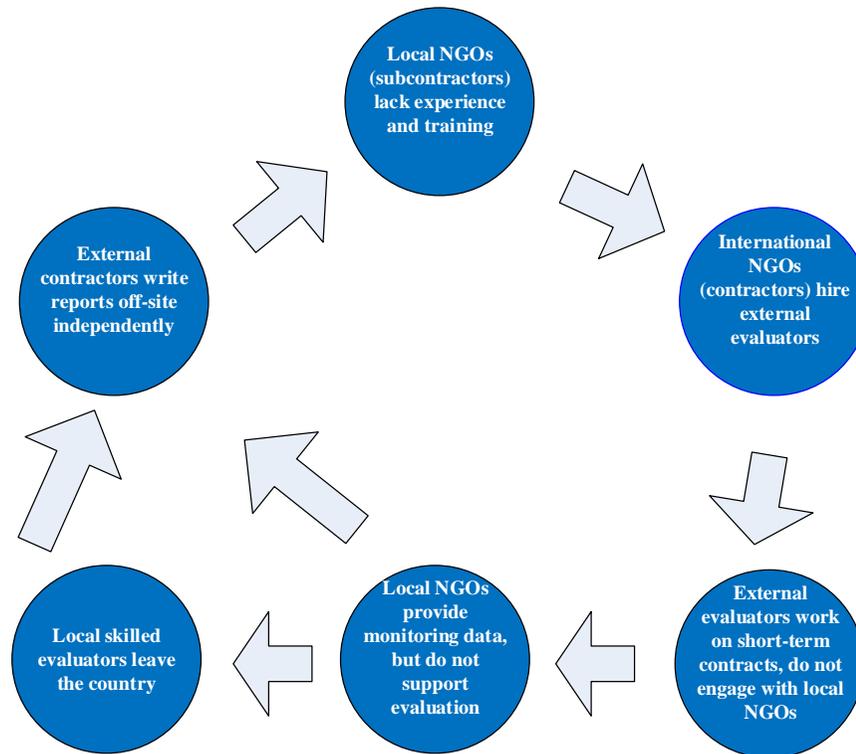


Figure 6 summarizes the cycle of non-learning and the dynamics in the evaluation field. The cycle describes how local and international NGOs

interact as well as the role of external evaluators. Local skilled evaluators leave the country, as they do not see an opportunity for advancement and learning.

### **What Are the Opportunities and Strategies for Developing Evaluation Capacity?**

As Cousins et al. (2014) pointed out, evaluations can be used as a cost effectiveness tool to enhance program performance. So with an increasing number of NGOs in Somalia and the rising demand for mostly impact evaluations, whose role is it to demand the institutionalization of evaluation in organizations? What conditions need to be addressed before small non-profit organizations start executing evaluation capacity building activities? How do poorly funded Somali organizations build the necessary organizational learning, leadership support, and cultures that can build evaluation skill?

Because donors mandate mid-term or end-of-project evaluations in Somali non-profit organizations, ongoing evaluative thinking that can stimulate learning is by and large missing. Conversely, the developmental evaluation literature showed that learning and innovations could also be achieved by collecting and incorporating real-time data in organizations. Somali NGOs generally expected to experience some evaluation activities every six months. Some organizations expected a yearly cycle of evaluations. Continuous improvement practice was either not a high priority or was neglected.

Gamble's (2008) diagram (see Figure 3 in Chapter 2) illustrated the linear sequence of the traditional evaluation approach normally used in Somalia, in which

one activity is planned to take its full course before initiating another. By contrast, in developmental evaluation, activities do not go in a sequence, but overlap each other in a non-structured manner. With some professional development assistance from funding partners, Somali NGOs could benefit by institutionalizing this real-time data input approach until mid-term or end-of-project evaluations are due, since it offers the opportunity of continuous organizational learning and building evaluation capacity. Such practice could also contribute to the organization's performance in the constantly changing security and political environment.

Engaging program staff, donor, and community members in evaluations is an important factor that cannot be overlooked. In *Interactive Evaluation Practice*, King and Stevahn (2013) stress the need for stakeholder engagement in evaluations. Most evaluators in Somalia fall under the first category in the Interpersonal Participation Quotient (IPQ) framework: the evaluator-driven. Once awarded the contract, evaluators go to Somalia to collect program and beneficiaries' information from project staff. Then they prepare an inception report for funders and sometimes program staff. After that initial report, evaluators complete most of the evaluation activities with minimal stakeholder involvement. In some cases, evaluators submit the final report to donors without sharing it with project/program staff in Somalia. The lack of engagement not only diminishes the probable evaluation quality and use (Patton, 2011), but can inhibit organizational learning, which is important for building evaluation capacity (Preskill & Torres, 1999).

Although it can take time and resources, training and empowering local NGOs to carry out most of the evaluation activities could be a good investment. This

practice would avoid the cost of contracting expatriates, the logistics of flying them in and out of the country, and the cultural challenges expatriates may experience.

Therefore, the shift from externally-driven, “expert”-centric evaluations to evaluation activities that engage local NGOs would require, according to King and Stevahn (2013), a shift in perception that the “evaluator” is an individual (i.e., in the upper left quadrant of Figure 4 in Chapter 2). Rather, this corner would need to be transformed using the words “evaluators” to include local NGO staff. By doing so, there is a likelihood that evaluations would shift to a more collaborative framework because Somali NGO staff have close connections, relationships, and access to program participants.

### **Understanding the Context**

As noted in the literature review, one limitation of the ECB model is that it showed different categories and steps without explaining the relationship between categories and what steps lead to what. The ECB literature also addressed context in a narrow sense that makes its application to post-conflict environment in Somalia a challenge. Perhaps the Somali context can be illuminated using Hansen et al.'s (2013) “general model for the logic of an evaluation theory” model. The model takes into consideration the implications of context in evaluations.

### **Context**

Context is one of the most important aspects of evaluation. Evaluators’ knowledge and awareness of the context in which evaluation activities occur impacts evaluation quality (Patton, 1994). Post-conflict Somalia is facing political, economic, and social challenges after more than two decades of civil war and natural disasters

such as draught and famine. Prior to the collapse of the central government, evaluation activities were minimal.

As the country is now transitioning to post-conflict recovery, the conceptualization of evaluation is emerging at least in non-governmental social organizations in Somalia due to the mandate of international organizations that fund the programs. Given the right priority and resources, the opportunity exists to develop organizational support and learning for conducting and using evaluations.

### **Activities**

Needs assessment, design, data collection, analysis, interpretation, and reporting are necessary components of evaluations. However, this research showed that most of these activities were conducted with minimal participation of the program staff. Once the data collection is completed, data analysis and final reports are mostly completed out of the Somalia.

Although political challenges between different local and federal authorities exist, stakeholder participation is important for the quality and sustainability of evaluations. Additionally, some of the beneficiaries felt they were the object of fundraising instead of being part of positive change, which could lead to their withdrawal from the evaluation process.

### **Consequences**

Evaluations aim to foster change. Local social programs in Somalia strive to provide humanitarian and developmental change for the betterment of society. Building the capacity of the organizations and individuals can be conducive to such change.

As Chapter 2 of this study showed, organizations that value and use evaluations are more effective in their decision-making process. Building local capacity to conduct evaluations is important for a country that is transitioning from recovery to development. Without effective social programs, millions could be in danger of preventable diseases or starvation. This could also negatively impact the country's transition to post-conflict as development projects stall. Donors could also get discouraged and cut funding to local NGOs that are already facing reduced funding.

### **Assumptions**

There are several critical assumptions in thinking about developing evaluation capacity in post-conflict Somalia. Motivational aspects that undergird evaluation are important. Local program managers are embracing the conceptualization of evaluations since, as noted, the intention to do evaluations is present. There exists the understanding that programs are more likely to succeed in meeting goals when organizations have the capacity to conduct evaluation activities.

According to the national development plan, international partners are expected to collaborate with federal and local authorities to ensure the effectiveness of development programs in the country. This could encourage local skilled evaluators not to leave the country, which in turn could increase local evaluation capacity.

International development organizations are likely to invest in building evaluation capacity by using local evaluators, as this would save them funds they could use elsewhere. Hiring local evaluators is much cheaper than the overhead cost of contracting expatriates. Successful organizations that meet expectations are likely

to receive sustained funding and become more stable. Showing good performance is important when donor funding of non-profit organizations is declining. As a result, it is likely that more programs that are beneficial to the community could be funded.

### **External factors**

Insecurity, funding, and politics in Somalia are the main factors that could affect evaluation activities. While the civil war had diminished, groups such as Al-Shabaab continue to wage war on government and international organizations. Political differences between the federal government and federal states often cause an impasse on policy and governance discussions. Evaluators face challenges including intimidation as they tried to capture different opinions. Lastly, the limited funding for non-profit organizations has an impact on conducting ongoing evaluations.

While Hansen et al.'s (2013) model is helpful in theorizing how input through action leads to consequences, there are some gaps that show the limitations of this model. First, the model shows a process that, while circular, is linear and descriptive, not taking into consideration the outlying issues such as possible sudden changes, differing values, and experiences. Second, the underlying assumption of the model is that some sort of interaction and relationship is developing from the beginning of the process to the final stage, without explaining the “what” and “how.” Finally, the model suggests stability where things follow from one item to its consequence in a pre-determined path. The model starts with a “context” and not “contexts” leading to activities and consequences.

However, the findings of the study showed that local evaluators and organizations were dealing with several different contexts instead of a single one. For

example, there was corporate context that was mainly outside of the African continent, the branch office context that was in a neighboring country, and the local branch context in Somalia. These different contexts lacked common vision and shared understanding among different branches of the organization and between expatriate and local evaluators. For example, local program staff conducted monitoring activities, and provided program and beneficiary information, but had minimal participation in data collection, analysis, and reporting. Similarly, while branch office employees in neighboring countries oversaw evaluations, corporate office staff mostly mandated evaluations and planned for the evaluation budget. The lack of alignment of priorities and needs between organizations affected local evaluators' participation in evaluation activities, thus restricting the development of evaluation skills. It is important that both state and non-state entities have close collaboration to address the evaluation deficiency in the country. The Somali federal government can lead this effort to enhance the national development plan.

### **State and Non-State Entities' Influence on Local Evaluations**

Table 2 details key entities that can influence the development of evaluation skills in the country. These different entities are public, private, non-governmental organizations, and others that have interest in evaluations. Close collaboration between and among these entities is important to the development of evaluation capacity in local NGOs. However, the federal government should assume the leadership of putting this type of collaboration in operation since it has the legitimacy to negotiate and get into agreement with foreign entities.

**Table 2.** State and Non-State Entities' Influence on Local Evaluations

Organization	Influence on Evaluation Capacity Building
International development organizations	<ul style="list-style-type: none"><li>• Did not build evaluation capacity</li><li>• Did not invest in local professional development as they hired expatriates to do the technical work.</li></ul>
Somali NGOs and BRCiS consortia	<ul style="list-style-type: none"><li>• Had substantial local NGO membership and infrastructure in the country</li><li>• Did not use existed evaluation resources effectively</li></ul>
Local NGOs	<ul style="list-style-type: none"><li>• Organizational infrastructure could not support ongoing evaluation activities and individual learning.</li><li>• The role of women in evaluation field was minimal.</li></ul>
Public authorities	<ul style="list-style-type: none"><li>• The federal government produced national development plan that included evaluation mandate for public and international partners</li><li>• The government lacked implementation capacity to carry out evaluation mandate</li></ul>
Educational institutions in the country	<ul style="list-style-type: none"><li>• Although many private schools and universities opened in the last twenty years, evaluation courses and accreditation were not available</li></ul>
Local stakeholders	<ul style="list-style-type: none"><li>• Participation in evaluation activities was minimal</li><li>• Beneficiaries were discouraged as they felt they were over-surveyed and did not see the results of the evaluation</li></ul>

In this chapter, the existing opportunities and barriers to evaluations as well as the current capacity of evaluations in local NGO were discussed. In addition, evaluation capacity prior to the 1991 civil war was explored. The status of organizational support and individual learning were the main topics illuminated in the chapter. While the establishment of an environment where members could share

knowledge is a difficult challenge due to security and other logistical factors, the opportunity exists to address barriers and develop evaluation knowledge. Keeping local evaluators and expanding their evaluation skills is important. This could be possible with the Somali government spearheading this effort in partnership with international development agencies. Undoing the unlearning diagram (Figure 6) could provide a road map for addressing evaluation capacity challenges of local NGO in post-conflict Somalia. The final chapter will summarize the findings of the research questions and will present recommendations for practice. Chapter 6 will also provide the implications of the research.

## Chapter 6

### CONCLUSION and IMPLICATIONS

As noted before, the purpose of this study was to describe the nature of institutional evaluation in non-governmental social programs in Somalia. The research questions were: 1) what is the existing evaluation capacity in Somalia? and 2) what specific strategies, approaches, or methods do stakeholders perceive are necessary to improve the evaluation capacity? Table 3 presents a summary of the answers to the research questions.

**Table 3.** Research Questions and Summary of Findings

Research Question	Summary of Findings
<p>1. What current evaluation capacity actually exists in Somalia?</p> <ul style="list-style-type: none"> <li>• What evaluation capacity existed prior to 1991?</li> <li>• To what extent have specific types of opportunities (organizational support, financial needs, social and political issues) influenced the development of evaluation capacity in non-governmental organizations in Somalia?</li> </ul>	<ul style="list-style-type: none"> <li>• Evaluation capacity did not exist prior to the 1991 civil war, as the former central government was more authoritarian and did not tolerate criticism.</li> <li>• Somali NGOs are mostly funded by international organizations that mandate evaluations to be part of programs.</li> <li>• Federal and regional authorities as well as local NGO leaders are beginning to understand the value of evaluation and building evaluation capacity.</li> <li>• Although to a lesser extent than exemplary, evaluations give voice to beneficiary communities.</li> <li>• As security in the country improves, the opportunity for organizational capacity and learning improves.</li> </ul>
<p>2. What specific strategies, approaches, or methods need to be considered in improving the evaluation capacity in non-governmental organizations in Somalia?</p>	<ul style="list-style-type: none"> <li>• Increase accountability to foster knowledge sharing between expatriate and local evaluators.</li> <li>• Create development opportunities and financial incentives to keep local evaluators from migrating.</li> <li>• Promote and encourage professional women to join the evaluation field.</li> <li>• Create incentives for educational institutions to offer credentials in modern evaluation.</li> </ul>

The results of this study may contribute to improving the quality of evaluations of NGOs and the opportunities for building evaluation capacity in post-conflict Somalia. In Chapter 4, participants of this research identified eight factors that may have contributed to the lack of evaluation capacity in social programs in Somalia. The eight factors illustrated that local NGOs are facing limitations not conducive to building evaluation capacity. For example, in the absence of professional development for evaluators and the lack of opportunity for knowledge transfer due to minimal participation in evaluation activities, local evaluators and organizations were not skilled in conducting or using evaluations. Training and close collaboration between local evaluators and expatriates were needed. Addressing these factors could create opportunities to improve evaluation skill and to use local NGOs.

Chapter 6 will use Volkov and King's (2007) checklist for building evaluation capacity in organizations (see Table 3) to identify possible actions to build NGO ECB in Somalia. The checklist can be a resource for program staff, donors, and organizations attempting to improve skill to do ongoing evaluations and make evaluation use routine. The study found that this need existed in local NGOs, thus making the checklist an important tool in achieving a sustainable ECB. Volkov and King's checklist, developed from case study data, consists of three overarching categories--Organizational Context, ECB Structures and Resources--with the following eight sub-categories:

- Cultivate a positive, ECB-friendly *internal organizational context*
- Understand and take advantage of the *external environment* and its influence on the organization

- Develop and implement a *purposeful long-term ECB plan for the organization*
- Build and reinforce *infrastructure to support specific components of the evaluation process and communication systems*
- Build and expand *peer learning structures*
- Provide and continuously expand *access to evaluation resources*
- Secure *sources of support for program evaluation in the organization*

The following sections will describe the relevant activities for addressing each of these sub-categories.

**Table 4.** A Checklist for Building Organizational Evaluation Capacity in Post-Conflict Somalia

Organizational Context: Increased role and participation at the local level in administrative responsibilities with shared understanding of wants and need among corporate, branch, and local partner organizations in Somalia.
<p>1. Cultivate a positive, ECB-friendly internal organizational context.</p> <ul style="list-style-type: none"> <li>• Local NGOs should enlist federal and local authorities as well as beneficiaries as evaluation champions.</li> <li>• Local NGOs need to show determination for continuous improvement and negotiate with funders to have access to evaluation information planning, budgeting, participation, and use of evaluation products.</li> <li>• It is important that organizations recognize and seize opportunities for change, taking into consideration donors’ increasing demand for evaluations.</li> <li>• Regular staff meetings are important as venues for input and feedback so that program staff can contribute and have ownership in the decision-making process.</li> </ul>
<p>2. Understand and take advantage of the external environment and its influence on the organization.</p> <ul style="list-style-type: none"> <li>• Building on the federal government’s National Development Plan could promote accountability, and the Somali NGO consortium could set expectations for developing and institutionalizing evaluation capacity.</li> </ul>

- Different governmental authorities and international NGOs could invest in local educational institutions to promote and offer professional development and accreditation.

ECB Structures: Purposefully create structures--mechanisms within the organization--that enable the development of evaluation capacity.

3. Develop and implement a purposeful ECB plan.

- The Somali NGO consortium can establish an oversight committee from member NGOs to facilitate training and advancing ongoing evaluation activities in member organizations.
- Federal government and NGO consortia could develop awareness and establish consistent policies and procedure for evaluation.
- International donors' assistance is needed to facilitate profession development in evaluation and set guidelines and metrics for NGOs' use of evaluations.
- Donors could institutionalize an evaluation process with intention into local NGOs' policies and standard operating procedures.
- With donor support, the Somali NGO consortium could play a role for local NGOs to have a written evaluation plan and the means to train professionals to conduct evaluations.
- The NGO consortium evaluation committee should monitor the progress of evaluation activities and capacity in member organizations and have the means to correct deficiencies.

4. Build and reinforce infrastructure to support specific components of the evaluation process and communication system.

- With donors' help, the consortium needs to equip local NGO professionals with skills in monitoring and conducting different stages of evaluation, including design, data collection, analysis, and interpretation.
- After investing in training professionals and having an evaluation plan in place, donors need to hold local program managers accountable using pre-determined metrics.
- Donors should assist local NGOs to access on-line professional development opportunities that can foster individual learning and organizational capacity to conduct evaluations.

<ul style="list-style-type: none"> <li>• Donors and local NGOs need to develop internal common metrics and shared understanding of outcomes.</li> </ul>
<p>5. Introduce and maintain purposeful socialization into organizations' evaluation process.</p> <ul style="list-style-type: none"> <li>• Local NGO program managers need to have scheduled meetings with staff and set aside paid time for evaluation activities and continuous improvement processes.</li> <li>• Donors and corporate offices should invest in developing the capacity of local evaluators to make them competent to participate in the evaluation process.</li> <li>• Donors and the Somali NGO consortium should endeavor to have at the local level formal on-line trainings, coaching, and, when possible, hands-on instruction in evaluation.</li> <li>• International donor organizations should seek local program staff participation in all evaluation processes-from planning to presentation.</li> </ul>
<p>6. Build and expand peer-learning structures.</p> <ul style="list-style-type: none"> <li>• Local program managers can encourage teamwork to address the evaluation gap and build trust for positive change without being fully dependent on expatriates.</li> <li>• Local program leaders need to establish a feedback mechanism and incorporate it into the decision-making process so that staff have ownership and learn from the continuous improvement processes.</li> <li>• Local evaluation capacity can improve by establishing an on-line interactive process between local evaluators and expatriates skilled in modern evaluation theories and practice.</li> <li>• Program managers need to encourage staff to incorporate evaluative thinking in their daily practice.</li> </ul>
<p>Resources: Make evaluation resources available and use them.</p>
<p>7. Provide and continuously expand access to evaluation resources.</p> <ul style="list-style-type: none"> <li>• Establish a knowledge-sharing and effective practices mechanism between staff and between and expatriate evaluators when possible.</li> </ul>

<ul style="list-style-type: none"> <li>• To promote learning and build capacity, the Somali NGO Consortium can establish relevant research materials and an evaluation database that is accessible to local NGOs.</li> </ul>
<p>8. Secure sources of support for program evaluation in the organization.</p> <ul style="list-style-type: none"> <li>• With the help of the Somali NGO consortium, program managers and organizational leaders need to advocate for more resources from donors specifically dedicated to fund developing and conducting program evaluations.</li> <li>• International NGOs could provide adequate resources such as office supplies, laptops, cell phones with appropriate technologies for data collection and analysis.</li> <li>• International NGOs could promote the Somali NGO Consortium’s commitment to coordinating evaluation resource sharing and organizing frequent retreats for evaluation activities among members.</li> <li>• Local organizations need to develop long-term strategies to fund and sustain evaluations.</li> </ul>

Adapted from Volkov and King (2007)

### **Cultivate a Positive, ECB-Friendly Internal Organizational Context**

As noted, the role of local internal organizations was minimal within the bigger internal partner context. This created a top-down approach to evaluations in post-conflict Somalia. For example, a program manager stated they had staff meetings to discuss organizational issues. However, this manager did not mention continuous employees’ interaction to learn from each other. The researcher is aware that certain conferences are held near or within the compound of Mogadishu International Airport (MIA), such as when former United States Secretary of State John Kerry made an unannounced visit to Somalia in May, 2005.

With increased demand for evaluations of social programs receiving international funding, local authorities and international partnerships could play an

important role in facilitating employees' professional development programs. Such practice could establish an environment that fosters knowledge sharing, including evaluation skills, and increase employee motivation.

### **Understand and Take Advantage of the External Environment and its Influence on the Organization**

The Somali federal government and the NGO consortia can be advocates for local NGOs. The federal government is responsible for the sovereignty of the country as well as its citizens. This gives legitimacy to address development needs of the country. It also gives the authority to oversee the effectiveness of programs. The NGO Consortia coordinate the efforts of member organizations, including evaluation activities. These two entities have a unique opportunity to influence the external environment. Furthermore, given that donors may attach conditions to their funding, such as increased security or accountability, the government can address this concern with the help of the national army and international forces present in the country or provide more oversight of a program to ensure the intended results are achieved.

### **Develop and Implement a Purposeful Long-Term ECB Plan for the Organization**

To have a purposeful long-term plan for building NGOs' evaluation capacity, investing in organizational infrastructure and support is important. Additionally, individual learning needs to be addressed. Setting up a joint committee consisting of members from state and non-state stakeholders could be helpful in developing evaluation policies and procedures, and promoting awareness for program evaluations. Policy, procedures, and oversight are important for the institutionalization of evaluation in local NGOs. This will also help standardize evaluation activities and

processes since NGOs receive funding from different international organizations with different missions. The oversight committee is important to set guidelines and metrics aligned with national development priorities.

### **Build and Reinforce Infrastructure to Support Specific Components of the Evaluation Process and Communication Systems**

A robust inter-agency or intra-agency communication plan is sorely needed. Local NGO organizations have minimal control of evaluation budgets, thus restricting their ability to promote support for evaluations. However, as the coordinator of NGO activities and facilitator of professional development, the Somali NGO consortium can be a repository for information and disseminate accordingly using their website.

The technological infrastructure in the country is developed enough to accommodate on-line learning. Donors in partnership with educational institutions have the potential to establish learning opportunities for both locals and expatriates. Furthermore, building on-line classes can foster interaction between evaluators, which in turn could enhance evaluators' confidence and skills.

### **Introduce and Maintain Purposeful Socialization into the Organization's Evaluation Process**

Data document that neither time nor space was allotted for purposeful socialization for employees. Aside from general staff meetings, organizations did not indulge in such activity. Security and logistics may be restricting factors. However, the researcher is aware that local NGO leadership sometimes attends social retreats outside the country. While budgets may not permit all employees to attend out-of-the-country meetings, having social events in safe areas inside the country is feasible.

Since skill in evaluation is minimal in local NGOs, professional expatriate evaluators who are conducting evaluations in the country can be asked to facilitate staff retreats. The Somali NGO consortium can help in providing facilitating evaluators.

### **Build and Expand Peer Learning Structures**

As noted in Chapter 5, local program staff were interested in acquiring evaluation knowledge. While there may not be many skilled evaluators to lead the discussion, leadership can encourage group study using on-line and printed materials. Additionally, time can be allotted during staff meetings to address the organizational evaluation process. The study group would have the possibility to share its experiences based on their readings. Leadership should encourage staff that show motivation and some skill to conduct internal evaluation that could be shared with international funding organizations.

### **Provide and Continuously Expand Access to Evaluation Resources**

Since a large number of NGOs are members of the Somali NGO consortium, the organization's website can be a resource for developing and expanding access to evaluation materials. Likewise, local and international NGO partnerships with educational institutions in the country could offer basic evaluation courses for employees that lead to professional development in evaluation.

### **Secure Sources of Support for Program Evaluation in the Organization**

Funding for non-profit organizations is diminishing in general. The Somali government in partnership with international development agencies has the potential to advocate and secure resources for local NGOs. A good number of these organizations have successfully implemented extremely important programs that have

saved lives. Their record of accomplishment is a powerful tool for securing extra sources. Conversely, services of other organizations with questionable performance can be discontinued using the savings in other areas.

As noted in Chapter 4, the participants of this study agreed that evaluations play an important role, especially in a post-conflict environment where the government and NGOs were busy with development projects to expedite recovery. This is an opportunity for international development agencies and the Somali federal government to invest in building local capacity for sustainable development. Making the connection between the demand side (local NGOs) and supply side (qualified local evaluators) at this early stage, and in this context, presents an opportunity for important breakthroughs. Volkov and King's checklist can be used as a basis for reviewing Somali NGOs' current capacity and the way forward to building local evaluation capacity. The checklist can also be used to highlight what is needed to develop long-term capacity for ongoing evaluative thinking and use.

This study showed that currently local context was not taken into consideration since local input is minimal, organizational structure was widespread in different geographical locations, and lack of professional development for local evaluators put local NGOs in a difficult position. The checklist highlighted possible steps to remedy these challenges.

However, the checklist assumes that (a) some level of evaluation capacity exists upon which improvements could be built on and (b) organizations can readily access opportunities for professional development in evaluation. While local organizations implemented development and humanitarian projects, their involvement

in conducting evaluation was minimal. Challenges include the prevailing insecurity in the country, political instability, and the absence of professional education in evaluation.

Although most categories of Volkov and King's (2007) checklist can be guidelines for improving evaluation capacity building in local NGOs, can the tools of the checklist be applied in organizations where monitoring was considered evaluation skill and professional development was not accessible? The checklist recommended enhancing evaluation capacity by creating the ability to use data to make decisions and creating strategies to conduct and use evaluations according to modern theories, practices, and standards. However, participants of the study assumed their research skills were sufficient to conduct evaluations.

This study provides a snapshot of what the evaluators of non-governmental social programs in post-conflict Somalia find challenging and what opportunities exist to address evaluation capacity. The impact of insecurity on organizational learning was not much considered in this study since there are minimal data on the number of security threats or violence in different parts of the country where some of the local NGOs implemented projects. Furthermore, NGOs' policies on responding to security issues varied. For example, some agencies completely evacuated their personnel from the country until security issues were resolved, while other organizations scaled down the level of their operations. Quantifying the impact of security challenges on evaluation activities was difficult. For example, information on security threats is not available in remote places of the country.

The evaluators who participated in this study had shown a pattern of conducting evaluations alone, where participation of program/project staff in all evaluation processes was not considered. Literature points to the importance of stakeholder participation in evaluation since evaluations generate knowledge and stakeholders use that knowledge (Cousins, Goh, Clark, & Lee, 2004).

While donors mandated evaluations, program staff participation in evaluation activities was not reinforced. As discussed, an evaluator who participated in the study mentioned that if evaluation findings showed that the project was not implemented as planned, interviewing program staff would be skipped and the evaluator would work completely independently of program staff. Evaluation capacity in local organizations would improve if local agencies, international development organizations, and government could address the practice of evaluations being conducted solely by expatriate evaluators and create a task force-based, teamwork environment to build trust and foster collaboration.

As discussed in Chapter 4, program staff in the country were tasked with monitoring activities which evaluators, who are mostly expatriates from neighboring countries, may use when reviewing program documents before starting data collection. The limited frequency of evaluation (usually mid- and final-term evaluations) diminishes the opportunity for institutionalizing evaluation in organizations. Other negative factors are the lack of professional development and minimal financial incentives, which often cause internal evaluators to opt to leave the country to seek better opportunities elsewhere. Furthermore, expatriate evaluators

spend a minimal amount of time in the country, making knowledge transfer a challenge.

This study also demonstrated that program staff have limited access to real-time data. Because organizations lack ongoing evaluation activities or continuous improvement programs, institutionalization of ongoing evaluation activities that could facilitate double-loop learning was missing. Local organizations often waited six to twelve months to conduct and perhaps receive an evaluation report to learn from the findings and make adjustments for program development. As noted, program staff had minimal time to interact with and learn from expatriate evaluators. Participants in this research stated that knowledge sharing between members of NGO consortium organizations was extremely limited. The combination of the lack of real-time data and minimal knowledge sharing misses the opportunity to build evaluation skills that could impact the country's development and humanitarian initiatives.

Although the number of participants in this study could have been enlarged to capture more evaluators' input, the study confirms the theoretical perspective that organizational support and organizational learning are important in building and sustaining ongoing evaluation capacity in organizations. Scholars such as Preskill and Torres and Cousins wrote about how the organizational learning concept could be applied to evaluations. The authors argued that organizations and people can learn and build the capacity to conduct evaluations (Cousins et al., 2004; Preskill & Torres, 1999). Their discussion of organizational learning expanded to focus on how organizations were likely to sustain learning and use of evaluation through routine practice and use of results (Carman, 2007). Learning how to do evaluations is

different from evaluation capacity building since the former does not address ongoing evaluation activities. Therefore, the combination of learning and sustaining evaluation practice is the birthmark of ECB.

This research documents that staff in local NGOs rarely exercise the two most important aspects of ECB: (a) conducting ongoing evaluation activities, and (b) sustaining the use of evaluation process and products. These two important points of ECB are performed by staff in other organizations for local organizations.

International organizations awarded contracts to external consultants who hire mostly expatriates to conduct evaluation in Somalia.

The study participants indicated that donors used evaluation findings to decide on the continuity of programs in Somalia or to procure funding for new programs. Participants stated that information sharing between organizations and beneficiary communities was strained since communities were involved in multiple surveys or data collection processes, but the outcomes of evaluations were not shared with them. Without beneficiaries' collaboration, the quality of the data would suffer since they are typically the primary source of the data. Acceptance and use of recommendations would also likely suffer because stakeholders are likely to disengage from the evaluation process.

### **Recommendations for Practice**

This research was designed to describe the institutional evaluation capacity in non-governmental social programs in Somalia. The study could be helpful to the Somali government, international donors, and development agencies in assisting local NGOs' capacity to improve social programs. While international organizations

mandate and fund evaluations as a possible tool for better decision-making, local organizations' capacity to conduct evaluations, sustain evaluation activities, and use the evaluation process and product is insufficient. As noted in previous chapters, most evaluation activities occur outside of local organizations' operational scope. To address this discrepancy, it is important to have the following:

1. Close collaborative approach between local NGOs and other branch offices out of the country
2. Contracting agencies to require some degree of evaluation capacity built into evaluations
3. Establishing an evaluation task force.
4. Creating public and private partnership to fund professional evaluation studies

**Close collaboration between local NGOs and other branches offices**

**outside of the country.** As discussed in previous chapters, different branches scattered around the world had impacted local participation, especially in the process of evaluation planning and budgeting, which usually took place at corporate offices. While the technology in the country is adequate to facilitate better communication, local program leaders and evaluation practitioners' interaction with higher corporate officers is minimal. Establishing a continuous communication plan with the board and the executive officers is important to break the one-way top-down communication. These officials, who are responsible for developing and executing policies and budgeting, may have never visited Somalia. Giving them first hand testimony of the needs and wants on the ground could create shared understanding and better

relationships. The Somali government can facilitate this task due to its legal authority on the affairs of the state.

In this study, participants indicated that even if program managers identify a need for evaluation, local organizations have no input in the matter since donors initiate and mandate evaluations. While time and resources are needed, regularly scheduled meetings between the leadership of different branches, utilizing technologies such as video conferencing and webinars, can offer an opportunity to develop common vision, mission, and shared understanding. This can also be an opportunity to merge different existing contexts based on geographical location, politics, and social dynamics into one context that reflects all values and perspectives. This could lead to all partner organizations agreeing on a work plan dividing the tasks, roles, and responsibilities. For example, local program staff provide monitoring data and beneficiary information for evaluations. Additionally, program staff are knowledgeable on the changing context, which, according to literature on ECB, is important for evaluations. The organization's branch in neighboring countries provides oversight of the local organization's performance and reporting.

Would it not be beneficial for international development organizations to engage these offices when planning and scheduling evaluations? To gain insight, would it not make sense that corporate leadership personally visit local NGO offices and program sites when security permits? An evaluator who participated in this study mentioned that donors or corporate offices receive a version of an evaluation report that is different from the one developed by the evaluator who visited the project site. This shows that different offices receive different reports. This could cause local

program staff and practitioners to not use the evaluation findings, as they have no ownership in the process. Program staff and local evaluators' participation is necessary since they are the primary intended users of the evaluation process and findings (Patton, 2011).

The extent to which close collaboration exists between different branches of organizations and local NGOs can signal that local program staff have ownership in the process. It can also encourage local practitioners to seek support from other organizations and build necessary relationships for a sustainable ECB in organizations.

**Contracting agencies to require some degree of ECB in local program evaluations.** As discussed before, contracting agencies hire expatriates to conduct evaluations of local NGO programs. These expatriates spend minimal time in Somalia and complete their data analysis and reporting activities outside the country. This has a significant impact on the development of local evaluators' evaluation capacity, since the time for knowledge sharing/transfer is insufficient. In addition to the lack of institutional professional development, local evaluators' exposure to evaluation activities other than monitoring is sparse and far apart. Local evaluators' skill can be improved if contractors include in the request for proposal (RFP) some degree of ECB as a requirement. A joint evaluation task force consisting of local evaluators, expatriates, and program leaders with the aim to advance ECB in organizations could be a launching pad for such initiative.

**Establishing an evaluation task force.** With local evaluators gaining evaluation skills and experience, they can assume that role from expatriate evaluators.

The Somali government can facilitate this initiative. “Task force” is defined as “a temporary grouping under one leader for the purpose of accomplishing a definite objective” (<https://www.merriam-webster.com/dictionary>). An evaluation task force from relevant offices under one leadership can facilitate the participation of all interested parties, whether they reside inside or outside of the country. First, there is clear leadership that provides direction to other offices. Second, communication is easier with a few task force members instead of a large group. Third, a small task force is nimble enough to meet upon short notice or move between different locations, including inside and outside of the country. Finally, an evaluation task force would be a task-oriented group with more frequent group interaction, thus giving evaluators opportunities for knowledge sharing or transfer.

Another advantage of the task force approach is the opportunity to have gender equity in the group. The study showed that women’s participation in the evaluation field is minimal. Contractors can encourage the inclusion of women in the task force to bring different perspectives into evaluations. As a researcher who is knowledgeable in the post-conflict Somalia environment, I can verify that data collection is easier when the researcher and participants are of the same gender. It is important to respect local religion and culture that restrict close interaction between opposite genders. Local female evaluators have a better chance of capturing local women’s perspectives. It is plausible to expect that it will take time before ECB takes effect in local organizations. However, according to Preskill and Boyle (2008), it is also plausible to expect institutionalized ECB in organizations with increased participation and knowledge sharing.

Development organizations that have different offices inside and outside Somalia may welcome this suggestion. First, these organizations have staff continuously moving in and out of the country. Including some professional ECB training in their operations is reasonable. Second, these organizations enjoy local support as they employ indigenous staff. Recruiting qualified people for professional training may not be a challenge. Third, the opportunity to have qualified local evaluators in place can be cost saving since expatriate evaluators are expensive compared to local practitioners.

Another added value is that once local evaluators develop sufficient evaluation knowledge, they can easily assume train-the-trainer roles to train other evaluators. For example, the Somali NGO consortium and Building Resilience Communities in Somalia (BRCiS) Consortium have over 50 local NGO members throughout the country. These consortia can leverage local evaluators' knowledge to institute ECB in their member organizations. Knowledge transfer is easier when the source and the recipient of knowledge relate to a common culture and beliefs (Boh, Nguyen, & Xu, 2013). Last, this can further reduce the expenses and reliance on expatriate evaluators, thus saving development organizations much needed funds that can be utilized in other areas.

**Public and private partnership to fund professional evaluation studies.**

Private educational institutions in Somalia who offer different credentials have increased since the 1990s. However, “*evaluation studies*” is not among the courses offered in these institutions. As noted in Chapter 5, the Somali Federal Government has incorporated evaluation into the national development plan. Since the study

showed that the concept and benefits of evaluations are becoming widely noticed, this presents an opportunity for a public private partnership investing in professional development in evaluation studies. This researcher is aware of an interest by the Somali federal government and the University of Minnesota offering an online evaluation certificate. The technology in the country is capable of accommodating this type of distant learning. A partnership between the federal government and development agencies has the potential to fund professional evaluation courses in educational institutions since development is necessary in postwar recovery.

As the country is in transition from civil war to post-conflict recovery, it is reasonable to expect the Somali government to assume the responsibility of considering these recommendations. The government has the legal authority to go into partnership with any entity that can help the development of the country.

### **Implications for Future Research**

There is a need to further explore the practice of building evaluation capacity in non-governmental social programs in post-conflict Somalia. Based on the ECB approach, leadership support and organizational learning are important in doing evaluations and using evaluation findings. However, leadership in this case was limited to the Somali government and organizational leadership. In Somali culture, leadership includes traditional and religious leaders. These leaders have considerable weight in framing issues and shaping a community's agenda. Further studies looking into how these unconventional leaders can impact evaluations would be important.

The impact of insecurity on evaluation is another area that needs further research. The findings of the research show that hierarchical structure that spans different countries and continents is limiting evaluation in local NGOs. Perhaps development organizations adapted this position during the civil war when access to the country was limited. A cultural shift is needed from the civil war era to the current recovery period to bridge the communication gap between donors and local organizations. Due to the growing consensus on the importance of understanding context (Chouinard & Cousins, 2009; Hansen et al., 2013), donors and local organizations need to establish a shared understanding of evaluation needs in an organization. Is consolidating all offices and moving into the country feasible?

Local organizations now operate in a different environment where the evaluation concept is welcomed by the federal government and organizations. This offers a new opportunity to study gender inclusivity. Further research is needed to explore factors restricting women's participation in evaluation. Since the quality of evaluation depends on capturing reliable data, women's perceptions and voices are necessary.

Finally, as existing literature showed, evaluation capacity building is a complex approach with more work that needs to be done to understand the full implications of ECB (Leviton, 2014). What have I missed that could have been taken into consideration when describing the nature of institutional evaluation capacity in non-governmental social programs in Somalia? Are there other models that can lead to better outcomes in building local evaluation capacity? Further studies of similar design and context can shed more light on this topic.

The evaluation literature agrees that evaluation has an important role in program improvement. However, achieving evaluation capacity as an outcome is a complex task as evidenced in the ECB literature. Somali NGOs and their funding partners have the opportunity to address these challenges jointly. International and local non-governmental organizations, educational institutions, stakeholders, and different levels of governments have an important role to play so the country in transition can realize the development needed after prolonged civil strife. Local evaluators also have an obligation to transfer and spread evaluation knowledge. The facilitation of a strategic plan that complements the federal government's national development plan could be a good starting point. As Baizerman, Compton, and Stockdill (2002) observed, it will take the collective dream of all these entities and the will to act on that dream.

Finally, Somalia has seen one of the longest civil wars in east Africa. The country has also experienced severe droughts in the past decade. Millions of people have lost their lives or have been displaced from their homes. Non-governmental organizations have done exemplary work to help people with humanitarian and development projects. Some of their employees have paid the ultimate price as they lost their lives while saving others.

The world is constantly changing, politically, economically, and socially. Technological changes such the social media have contributed a lot to these changes. While the vast amount of information streaming on-line at any given time can be beneficial, there is also the risk of negative outcomes, especially when the information is narrowly, or incorrectly, interpreted. Already we have seen the impact of

misinformation by some people to advance a personal agenda. The insecurity in Somalia has spread to other countries in the region. Understanding the real issues and having a meaningful debate about what is at stake is critical to peace and prosperity on earth. The ultimate question is whether evaluation is the right tool that can make a difference in post-conflict Somalia. Additional research is needed to help answer that question.

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## Appendices

### Appendix A: Institutional Roles and Responsibilities in Somali National Development

#### Plan for Selected Constituencies

<b>Stakeholder</b>	<b>NDP – Overall Role &amp; Responsibility</b>	<b>M&amp;E Role &amp; Responsibility</b>
Parliament	<ul style="list-style-type: none"> <li>-Scrutinizes budget and expenditure of the government.</li> <li>-Assure transparency and accountability in the use of public funds and development assistance.</li> </ul>	<ul style="list-style-type: none"> <li>-Review the implementation of government programs, and the performance of the economy as a whole.</li> <li>-Provide feedback from consultancies as to service delivery in line with NDP activities.</li> <li>-Contribute to accountability and transparency initiatives proposed by the government with a view to assessing effectiveness and impact of policies and activities.</li> </ul>
Prime Minister's Office	<ul style="list-style-type: none"> <li>-Provide overall leadership and oversight of the NDG to ensure national goals are achieved</li> <li>-Conduct policy dialogues inclusive of relevant stakeholders and based on collected data to support relevant planning and effective service delivery</li> <li>-Inform all stakeholders, including the Somali population of the national development goals, progress towards achievement and facilitate public participation in accountability and transparency activities</li> </ul>	<ul style="list-style-type: none"> <li>-Facilitate regular reviews of the NDP and progress towards national goals</li> <li>-Initiate independent reviews on the performance of key policies, programs and projects</li> </ul>
<u>MoPIC</u>	<ul style="list-style-type: none"> <li>-Provide operational leadership across Federal Government institutions and ensures proper coordination and oversight of NDP execution</li> </ul>	<ul style="list-style-type: none"> <li>-Strengthen linkages between planning and M&amp;E functions in the FGS and FMS</li> <li>-Coordinate and manage the monitoring and reporting process re implementation of government priorities aimed at achieving NDG priorities</li> </ul>

Stakeholder	NDP – Overall Role & Responsibility	M&E Role & Responsibility
	<p>-Prepare a sort and medium term results-oriented comprehensive and integrated development plans for the country;</p> <p>-Report to Cabinet periodically on Government performance and results including spending</p> <p>-Support local capacity development for national planning, and in particular, provides support and guidance to the national and local bodies responsible for the decentralized planning process</p> <p>-Study and publish independent assessments of key economic and social policy issues and options so as to increase public understanding and participation in the economic and social policy debate;</p> <p>-Prepare Government's Annual Performance Report with data and evidence on progress towards national development plan objectives;</p>	<p>-Lead capacity development initiatives, and facilitate better use of M&amp;E knowledge across government</p> <p>-Conduct a mid-term Review of the NDP</p> <p>-Resource mobilization and timely release of funds for M&amp;E activities across the government</p> <p>-Harmonize and standardizes M&amp;E procedures, practices and mechanisms across the Federal institutions;</p> <p>-Provide technical support and oversight to PME Units in line ministries i) the operationalization of planning, monitoring and statics functions, and ii) the design and implementation of evaluation plans;</p> <p>-Design, commission, quality control and disseminate evaluations in line with the evaluation plan of the NDP:</p> <p>-Monitor the performance of the decentralized system of development planning and proposes such institutional innovation that may be required for its improved operation;</p> <p>-Monitor and evaluation the effectiveness and impact of development programs and the performance of the economy;</p> <p>-Conduct in-depth evaluations/assessments of the impact and cost of selected development programs;</p> <p>-Overall oversight to ensure that DPs and NGOs must establish proper M&amp;E system in the country linked to country systems from the outset (within three months of project/program start) so they [can] report substantially on their achieved results and impacts. Otherwise the FGS has right to</p>

Stakeholder	NDP – Overall Role & Responsibility	M&E Role & Responsibility
		penalize the organizations who are not complying.
<b>MoF</b>	<ul style="list-style-type: none"> <li>-Organize strategic dialogue around financing architecture for implementing the NDP;</li> <li>-Coordinate with international financial institutions and Government representatives on Trust Fund Management with input from MOPIC:</li> <li>-Record and report budget support inflows, including aid in-kind;</li> <li>-Manage Annual and medium-term macroeconomic and fiscal frameworks;</li> <li>-All issues related to Somali Tax and Duties, if included in FSs, will required clearance from MOF;</li> <li>-Reports periodically to Cabinet and Parliament on budget preparation, execution and performance;</li> <li>-Releases timely and quality information on budget execution;</li> <li>-Prepare annual and medium-term expenditure framework (MTEF) ensuring consistency with the NDP/iPRSP in cooperation with MOPIC, line ministries and agencies;</li> </ul>	<ul style="list-style-type: none"> <li>-Monitor the performance of the budget in line with the national development goals and provide feedback to each ministry to ensure timely report for resource accountability in accordance with disbursements</li> <li>-Produce quarterly, semi-annual and annual performance reports</li> <li>-Monitor public debt</li> <li>-Assess sustainability and impact of the public debt in relation to medium term and long term planning</li> <li>-Monitor foreign (aid flows), including off-budget support (through special donor project accounts)</li> <li>-Initiate and conduct a PEFA assessment (2018)</li> </ul>
<b>Line Ministries</b>	<ul style="list-style-type: none"> <li>-Lead the development of sector policies, strategies and guidelines in line with NDP:</li> <li>-Lead the development of costed annual work plans in</li> </ul>	-Lead activity monitoring of sector level projects and programs by ensuring the national Results Framework is complied with and appropriate data sets are collected (be either the government and/or development partners)

<b>Stakeholder</b>	<b>NDP – Overall Role &amp; Responsibility</b>	<b>M&amp;E Role &amp; Responsibility</b>
	<p>line with the objectives, milestones and targets set the NDP;</p> <p>-Chair and coordinate sector and sub-sector working groups;</p> <p>-Maintain a “Recommendation implementation Tracking Plan” which will keep track of review and evaluation recommendation, agreed follow-up actions, and status of these actions.</p> <p>-Ensure that complete and approved M&amp;E reports are made easily available to the public in a timely manner:</p>	<p>-Provide periodic, reliable reports to the MoPIC M&amp;E Directorate against agreed indicators, making use of the national management information system to compile this information</p> <p>-Ensures that the planning, monitoring, evaluation and statistic functions within the line-ministries are adequately staffed;</p> <p>-Ensure that all line-ministries and agencies assign respective positions responsible for planning, statistical production, monitoring and evaluation;</p> <p>-Ensure that a Management Information System is in place and functioning and linked to MoPIC national management system for the NDP</p> <p>-Plan and budget for monitoring and statistics annually;</p> <p>-Hold quarterly sector performance review meetings to determine progress towards output targets:</p> <p>-Provide, on quarterly sectors performance review meetings to determine progress against performance indicators to MOPIC</p> <p>-Ensure proper coordination and oversight of sector plans and related M&amp;E activities;</p> <p>- Plan and budget for evaluations in conjunction with MoPIC of all projects and programs over 1000,000 in line with the evaluation plan of the NDP;</p> <p>-Utilize M&amp;E findings to inform programs, policy, and resource allocation decisions;</p> <p>-Keep DPs and other Partners accountable for having M&amp;E system in place.</p>

<b>Stakeholder</b>	<b>NDP – Overall Role &amp; Responsibility</b>	<b>M&amp;E Role &amp; Responsibility</b>
Federal member states	<p>Produce State Development Plan;</p> <p>-Produce State Development Plans:</p> <p>-Produce annual performance report in line with the objectives and targets of the NDP and the corresponding State Development Plans;</p> <p>-Utilize M&amp;E findings to inform program, policy, and resource allocation decisions;</p> <p>-Ensure that all State Governments have Ministries in Charge of Planning, Statistics, Monitoring and Evaluation functions</p>	<p>Undertake regular monitoring and reporting on government and donor projects and programs at district level,</p> <p>-Develop state-level M&amp;E capacities and systems, in harmony with the NDP Results Framework and using the national management information system</p> <p>-Liaison with line ministries [i.e.] Wadajir Framework initiative with MoIFA to ensure monitoring of specific initiatives is relevant and useful</p> <p>-provide timely and quality data on relevant indicators to MOPIC and line ministries and agencies</p>
<b>MoPIC Directorate of National Statistics</b>	<p>-Overall responsibility for the professional integrity and statistical quality of all outputs by the FGS</p> <p>-Provide a firm evidence base for sound decision, supporting the formulation of effective government policies and the management of public service delivery, and informing the direction of economic and commercial activities</p> <p>-Ensure production, harmonization and dissemination of statistical information;</p> <p>-Strengthen the capacity of statistical units in line ministries and agencies in charge for the production and use of data at national and sub-national levels;</p>	<p>-Coordinate, support, validate and designate as official any statistics produced by sectors at national and sub-national levels;</p> <p>-Coordinate and clear all censuses and national representative household economic surveys;</p>

<b>Stakeholder</b>	<b>NDP – Overall Role &amp; Responsibility</b>	<b>M&amp;E Role &amp; Responsibility</b>
	<p>-Ensure best practices and adherence to standards, classification, and procedures for statistical collection, analysis and dissemination in line-ministries and agencies at all levels;</p>	
<b>The Office of Auditor General</b>	<p>Audits and reports on public accounts of all public offices and any public corporation or other bodies established by an Act of Parliament:</p> <p>-Conducts financial, value for money and other audits, in respect of any project or activity involving public funds;</p>	
<b>Sub-Committee Working Groups</b>	<p>-Provide a technical forum for sector policy formulation, planning and programmatic coordination.</p>	<p>-Support line ministries to revise current RFs into manageable and realistic sector work plan</p> <p>-Support M&amp;E capacity building in conjunction with MoPIC for federal line ministries and FMS</p> <p>-Provide regular update/reporting to MoPIC on NDP progress indicators</p> <p>-Monitor the implementation of the Partnership Principles and USC on a regular basis and ensure that these are integrated/applied in the sector work plans and implementation activities</p>
<b>Non-State Actors (CSOs and Private sector):</b>	<p>-Participate in discussion and decision-making committees at program, sector, national and sub-national levels that review and comment on public sector performance;</p> <p>-Participate in public sector planning processes at federal, state, sector and local government levels;</p>	<p>Provide time and quality data on the financial implementation of projects for which they are the executing agency to the relevant sectors, ministries and agencies at national and sub-national levels;</p>
<b>Development Partners (DPs)</b>	<p>-Assist Government through financial, technical and other</p>	<p>-Ensure proper and robust internal M&amp;E frameworks for all initiatives, and that</p>

<b>Stakeholder</b>	<b>NDP – Overall Role &amp; Responsibility</b>	<b>M&amp;E Role &amp; Responsibility</b>
	<p>forms of assistance to strengthen its performance;</p> <p>-Provide an external perspective on Government performance and results;</p> <p>-Provide feedback to domestic and international constituencies on Government performance and results;</p>	<p>implementing partners (international and national NGOs and CSOs) are reporting according to the relevant NDP indicators, with information collected in compatible data formats and files</p> <p>-Regular exchange and sharing of important data with FGS/FMS/Line ministries through the national management information system</p> <p>-Align monitoring activities with NDP M&amp;E framework</p>

## Appendix B: Interview Protocol

### *Questions:*

#### *Evaluators*

1. Could you describe your background and experience in evaluation?
2. What type of evaluations have you undertaken for this organization?
3. Who initiated the evaluation?

Probing question: Who funded the evaluation?

4. Can you walk me through an evaluation process that you were involved?
5. Could you describe the stakeholders of these evaluations?
6. Did staff and managers participate in the evaluation process?
7. Could you describe your role in the evaluation process?
8. What barriers do you encounter when planning and conducting evaluations?
9. Who gets the final evaluation report?
10. How have the evaluation results being used?

#### *Managers*

1. To get started, please tell me about your background and role in this program.
2. Can you describe the information you need to administer this program? How do you get that information?
3. Can you talk about your understanding of evaluation process or product?
4. Do you have an internal evaluator position in your program?
5. Can you explain how you make decisions? What factors can influence your decision making process?

6. Can you explain how your program evaluation experience has contributed to the program?

Probing question: What specifically changed because of program evaluation?

7. How often did evaluation activities take place in the program?

Probing question: Can you describe to me what the process looked like?

8. As a manager of the program, do you have resources dedicated to collecting and analyzing information about the program?

Probing question: Can you describe what those resources look like? i.e., financial, manpower or literature.

9. How do you see program staff participating in decision-making processes?

10. How do you know the program is successful? What is the evidence? What signs do you look for?

11. What information do you need to make decisions? How do you get that information?

12. Can you describe a time you had to make operational changes? What led you to that decision?

13. What did you learn from that process?