



**AN EVALUATION OF THE IMPLEMENTATION OF MONITORING  
AND EVALUATION SYSTEMS IN THE OFFICE OF THE PREMIER,  
FREE STATE PROVINCIAL GOVERNMENT**

**By**

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## DECLARATION OF INDEPENDENT WORK

### DECLARATION WITH REGARD TO INDEPENDENT WORK

I, BONGANI SYDNEY MAGAGULA, identity number \_\_\_\_\_ and student number \_\_\_\_\_, do hereby declare that this research project submitted to the Central University of Technology, Free State for the Degree MASTER OF PUBLIC MANAGEMENT, is my own independent work; and complies with the Code of Academic Integrity, as well as other relevant policies, procedures, rules and regulations of the Central University of Technology, Free State; and has not been submitted before to any institution by myself or any other person in fulfilment (or partial fulfilment) of the requirements for the attainment of any qualification.



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**01 February 2019**

**DATE**

## ABSTRACT

The study examines the current implementation challenges with respect to monitoring and evaluation systems in the Office of the Premier, Monitoring and Evaluation (M&E) Directorate of the Free State Province. M&E systems are indispensable for ensuring the effective functioning of the spheres of government in such a way that policy objectives and effective service delivery are achieved. Since the inception of the Government Wide Monitoring and Evaluations System (GWM&ES) in 2007, provinces are at varying levels of institutionalizing M&E. M&E is an imperative tool for the Office of the Premier to achieve its objectives by providing strategic leadership and to coordinate provincial policy formulation and reviews, planning as well as overseeing effective service delivery. Furthermore, the Office of the Premier is mandated with monitoring the performance of the various departments and ensure that they achieve the government's 12 priority outcomes as set out in the Medium-Term Strategic Framework (MTSF). Lastly provincial governments are tasked with the monitoring of basic municipal services.

For the realization of the aim and objectives of this study, qualitative research methodology is adopted. A semi structured, and structured interview was utilized as a tool that contains the predetermined questions prepared to acquire insight, knowledge and application of the people who are involved and familiar with M&E systems, its implementation challenges as well as best practices that can be replicated across the various provinces.

The literature study is based extensive literature, legislation, policy documents, journal articles, books, conference papers, internet and government reports about, requirements, purpose, principles, objectives, components, and systems of monitoring and evaluation with specific reference to the introduction of the South African Government-Wide Monitoring and Evaluation System. Furthermore, the study investigated the role of the Offices of the Premier M&E Directorate concerning the effective implementation of M&E systems including the GWM&ES as well as identify current monitoring and evaluation processes, practices, challenges as well as best practices. An empirical study, by a process of semi-structured questionnaire and semi-structured interviews with selected public officials in the Office of the Premier, M&E Directorate and Department of Cooperative Governance and Traditional Affairs (CoGTA) of the Free State province. The study found that there is a lack of M&E culture within the Free State Provincial government (FSPG). The FSPG should clearly, establish a culture of M&E across all provincial government institutions.

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## LIST OF ABBRIVIATIONS

AG	: Auditor-General
AGSA	: Auditor-General of South Africa
APP	: Annual Performance Plans
CBM	: Citizen-Based Monitoring
CDW	: Community Development Workers
CFO	: Chief Financial Officer
CoGTA	: Department of Cooperative Governance and Traditional Affairs
CVP	: Constitutional Values and Principles
DDG	: Deputy Director-General
DG	: Director-General
DPME	: Department of Performance Monitoring and Evaluation
DPSA	: Department of Public Service and Administration
ECPG	: Eastern Cape Provincial Government
ETWG	: Evaluation Technical Working Group
FMPPI:	: Framework for Programme Performance Information
FOHOD	: Forum of Head of Departments
FSDM	: Frontline Service Delivery Monitoring
FSPG	: Free State Provincial Government
GWM&ES	: Government-Wide Monitoring and Evaluation System
HOD	: Head of Department
IDP	: Integrated Development Plan
LED	: Local Economic Development
MFMA	: Municipal Finance Management Act
MEC	: Member of Executive Council
MPAC	: Municipal Public Accounts Committee
MPAT	: Management Performance Assessment Tool
MSA	: Local Government: Municipal Systems Act
MTEF	: Medium-Term Expenditure Framework
MTSF	: Medium-Term Strategic Framework
M&E	: Monitoring and Evaluation
NCOP	: National Council of Provinces
NEPF	: National Evaluation Policy Framework

NES	: National Evaluation System
NPC	: National Planning Commission
NSDP	: National Spatial Development Perspective
NSG	: National School of Government
OTP	: Office of the Premier
PALAMA	: Public Administration Leadership Management Academy
PFMA	: Public Finance Management Act
PGDS	: Provincial Growth and Development Strategy
PDMS:	: Public Service Performance Management and Development System
PERSAL	: Payroll and Personal Data System
POA	: Programme of Action
PSA	: Public Servants Association of South Africa
PSC	: Public Service Commission
PSHRM	: Public Service Human Resource Management
PWMES	: Province-Wide Monitoring and Evaluation System
QPR	: Quarterly Performance Reports
SASQAF	: South African Statistical Quality Framework
SDBIP	: Service Delivery and Budget Implementation Plan
StatsSA	: Statistical Agency of South Africa
UNDP	: United Nations Development Programme

## LIST OF TABLES

Table 4.1: Which programmes are you responsible for?

Table 4.2: What activities and or systems do you have in place to monitor this programme?

Table 4.3: What are current challenges concerning effective M&E of this Programme?

Table 4.4: How do the various departments report on their progress regarding this programme?

Table 4.5: How do you evaluate this programme?

Table 4.6: The findings and results of M&E: What does the Office of the Premier do with them?

## LIST OF FIGURES

- Figure 1.1: The conceptual framework of M&E
- Figure 3.1 Recommended M&E structure for government departments
- Figure 4.1: Gender of the respondents
- Figure 4.2: Age of respondents
- Figure 4.3: Designation
- Figure 4.4: Education level
- Figure 4.5: Length of service in the Office of the Premier
- Figure 4.6: Codes and reference of each participant
- Figure 4.7: Coding of each theme
- Figure 4.8: Role of the Office of the Premier M&E Directorate concerning the e  
effective implementation of M&E and GWM&ES
- Figure 4.9: Current M&E challenges concerning the implementation of GWM&ES in the  
Free State Province
- Figure 4.10: Current M&E Processes
- Figure 4.11: Gender
- Figure 4.12: Age
- Figure 4.13: Designation
- Figure 4.14: Education Level
- Figure 4.15: Length of Service in the Office of the Premier



## TABLE OF CONTENTS

	<b>Page No.</b>
DECLARATION OF INDEPENDENT WORK	ii
ABSTRACT	iii
ACKNOWLEDGEMENTS	iv
LIST OF ABBREVIATIONS	v
LIST OF TABLES	vii
LIST OF FIGURES	viii
TABLE OF CONTENTS	ix
<b>1. CHAPTER 1: INTRODUCTION TO THE STUDY</b>	<b>1</b>
1.1 INTRODUCTION	1
1.2 MONITORING AND EVALUATION	1
1.3 MONITORING AND EVALUATION SYSTEM IN THE SOUTH AFRICAN PUBLIC SECTOR	2
1.4 THE ROLE OF THE OFFICE OF THE PREMIER	3
1.5 CONCEPTUAL FRAMEWORK	6
1.6 PROBLEM STATEMENT AND RESEARCH QUESTION	7
1.7 RESEARCH QUESTIONS	9
1.8 OBJECTIVE OF THE STUDY	9
1.9 RESEARCH DESIGN AND METHODOLOGY	10
1.9.1 Research paradigm	10
1.9.2 Research design	10
1.9.3 Population and Sampling	11
1.9.4 Data collection methods and data analysis	12
1.10 ETHICAL CONSIDERATIONS	13
1.11 LIMITATIONS	13
1.12 CHAPTER LAYOUT	14
1.13 SUMMARY	14

<b>2. CHAPTER 2: THEORETICAL OVERVIEW OF MONITORING AND EVALUATION IN THE CONTEXT OF THE SOUTH AFRICAN PUBLIC SECTOR</b>	<b>15</b>
2.1 INTRODUCTION	15
2.2 CONCEPTUALISING OF CONCEPTS	16
2.2.1 Monitoring	16
2.2.2 Evaluation	17
2.2.3 Programme evaluations	19
2.2.4 Auditing	20
2.2.5 Monitoring and evaluation vs the management function control	21
2.2.6 Monitoring and evaluation systems	22
2.2.7 Monitoring, evaluation and performance management	22
2.3 STATUTORY AND REGULATORY LEGISLATIVE FRAMEWORK FOR MONITORING AND EVALUATION IN THE SOUTH AFRICAN PUBLIC SECTOR	23
2.3.1 The Constitution of the Republic of South Africa (1996) (Act 108 of 1996)	23
2.3.2 Public Service Act of 1994 (Act 103 of 1994) and the Public Service Amendment Act, 2007 (Act 30 of 2007)	27
2.3.3 White Paper on Human Resources Management in the Public Service (1997)	27
2.3.4 The Public Audit Act (2004) (Act 25 of 2004)	27
2.3.5 White Paper Transforming Public Service Delivery (1997), Batho Pele	28
2.3.6 Public Financial Management Act (PFMA) (Act 1 of 1999)	28
2.3.7 Public Service Regulations (2001) as amended in 2008	29
2.3.8 Intergovernmental Relations Framework (2005) (Act 13 of 2005)	30
2.3.9 Public Administration Management Act (2014) (Act 11 of 2014)	30
2.3.10 Policy Framework for Government-wide Monitoring and Evaluation (GWM&ES) (2007)	31
2.3.11 Implementation Plan for Government-wide Monitoring and Evaluation System (2005)	34
2.3.12 National Evaluation Policy Framework (2011)	34
2.3.13 The Framework for Managing Programme Performance Information	37
2.3.14 Provincial Growth and Development Strategy (PGDS) Free State	37
2.3.15 Medium-Term Strategic Framework (MTSF)	38
2.3.16 Legislative frameworks of local government that requires effective monitoring	

and evaluation of the affairs of local municipalities	38
2.4. AN OVERVIEW OF MONITORING AND EVALUATIONS IN THE CONTEXT OF SOUTH AFRICAN PUBLIC SECTOR	40
2.5. THE SOUTH AFRICAN GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM	44
2.6 PUBLIC POLICY MONITORING AND EVALUATION	46
2.7 DEVELOPMENT AND IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYTEMS	48
2.8 DIFFERENT FORMS OF MONITORING	51
2.9 EVALUATION APPROACHES OR TYPES, METHODS, TOOLS AND TECHNIQUES	53
2.9.1 Performance Indicators Approach	53
2.9.2 The Logical Framework Approach (The Logic Model or LogFrame Model)	54
2.9.3 The Theory-Based Evaluation Approach	54
2.9.4 Formal Surveys	54
2.9.5 Rapid Appraisal Methods	55
2.9.6 Participatory Methods	56
2.9.7 Public Expenditure Tracking Surveys	57
2.9.8 Economic Evaluations (Cost-Benefit Analysis and Cost- Effectiveness Analysis)	57
2.9.9 Impact Evaluation	57
2.9.10 Management Performance Assessment Tool (MPAT)	58
2.10 STRATEGIES FOR IMPROVING MONITORING AND EVALUATION	58
2.11 USES AND BENEFITS OF MONITORING AND EVALUATION	60
2.12. INDICATORS	61
2.13 SUMMARY	64
<b>3. CHAPTER 3: THEORETICAL OVERVIEW OF THE INSTITUTIONALISATION OF THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM IN THE SOUTH AFRICAN PUBLIC SECTOR</b>	<b>66</b>
3.1 INTRODUCTION	66
3.2 AN OVERVIEW OF THE INSTITUTIONAL ARRANGEMENTS AND CHALLENGES FOR THE IMPLEMENTATION OF MONITORING AND EVALUATION (M&E)	66
3.2.1 Institutionalisation of provincial-wide monitoring and evaluation	69

3.2.2	Institutionalisation of municipal-wide monitoring and evaluation	71
3.2.3	Good practices and current challenges for institutionalisation of the M&E system in the South African public sector	71
3.3	INSTITUTIONAL ARRANGEMENTS FOR THE ESTABLISHMENT OF MONITORING SYSTEMS	75
3.3.1	Assessing the state of institutional readiness to establish monitoring systems	76
3.3.2	The formulation of effective M&E policy and procedures	77
3.3.3	The successful establishment of M&E emphasises the need for leadership, support and commitment	78
3.3.4	Management support and buy-in is an imperative for the establishment of M&E systems	78
3.3.5	To establish a progressive monitoring and evaluation culture	79
3.3.6	Monitoring arrangements at organisational level require specific organisational structural and system arrangements; Organisational and System Arrangements	80
3.3.7	Clarity of the role and responsibilities of monitoring, reporting and other related Functions	80
3.3.8	Specific human resource arrangements are required to support the establishment of M&E and M&E units	81
3.3.9	To support M&E capacity building and training initiatives	82
3.3.10	Good intergovernmental relations as a requirement to ensure vertical and horizontal coordination and cooperation related to M&E function	83
3.3.11	Comprehensive governance approach and good participative arrangements	83
3.3.12	Clarity on monitoring and related functions	84
3.4	INSTITUTIONAL ARRANGMENTS AND CHALLENGES OF THE NATIONAL EVALUATION SYSTEM	84
3.5	THE ROLE PLAYERS OF M&E SYSTEMS IN THE THREE SPHERES OF GOVERNMENT	86
3.5.1	Constitutional Institutions and role players to strengthen M&E	87
3.5.1.1	Public Service Commission (PSC)	87
3.5.1.2	The Auditor-General (AG)	88
3.5.1.3	Public Protector	89
3.5.1.4	Chapter 9 Commissions	90
3.5.1.5	Parliamentary Oversight Committees	90
3.5.2	The national sphere role players to strengthen M&E	91

3.5.2.1	The President's Office	91
3.5.2.2	The National Planning Commission (NPC)	91
3.5.2.3	National Treasury	91
3.5.2.4	Department of Public Service and Administration	92
3.5.2.5	Statistics South Africa	92
3.5.2.6	Department of Cooperative Governance and Traditional Affairs (COGTA)	92
3.5.2.7	National School of Government (NSG)	93
3.5.2.8	The M&E role of National Departments Responsible for Concurrent Functions	94
3.5.2.9	The Department of Performance Monitoring and Evaluation (DPME)	94
3.5.3	The various role players to promote M&E in Provincial Governments	95
3.5.3.1	Provincial Legislature	95
3.5.3.2	Provincial Treasuries	96
3.5.3.3	The role and functions of Office of the Premier M&E unit's	96
3.6.	PERFORMANCE OUTCOMES AND INDICATORS	99
3.6.1	The outcomes-based approach in the context of the South African public sector	99
3.6.2	Indicators in Monitoring and Evaluation	101
3.7	STRUCTURE OF M&E UNIT/DIRECTORATE	102
3.8	SUMMARY	103
<b>4.</b>	<b>CHAPTER 4: EMPIRICAL RESEARCH, METHODOLOGY AND FINDINGS</b>	<b>106</b>
4.1	INTRODUCTION	106
4.2	RESEARCH DESIGN AND METHODOLOGY	106
4.2.1	Data gathering technique	107
4.2.2	Population and sampling	107
4.2.3	Research instrument	108
4.2.4	Data collection methods and data analysis	109
4.2.5	Validity and Reliability	110
4.2.5	Statistical techniques	111
4.3	DATA PRESENTATION AND ANALYSIS OF THE SEMI-STRUCTURED QUESTIONNAIRE	111
4.3.1	Section A: Biographical information	112
4.3.2	PROCESS OF DATA ANALYSIS AND CODING OF THE RESPONSES OF SECTION B: THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM	114

4.3.2.1	What is the role of the Office of the Premier M&E Directorate concerning the effective implementation of the government-wide M&E?	117
4.3.2.2	What are the current M&E challenges concerning the implementation of GWM&ES in the Free State Provincial government and what recommendations are there to address these challenges?	122
4.3.2.3	What are the current processes of the Office of the Premier M&E Directorate of the Free State Province to promote alignment with GWM&ES?	127
4.4	DATA PRESENTATION AND FINDINGS FROM THE SEMI-STRUCTURED INTERVIEWS BY USING AN INTERVIEW SCHEDULE	133
4.4.1	Section A: Biographical information	133
4.4.2	Section B: The government-wide monitoring and evaluation system	136
4.4.2.1	Which programmes are you responsible for monitoring?	137
4.5	SUMMARY	150
<b>5.</b>	<b>CHAPTER 5: CONCLUSION AND RECOMMENDATIONS</b>	<b>153</b>
5.1	INTRODUCTION	153
5.2	RESEARCH OBJECTIVES	153
5.2.1	Objective 1.	153
5.2.2	Objective 2	154
5.2.3	Objective 3	154
5.2.4	Objective 4	155
5.2.5	Objective 5	155
5.3	REVIEW OF THE LITERATURE CHAPTERS	155
5.4	RESEARCH FINDINGS	158
5.5	RECOMMENDATIONS	161
5.6	CONTRIBUTION OF THE STUDY	162
5.7	LIMITATIONS OF THE STUDY	163
5.8	IMPLICATIONS FOR FURTHER RESEARCH	163
5.9	SUMMARY	163
	<b>BIBLIOGRAPHY</b>	<b>164</b>

Annexure A: Permission Letter to Manguang Metropolitan Municipality

Annexure B: Structured Questionnaire

Annexure C: Interview Schedule

Annexure D: Proofreading and Language Editing

## **CHAPTER 1: INTRODUCTION TO THE STUDY**

### **1.1 INTRODUCTION AND BACKGROUND**

The Policy Framework for Government-wide Monitoring and Evaluation (GWM&E) was published by the Presidency in 2007 to provide an integrated, encompassing framework for monitoring and evaluation practices as well as principles and standards for use across and within spheres of government. Well-functioning monitoring and evaluation systems and practices are indispensable for ensuring that the spheres of government function effectively and aid with the attainment of policy objectives and effective service delivery.

Even though democratic governance has matured in South Africa, one of the major challenges that remains in all spheres of government is the need to become more effective. As a result, proposals to develop a government-wide monitoring and evaluation system has gathered momentum with the approval of the abovementioned Policy Framework (GWM&ES) in 2007. This Policy Framework is applicable to all entities in the national, provincial and local spheres of government. It provides clear monitoring and evaluation guidelines for every government structure and emphasises systems integration. Levin (2005:12) holds that the GWM&ES framework strives to embed a management system that will articulate with each entity's internal management systems such as its planning, budgeting, reporting, and information technology and knowledge management systems. Thus, the data and information obtained could be used by other stakeholders in the GWM&E system to create a holistic view of national, provincial and local performance (Policy Framework for the GWM&ES, 2007:1-4; Levin, 2005:8-11).

### **1.2 MONITORING AND EVALUATION**

Monitoring and evaluation is a complex phenomenon in that it fosters a multi-disciplinary approach that is skill intensive. Government-wide monitoring and evaluation across the three spheres of government is complex in that it requires detailed knowledge across and within sectors, as well as interactions between planning, budgeting and implementation (The Policy for GWM&ES, (2007:2). The PSC (2008:6) argues that monitoring and evaluation may be used for management decision-making, to promote accountability, solicit support for



programmes, assist managers to continue, adjust or terminate a government programme, and to promote transparency.

A good starting point is to define monitoring, evaluation, and monitoring systems in the context of the Policy Framework for the GWM&ES. Monitoring is “a continuing function that involves the systematic collection of data on specified indicators to provide management and key stakeholders with ongoing development interventions pertaining to progress and the achievement of objectives and progress in the use of allocated funds” (PSC, 2008:3). According to the Policy Framework for the (GWM&ES) (2007:1), monitoring refers to the collecting, analysing and reporting of data based on inputs, activities, outputs, outcomes and impacts that support effective management. Monitoring is based on actual performance against what was planned or expected.

Evaluation refers to the systematic and objective assessment of current or completed project, programme or policy and focusses on design, implementation and results (PCS, 2008:3). The Policy Framework for (GWM&ES) (2007:20) defines evaluation as a time conscious and periodic exercise that aims to provide credible and useful information to answer specific questions as well as guide decision-making by management and policy makers. Therefore, evaluations assess the relevance, efficiency, effectiveness, impact and sustainability of government programmes, projects and policies.

### **1.3 MONITORING AND EVALUATION SYSTEM IN THE SOUTH AFRICAN PUBLIC SECTOR**

A monitoring and evaluation system refer to a set of institutional structures, and various management systems and processes, standards, strategies, plans, performance indicators, information systems, reporting lines and accountability relationships to ensure that all three spheres of government fulfil their monitoring and evaluation roles effectively (The Presidency, 2008:3). According to Levin (2005:12), the Government-wide Monitoring and Evaluation System GWM&ES does not view monitoring and evaluation as a separate, discreet area of activity. Monitoring and evaluation should be standard management practices undertaken as everyday planning, assessment and reporting. Government’s existing strategic management frameworks already provide the key elements of monitoring and evaluation such as strategic objectives and performance indicators. As a result, the government-wide Monitoring and

Evaluation System (GWM&S) requires that government use these existing elements to encourage reflection and analysis while improving effectiveness and service delivery.

Levin (2005:4) further maintains that the GWM&ES must built on:

- ethical principles in that they should be rights based, transparent and accountable.
- managerial principles that emphasise efficiency, economy, effectiveness and service delivery.
- technical principles that are indicator-based, participatory, people-centred, and developmental-inclusive.

The GWM&ES framework also sets out to ensure that integration and data interchange systems such as electronic systems and inter-operability are in place (Levin, 2005:6). These data systems should be accessible through the Offices of the Premier and other role players to ensure that duplication of information is minimized. Another statutory requirement of the Government-wide Monitoring and Evaluation System (GWM&ES) is that the Accounting Officer of all departments, provinces and municipalities or the Chief Executive Officer of a public entity should establish a monitoring and evaluation system for the institution to ensure that primary users thereof use these data systems to refine their planning and implementation processes (GWM&ES, (2007:4). Information systems, including communication and information management systems, should also be used by other stake holders in the Government-wide Monitoring and Evaluation System (GWM&ES) to ensure that a holistic view of all three spheres of government performance is achieved.

#### **1.4 THE ROLE OF THE OFFICE OF THE PREMIER**

The mandate of the Office of the Premier is to provide strategic leadership, coordinate provincial policy formulation and reviews, planning, and oversee effective service delivery. Effective monitoring and evaluation are an imperative to achieve these objectives. Close cooperation between the Provincial Treasury, the Provincial Department of Local Government, and the Office of the Premier is essential to promote a coordinated, efficient and effective monitoring system for all local municipalities. The Office of the Premier should furthermore see to it that provincial policy and planning frameworks are aligned with national plans and

priorities and local governments' Integrated Development Plans with provincial growth and development strategies (PCS, 2008:3-4).

According to Van Niekerk, Andries and Taaibosch, (2012:7), the Office of the Premier is legislatively mandated to ensure coordination and strategic leadership in provincial policy formulation and review, planning, and overseeing effective service delivery implementation. The effective achievement of said objectives can be aided by the introduction and use of M&E. The nine provinces' Offices of the Premier are at different levels of institutionalising M&E as they have a wide variety of practices and convictions that each has established. Best practices need to be communicated throughout the nine provinces and, maybe, even standardised to stimulate learning and innovation and to discourage bad practices e.g. duplicate reporting.

Van Niekerk et al. (2012: 4) add that the Office of the Premier is tasked with monitoring basic municipal services to ensure they meet the citizens' socio-economic rights. M&E is vital because it aids the provincial government in effective municipal monitoring, supervision, proactive support and intervention when municipalities fail in meeting their constitutional mandate. In addition to the above, provincial governments are tasked with ensuring that provincial policy, as well as their planning frameworks, are in line with national planning frameworks and policies. The National Medium-Term Strategic Framework (MTSF) and Medium-Term Budget Policy Statement are important tools that promote cooperation across different levels of government. Another is the National Spatial Development Perspective (NSDP) which focusses on aligning policy implementation (The Presidency, 2008:2-3).

At local government level, municipalities have the Integrated Development Plan (IDP) and Local Economic Development (LED) Planning, while at provincial level the Offices of the Premier must ensure that the Provincial Growth and Development Strategies (PGDS) align with the NSDP. Only through effective monitoring and evaluation can the success of the Integrated Development Plan of a municipality track service delivery progress, evaluate it, and take corrective action if needed. Municipalities must submit the following reports: the annual report, mid-year performance assessment reports, the Mayor's quarterly and monthly financial reports as per the MFMA, 2003. The Office of the Premier should coordinate with the Provincial Treasury, Provincial Departments of Local Government and other stakeholders to promote effective monitoring of financial and non-financial performance of all municipalities in the province, and to prevent the duplication of reporting. In addition, this office should also

ensure that provincial programmes of action are aligned with cluster targets and that these are encapsulated in the annual State of the Province presented by the Premier. Furthermore, the Premier's Office is also tasked with establishing forums for planning and monitoring and evaluation (Van Niekerk *et al.*, 2013:8).

The Office of the Premier should monitor the delivery of basic services such as refuse removal, water, electricity by municipalities, shortcomings in the delivery of these services, and should take corrective action where necessary. Thus, monitoring and evaluation are important tools for provincial government to use on local government activities to ensure proper supervision, proactive support and intervention where needed. Each province is tasked by the Government-wide Monitoring and Evaluation System (GWM&ES) to ensure that it has an M&E strategy that is aligned with its Development Plans and Provincial Growth and supported by an Annual Operational Plan. Secondly, to track progress against the strategy and plans, the provincial government needs to establish specific performance indicator frameworks, as well as data sources for such performance indicators. This requires that information systems be in place to support data sources in addition to providing reliable and accurate information to all relevant stakeholders (Presidency, 2008:10-11).

Van Niekerk *et al.* (2012:9) cite that each province should integrate its management processes, operational planning, budgeting, controlling and annual reporting with monitoring and evaluation. The GWM&ES also states that M&E findings have a direct bearing on performance, decision-making and management action in the province. The system stresses that the Premier implement a formal M&E strategy that is in line with the Provincial Strategic Plan and the Annual Performance Plan. The Premiers Office (OTP) is thus, at the centre of provincial government in ensuring M&E systems are in place to evaluate provincial performance, the impact of projects and programmes as well as providing an oversight role on provincial and local government.

The Presidency (2008:6-7) stipulates the following specific guiding implementation principles in the Government-wide Monitoring and Evaluation System (GWM&ES) for provinces:

- The development and enforcement of statistical standards as well as effective monitoring are important pre-conditions for effective evaluations in each province through the Offices of the Premier;

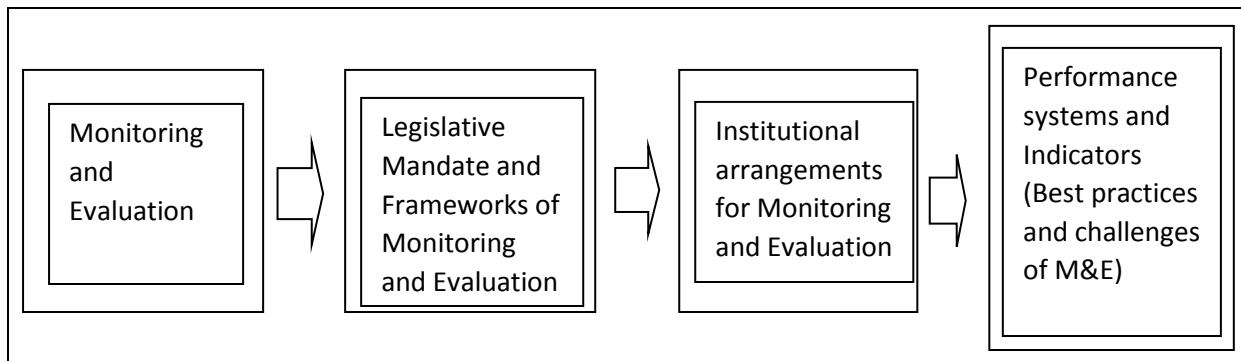
- The duplication of reporting lines from provincial departments and local government in their area of responsibility should be avoided;
- Offices of the Premier need to promote the coordination of monitoring and evaluation and intergovernmental relations dimensions; and
- Effective relations and coordination between the Office of the Premier, Department of Local Government and Provincial Treasury need to be revitalised, re-energised and promoted on an on-going basis.

Thus, Offices of the Premier, as the centre of the provincial government, should also ensure that monitoring and evaluation arrangements are in place to evaluate their own performance and impact as well as ensure their provincial and local government oversight role.

## 1.5 CONCEPTUAL FRAMEWORK

The proposed study will be based on the conceptual model as indicated in the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES) (2007:3 - 6) which has been adjusted for the purpose of this study.

**Figure 1. The conceptual framework of monitoring and evaluation**



In the light of the above figure, the focus of the study will be on the relationship between monitoring and evaluation, related legislative mandates and frameworks, institutional arrangements for M&E, and performance systems and indicators.

## 1.6 PROBLEM STATEMENT AND RESEARCH QUESTION

According to Bosch (2011:1), one of the challenges faced by government is how to evaluate the degree to which its collective priorities (policies, projects and programmes) are being implemented and its objectives (e.g. quality education, poverty alleviation and quality basic health care) are achieved. How government assesses the impact of its policies and programmes is even more challenging.

The different Offices of the Premier face common challenges in institutionalizing a culture of monitoring and evaluation (M&E). According to Van Niekerk et al. (2012:4-5), the following challenges regarding monitoring and evaluation at provincial level need to be addressed:

- Lack of a culture of M&E and accountability;
- Primarily focusing on monitoring rather than evaluation because of the relative newness of M&E specialization puts pressure on the personnel capacity of a unit;
- The need to improve spatial alignment - the lack of spatial referencing hinders the promotion of planned and project interventions;
- Perception of M&E as an administrative “back-office” function - M&E is a crucial and strategic process that is often down-graded to a low-level “back-office” administrative function; and
- The need to streamline reporting lines - there are enormous challenges in reducing the inordinate administrative burden caused by duplicate reporting.

Furthermore, M&E specialists in government are not sufficient to meet the increasing demand for M&E. This problem is more acute in provincial and local government. According to the Consolidated Monitoring and Evaluation Report on the Offices of the Premier (2012:13-15), the Free State Province has only one provincial department that has a dedicated M&E unit. In addition, M&E at provincial level is also undermined by budget constraints, making it difficult to implement and operate the system properly.

According to Van Niekerk *et al.* (2012:10), the Public Service Commission (PSC) conducted a study in 2010 to determine the compliance of the nine Offices of the Premier against governance indicators based on the values and principles of public administration contained in

Section 195 of the Constitution of the Republic of South Africa (1996) (Act 108 of 1996). These principles include professional ethics, efficiency, economy and effectiveness, development orientation, impartiality and fairness, public participation and policy-making, accountability, transparency, good human resource management and career development practices as well as representativeness. Despite the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES) having been introduced in 2007, the above study raised the following concerns about the effective, efficient, and economic use of resources in the nine Offices of the Premier to achieve more value for money:

- Ability of provincial departments to monitor and evaluate the service delivery progress of municipalities;
- Minimizing of duplication of reporting information;
- Capacity building of all staff to promote effective, efficient, and economic use of resources; and
- Poor linkage between outputs and measurable performance indicators to objectively report on the achievement of outputs as well as the formulation of clear reasons for non-performance.

By taking into consideration the above concerns, this study seeks to determine the implementation challenges as well as best practices of monitoring and evaluation (M&E) systems including the Government-wide Monitoring and Evaluation System (GWME&S) within the Free State Provincial Government to make specific recommendations to address these challenges.

From the above the problem statement of this study is as follows, the OTP, M&E Directorate and other role players such as the Department of Governance and Traditional Affairs (COGTA) of the Free State province will not be able to fulfil their M&E role effectively if the monitoring and evaluation challenges are not identified and rectified using specific recommendations. From the above problem statement, the aim of this study is to positively contribute to improvement of monitoring and evaluation (M&E) within OTP, M&E Directorate of the Free State province.

## **1.7 RESEARCH QUESTIONS**

Emerging from the above aim the main research question is what are the current implementation challenges with respect to monitoring and evaluation systems in the OTP, M&E Directorate of the Free State Province?

The secondary research questions include the following:

- What are the requirements, purpose, principles, objectives, components, and systems of monitoring and evaluation (M&E) with specific reference to the introduction of the South African Government-wide Monitoring and Evaluation System (GWM&ES)?
- What is the role of the OTP, M&E Directorate concerning the effective implementation of M&E systems
- What are the current monitoring and evaluation processes, challenges as well as best practices concerning the implementation of M&E systems?
- What specific recommendations may be made to improve the effective and efficient implementation of M&E systems in the Free State province?

## **1.8 OBJECTIVE OF THE STUDY**

Based on the above research questions the main research objective of this study is to determine the current implementation challenges with respect to monitoring and evaluation systems in the OTP, M&E Directorate of the Free State Province.

The secondary research objectives include the following:

- To determine the requirements, purpose, principles, objectives, components, and systems of monitoring and evaluation (M&E) with specific reference to the introduction of the South African Government-wide Monitoring and Evaluation System (GWM&ES);
- To determine the role of the OTP, M&E, Directorate concerning the effective implementation of M&E systems;



- To identify the current monitoring and evaluation processes, challenges as well as best practices concerning the implementation of M&E systems; and
- To make specific recommendations to improve the effective and efficient implementation of M&E systems in the Free State province.

## **1.9 RESEARCH DESIGN AND METHODOLOGY**

To fulfil the research objectives, information was acquired from both secondary and primary sources through an extensive literature review and an empirical study.

### **1.9.1 Research paradigm**

According to Du Plooy-Cilliers, Davis and Bezuidenhout (2014:23-27) there are three major types of paradigms, namely positivism, post-positivism or interpretivism and pragmatism paradigms. On the one hand Welman, Kruger and Mitchell (2005:6) mentioned that the positivism paradigm which is based on quantitative research underlies the natural-scientific method in human behavioural research and hold that research must be limited to what can be observed and measured. The positivism paradigm accepts knowledge to be true if it is created through scientific methods. On the other hand, Welman *et al.* (2005:6) further argues that the post-positivism paradigm or interpretivism which is based on qualitative research assumes that there are many ways to acquire knowledge besides using scientific methods.

According to Welman *et al.* (2005:6) the post-positivism or interpretive paradigm assists the researcher to gain insight on how people under investigation think, interact and behave in their natural environment. Post-positivism may be certain of interpretations to acquire knowledge. A post-positivist paradigm also known as the interpretive paradigm (qualitative research) will be applied by answering the research questions for this study.

### **1.9.2 Research design and methodology**

The research design is a general plan of how the researcher goes about answering the research question (Saunders, Lewis and Thornhill, 2009:136). According to Cooper and Schindler (2003:149), a research design is a blueprint for collecting, measuring and analyzing data. This study used a qualitative method of analysis. Qualitative research employs methods such as case

studies, in-depth interviewing of key informants, participant observation and semi-structured questionnaires, and perusal of personal documents (such as life histories, diaries and autobiographies). Welman *et al.* (2005:6-7) as well as Mouton (2001:161) also state that qualitative research methods reflect certain approaches to knowledge production and include any research that makes use of qualitative data.

### **1.9.3 Population and Sampling**

According to Du Plooy-Cilliers *et al.* (2014:132) the research population consists of the total group of people from whom information is required. The population of this study consisted of the employees of the Free State Provincial Government. Sampling is defined as the process of choosing a small group of respondents from a larger defined target population, assuming that the results discovered about the small group will allow the researcher to make conclusions concerning the larger group (Hair, Buch and Ortinau, 2003: 333).

A convenience sampling method was used to identify senior staff members of the Office of the Premier, M&E Directorate and Department of Cooperative Governance and Traditional Affairs (COGTA) with whom semi-structured interviews was held to elicit information about monitoring and evaluation processes, challenges and best practices. According to Bless, Higson-Smith and Sithole (2014:172 -176) convenience sampling can be used in both qualitative and quantitative studies. Bless *et al.* (2014:176) state that the convenience sampling method is a very handy procedure that can be used based on the availability of the units of the target population. In addition to the convenience sampling method, the purposive sampling method, which is a non-probability sampling method was also used to select the participants with whom structured interviews through a structured questionnaire were conducted. Welman *et al.* (2005:69) aver that purposive sampling is the most important type of non-probability sampling in which the researcher relies on his/her experience to deliberately obtain units of analysis in such a way that the sample may be regarded as being representative of the relevant target population. In quantitative research it can be used to select a predetermined number of a sample size. Maree, Creswell, Ebersöhn, Eloff, Ferreira, Invankova, Jansen, Nieuwenhuis, Pietersen and Plano-Clark (2017:198) assert that the purposive sampling method is used in special situations where the sampling is done with a specific purpose in mind. Maree *et al.* (2017:84) further explain that there are no rules for sample size in qualitative inquiry.

In this study the convenience sampling method will be used to identify the the two Chief Directors of the OTP, M&E Directorate who can be seen as the expertise of M&E matters within the Free State province, with who semi structured interviews will be conducted, to elicit information about current M&E processes, practices, challenges and best practices concerning M&E in the OTP, M&E Directorate and in the Free State Province. According to Bless *et al.* (2014:172 -176), convenience sampling can be used in both qualitative and quantitative studies since it can be used based on the availability of the units of the target population.

Purposive sampling, which is a non-probability sampling method will also be used to select the six public officials from the OTP, M&E Directorate who will completed the semi-structured questionnaire to elicit information about M&E processes, and current challenges with the implementation of M&E systems. The two Chief Directors of the OTP, M&E Directorate with whom the semi structured interviews will be conducted will also complete the semi-structured questionnaire.

#### **1.9.4 Data collection methods and data analysis**

According to Bless *et al.* (2014:20) data analysis is a continuous process of describing, classifying and interpreting data. Data analysis is the conversion of raw data, into valuable, meaningful information for the researcher. Information for this study was obtained from both secondary and primary sources. This method is preferred because primary and, to a larger degree, secondary information sources are readily available. Specific information concerning challenges and best practices about M&E in the Offices of the Premier were extracted from Annual Review Reports, Public Service Commission (PSC) Reports, recent dissertations, theses and through semi-structured interviews with selected public officials of the OTP, M&E Directorate of FSPG. Recent information relating to theories about M&E and the Government-wide Monitoring and Evaluation System (GWME&S) was collected from both secondary and primary sources. In this study, the analysis of data collected was highly qualitative in nature.

In this study the researcher will be assisted by an experienced statistician in qualitative research methodologies. The statistician will assist the researcher to firstly, develop the semi-structured questionnaire and the interview schedule, secondly to provide guidance in collating, interpreting and analysing the results from the data collection instruments. As indicated in the sample, the instruments referred to in this study, are the semi-structured questionnaire and an

interview schedule that will be used to conduct semi-structured interviews. Data obtained from the semi-structured interviews by using an interview schedule will be categorised into different themes and groups of meaning. The data analysis will include a description as well as a summary of the information obtained from the semi-structured questionnaire and interview schedule. Simple figures, bar charts, tables and percentages will be used to present the data collected from the interviews to make summations.

### **1.10 ETHICAL CONSIDERATIONS**

The following principles of ethical conduct were adhered to in the study:

- Letters of consent. A letter was submitted to the senior director of the OTP, M&E Directorate, FSPG to inform parties of the research purpose and to get consent to conduct interviews using an unstructured questionnaire.
- Voluntary participation of respondents in answering the questionnaire.
- Informed consent. Participants were made aware of the research purpose and gave their consent to participate in the research.
- Privacy. The confidentiality and anonymity of participants were observed.

### **1.11 LIMITATIONS**

The study was influenced by certain conditions, namely:

- Limited scholarly work such as handbooks and journal articles are available in particular about the challenges and practices of M&E systems in particular the GWM&ES.
- External factors on the study, such as the commitment and willingness of participants to participate in the semi-structured interviews and to complete the semi-structured questionnaire.
- The study was limited to the OTP, M&E Directorate of the Free State Provincial Government (FSPG).

## 1.12 CHAPTER LAYOUT

**Chapter 1:** Introduction. This chapter outlines the problem statement, research methodology, research questions, aims and objectives of this research study.

**Chapter 2:** This chapter provides an overview of the legislative, frameworks, and policies of monitoring and evaluation, the purpose of monitoring and evaluation, and the aim, purpose, and requirements of M&E and the Government-wide Monitoring and Evaluation System (GWM&ES).

**Chapter 3:** The chapter outlines the role of the Office of the Premier, the institutional arrangements, the information, reporting and data systems, capacity, structures and performance systems to promote the implementation of M&E within the Free State Province.

**Chapter 4:** Empirical Investigation, results and findings. The chapter outlines the research methodology used in this study. The chapter delineates the analysis, interpretations and findings and main conclusions based on the findings.

**Chapter 5:** Conclusions and recommendations. Conclusions and proposals concerning monitoring and evaluation are discussed.

## 1.13 SUMMARY

This chapter provides a guideline on how the study was set out. Therefore, this chapter highlighted the motivation of the research, the problem statement, objectives and research methods used. It further provides clarity in as far as the concepts that form the foundation of the research are concerned.

## **CHAPTER 2: THEORETICAL OVERVIEW OF MONITORING AND EVALUATION IN THE CONTEXT OF THE SOUTH AFRICAN PUBLIC SECTOR**

### **2.1 INTRODUCTION**

Internationally, monitoring and evaluation in public sector institutions and departments are increasing to ensure the effectiveness and efficiency of government. Since 2004, numerous service delivery protest actions have taken place due to poor service delivery in the country. Because of internal and external pressures to address the poor service delivery, the South African government established the Department of Performance Monitoring and Evaluation (DPME) and introduced various monitoring and evaluation frameworks and policies, systems, procedures and functions to promote effective and efficient performance of the three spheres of government through monitoring and evaluation. Monitoring and evaluation, relatively new in the public sector, are extremely complex and require a range of skills and understanding that government systems are multi-disciplinary. Thus, with the introduction of monitoring and evaluation frameworks and systems in the three spheres of government, the South African government had to borrow best practices from the private sector.

Monitoring and evaluation are pivotal in equipping users to make connections between policy priorities, the resources needed to give policy objectives expression, different programmes and projects to implement policies and services provided, and ultimately their impact on the communities for whom they are intended. Monitoring and evaluation help justify the allocation of public resources, identify challenges that should be addressed and the best practices that should be duplicated and implemented. Monitoring and evaluation are integral to the control function which is part of every manager's key management functions. Section 195(1) of the Constitution of the Republic of South Africa (1996) (Act 108 of 1996 as amended) (hereinafter refer to as the Constitution (1996) encapsulates the promotion of efficient, effective and economic use of public resources, an accountable and development-oriented public administration, and good human resources and development practices. These constitutional values and principles of public administration provide important standards against which the performance of public officials should be monitored and evaluated.

The Government-wide Monitoring and Evaluation System (GWM&ES), 2007, serves as a major framework for monitoring and evaluation in the South Africa government. The Policy

Framework for the Government-wide Monitoring and Evaluation (2007:14) stipulates the institutional roles, responsibilities and capacity building of various role players in monitoring and evaluation. The framework identifies the requirements for institutional arrangements to ensure the above system is implemented effectively in all three spheres of government. Certain principles were determined to guide future implementation initiatives and outline the legislative mandates of various stakeholders charged with implementing the framework. Monitoring and evaluation are important in helping government address the challenge of becoming more effective as they make enable the public sector to evaluate performance and identify factors which contribute to its service delivery objectives.

The chapter commences with a discussion about the conceptualisation of monitoring, evaluation and relevant concepts, then provides the statutory and regulatory framework of monitoring and evaluation. Monitoring, evaluation and the South African Government-wide Monitoring and Evaluation System discussed with reference to public policy monitoring and evaluation and performance monitoring and evaluation. Thereafter, the different approaches, types, tools and techniques of monitoring and evaluation are provided, and the uses and benefits of monitoring and evaluations explained.

## **2.2 CONCEPTUALISING OF CONCEPTS**

In terms of the Policy Framework for the Government-wide Monitoring and Evaluation System (2007:1-2), monitoring and evaluation are complex, multi-disciplinary and skill intensive processes which require detailed knowledge across and within various public sectors. Therefore, monitoring, evaluation, and related concepts will be explained.

### **2.2.1 Monitoring**

Over the years, there has been various definitions for monitoring by various authors and government institutions. However, the Public Service Commission (PSC) (2008:3) and Kusek and Rist, (2014:4), define monitoring as “a continuous function that consists of the systematic collection of data on specified indicators to provide management and the main stakeholders with a continuous development intervention and indications of the extent of progress and achievement of objectives regarding the use of allocated funds”. Reddy and Govender (2014:164) see monitoring as a comparison between actual and initially planned performance.

On the other hand, the Presidency (2007:1-2) states that monitoring is aimed at improving efficiency and effectiveness by providing management, decision makers and other stakeholders with feedback on implementation progress and results as well as early indicators of problems that need to be corrected. In terms of the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES) (2007:1), monitoring is the collection, analysing and reporting of data based on inputs, activities, outputs, outcomes. Ile, (2014:179) argue that monitoring is not a once-off activity, but a never-ending oversight process that focusses on tracking continuous activities. It comprises several integrated activities of data collection to ensure that planned activities are still on track to achieve a specific goal or goals. Monitoring is result and outcomes-driven in that it focusses and guides various activities towards achieving preferred outcomes (Ile, 2014:179).

Monitoring provides managers with relevant feedback on the progress of implementation and results, and early indicators of deviations that need to be corrected. The aim is to report on actual performance against what was planned or expected and support effective management (National Evaluation Policy Framework, 2011:3-4). Managers, decision-makers and other stakeholders need regular feedback on progress of implementation, results, and early indicators of challenges that need to be remedied. In turn, these managers should report on actual performance against what was planned or expected. For this study, the definition by the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES), 2007, will be used throughout this study.

### **2.2.2 Evaluation**

The National Evaluation Policy Framework (2011:3), provides that evaluations differ from monitoring in that the former entail the systematic collection and objective analysis of evidence from public policies, programmes and projects, functions, and institutional issues such as relevance, performance, effectiveness, efficiency, value for money, impact, sustainability, and way forward. Thus, evaluation has an element of judgement and should be done against objectives, set indicators or criteria.

There are seven guiding principles for evaluation in the South African Public Sector, namely:

- It should be development-oriented by addressing the key development priorities of government and citizens;



- It should be undertaken ethically and with integrity;
- It should be utilisation-oriented;
- The methods, tools and techniques used to conduct evaluations should be relevant and sound;
- It should promote transparency and accountability;
- It must be undertaken in an inclusive and participatory manner; and
- Evaluation must promote learning.

The United Nations Development Programme (UNDP) (2002:6) defines evaluation as an exercise aimed at systematically and objectively assessing the progress made in achieving set objectives. Evaluation thus refers to a continuous process to assess programmes and projects at differing stages and depths in pursuit of achieving an outcome. It is time-bound and periodic and takes place at different intervals such as before the programme or project commences (formative evaluation), during the project phases to assist with improvements, and at the end (summative evaluation).

The Public Service Commission (PCS) (2008:3) maintains that evaluation is important to determine the relevance and achievement of objectives, development efficiency, effectiveness, and the impact and sustainability of policies, projects or programmes. It also provides information on lessons learned and possible incorporation into decision-making processes for applicable stakeholders. Evaluation involves identifying appropriate standards, examining performance against performance indicators or standards and it entails assessing actual and expected results as well as relevant lessons learned.

According to the DPME (2013:11), evaluations are useful tools for managers to carry out assessments of the design, efficiency, effectiveness, implementation and the impact of programmes and projects as well as identify remedial actions. The National Evaluation Policy Framework, 2011, and Annual and Three-year National Evaluation Plans were approved by Cabinet to guide and promote effective evaluations in the public service. Evaluation in the public sector has four primary purposes:

- To improve performance (evaluation for learning) through feedback to programme managers;
- To improve accountability;

- To generate knowledge for research purposes and identify what works and what does not; and
- To improve decision-making.

The National Evaluation Policy Framework (2011: vii) also provides that departments in the public sector have the responsibility to incorporate the following evaluations into their management functions as a way to continuously improve their performance:

- Ensure that an evaluation budget is linked to all programmes and that there is a three-year rolling plan for evaluations to be conducted;
- Hold staff responsible for conducting monitoring and evaluation function attached to a monitoring and evaluation, research, or policy unit, or specific section responsible for planning, monitoring and evaluations; and
- Results of evaluations must be discussed in management forums to ensure that the results are used to inform planning and budgetary decisions.

Ijeoma (2010:346) adds that evaluation should result in recommendations which may be used in planning to make necessary corrections to programme objectives, content, or implementation. Information gathered from the evaluation process can be used for the management of technical programmes or projects, financial resources, or project team. In Chapter 1 section 1.2, evaluation is defined as a time conscious and continuous exercise that aims to provide credible and useful information that answers specific questions to guide decision-making by management and policy makers. Accordingly, evaluations assess the relevance, efficiency, effectiveness, impact and sustainability of government programmes, projects and policies (The Policy Framework for Monitoring and Evaluation Systems, 2007:20).

### **2.2.3 Programme evaluation**

The Public Service Commission (PCS) (2008:39) defines programme evaluation as the evaluation of the success of a programme or project and how the design and implementation of the programme or project contributed to that success. This requires the analysis of key factors relevant to successful programme delivery and the relationship between factors. Key elements that need to be evaluated or analysed in a government programme are:

- The success of the programme;
- Needs of the public and community members;
- Societal challenges interventions should address;
- The environment or context of implementation;
- The programme design (objectives, beneficiaries, course of action, needs of the community, societal challenges that need addressing, risks associated with the course of action, legal enablement of the course of action, control over governance of bodies empowered to take a course of action, the proportion of the population that will benefit from the programme, institutional arrangements for delivery of the programme, procedures for implementing the chosen course of action, human resource capacity, and government policy).
- Effectiveness of programme or project implemented.

#### **2.2.4 Auditing**

According to Laubscher (2012:23), the distinction between monitoring and evaluation is the result of the objectives, scope, those involved and the users of the results. Thus, the primary difference between auditing, evaluation and monitoring comes from the ownership, responsibility and processes that need to be conducted. Auditing, usually performed by external auditors for assurance, verifies independently that the operations and processes of an institution are carried out in adherence to predefined standard procedures and establishes whether there have been any financial irregularities. In contrast, evaluation is an ongoing internal process which forms part of the institutional management cycle. Auditing falls outside this management cycle and can be conducted at any time of the operational cycle. Evaluation, on the other hand, is usually conducted at the end of a phase.

Monitoring refers to a process of gathering relevant information and data on all aspects of a programme or project. It entails, regular purposeful observation and recording of activities in a project or programme. Laubscher (2012:23) argues that monitoring is examining how a programme or project activities are progressing. An important aspect of monitoring is to provide feedback to various stakeholders such as the donors, implementers, beneficiaries and other stakeholders about the progress of a programme and project (Laubscher 2012:23).

### **2.3.5 Monitoring and evaluation vs the management function control**

According to Ile (2014:179) monitoring and evaluation are key management functions of control. As part of their control function, public managers must recognise the need to analyse and assess intended results against actual performance in order to improve service delivery.

According to Van der Waldt (2016:184), basic management functions in the public sector include planning, organising, leading, control coordination, public management and policy making. All public managers should fulfil basic or key management functions to achieve the objectives of the department. Thornhill (2012:119) argues that the term “management” is too generic since public sector functions differ from those of private companies due to the political component of public administration. Public administration comprises the functions: public policy making; organisational structures; human resources; financing; work procedures; and the control function, with control being a fundamental requirement. Executive functionaries (political and public officials) exercise internal control and give account of activities in meetings of the Legislatures.

Thornhill (2016:179) aver that, as part of their control function, managers should develop effective monitoring processes and strategies to effectively achieve planned strategies and goals. Parliament exercise control in institutional situations through formal control measures such as written reports, inspections and investigations, auditing, cost accounting, cost comparisons, cost analysis, statistical returns and performance management. Thornhill (2012:271) avers that public managers also exercise control over subordinates and the performance of their functions, informally through supervisory and leadership activities.

According to Van der Waldt (2016:207), public managers fulfil their control function by setting performance standards, measuring and monitoring the actual results and performance, comparing actual performance with set standards, and through corrective action. All activities of government departments should be coordinated to ensure that national priorities are achieved. Intergovernmental relations are important in promoting effective coordination within the spheres of government to ensure contact with one another. Thus, one could argue that monitoring and evaluation are control and management functions that need to be exercised effectively to promote quality service delivery.

### **2.2.6 Monitoring and Evaluation Systems**

In terms of the Policy Framework for Government-wide Monitoring and Evaluation (2007:4), a monitoring and evaluation system refers to a set of institutional arrangements such as organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountable relationships which enable spheres and institutions of government to fulfil their monitoring and evaluation functions effectively. Cloete, Rabie and De Coning (2014:279), advocates that monitoring and evaluation systems should strive:

- for independence from management and of delivery, i.e. be Impartial and independent;
- for relevance and usefulness;
- to be credible and transparent as the success of a monitoring and evaluation system is dependent on the credibility of the evaluators and transparency of the system;
- to avoid duplication of effort and information;
- for effective monitoring and evaluation system designs that specify purpose, methods, measures, standards, resources and time needed for evaluation;
- for monitoring and evaluation systems that follow a planned schedule based on the needs and demands of decision makers;
- for user-friendly findings, feedback and reports, to be distributed to all stakeholders and that address all identified monitoring and evaluation issues.

The goals and objectives of a monitoring and evaluation system should be well defined and plausible, and the system should deliver reliable performance data and information (Cloete, *et al.* 2014:279).

### **2.2.7 Monitoring, Evaluation and Performance Management**

According to Cloete *et al.* (2014:16), M&E form part of the broader concept of performance management. Van der Waldt (2014:120-121) elaborate that performance management encompasses numerous activities to improve the efficiency and effectiveness of public departments to achieve the strategic aims and promote the institutional vision and mission. Performance management refers to all processes and systems developed to manage and develop the performance of individuals, teams (human resource performance), departments or

institutions (organisational performance) within the public sector. This is in line with the Performance Management Guide of Municipalities (2001:16) which sees performance management as entailing two types, namely organisational performance management that includes, *inter alia*, the monitoring and evaluation of the overall performance of a public institution, e.g. a department of municipality, and the human resource (employees) performance within a municipality.

Thornhill (2016:274-275) maintains that performance management aims to ensure that officials set and achieve predetermined standards in the fulfilment of their executive duties. Performance management is an integrated process that identifies, appraises, and manages employee performance, striving to maximise public policy and programmes through continuous measurement against standards. Van der Waldt (2014:119) maintain that performance management was developed in the private sector and adopted by the public sector to improve service delivery. Thus, performance management refers to an integrated approach to improve institutional performance of a public-sector department or sphere of government and service delivery.

## **2.3 STATUTORY AND REGULATORY LEGISLATIVE FRAMEWORKS FOR MONITORING AND EVALUATION IN THE SOUTH AFRICAN PUBLIC SECTOR**

The following section outlines the statutory and regulatory framework pertaining to monitoring and evaluation.

### **2.3.1 The Constitution of the Republic of South Africa (1996) (Act 108 of 1996 as amended)**

The basic rights of the people of South Africa are enshrined in Chapter 2 of the Constitution (1996). Section 26 of the Constitution (1996) providing for every citizen's right to adequate housing and Section 27 everyone's right to access to health care, food, water and social security. Adherence to Chapter 2 of the Constitution (1996) regarding basic service delivery requires that effective monitoring and evaluation systems be in place in all three spheres of government to ensure that basic services are effective and efficient.

According to Ille et al. (2016:181), all the spheres of government should observe these basic rights through consistency in their service delivery efforts and sensitivity from public officials in any monitoring and evaluation activities in which they may be involved when promoting effective service delivery to communities. In terms of Section 41(1) of the Constitution (1996) levels of government should cooperate with one another in mutual faith and good trust, promote cooperative governance, assist and support one another, as well as consult one another about matters of mutual interest. Thus, actions should be coordinated to give effect to the agreed protocols and procedures.

Section 125 of the Constitution (1996) specifies that the Premier and Executive Council should exercise executive authority by ensuring that national and provincial legislations are implemented effectively. Section 125(2)(e) makes provision for the provincial executive authority to coordinate the functions of the provincial administration and its departments and Section 139(b)(1) for intervention by said authority to maintain essential national standards or meet established minimum standards for rendering of a service when a municipality cannot fulfil an executive obligation. Section 152(a) delineates the objectives of local government, namely: to provide a democratic and accountable government for local communities; to ensure sustainable service provision to communities; to promote social and economic development; to promote a safe and healthy environment for communities; and to encourage the involvement of communities in the affairs of local government. In light of the above, effective monitoring and evaluation practices are needed to ensure that services are delivered effectively and efficiently in all three spheres of government.

Section 153 of the Constitution (1996) stipulates that local government should fulfil developmental duties by structuring and managing administration to prioritise the needs of the community through effective budgeting and planning as well as participating in national and provincial developmental programmes. Effective monitoring and evaluation could assist local government in effectively implementing developmental programmes and projects and promoting effective service delivery to the public. In terms of Section 155(7) of the Constitution (1996) both the national (subject to Section 44) and provincial government have legislative and executive authority to oversee municipalities' effective performance of functions and delivery of services listed in Schedule 4 and 5.

According to Section 195 of the Constitution (1996) public administration should strive to: promote a high standard of professional ethics; provide impartial, fair and equitable services to communities without bias; use resources effectively, efficiently and economically; respond to people's needs; encourage the public to participate in policy making and public affair; be accountable; foster transparency to the public through timely, accessible and accurate information. An effective monitoring and evaluation system that promotes accountability and transparency and an efficient and effective public service that is responsive to the needs of its citizens is needed to fulfil the requirements above. The Constitution (1996) calls for monitoring and evaluation to be aligned to the basic values and principles that govern public administration and apply to all public enterprises, organs of state and to the administration of the three spheres of government (Ijeoma, 2010:352). Moreover, Thornhill (2016:181) maintain that Section 195 calls for monitoring and evaluation activities to be undertaken ethically and with integrity. This entails that findings be presented as fairly as possible, all limitations declared, and confidentiality of sensitive information taken into account with all monitoring and evaluation activities. Molepo (2011:13) agrees that the basic values and principles for public administration should underpin monitoring and evaluation in the public service and Van der Westhuizen and Wessels (2013:147) points out that the values and principles determine important standards against which the performance of public officials should be measured.

The functions of the South African Human Rights Commission are provided for in Chapter 9 of the Constitution (1996). Section 184(1)(c) provides that the Human Rights Commission should monitor and assess the observance of human rights while, section 184(2)(a) states that the commission should investigate and report on the observance of human rights. In terms of Section 188, the Auditor-General should audit and report on the accounts, financial statements and financial management of all national, provincial and municipal departments and their administrations. Thornhill (2012:193) avers that Sections 188 and 189 of the Constitution (1996) provide the functions of the Auditor-General who has a crucial monitoring and evaluation function regarding the financial management and administration of all three spheres of government.

Another important institution with an important monitoring and evaluation function is the Public Service Commission (PSC) in the Public Sector. Section 196(1) makes provision for a single Public Service Commission while Section 196(4) describes this Commissions powers and functions as follows;



- The PSC must promote the values and principles of public administration as provided in Section 195 of the Constitution (1996).
- The PSC must investigate, monitor, and evaluate the organisation and administration as well as the human resource management practices of the South African public service.
- The PSC must propose measures to ensure effective and efficient performance within the public service.
- The PSC must report on its activities as well as the performance of its functions and it must conduct an evaluation of the extent to which the values and principles of Section 195 of the Constitution, 1996, are complied with.
- The PSC must investigate and evaluate the application of human resource management practices as well as that of public administration practices in the public service.
- The PSC must report to the relevant executive authority and its legislature.
- The PSC must monitor and investigate adherence to applicable procedures in the public service.

The Public Service Commission plays an important role in monitoring and evaluating public administration practices, providing measures to ensure the effective and efficient performance of South African public institutions or departments in adherence to the basic values and principles of public administration.

Section 215(1) of the Constitution (1996) requires the monitoring and evaluation of national, provincial and municipal budgets, budgetary processes to promote accountability and effective and efficient financial management. Section 216 states that the National Treasury is responsible for treasury control to ensure both transparency and expenditure control in each sphere of government. Treasury is expected to introduce generally recognised accounting practices and establish uniform expenditure classifications of treasury norms and standards. The Constitution (1996) basically requires effective and efficient monitoring and evaluation practices within the three spheres of government regarding, public administration, human rights, budgetary processes, financial management to ensure that national and provincial legislation and service delivery are implemented effectively and efficiently.

### **2.3.2 Public Service Act of 1994 (Act 103 of 1994) and the Public Service Amendment Act (2007) (Act 30 of 2007)**

Section 129(4)(b) of the named Act requires that the criteria for the performance appraisals of Heads of Departments be covered in their employment contracts. Section 7(3)(b) establishes that Heads of Departments should manage their departments effectually and proficiently. Section 13(5)(b) of the Act puts forth that disciplinary action such as dismissal be taken against employees who do not perform as required. Van der Westhuizen and Wessels (2013:147) contends that the Public Service Act regulates the administration and organisation of the public sector regarding conditions of employment and performance management.

### **2.3.3 White Paper on Human Resources Management in the Public Service (1997)**

The aim of the White Paper on Human Resource Management in the Public Service (1997), is to provide a policy framework that facilitates the development of human resource management practices that support an effective and efficient public service by strengthening under-developed performance management. Chapter 4 of this White Paper specifies that managers should take responsibility for managing the performance of subordinates. Thus, Section 4.1.4 makes provision for the establishment of a performance management system to monitor and evaluate the performance of the human resources (employees) as well as recognise and reward outstanding performance. Guidelines are also given on how to manage poor performance from employees. Section 5.9.2 sees performance management as an integral part of an effective human resource management and development strategy. Van der Westhuizen and Wessels (2013:148) maintains that performance management in the South African public service should be result-oriented, promote openness, fairness and transparency, focus on training and development of employees, reward outstanding performance, and effectively manage poor performance of employees.

### **2.3.4 The Public Audit Act (2004) (Act 25 of 2004)**

The Public Audit Act (2004), is the foundation of formal control in the public sector (Thornhill, 2016:273) with Section 2 stating the following objectives:

- To give effect to the constitutional requirements of auditing of institutions and accounting entities in the public sector;

- To make provision for an oversight mechanism by assisting, protecting and promoting the independence, impartiality, dignity and effectiveness of the Auditor-General; and
- To advise to the National Assembly (Fourie and Opperman, 2015:13).

This Act prescribes the formal control functions of the Auditor-General who is the supreme independent audit institution of the Republic of South Africa subject only to the Constitutional laws and is accountable to the National Assembly. Section 20 directs that the Auditor-General's Report "should reflect opinions and statements as may be required by any legislation applicable to the auditee subject to the audit." Section 20 of the Act further determines the minimum requirements that should be covered in the Auditor-General's Report.

### **2.3.5 White Paper Transforming Public Service Delivery (1997), Batho Pele**

Chapter 11 of the White Paper Transforming Public Service Delivery, 1997, gives effect to monitoring and evaluation by requiring that mechanisms and structures be designed to measure progress and introduce corrective action where applicable in the three spheres of government. Short, medium and long-term provision plans should be brought out annually and five yearly and reporting done to respective legislatures. Section 12.7 stresses that transparency about results obtained and resources utilised is important to implementing a successful service delivery programme.

### **2.3.6 Public Financial Management Act (PFMA) (Act 1 of 1999)**

The Public Financial Management Act (PFMA) (1999) (Act 1 of 1999) (herein after referred to as the PFMA) adopts a financial management approach which focusses on aspects such as responsibilities and outputs to improve the quality of financial management. Section 3.2 of the PFMA and Section 216 of the Constitution (1996) call for the establishment of a national treasury and prescribe measures to ensure transparency and expenditure control in each sphere of government through the following; a standardised system of accounting practices; uniform expenditure classifications; and uniform treasury norms and standards. Section 4.4 of the PFMA stresses that National Treasury should enforce and monitor the uniformity of treasury norms and standards as well as implement the budget in addition to financially overseeing

organs of state in the three spheres of government. Section 36 outlines guidelines for monitoring and evaluation that will be discussed below.

This section (Section 36) holds that each department and constitutional institution must appoint an Accounting Officer or, in the absence of such, an official acting in the place of the Accounting Officer. Thus, every public entity must have an accounting authority to answer for any financial irregularities that might occur. Section 38(1)(a) sets out the general responsibilities of Accounting Officers which are to maintain effective, efficient and transparent financial and risk management systems and internal control as well as a system of Internal Audit under the control and direction of an Audit Committee. Furthermore, they should maintain a procurement and provisioning system that is fair, equitable, transparent, competitive and cost-effective. Thus, Accounting Officers are responsible for the effective, efficient economical and transparent use of resources of departments, entities of constitutional institutions. Accordingly, Section 38(1)(g) of the PFMA (1999) recommends that a system of internal audit be established and Section 40 that accounting officers keep full and proper records of financial affairs and submit annual reports on the activities of the department, entity or constitutional institution. The accounting officer is expected to report any unauthorised, irregular and wasteful expenditure to the Auditor-General. Thornhill (2012:209) avers that Section 76 of the PFMA (1999) makes provision for financial regulations and instructions related to accounting staff who report the Accounting Officer. The above provisions contemplate that all three spheres of government, entities and constitutional institutions must ensure transparency and expenditure control, in addition to effective, efficient and transparent systems of financial and risk management and internal control.

### **2.3.7 Public Service Regulations (2001) as amended in 2008**

The Public Service Regulations (2001) as amended in 2008, sets directives for monitoring and evaluation through assessment and reporting of Human Resource Management functions and practices to meet service delivery outcomes. Chapter 1, Section B, part VIII advises on performance management and the regulation thereof by the executive authority in a consultative, supportive and non-discriminatory way by adhering to these guidelines:

- Employees should be given the period of assessment period in advance and in writing;
- Employees should be informed who will be carrying out the assessment;

- Employees should be informed of the criteria that will be used to assess their performance; and
- Continuous feedback should be provided to all employees.

Part VIII of Section B2(a) divides the performance cycle into phases of monitoring the performance of subordinates and effectively providing feedback on these performances. Section C espouses standardised decisions about probation periods, rewards, promotion and skills development of employees. The Public Service Regulations, 2001, introduce a performance management system and procedures in addition to stating the responsibilities of managers and employees in the performance management cycle.

### **2.3.8 Intergovernmental Relations Framework (2005) (Act 13 of 2005)**

This Act makes provision for monitoring and evaluation in the following ways; firstly, Chapter 1, Section 4(c) emphasises the importance of all spheres of government monitoring and evaluating the effective implementation of policies and legislative frameworks, cooperatively. Secondly, Chapter 2, Section 7 states that the President's Coordinating Council (PCS) must reconcile the performance reports of the three spheres of government to national priorities. Sections 11(b)(iii) and (c) and 18(a)(viii) expounds on national intergovernmental forums coordinating and aligning strategic and performance management plans, priorities, objectives and strategies across the three spheres to detect failures and take timely corrective action.

In terms of Chapter 3, Section 35(d) and (e), all branches of government must work together to establish oversight and monitoring mechanisms for the effective implementation of the intergovernmental relation protocols. Concurrently, Section 47(e) stipulates that Ministers of each of the various national departments can issue specific regulations regarding indicators for monitoring and evaluation to promote the effective implementation of this Act.

### **2.3.9 Public Administration Management Act (2014) (Act 11 of 2014)**

According to Opperman and Fourie (2015:35), the objectives of the Public Administration Management Act, 2014, include the following; to give effect to the constitutional values and principles of public administration provided in Section 195(1) of the Constitution (1996), and

provide minimum norms and standards. The Minister of Public Service and Administration should prescribe minimum norms and standards on measures to improve efficacy and efficiency in the public service. Section 17 of the Act makes provision for the establishment of the Office of Standards and Compliance responsible for evaluating the appropriateness of norms and standards as well as promoting and monitoring compliance with the Minister of Public Service and Administration's minimum norms and standards.

### **2.3.10 Policy Framework for Government-wide Monitoring and Evaluation (GWM&ES), 2007**

The Presidency (2007:1) maintains that the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES), 2007, serves as the predominant framework for monitoring and evaluation in South Africa. This framework aligns with others such as the National Treasury's Framework for Managing Programme Performance Information and Statistics South Africa's South African Statistics Quality Assurance Framework. The Policy Framework for Government-wide Monitoring and Evaluation (2007:2) identifies these key elements of monitoring and evaluation:

- Firstly, monitoring and evaluation focus on the inputs that are needed to do a task;
- Secondly, they focus on activities, actions or processes that need to be followed;
- Thirdly, they focus on product, goods or service outputs of the public sector;
- Fourthly, they focus on the influence, results or impact that a policy, project or programme has on the community or target group;
- Lastly, monitoring and evaluation focus on the outcomes of what needs to be done to achieve institutional goals and objectives.

Monitoring and evaluation enable users to draw connections between public sector inputs, outputs and outcomes as well as impacts of government programmes and projects. The Policy Framework for Government-wide Monitoring and Evaluation (2007:3) provides the following principles:

- Monitoring and evaluation should lead to the improvement of governance in all spheres of government. They should give effect to the principles of transparency, accountability, participation and inclusiveness. According to Thornhill (2012:13), this can be achieved by reporting all findings of monitoring and evaluation processes

(transparency), ensuring that the use of resources by public officials is open to public scrutiny (accountability), the historically disadvantaged voice is heard (public participation) and lastly, all traditionally excluded interest groups are represented throughout (inclusion).

- Monitoring and evaluation activities should promote the constitutional rights as provided in Chapter 2 of the Constitution (1996). They should promote a culture based on rights which serve as the value base for all monitoring and evaluation processes. M&E practices should be consistent with constitutional rights as contained in the Constitution (1996), sensitising public officials to rights issues during any monitoring and evaluation exercises (Ile et al, 2012:13).
- Monitoring and evaluation should contribute to the notion of a development-oriented governance in all branches of government. They should be pro-poor oriented, focussing on improving service delivery performance. The impact of monitoring and evaluation interventions must be considered during planning processes and the actual outcomes of all plans should be tracked and analysed in a suitable way to improve performance and effective service delivery in all government departments and administrations. This should be undertaken at all levels of government, but more especially at local government level where service delivery directly impacts the lives of communities. Any monitoring and evaluation theme should be geared toward improving the quality of life of citizens by ensuring appropriate service delivery and prioritising the needs of the economically challenged. For M&E to realise developmental goals, appropriate management of human resources and the transfer of best practices need to be communicated effectively across sectors and spheres to ensure replication of success and that challenges tackled (Thornhill, 2012:13).
- Monitoring and evaluation should be conducted ethically. All monitoring and evaluation processes and activities should promote the responsible use of personal and sensitive information. Findings and reports of monitoring and evaluation activities should provide a fair and balanced account and recommendations effective. All monitoring and evaluation processes should meet strategic needs and a record of the recommendations should be maintained and followed up. Furthermore, an accessible central point of evaluation reports and indicators should be maintained.
- Effective data collection methods must be used during monitoring and evaluation activities to ensure that findings are based on systematic evidence and analysis



methodologies. Common indicators and data collection methods should be used to improve the quality of data and makes provision for trend analysis. Thornhill (2012:14) state that this would ensure the validity and attainability of finding. Furthermore, there would be clarity about evaluation objectives, the utilisation of appropriate research tools and techniques in the collection of data and the analysis thereof and finally, the synthesis of such findings.

- Monitoring and evaluation, as integral parts of public management and control, should be proper and operationally effective. The Policy Framework for Government-wide Monitoring and Evaluation (2007:3) requires that the scale of monitoring and evaluation should reflect the purpose, risk level and available resources. Furthermore, benefits of monitoring and evaluation activities should be clear and the scale appropriate and in accordance with available resources.

Components of the Government-wide Monitoring and Evaluation System (GWM&E) should be integrated with existing management and decision-making systems such as the Medium-Term Expenditure Framework (MTEF), In-Year Management Plans, Human Resource Planning, Annual Reporting and Monitoring, the Public Management Watch Programme of the public service, Integrated Development Plan (IDP), and municipal performance management systems. Consequently, departmental monitoring and evaluation strategies should outline how the Programme Performance Information Framework regarding the preparation for audits of non-financial information and the South African Quality Assurance Framework Standards were met (where applicable). Government departments should also adopt their own monitoring and evaluation strategies that focus on own performance and impact. In addition, the various sectoral perspectives should be considered with the development of all departmental monitoring and evaluation strategies. Each departmental strategy should specify the approach followed to create and operationalise monitoring and evaluation for useful and accurate information that promote effective service delivery and governance in all three spheres of government. An inventory of departments' monitoring and evaluation systems and what needs to be done to improve M&E systems should be done.

Other requirements as provided in the Policy Framework for Government-wide Monitoring and Evaluation (2007:12) include that effective monitoring and evaluation systems should be built on good planning and budgeting systems and provide valuable feedback to departments. So, monitoring and evaluation roles and responsibilities should be embedded in job



descriptions and performance agreements to ensure individual performance that adheres to expectations. Also needed is the clarification of the institutional roles and responsibilities and capacity building of various role players regarding monitoring and evaluation for institutional arrangements to ensure effective implementation of the Government-wide Monitoring and Evaluation System in all three spheres of government. The institutional roles and responsibilities and the institutional arrangements to implement the Government-wide Monitoring and Evaluation System will be discussed in Chapter 3 of this study.

### **2.3.11 Implementation Plan for Government-wide Monitoring and Evaluation System (2005)**

The Implementation Plan for Government-wide Monitoring and Evaluation Systems, 2015, was introduced to promote good governance and enhance the effectiveness of public sector institutions and organisations by strengthening the collection, comparison, analysis, distribution and application of information on assessing the impact and progress of government programmes and projects. More specifically, this publication is directed at the following aims:

- Focussing of essential elements of results-oriented monitoring and evaluation that supports governments decision-making;
- Accountability and learning;
- Enshrining a culture of monitoring with the three spheres of government;
- Integrating the monitoring and evaluation function within government;
- Sharing best monitoring and evaluation practices;
- Provide guidance for the assessment of results in the context of government action meeting priorities;
- Stressing the importance of both monitoring and evaluation as important management functions in ensuring the quality of government interventions and supporting decision-making, accountability, learning and capacity development (DPME, 2016:2).

### **2.3.12 National Evaluation Policy Framework (2011)**

The main purpose of the National Evaluation Policy Framework (2011: iii) is to provide a basis for evaluations across the three spheres of government, not only to promote quality evaluations but to evaluate and reflect on processes and programmes that are effective and identify

corrections and interventions required to promote efficient and effective service delivery as well as improve the impact on government in general. Furthermore, it ensures that credible and objective evidence from evaluations is utilised in planning, budgeting, organisational improvement, policy review, and on-going programme and project management to improve overall organisational performance. Lastly, it seeks to establish common ground for evaluation in the public service. The framework links evaluation to planning and budgeting process by ensuring that evaluations are used to improve performance. In addition, the National Evaluation Policy Framework (2011:2) provides the for following: an institutional framework for evaluation; is an instrument to promote the use of evaluation by creating a joint collective understanding of evaluations within the three spheres of government. The National Evaluation Policy Framework (2011:1) aims to:

- Emphasise the importance of evaluation in the policy management process;
- Provide a guideline for institutionalised evaluations in government,
- Strengthen connections between policy-making, planning and evaluations;
- Cultivate a conceptual and singular base for evaluation in government;
- Specify the role of evaluations in relation to performance management instruments;
- Explain the evaluation function in terms of its scope, how it will be institutionalised, the processes to be followed with evaluations, the skills required, and financial requirements and oversight;
- Identify the roles and responsibilities of public institutions responsible for evaluations;
- Promote the quality of evaluations conducted within public institutions; and
- Promote the use of evaluation findings to improve the overall performance of government departments.

This framework also identifies the four primary purposes of evaluations as:

- To improve performance of government;
- To improve and support accountability;
- To increase knowledge based on evidence amongst public managers and officials about what works and what does not in relation to public policy, public programmes and projects; and
- To provide a basis for effective decision-making based on evidence of the impact and success or failure of a programme or policy and what interventions, if any, ought to be taken.

The National Evaluation Policy Framework (2011:3) focusses on the seven guiding principles for monitoring and evaluations as provided in the Policy Framework for the Government-wide Monitoring and Evaluation, 2007 that M&E should:

- Be development-oriented, focussed and support the key development priorities of government and the communities;
- Done in an ethical and with integrity;
- Use findings of evaluations effectively;
- Use sound methods of evaluation;
- Promote accountability and transparency;
- Be conducted in a way that promotes inclusivity and is participatory; and
- Promote learning from best practices to prevent past mistakes.

The National Evaluation Policy Framework (2011:8) further explains the different types of evaluation such as diagnostic, design, economic, impact and implementation evaluations and what each of these types of evaluations cover as well as who should conduct them in the public sector. The National Evaluation Policy Framework (2011:12-140) provides the different stages of the evaluation process that needs to be followed during evaluations namely;

- The pre-design stage that focusses on preparation, the development of terms of reference, selection of service providers, and the data quality and availability.
- The implementation phase of evaluations focusses on inception but also provides guidelines for the roles of the advisory and steering group as well as the role of management and support.
- A review and validation process requiring a peer review process and describing what should happen during validation where the findings of the draft evaluation report should be presented to all stakeholders.
- The steps that should be followed during the recommendation and management response process are explained in detail.
- How the results should be communicated to the different stakeholders through different communication channels.
- Lastly, during the follow-up process, based on the evaluation findings and recommendations, the management of a department should: prepare an improvement plan; undertake the necessary actions to improve the function of the department or

the delivery of a public programme or project; the Department of Monitoring and Evaluations and applicable Office of the Premier should monitor the implementation and progress of recommendations and the implementation plan on a three-month basis; the Department of Monitoring and Evaluations must report to Cabinet and to the Office of the Premier on the progress of evaluations; Provincial and National Treasuries must use evaluation report findings and recommendations to support the budgeting process based on evidence; and lastly the departments should use the findings of any evaluations in their planning and budgetary processes.

The National Evaluation Policy Framework (2011:15-17) provides the roles and responsibilities to institutionalising evaluations in government that will be outlined in Chapter 3 of this study.

### **2.3.13 The Framework for Managing Programme Performance Information,**

The Framework for Managing Programme Performance Information is aimed at the following:

- To clarify definitions and standards for performance information;
- To improve integrated structures, systems and processes required for the management of performance information;
- To define the roles and responsibilities required for managing performance information;
- To promote accountability and transparency by providing all stakeholders with timely, accessible and accurate performance information (Framework for Managing Programme Performance Information, 2007:1).

### **2.3.14 Provincial Growth and Development Strategy (PGDS) Free State**

According to the Provincial Growth and Development Strategy (PGDS) Free State (2005:165) a performance monitoring plan is an important tool for planning, managing and documenting data collection. The Provincial Growth and Development Strategy (PGDS) Free State (2005:165) states that the effectiveness of the performance monitoring system must be promoted by assuring that comparable data will be collected on regular and timely basis. The above is crucial in the operational effectiveness of a performance-based management approach.

### **2.3.15 Medium-Term Strategic Framework (MTSF)**

The Medium-Term Strategic Framework (MTSF) is central to national government planning coherence in service delivery and development and is aimed at the integration of policy on a horizontal and vertical level through the clustering of sectoral line ministries around shared objectives. In February 2008, the Annual State of the Nation Address was also supplemented by the Apex priorities, one which includes ensuring integrated planning across all three spheres of government.

PSC (2007:10-11) goes on to add that the Medium-Term Expenditure Framework (MTEF), along with the Medium-Term Budget Policy Statement, is also used to promote intergovernmental cooperation as well as planning in three-year cycles. In 2003, the National Spatial Development Perspective (NSDP) was launched to promote aligned policy implementation between the three spheres and has since been updated on a regular basis. The NSDP was approved as a planning tool to promote intergovernmental alignment and harmonisation. The NSDP articulates the normative principles and methodologies to underpin investment, infrastructure investment and development planning decisions of all three spheres and the NSDP forms a link between provincial PGDS, the IDP and LED plan.

### **2.3.16 Legislative frameworks of local government that requires effective monitoring and evaluation of the affairs of local municipalities**

The Local Government: Municipal System Act (MSA) (Act 32 of 2000) (hereinafter refers to as the MSA, 2000) makes further provision for the assignment of functions to a municipality from other spheres of government and it sets out the requirements pertaining to performance management, municipal administration service provision and debt collection within municipalities. The provides for the publication of by-laws and the roles of national and provincial government by setting standards as well as monitoring and evaluation of municipalities. Section 47 of the *MSA*, 2000, provides for the Member of Executive Council (MEC) for Local Government to annually compile and submit to the provincial legislature and the Minister of Cooperative Governance and Traditional Affairs (COGTA) and to the National Council of Provinces (NCOP), a consolidated report on the performance of all municipalities in a province. This Section also provides for the Members of the Executive Council (MEC) for Local Government to annually compile and submit to the provincial legislature and the

Minister of Cooperative Governance and Traditional Affairs (COGTA), and to the National Council of Provinces (NCOP), a consolidated report on the performance of all municipalities in a province. MECs for Local Government must assess all the annual financial statements of municipalities within a particular province, the audit reports on such statements, and any responses by municipalities to such Audit Reports (Fourie and Opperman, 2011:503).

In terms of Section 51 of the MSA (2000), the Municipal Manager of a municipality is accountable for the overall performance and administration of a specific municipality. Apart from the oversight and accountable functions of a municipal council and the municipal manager, there are also committees and personnel who must fulfil the functions of accountability and oversight over municipal officials to ensure that municipalities are able to meet their constitutional obligations such as the executive committees, mayoral committees, council portfolio committees, municipal public accounts committees and audit committees. Section 105 of the MSA (2000) provides guidelines as to how the provincial government should monitor and evaluate the performance of municipalities, and to assess the support needed to improve the performance of municipalities as well as to develop relevant capacity development initiatives.

Section 54(a) of the MSA (2000) (as amended by Act 7 of 2011) and Section 55(3) of the Local Government Municipal Finance Management Act (MFMA (2003) (Act 56 of 2003) (Hereinafter refer to as MFMA (2003) make provision for the accountability functions of the municipal manager. In terms of Section 65, of MFMA, 2003 each municipality must establish an internal audit unit to assist the municipal council in improving oversight within a municipality. The MFMA Circular 32 of 2006 provides the guidelines for the establishment of the Municipal Public Accounts Committee (MPAC), while sections 79 and 80 of the Local Government Structures Act (Act 117 of 1998) make provision for the establishment of portfolio committees to exercise oversight of service delivery projects. According to Section 66(1) of the MFMA (2003) each municipality must have an audit committee that does not form part of the administration. The purpose of the audit committee is to identify risks to which a municipality could be exposed, and to advise the Municipal Council. Section 166 of the MFMA (2003), provides that each municipality must have an audit committee to advise the council on internal financial control, internal audits, risk management, accounting policies, the adequacy, accuracy, reliability of financial information and reporting.

## **2.4. AN OVERVIEW OF MONITORING AND EVALUATIONS IN THE CONTEXT OF SOUTH AFRICAN PUBLIC SECTOR**

According to the Public Service Commission (2007:2), from 1994 to 2005, monitoring and evaluation were conducted in a fragmented way and were not integrated into a comprehensive monitoring and evaluation system. The National Treasury and the Auditor General (AGSA) were the major role players of the emergence of monitoring and evaluation systems. The Framework for Programme Performance Information (FMPPI), aiming at a results-based management conceptual base, was introduced by the National Treasury. The Framework for Programme Performance Information (FMPPI) aims to structure department's budgets around high level budget programmes, and it provides framework for indicators and reporting. The Auditor-General (AGSA) emphasises compliance with statutory legislation and legal processes and mainly focussed on financial audits but later adding the audit of reporting against predetermined objectives (National Treasury, 2007; Public Service Commission, 2007:2; Cloete, *et al.* 2014:353).

According to Naidoo and Henning (2014:5), the Public Service Commission operationalised its monitoring and evaluation mandate in 1996 to execute its oversight function of performance against established benchmarks. by focussing on the nine values and principles of public administration as provided in section 195 of the Constitution (1996). Furthermore, the Public Service Commission developed internal monitoring and evaluation capacity around the following focus areas:

- Integrity and anti-corruption;
- The performance and evaluation of senior management leadership;
- Human resources policy and practices reviews;
- Departmental performance;
- Service delivery assessments;
- Compliance evaluations; and
- Grievance management.

Naidoo and Henning (2012:6) further explain that the Public Service Commission that the above components forms part of the overall effective government performance and requires tracking, monitoring and evaluation systems. The Public Service Commission is also

responsible for the Transversal Public Service Monitoring and Evaluation System that assesses on an annual basis the actual performance of a department against a set of indicators and standards linked to each of the nine values as provided in section 195 of the Constitution (1996).

Cloete *et al.* (2014:353) maintain that the White Paper of Transforming Public Service Delivery, 1997, “Batho Pele” introduced the New Public Management approach, emphasising targets, results, delegation, accountability, transparency and service standards. The Department of Public Service and Administration (DPSA) introduced the Public Service performance management and development system (PMDS) to promote human resource management planning and accountability. However, Cloete *et al.* (2014:353), further argues that the performance management and development system have limitations in that it does not hold staff to account for their performance.

Mouton (2010:64) state that prior to the introduction of the Policy Framework for Government-wide Monitoring and Evaluation Systems (GWM&ES), 2007, the South African government was only responsible to provide feedback about its programmes in the annual departmental reports. The annual departmental reports were also supplemented by regular external audit reports from the Auditor General, outlining departmental compliance with regulatory frameworks. These reports did not focus on evaluations of the outcomes and impacts of governmental policies, programmes and projects. In addition the South African Public Service Commission (PSC) has taken it upon itself to monitor, evaluate and report on the compliance of government departments and agencies at national and provincial spheres in the achievement of the following principles as set out in Section 195 of the Constitution (1996) namely; professional ethics, efficiency and effectiveness, participatory development orientation, impartiality and fairness, transparency and accountability, human resource management and development and representativeness.

According to Cloete *et al.* (2014:364), the Presidency adopted an outcomes-based approach in 2009 by requesting each national and provincial and municipal department to develop appropriate indicators to promote monitoring of their services. The aim of the outcomes approach is to strengthen the strategic focus of government as well as to improve interdepartmental and intergovernmental coordination by focussing on the implementation of 12 priority outcomes. In January 2010, the 12 outcomes were agreed on and performance



agreements were signed in the different national, provincial departments and municipalities. Cloete *et al.* (2012:364) further point out that the 12 outcomes focussed on priorities such as rural development, education, health, employment and crime.

According to Molepo (2011:2-5), since 2007, the mandate of the Department of Public Service and Administration (DPSA) incorporated support mechanisms to national and provincial government departments with the implementation of decentralised human resource management policy and practices including service delivery mechanisms to promote effective service delivery. The introduction and development of an effective monitoring and evaluation systems as part of the control management function throughout government becomes an important mechanism to promote effective and efficient service delivery. The Department of Public Service and Administration emphasises the 12 key outcomes that all national and provincial governments should achieve namely:

- Outcome 1: Quality basic education should be delivered;
- Outcome 2: To ensure a healthy life for all people of South Africa;
- Outcome 3: To create a safe South Africa where all people feel safe and secure;
- Outcome 4: To ensure employment for all through inclusive economic growth;
- Outcome 5: To develop a skilled and capable workforce to support an inclusive growth plan;
- Outcome 6: To establish an efficient, responsive and competent economic infrastructure networks;
- Outcome 7: To ensure a sustainable rural community that contributes towards the achievement of sustainable food security for all;
- Outcome 8: To improve the quality of household life for all and to establish sustainable human settlements;
- Outcome 9: To promote an accountable, effective, efficient and responsive local government;
- Outcome 10: To promote a sustainable environment for all people by protecting and enhance environmental resources;
- Outcome 11: To create a better country, continent and world for all; and
- Outcome 12: To establish an efficient and effective public service that is developmental oriented as well as to promote an empowered fair and inclusive citizenship.

To promote the implementation of an effective monitoring and evaluation system Molepo (2011:5) states that the Department of Public Service and Administration focusses particular on outcome 12 namely; to establish an efficient and effective public service that is developmental oriented as well as to promote an empowered fair and inclusive citizenship. Molepo (2011:2-5) further avers that specific monitoring and evaluation outputs for outcome 12 were formulated to implement an effective monitoring and evaluation system. The 7 outputs to promote effective monitoring and evaluation include the following:

- Effective and efficient service delivery quality and access in all national and provincial governments;
- To promote effective human resource management and development practices;
- To introduce effective business processes, systems, decision rights and accountability management practices;
- To fight corruption effectively in all national and provincial governments;
- To focus on nation building and developing a national identity;
- To promote effective public participation in the affairs of government; and
- To promote uniform service standards regarding all service delivery practices.

The Policy Framework for the Government-wide Monitoring and Evaluation (GWM&ES) was introduced in 2007 to outline the key principles, standards for monitoring and evaluation in the public service. The Department of Performance Monitoring and Evaluation was established in 2010 with the specific purpose to monitor the performance and to evaluate public service standards. Phillips (2012:13) avers that the Department of Performance Monitoring and Evaluation introduced the outcomes approach concerning monitoring and evaluation to achieve the following:

- To detail planning implementation and monitoring and evaluation;
- To promote monitoring and evaluation in the three spheres of government;
- To monitor the performance of individual departments (national, provincial and municipalities); and
- To monitor the delivery of service delivery.

Phillips (2012:13) further explains that the outcomes approach is geared to transform the way in which government works. It strives to improve service delivery by getting the different government departments to collaborate effectively with each other as well as to produce plans

or delivery agreements for priority outcomes, linking inputs and activities to outputs and outcomes and providing targets and time frames. Phillips (2012:13) further states that the aim of the outcomes approach is to address various weaknesses such as the lack of strategic focus in the three spheres of government, challenges with inter-departmental and inter-governmental coordination, working in silos; lack of rigour in planning; and weaknesses in implementation. Lastly, the outcomes approach emphasises the need to integrate government planning, budgeting and monitoring and evaluation.

## **2.5. THE SOUTH AFRICAN GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM**

According to the Policy Framework for the Government-wide Monitoring and Evaluation System (2007:4), it is a statutory requirement that the accounting officer of a department or a municipality or in the case of a public entity the chief executive officer, establish a monitoring and evaluation system for the institution. The results of the monitoring and evaluation system for the institution will be used to refine the institutional planning and implementation processes. In the South African Government-wide Monitoring and Evaluation System the data and information will be used by other stakeholders of the different spheres of government to create an overall picture of national, provincial and local governments performance.

During 2005, Cabinet approved a plan for the development of a Government-wide Monitoring and Evaluation System. The inter-departmental task team managed by the Department of Public Service and Administration (DPSA) was responsible for the implementation of the above framework. In 2007, this framework was adopted. The aim was to align the developmental goals of the national, provincial and local governments to provide reliable and accurate data to manage programme performance.

According to Molepo (2011:7-9), the purpose of the Policy Framework for the Government-wide Monitoring and Evaluation (GWM&ES) includes the following:

- It outlines the key principles, standards of monitoring and evaluation and serves as a framework for monitoring and evaluating public service regulations and programmes;
- The framework intends to create an awareness and interest amongst the senior management staff (SMS) and other role players in the public service regarding

monitoring and evaluation of policies, statutory and regulatory legislative frameworks, programmes and projects;

- It provides guidelines how monitoring and evaluation findings could be utilised to promote evidence-based decision making and accountability in all national and provincial departments;
- The Policy Framework for the Government-wide Monitoring and Evaluation (GWM&ES) serves as a guideline that provides a step-by-step approach to the relevant procedures, processes and methods that could be utilised to monitor and evaluated public service policies, regulations, strategies, programmes and projects in an effective manner;
- It is complimented by a series of relevant tools and monitoring and evaluation guidelines that should assist national and provincial departments as well as programme and project managers to conduct monitoring and evaluations effectively;
- The framework serves as a planning tool that needs to be followed when conducting monitoring and evaluation activities within national and provincial departments;
- It serves as a diagnostic tool to assist managers responsible for monitoring and evaluation to identify possible shortcoming in their departmental monitoring and evaluation system development;
- It also serves as an effective communication tool to inform staff on the direction that needs to be followed during monitoring and evaluation activities.

Molepo (2011:11) maintains that the Policy Framework for the Government-wide Monitoring and Evaluation (GWM&ES) not only provides a prescript to facilitate the rollout of monitoring and evaluation in the public service but it also provides mechanisms to support the implementation of an effective monitoring and evaluation system. Lastly, Molepo (2011:11) avers that the framework set outs the different roles and responsibilities of all role players when conducting monitoring and evaluation activities.

The framework provides that provincial governments should implement the Provincial- wide Monitoring and Evaluation system and all municipalities the Municipal-wide Monitoring and Evaluation System. The aim was to ensure that all provinces align their Provincial- wide Monitoring and Evaluation system to the Government-wide Monitoring and Evaluation System as well as to the Municipal-wide Monitoring and Evaluation Systems within each province.

Chapter 3 of this study further outlines the various role players responsible to institutionalise the Government-wide Monitoring and Evaluation System.

The initial South African Government-wide Monitoring and Evaluation System of 2005 was revised and updated in 2007 to ensure that the time frames specified were more realistic and achievable. The aim thereof was to coordinate a systematic programme of policy monitoring and evaluation through the public sector in South Africa. The Provincial- wide Monitoring and Evaluation system further aims to monitor internal governmental performance processes, but it also strives to determine the nature of external governmental outcomes and impacts on South African society at large (Mouton, 2010:69-70).

## **2.6 PUBLIC POLICY MONITORING AND EVALUATION**

According to Thornhill (2012:144), every public policy not only has its advantages but also its disadvantages. Although monitoring and evaluating policy implementation are more recent developments it is imperative that every public policy be subject to continual analysis and evaluation. Thornhill (2012:29) maintain that one of the benefits of policy evaluation in the public sector is to promote political and administrative accountability. In addition, public policy evaluations strive to promote transparency. Thornhill (2012:144) explains that policy analysis includes the following:

- It entails the studying of an existing public policy or the lack of such;
- To identify a dysfunctional situation that has developed due to a lack of a policy or despite the existing public policy;
- To study the outputs of the existing public policy to assess whether it was inapplicable, or the inputs provided for its implementation were inappropriate;
- To be able to make use of certain extrapolative techniques such as the Delphi technique, brainstorming or scenario sketching to be able to determine the aspects that should be met by the new or adapted policies; and
- To prepare new or amended public policies for implementation by the appropriate role players such as administrative staff and political executive office bearers.

Thornhill (2012:145) argues that policy analysis assists political executive office bearers to demonstrate to the community that some needs and expectations could not be met because of

a lack of adequate resources or because there is no quick solution to an intractable situation. Policy analysis could also lead to the termination of a particular policy due to its ineffective implementation.

Thornhill (2012:29) aver that policy evaluation entails a thorough analysis of the decisions made, the nature of the processes utilised and the implementation of the specific public policy. The results of the findings of the thorough analysis should be in the form of a report and should be made available to the public for their input. In this way, policy evaluation promotes the quality of information that the public receives on a range of policy-related activities. The information generated in the policy-evaluation activity can also pertain to the intended and unintended consequences of a public policy and to the beneficiaries of the policy (Thornhill, 2012:29).

Thornhill (2012:29) state that public policy evaluations enables the government to compare inputs against the results that are derived from a public policy. The findings of the policy evaluation can report on whether the resources deployed for the policy activities have been well utilised. In this manner policy evaluations promotes financial prudence and reducing wasteful expenditure. Thornhill (2012:29) state that without the effective evaluation of public policies government will not be able to determine if a public policy has been worth all the resources used and whether the policy provides an accurate measurement of activities.

Thornhill (2012:29) argue that policy evaluation contributes to stakeholder participation in that the evaluation process of public policies aims to get perspectives on the appropriateness of the policy from various stakeholders. This process leads to an increased quality of stakeholder participation. It also provides opportunities for effective lobbying, advocacy and engagement between government and communities they serve as the beneficiaries of government services, programmes and projects. Public policy evaluation could contribute to effective management as there will be better conceived programmes and projects. It could also have contributed to improved use of management functions such as planning, organising, leading, effective control, improved implementation due to enhanced technical feasibility and the way in which activities are conceived and delivered (Thornhill, 2012:29).

In light of the above Thornhill (2012:28), claim that evaluation should be viewed as a judging process that compares explicit and implicit policy objectives with desired outcomes or results.

Therefore, the utilisation of administrative aids or techniques such as programme evaluation and review techniques should improve the success of public policy implementation.

## **2.7 DEVELOPMENT AND IMPLEMENTATION OF PERFORMANCE MANAGEMENT SYSTEMS**

According to Nealer (2014:194), the monitoring and evaluation of the performance of an institution requires the development of a performance system that is fully integrated into the overall function and activities of a public institution or department to monitor and evaluate the performance of its policies, programmes and projects. Secondly a performance management and development system should be developed to monitor and evaluate the performance of a public institution's or department's human resources (employees). The Performance Management and Development Guide (2007:15) emphasises the five broad categories of a Performance Management System, namely that it should:

- Promote the efficacy and efficiency of a public institution or department;
- Promote administrative fairness concerning the allocation of financial rewards, incentives and sanctions;
- Be controlled through monitoring and evaluation activities to ensure the achievement of set objectives and results;
- Promote learning; and
- Promote accountability.

Excepting the above, DPSA also introduced the Public Service Performance Management and Development System (PMDS) to promote human resource management planning and accountability. However, Cloete *et al.* (2014:353), further argues that the performance management and development system has limitations in that it does not hold staff to account for their performance.

According to Kusek and Rist (2001:17-19), the following are common challenges that are faced by developing countries in establishing Performance M&E:

- Failure by government to link performance to a public expenditure framework or strategy;

- A lack of connectedness in government and a lack of strong administrative culture and a lack of efficient and effective transparent financial system; and
- Governments in developed countries undertaking a medium-term plan to guide their government priorities. Due to a lack of political will, a weak central agency and a lack of capacity in planning and analysis leads to governments in developing countries experiencing difficulties in mirroring governments of developed countries.

Kusak and Rist (2001:18) identify a ten-step approach to building a performance- based M&E system as outlined below.

- **Step one: Conducting a readiness assessment:** This step involves assessing the capacity and willingness of government and different stakeholders to address issues of skilled labour, barriers to the system, as well as owners and resisters of the M&E systems.
- **Step two: Establishing of performance outcomes to monitor and evaluate:** This step requires that government departments should develop strategic outcomes and goals that justify resource allocation and activities undertaken by government and development partners.
- **Step three: Development of key indicators to monitor outcomes:** The development of key indicators involves the assessment of the degree to which the outcomes and goals are being achieved.
- **Step four: Gathering data on indicators to be used as a baseline:** During this step the measurement of progress or lack thereof towards the goals identified in step one is undertaken. Secondly, this step starts with the description and measurement of initial conditions addressed by the goals.
- **Step five: Setting realistic targets - planning for improvements:** This step deals with the establishment of interim targets that specify how much progress towards a goal should be achieved; in what time; and with what level of resource allocation.
- **Step six: Building a monitoring system:** Building a monitoring system is both an administrative and institutional task of establishing data collection, analysis and reporting guidelines; assigning responsibility; establishing quality control; establishing timelines and costs; establishing roles and responsibilities of government, development partners, and civil society; and establishing guidelines for the transparency and dissemination of information and analysis.



- **Step seven: Analysis and reporting of findings:** During this step, managers must determine which findings should be reported to whom; in which format; and at what intervals. This step addresses the existing capacity for producing such information.
- **Step eight: Accumulating and providing evaluative information:** During this step, departments should employ the following strategies when analysing a performance-based M&E system: evaluation syntheses; outcome and impact evaluations; process evaluations; evaluation assessments; and analysis of programme theory.
- **Step nine: Distributing the finding:** This step involves getting the information to the appropriate users in the system on time so that they can take it into account in the management of government. This information should be used to strengthen accountability; transparency and resource allocation procedures to development partners and civil society.
- **Step ten: Sustaining the M&E system:** It requires a long-term view to ensure the sustainability of the system. Demand, structure, trustworthiness, credible information, accountability, and capacity are key criteria needed to ensure the sustainability of the system.

In addition to the above requirements regarding performance management systems in national and provincial government, the Performance Management Guidelines for Municipalities, 2001, make provision for the establishment of a performance management system within municipalities. In this, guidelines for the development and implementation of organisational performance management systems as well as the linkage to human resource performance management systems are highlighted. According to the above, the implementation of an organisation performance management system should contain the following steps:

- **Planning for organisation performance management.** Firstly, the Performance Management Guide of Municipalities (2001:16) requires that the Integrated Development Plan of a municipality be integrated with the performance management process. Secondly, it clearly states that organisational performance management in municipalities depends on the implementation, management, monitoring and evaluation of the Integrated Development Plan of a municipality to ensure effective monitoring and evaluation of the IDP process.
- **Priority Setting.** According to the Performance Management Guide of Municipalities (2001:17), all municipalities should cluster priorities into the following key

performance areas: infrastructure and services; social and economic development; institutional transformation; democracy and governance; and financial management.

- **Developing a monitoring framework.** All municipalities are expected to develop a monitoring framework with the focus to:
  - Identify the roles of the different role players in monitoring and measuring;
  - Allocate specific tasks for gathering data and submitting reports;
  - Decide on the information that must be collected to monitor and evaluate performance;
  - Determine how information must be collected, stored, verified and analysed;
  - Ensure that a monitoring and evaluation report is submitted to the municipal council every six months;
  - Detect early indications of under-performance regarding the implementation of the Municipalities' Integrated Development Plan;
  - Make sure that corrective measures are taken regarding under-performance; and
  - Compare current performance with performance of the previous financial year and baseline indicators.

As suitable guidelines are in place to assist municipalities with the establishment of a performance management system within municipalities, poor outcomes of the municipalities in the Free State's Auditor-General Report clearly show that something is wrong with the performance of these municipalities.

## **2.8 DIFFERENT FORMS OF MONITORING**

According to Thornhill (2016:188), there are different forms of monitoring namely; input, output and process related monitoring as well as integrated comprehensive monitoring. Firstly, input-related monitoring focusses on efficiency. It is therefore concerned with the efficient use of scarce resources to promote optimal levels of production or service delivery as well as to ensure the efficient utilisation of resources during the implementation of development programmes or projects. Thornhill (2016:188-189) explain that input-related monitoring focusses on inputs. When the same programme or project is implemented in different provinces, input-related monitoring should be undertaken on the inputs required to implement

the programme or project efficiently and cost effectively. Attention should be paid to the following input aspects during input-related monitoring Thornhill (2016:188):

- That the correct people or human resources are assigned to a specific developmental or public-sector programme or project;
- The specific timelines for policy deliverables;
- Optimising the collection and sharing of relevant information;
- Focus on input implementation and the identification of variance; and
- Focus on financial cost of different activities of the programme or project.

The above concern inputs to optimise the successful implementation of developmental programmes and projects. Thornhill (2016:190) explain that output-related monitoring focusses on effectiveness thereby emphasising the achievement of goals or end results of a programme or project. Aspects that should be consider during output-related monitoring include: the quantity of deliverables in a developmental programme or project; the quality of deliverables and the levels of delivery achieved with the successful implementation of a developmental programme or project; the appropriateness of the output vs the needs of the community for which the development programme or project were implemented; and the relationship of the output with the outcomes and the impact of the developmental programme or project.

Process-related monitoring pays attention to the rollout or implementation process of a developmental-oriented programme or project (ibid.). Process-related monitoring involves:

- Identifying role players to ensure that the right people are chosen;
- Focussing on the consultation processes with various role players as well as the adjustments made to ensure that all relevant role players are consulted and form part of the process;
- Ensuring that enough suitable systems are in place to support the implementation of a policy or relevant developmental programme or project;
- Monitoring relationships between the developmental programme or project inputs in relation with the outputs;
- Monitor the aftercare service or support that is provided after implementation of the developmental programme or project;

- Continuously monitoring the flow of information and decision-making processes during the implementation of a developmental programme or project; and
- Monitoring constitutionally value-driven processes such as participation, ethics, fairness, and transparency.

Lastly, integrated comprehensive monitoring can be used to monitor the success of any developmental programme, project or implementation of a public policy. Integrated comprehensive monitoring focusses on using a mixture of inputs, processes and outputs to optimise the benefits of using all these elements of monitoring (Thornhill, 2016:193)

## **2.9 EVALUATION APPROACHES OR TYPES, METHODS, TOOLS AND TECHNIQUES**

According to Kusek and Rist (2014:5), numerous monitoring and evaluation approaches were developed to evaluate the success of development programmes. The monitoring and evaluation approaches include the following: performance indicators approach; the logical framework approach; the theory-based evaluation approach; formal surveys; rapid appraisal methods; participatory method; public expenditure tracking surveys; cost-benefit and cost-effectiveness analysis; and impact analysis. The monitoring and evaluation approaches are outlined in the discussion below.

### **2.9.1 Performance Indicators Approach**

The performance indicators approach makes use of measures of inputs, processes, outputs, outcomes, and impacts to evaluate development programmes and projects (Kusek and Rist, 2014:6). Kusek and Rist (2014:6) explain that when the performance indicators approach is used in collaboration with formal surveys and an analysis of reports, the indicators used in this approach enable managers to track progress, demonstrate the results, and take the necessary corrective actions to improve service delivery. The performance indicator approach emphasises the participation of key role players. Not only should the key role players take part in defining the indicators used in this approach, but also use of the indicators when making important decisions.

## **2.9.2 The Logical Framework Approach (The Logic Model or LogFrame Model)**

According to Kusek and Rist (2014:8), the logical framework, or LogFrame, assists programme and project managers to clarify the objectives of the development initiatives. The logical framework approach helps managers identify the expected causal links or the “programme logic” such as inputs, processes, outputs, outcomes, and the impact of the programme or project. This approach can be used to improve the quality of a programme or project design by requiring the specifications of the objectives, the use of performance indicators as well as with the assessment of risks. Thus, it provides an objective basis for the review, monitoring and evaluation of development programmes, projects and related activities. Cloete *et al.* (2014:130) cite that the logic model presents a systematic and visual illustration of the relationships between the resources of a programme; the activities; the tangible deliverables produced; and the changes or results to be achieved.

## **2.9.3 The Theory-Based Evaluation Approach**

The theory-based evaluation approach involves the identification of the critical success factors of a programme or project linked to an in-depth understanding of the functioning of a programme or activity (Cloete *et al.* 2014:120). This approach allows a more in-depth understanding of the activities attached to a programme by focussing on cause-and-effect relationships between the various factors. Kusek and Rist (2014:10) explain that the theory-based evaluation approach emphasises the identification of the causal factors that are crucial for the success of the programme or project, as well as how they interact. It can be decided which steps should be monitored as the programme develops. In cases where the factors are not achieved, a conclusion can be reached that the programme is less likely to be successful in achieving its objectives and outcomes. The theory-based evaluation approach also assists managers to prioritise which issues need to be investigated in greater depth by using focussed data collection or more sophisticated monitoring and evaluation techniques.

## **2.9.4 Formal Surveys**

Formal surveys, as a programme monitoring and evaluation approach, assist managers to collect standardised information from a selected sample. There are various types of surveys such as the multi-topic household survey, the core welfare indicators questionnaire, the client

satisfaction or service delivery survey, and the citizen report cards to assist managers gather information on a few aspects. A multi-disciplinary survey aims to gather data on several aspects of living standard to inform public policy. The core welfare indicators questionnaire refers to a typical household survey that aims to measure changes in social indicators from different population groups. The client satisfaction or service delivery survey aims to assess the performance of government services based on the client experience. This type of survey provides data about the constraints that clients or communities faced in accessing public services. Citizen report cards are a monitoring and evaluation approach often used by non-governmental organisations. It is a useful tool to investigate the extent of corruption experienced by citizens (Kusek and Rist, 2014:12).

In general, formal surveys provide baseline data against which the performance of a programme or project can be compared. This monitoring and evaluation approach can be used to compare different groups at a given point in time as well as to compare changes over time in the same group. It also assists managers to compare actual conditions with targets determined in a specific programme or projects.

### **2.9.5 Rapid Appraisal Methods**

According to Kusek and Rist (2014:14), this method is a quick, low-cost monitoring and evaluation method to gather the views and feedback from the beneficiaries and stakeholders involved in development programmes and projects. This method provides rapid information to assist managers to make effective decisions. It also provides qualitative understanding of complex socioeconomic changes, highly interactive social situations or peoples values, motivations and reactions. The rapid appraisal methods provide the interpretation for quantitative data collected through more formal methods. The most popular types of rapid appraisal methods include the following:

- **Key informant interviews.** This method is used to gain information from individuals selected for their expertise and knowledge on a specific topic. Interviews rely on interview guides that list topics, statements or questions and it is qualitative in nature, in-depth, and semi-structured.

- Focus group discussions. This method entails facilitating discussions among a small group (8 to 12 individuals) of individuals or participants with similar backgrounds. The interviewer uses a discussion guide to facilitate the discussion.
- Community group interviews. In this method, the interviewer uses a carefully prepared questionnaire, consisting of a series of questions, to facilitate discussions with community members.
- Direct observations. The observer uses a detailed list to record what is observed on the programme or project site.
- Mini-surveys. In a mini-survey, the interviewer uses a structured questionnaire with a limited number of close-ended questions on randomly or purposively selected respondents.

### 2.9.6 Participatory Methods

Cloete *et al.* (2014:134) sees participatory methods as an overarching term for any evaluation approach that entails the active involvement of stakeholders who take part in the decision-making processes of a programme or project. Participatory methods can be used to identify problems during the implementation phase of a programme or project and to evaluate a programme, project or policy. This method is useful to learn about local conditions and communities' perspectives and priorities to design more sustainable interventions (Kusek and Rist, 2014:16). Commonly used participatory tools include:

- **Stakeholder analysis.** A stakeholder analysis is a social assessment method used to develop understanding of the relationships, influence and interest of the various people involved in a programme, project or development activity with the aim to determine who should participate, and when.
- **Participatory rural appraisals.** This method assists managers to plan and share appropriate interventions collectively with the active involvement of community members as the beneficiaries of a development programme or project.
- **Beneficiary assessment.** It entails systematic consultation with programme and project beneficiaries and other stakeholders with the aim to identify and establish development initiatives as well as provide feedback to improve services and activities.

- **Participatory monitoring and evaluation.** It involves the participation of stakeholders in identifying problems and collect and analyse information about the progress of a development programme or project to make suitable recommendations.

### **2.9.7 Public Expenditure Tracking Surveys**

According to Kusek and Rist (2014:18), the aim of public expenditure surveys is to track the flow of public funds and determine whether resources reach the target groups. They further assess the manner, quantity, and timeous release of resources to different spheres of government particularly to the units responsible for the delivery of social services such as health and education. It is a useful tool to diagnose problems in service delivery and to provide evidence on delays, leakages and corruption.

### **2.9.8 Economic Evaluations (Cost-Benefit Analysis and Cost- Effectiveness Analysis)**

Economic evaluations such as the cost-benefit and cost-effectiveness analysis consider whether the cost of a programme or project is outweighed by the benefits (Cloete, *et al.* 2014:120). These analyses are useful for assessing whether the cost of a development activity can be justified by the outcomes and impacts. Whereas the cost-benefit analysis measures the inputs as well as outputs in monetary terms, the cost-effectiveness analysis aims to estimate inputs in monetary terms and outcomes in non-monetary terms. These tools can be used to inform decisions about the most efficient allocation of resources and to identify programmes and projects that offer the highest rate of return of investments.

### **2.9.9 Impact Evaluation**

According to Cloete *et al.* (2014:120), impact evaluations aim to measure changes in the outcomes of a programme or project and the well-being of the target population affected by the intervention. Kusek and Rist (2014:22) mention that impact evaluation, as a monitoring and evaluation approach, focusses on the systematic identification of the impact of a development programme or project on communities, individual households, institutions and the environment. Impact evaluations can be used to measure outcomes and impacts of a development initiative. They help identify whether the cost of an activity is justified or not and to inform decisions on whether to expand, modify or eliminate programmes, projects or



policies. Impact evaluations are useful for providing information to compare the effectiveness of alternative interventions Kusek and Rist (2014:22) indicate that the following impact evaluation models can be used to conduct impact evaluations:

- **Randomised pre and post-test evaluations.** In this method the subjects are randomly assigned to a project and a control group before and after the project interventions.
- **Quasi-experimental design.** Here, communities from which to draw project participants are selected. A control group is selected to ascertain that it matches the characteristics of the project group.
- **Ex-post comparison of projects and non-equivalent control group.** In this method, data is collected from project beneficiaries. A non-equivalent control group is selected, and data only collected after implementation of the project.
- **Rapid assessment ex-post impact evaluations.** These evaluations contain several methods to collect information. Firstly, participatory methods can be used to allow groups or respondents to identify changes because of the project, as well as who has or has not benefitted from the project. Secondly, triangulation can be used as a method to compare group information with the opinions of key informants from secondary sources. Finally, case studies on individuals or groups can be used to provide a more in-depth understanding of the processes of change.

### **2.9.10 Management Performance Assessment Tool (MPAT)**

The Department of Performance Monitoring and Evaluation and the National Treasury, in collaboration with the Department of Public Service and Administration (DPSA) and the nine Offices of the Premier, developed the Management Performance Assessment Tool (MPAT) to guide internal monitoring and self-evaluation within the South African Public Service to create a performance orientated state with higher levels of service delivery (DPME, 2013:50-51). DPME (2013:7) states that MPAT helps managers improve their management practices.

### **2.10 STRATEGIES FOR IMPROVING MONITORING AND EVALUATION**

Below are strategies and activities of monitoring and evaluation systems as determined by Thornhill (2016:194):

- **A quality- improvement strategy.** Quality management, information systems and decision-making processes should be at the centre of any monitoring and evaluation system. A quality-improvement strategy requires quality checks throughout the monitoring and evaluation process. It also necessitates the development and implementation of a monitoring plan that promotes effective and efficient service delivery. Thornhill (2016:194) identify reports, peer-reviews and action plans as tools that may assist during quality-improvement strategies.
- **An inclusive and participatory monitoring and evaluation strategy or approach.** When relevant stakeholders (internal and external) cooperate and participate in designing and implementing related exercises, monitoring and evaluation should help clarify their responsibilities, financial and other physical incentives and rewards, resources needed, appropriate skills levels among staff and role players, appropriate performance-appraisal processes, and provide proper feedback about such activities (Ile, 2014 194-195).
- **An evidence-based monitoring and evaluation strategy or approach.** Ile (2014:196) explain that evidence-based monitoring and evaluation should assist programme and project managers to confirm whether a programme is still on track based on evidence generated from monitoring. This could assist in determining the extent to which objectives have been achieved and the impact on the community.
- **Benchmarking strategies.** When one department benchmarks performance with another or against best practices, managers could identify relevant shortcomings and improve departmental performance and results (Ile, 2014:197).
- **Peer monitoring and evaluation strategies.** This type of strategy applies when one sphere of government such as the provincial government, for example, monitor and evaluate the performance of municipalities as required by Section 105 of the MSA, 2000 (Ile, 2014:197). This peer monitoring and evaluation by one sphere on another sphere of government could assist managers in identifying possible challenges with the implementation of policies, programmes and projects in municipalities.
- **Other monitoring and evaluation strategies.** Other strategies to help managers improve the quality of monitoring and evaluation include a decentralisation of these functions. Decentralisation of monitoring and evaluation centres around a bottoms-up rather than top-down approach where the risk of failure is much higher. Thus, monitoring and evaluation should be outlined in the organogram as part of the staff

establishment of a department. Another approach is to use external monitoring and evaluation experts, particularly at the development stage of a monitoring and evaluation system in a department as this could assist the department in building its own capacity (Ile, 2014:196).

As stated previously, the South African government follows an outcomes approach to monitor the performance of national, provincial and municipal departments. A concern is that based on the Auditor-General's Consolidated Report on the Audit Outcomes of the Free State Municipalities 2012/2013 and 2014/2015, no municipality in the province received a clean audit report. Moreover, only four municipalities in the province showed improvements with one moving to an unqualified opinion with findings and three from a disclaimer of opinion to a qualified opinion. One could argue that although the Department of Performance Monitoring and Evaluation Management was established to implement the outcomes approach, more needs to be done at provincial sphere to promote effective M&E within the Free State Province to promote effective service delivery at provincial and local governments levels.

## 2.11 USES AND BENEFITS OF MONITORING AND EVALUATION

According to the Public Service Commission (PSC) (2008:4), monitoring and evaluation have various purposes as indicated below.

- **Management decision-making.** Effective monitoring and evaluation augment managerial processes and provide evidence for decision-making. Therefore, the accuracy of information derived from these activities and the way in which this information is presented become critical for supporting management in facilitating decision-making.
- **Organisational learning.** Monitoring and evaluation are research tools to explore what interventions, programmes and projects will best solve societal problems and results obtained from effective monitoring and evaluation should assist to create a learning organisation.
- **Accountability.** Monitoring and evaluation provides structured and formalised information that enables the analysis of public service activities at all levels.

- **Soliciting support for programmes.** Evaluation findings, in the form of a report, may help managers make decisions about continued budgetary allocations for a specific programme or project.
- **Supporting advocacy.** The results obtained from monitoring and evaluation could assist managers clarify issues and argue for the continuation, adjustment or termination of a programme.
- **Promoting transparency.** Availing monitoring and evaluation findings to a broader audience could promote transparency (PSC, 2008:4).

According to Cloete *et al.* (2014:560), the yardstick of the success of any M&E system is the use of findings. Accordingly, The National Evaluation Policy Framework, 2011, indicates specific elements to promote the effective utilisation of evaluation findings. These elements include that departments should take ownership for evaluations by steering committees where the findings are discussed (Cloete, *et al.* 2014:560). Other suggestions to promote the use of evaluation findings are the following; departments should be allowed to respond to evaluation findings through a management response process; the findings of evaluations must be submitted to Cabinet and Parliament; and findings must be made available on the website of the DPME to ensure public awareness. It is believed that these actions will put pressure on departments to utilise the findings of evaluation (Cloete *et al.* 2014:560).

## 2.12. INDICATORS

According to Cloete *et al.* (2014:205), indicators are measurement instruments used to track and monitor progress in the achievement of outcomes. DPSA (2001:18) defines indicators as measurements that inform managers whether progress is being made in achieving goals. Ile *et al.* (2012:119) concur that indicators are measurement tools that can assist managers to ascertain the extent to which results have been achieved. Thus, indicators are quantitative or qualitative variables that provide a reliable means to measure performance or to track the progress of a public programme or project or review a policy (Thornhill, 2012:119).

The value of indicators includes the following: to provide a uniform framework for gathering data for measurement and reporting; to translate concepts into simple operational measurable variables; to enable the review of outcomes, goals and objectives; to assist in public policy

review processes; to assist managers to focus on departmental strategic areas; and to assist managers to provide proper feedback to staff (DPSA, 2001). The following types of indicators are often used in government:

- **Input indicators.** Input indicators measure economy and efficiency. They measure the cost of purchasing a product or producing a certain output (economy) and whether the department achieves more with less (efficiency) without compromising quality (DPSA, 2001:19).
- **Output indicators.** Output indicators measure whether a set of activities produces the desired output or product. These indicators focus on effectiveness and are expressed in quantitative terms such as a number or percentage (DPSA, 2001:19).
- **Outcomes indicators.** Outcome indicators generally measure the quality and impact of a product or service in accordance with the achievement of the overall objectives. They also measure achievement of public projects or programme objectives and whether a service meets set standards (DPSA, 2001:19).
- **Cost, input, process, output and outcome indicators.** These indicators or set of indicators relate to the elements or parts of a product or service and the effects of institutional processes. Inputs refer to what goes into a process, cost to what inputs cost the department, outputs to the services or product provided, and processes to the activities involved in producing or delivering a service. Outcome refers to the impact or the effect of the output and processes undertaken to deliver the service (DPSA, 2001:19-20).
- **Composite indicators.** These indicators can be used for each sector (electricity, housing, water, sanitation, public participation) in local government to measure different elements of a service and simplify a long list of indicators (DPSA, 2001:21-22).
- **Baseline indicators.** Baseline indicators indicate the current status or situation such as the current level of poverty or a service. These are usually used in the planning phase to indicate the challenges a department currently face. In general, baseline indicators assess the contribution of a project or programme to changing the current situation (DPSA, 2001:22).

Rabie (2014:240) opine that reliable, trustworthy data is a prerequisite for accurate monitoring and evaluation. They also argue that, as measuring instruments, performance indicators are

useful in tracking and assessing the progress of the achievement of objectives and outcomes. Thus, measurements against indicators only become meaningful when compared to specific baseline data or adopted targets. Targets refer to objectives that need to be realised to achieve success. Thornhill (2012:124) point out that if a baseline is used as the first measurement of an indicator, the target represents the desired measures on the same indicator that is required to achieve the outcome within a defined timeframe. Targets must therefore be specific, measurable, achievable, relevant and time bounded for monitoring and evaluation to assist managers define success in unambiguous terms and consequently enable goal-directed behaviour of key stakeholders.

The challenge for monitoring and evaluation is not to find indicators but rather to obtain a balance between the value and indicator. Aspects such as the cost when collecting data to identify indicators should be considered as well as the assurance of the accuracy of measurement indicators. Therefore, it is important to verify the accuracy of collected data to identify whether a single or a group of indicators will be used. According to Cloete *et al.* (2014:208-209) indicators have the following advantages:

- They help managers monitor the progress of a project or programme and provide early indications of the perceived success or failure of a project or programme.
- They are useful in helping evaluators determine between the failure of a programme or project or whether inputs and activities achieve planned outputs. Indicators also assist managers to identify whether the produced outputs lead to the planned outcomes or impact as required.
- They assist the evaluator to test for causality or connection between outcome results and the outputs as well as identify the effects of externalities.

The advantages, usefulness or value of indicators regarding monitoring and evaluation systems is determined by the reliability and validity of measures generated by these indicators. Indicators should thus be economic, clear and easily understandable, relevant, sufficient, linked to results, adequate, and responsive to independent validation (Ile, *et al.* 2012:120). The latter is to promote transparency which is required for credible monitoring and evaluation systems.

## 2.13 SUMMARY

This chapter deals with the theoretical overview of monitoring and evaluation. It commences with explanation of key concepts and a discussion of monitoring and evaluation, key management functions of control that should be exercised by all public managers. The importance of the introduction and development of an effective monitoring and evaluation system as part of the control management function mechanism to promote effective and efficient service delivery throughout government was highlighted. Performance management was shown to encompass numerous activities aimed at improving the efficiency and effectiveness of public departments to achieve the strategic aims and promote the institutional vision and mission.

The discussion about the statutory and legislative frameworks of M&E emphasised that the *Constitution*, 1996 advocates alignment of monitoring and evaluation to the basic values and principles that govern public administration and apply to all public enterprises, organs of state and the administration of the three spheres of government. The *Constitution*, 1996 also requires the monitoring and evaluation of national, provincial and municipal budgets, the budgetary processes and financial management.

In addition, it was shown that the Policy Framework for Government-wide Monitoring and Evaluation (GWM&ES) was introduced in 2007 to outline the key principles, standards for monitoring and evaluation in the public service. Since 2009 the Presidency adopted an outcomes-based approach by requesting each national, provincial and municipal department to develop appropriate indicators to promote monitoring of their services. Twelve priority outcomes for improving interdepartmental and intergovernmental coordination were introduced. It was highlighted that the 12 outcomes focussed on priorities such as rural development, education, health, employment and crime and that the Department of Performance Monitoring and Evaluation (DPME), established in 2010, was to monitor performance and evaluate public service standards, while the Department of Public Service and Administration's purpose was to establish an efficient and effective public service that is developmental oriented for a fair and inclusive citizenship.

Lastly, the chapter outlined the importance of indicators. It was emphasised that indicators provide a uniform framework for gathering data for measurements and reporting, assisting

managers to translate concepts into simple operational measurable variables; enabling reviews of outcomes, goals and objectives; helping with public policy review processes; and helping manager focus on departmental strategic areas to provide proper feedback to staff. Performance indicators as measuring instruments, are useful to track and assess the progress in the achievement of objectives and outcomes. Therefore, measurements against the indicators become meaningful only when compared to specific baseline data or adopted targets. In the next chapter the institutionalisation of GWM&S will be discussed.



## **CHAPTER 3: THEORETICAL OVERVIEW OF THE INSTITUTIONALISATION OF THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM IN THE SOUTH AFRICAN PUBLIC SECTOR**

### **3.1 INTRODUCTION**

The previous chapter provided a theoretical overview of monitoring and evaluation in the public sector. In Section 2.1 it was emphasised that the Government-wide Monitoring and Evaluation System (GWM&ES), 2007 serves as the major framework for monitoring and evaluation in the South Africa government. This framework sets out the institutional roles, responsibilities, and capacity building of various role players with reference to monitoring and evaluation. It requires that each of the nine provincial governments and all their municipalities respectively implement the Provincial and Municipal-wide Monitoring and Evaluation System. Unfortunately, scholarly literature work currently available on the institutional arrangements for M&E systems in the context of South Africa is limited.

This chapter provides an overview of the institutionalisation of M&E in the public sector. The chapter commences with a discussion of the institutional arrangements of M&E followed by a look at provincial and municipal-wide M&E. Best practices and current challenges of institutional arrangements for M&E in provincial governments are emphasised before an outline is given of the establishment of monitoring systems, institutional arrangements, and challenges in the national evaluation system. That is followed by a look at the various role players of M&E and the outcomes approach of indicators. The chapter concludes with a discussion about the M&E profile of the Free State Provincial Government's Office of the Premier as the case study for this dissertation.

### **3.2 AN OVERVIEW OF THE INSTITUTIONAL ARRANGEMENTS AND CHALLENGES FOR THE IMPLEMENTATION OF MONITORING AND EVALUATION (M&E)**

According to Stofile (2017:10-11), institutionalisation refers to organisational development and growth processes that include aspects such as policies, processes, structures, and practices intertwined with an institution's culture and environment. With institutionalisation, an institution establishes certain structures and enduring patterns of behaviour that are embedded

and internalised within the institution to ensure predictable and sustainable behaviour (Rabie 2016:93). The Institutionalising Performance Management: A Toolkit for Municipalities (2007:17) issued by the former National Department of Cooperative Governance and Traditional Affairs holds that institutional arrangements refer to the structural mechanisms that have been established to assist with formation of processes such as performance management within an institution. Stofile (2017:11) further explains that the sustainability of an M&E system cannot be realised if it is not institutionalised or even entrenched in the institutions policies, strategies, structures, programmes, practices and budget planning cycles.

Institutionalisation relies on the quality of the M&E systems utilised for institutional incentives to sustain a system even when faced by various obstacles such as capacity, and political and environmental constraints (Mackay, 2007:23). Stofile (2017:11) and Cloete *et al.* (2014:253) argue that the above requirements as proposed by Mackay (2007:23) are not sufficient to guarantee successful institutionalisation or the sustainability of M&E systems. Cloete *et al.* (2014:253) opine that additional considerations are required to support institutionalisation and sustain M&E systems. According to Stofile (2017:11-12), the following institutional arrangements for the establishment of M&E systems should be considered:

- The readiness of an institution to implement an M&E system effectively through leadership and management;
- Suitable M&E policy and guidelines that must guide the institutionalisation of an M&E system;
- Provide support by making resources available for the institutionalisation of M&E systems;
- Get support from managers at all levels as well as enter into agreements with relevant stakeholders to institutionalise M&E;
- Establish a progressive evaluation culture;
- Clarify the M&E roles of various stakeholders at different levels;
- Promote institutional capacity and development;
- Strengthen intergovernmental relations and accountability to other spheres of government; and
- Involve civil society representatives to ensure M&E systems interact with relevant representatives from civil society.

In addition to the above, Rabie (2016:93-94) explains that the successful institutionalisation of M&E relies on the establishment of an effective M&E system and M&E capacity within an institution. To promote effective institutional arrangements, the Government-wide M&E system (GWM&ES) was not only established to promote the delivery of useful M&E products or information for its users but also to ensure cascade throughout the spheres of government from the Executive Branch to the Programme Managers, the M&E units and Accounting Officers (Presidency, 2007:9). In terms of the GWM&ES, all spheres of government should establish dedicated M&E units where required and ensure that the M&E units provide the required support to relevant departments. Rabie (2016:94) avers that public-sector departments should ensure that line managers have the necessary M&E skills to set up and manage the M&E system effectively. Cloete *et al.* (2014:263) concurs and adds that institutional arrangement should be managed and facilitated by a permanent M&E unit and skilled M&E staff.

To strengthen the institutionalisation of M&E at national sphere, the Department of Performance Monitoring and Evaluation (DPME) was established in 2008 with the core mandate to provide a framework for effective M&E systems including the implementation of effective monitoring and evaluation of the outcomes of government programmes (The Presidency, 2009; Rabie, 2016:95). Because of the outcome- approach, the twelve outcome agreements in particular, led to the development of the National Evaluation Framework of 2011 which aims that reliable and objective evidence from evaluations be used in planning, budgeting, policy reviews, departmental improvements, programmes and projects in order to improve government performance. The current government service delivery M&E systems are built around the outcomes-based M&E approach. It entails that programme planning, focusses on the achievement of desired outcomes and outputs to promote the effective monitoring of performance improvement outcomes (Stofile, 2017:33; The Presidency, 2010:9-10).

In addition to the outcomes-based M&E approach, the Western Cape Provincial Government also followed the results-based M&E approach. The results-based M&E approach aims to provide feedback on the progress of outcomes and objectives as stated in the Provincial Strategic Plan and to provide relevant reliable data relating to key policy areas. Kusek and Rist (2004:12) maintain that the results-based M&E approach focusses on accountability, effective governance and ensuring that reliable information is provided to stakeholders about programme performance. The success of the outcomes-based M&E approach relies on the ability of government departments to effectively institutionalise M&E functions and promote

the integration of M&E with the planning, management, budgetary decision-making activities and control functions of the department (Cloete, *et al.* 2014:264; Rabie, 2016:95).

The Department of Performance Monitoring and Evaluation issued practical guidelines to ensure the institutionalisation of M&E within the three spheres of government. DPME Guideline 3.1.5 (2012a) provides guidelines on the functions and M&E components in National Government Departments while DPME Guideline 3.1.7 (2013a) sets out a framework for the generic roles and organisational design considerations for M&E components in provincial government departments. DPME Guideline 3.1.3 (2012a) provides guidance to the Offices of the Premier in M&E while, DPME Guideline 3.1.6 (2013) provides guidance on the generic functions of M&E components in the Office of the Premier (Rabie, 2016:99).

In 2009, national government developed policies and frameworks to strengthen the institutionalisation of M&E systems and to establish a culture of M&E that focuses on outcomes-based monitoring and evaluation. The policy developments of M&E at national sphere focusses on the establishment of a culture of outcomes-based M&E practices in the South African public service (The Presidency 2010, 2011, 2012; PSC, 2008; Cloete *et al.* 2014:264). Firstly, the Government-wide M&E System (GWM&ES) (2007), paved the way for the establishment of the Department of Performance Monitoring and Evaluation (DPME). Secondly, it has led to the development of the twelve outcome agreements, the National Evaluation Framework of 2011, and other relevant M&E toolkits and guidelines. Since 2009, various M&E units have been established in national and provincial departments to promote appropriate institutional arrangements and ensure that the M&E function is integrated with departmental planning, budgeting, implementation and control functions. The institutionalisation of provincial-wide monitoring and evaluation arrangements followed by a brief discussion about the institutionalisation of municipality-wide M&E systems are discussed below.

### **3.2.1 Institutionalisation of provincial-wide monitoring and evaluation**

In terms of PSC (2008:15), the provincial M&E function is vested in the Premier. The financial performance of a province is shared with the Provincial Treasury while the M&E unit of the Office of the Premier focusses on the consolidation of non-financial data that indicate the specific agreed service delivery outcomes and impacts (The Presidency, 2008:25; Rabie,

2016:98-99). According to Cloete *et.al.* (2014:574) and the National Treasury (2007), the Offices of the Premiers are tasked with centrally coordinating and planning M&E together with the Provincial Departments of Cooperative Governance and Traditional Affairs (COGTA). COGTA, at provincial sphere, is responsible for the institutionalisation of the GWMES within the provincial sphere. It is also responsible for the development and implementation of M&E systems, as well as strengthening reporting and evaluation of the performance of provincial and local departments and municipalities within the province as well as support the cooperative roles of the Provincial Planning and M&E Forum which was established in 2007 to coordinate M&E planning across all provincial departments. The Provincial Planning and M&E Forum are coordinated by the Office the Premier. The forum should coordinate M&E systems, provide guidance, advise and ensure that information about M&E matters is shared with provincial departments (Cloete, *et al.* 2014:581).

The national government has shifted its focus to strengthening planning, performance monitoring, reporting and evaluation in the three spheres of government (Morkel, 2014:572). It mandates provinces to adapt or develop PWMES that enable them to collect, interpret, analyse and disseminate information and data to different stakeholders in the province to enhance performance and decision-making (Provincial-wide M&E Framework, Provincial Government of the Western Cape, 2009:7).

Cloete *et al.* (2014:575) maintain that the M&E Framework is driven by the need to promote an effective M&E system to produce reliable information on provincial performance, promote oversight and improve service delivery within the province. Another important institutional M&E structure is the M&E unit of the OTP. The DPME Guidelines provides that M&E units should be linked to and placed within the Head of Departments' and Director-Generals' offices. The M&E units are responsible for consolidating M&E reports of various provincial departments and local government, and reporting on the performance of budgetary performance, the usage of human resources, and achievement of planned targets against service delivery outcomes. The roles and structure of M&E units are discussed in Section 3.5.3.4 of this chapter.

### **3.2.2 Institutionalisation of municipal-wide monitoring and evaluation**

Although the focus of this study is on M&E in provincial government, it is important to outline the institutionalisation of the GWMES at local governments sphere. In terms of Section 153 of the Constitution (1996), municipalities should structure and manage their administration, planning and budgeting processes to give priority to the basic needs of their communities, and to promote social and economic developments to give effect to these constitutional obligations. Chapter 3 of the MSA (2000), requires that municipalities should monitor and regulate services provided by municipal entities. Chapter 6 of the MSA (2000), requires that municipalities set relevant key performance indicators to measure performance and achievement of outcomes and impact of developmental priorities and objectives set out in the Integrated Development Plan (IDP). Furthermore, it stipulates that municipalities have measurable performance targets to measure the performance of each of those developmental priorities and objectives.

According to Habtermichael (2011:11-12), the MTSF requires that all spheres of government prioritise both M&E and service delivery interventions for greater accountability. The Policy Framework for Government-wide Monitoring and Evaluation Systems (GWMES), 2007, specifies that the Municipal Manager, as the Accounting Officer of a municipality or Executive Officer of a public entity, must establish an M&E system within the municipality or public entity. Therefore, municipalities should establish effective M&E mechanisms to measure the effect and performance of their IDP and their review thereof (Habtermichael, 2011:12-14). In addition, Provincial Growth and Development Strategy requires that municipalities should assess the performance of their IDP and other related plans. The Service delivery and Budget Implementation Plan (SDBIP) of a municipality set out the specific targets and outputs against the budget. Thus, municipalities have an important M&E role to fulfil, ensuring that effective M&E systems are in place and then monitoring the performance of IDP and other service delivery plans against measurable targets.

### **3.2.3 Good practices and current challenges for institutionalisation of the M&E system in the South African public sector**

According to Rabie (2016:115), several surveys were conducted from 2007 to 2013 in conjunction with the World Bank to report on the state of M&E institutionalisation arrangements in South African public service departments. The survey shows that pockets of

good practices exist in some provinces but that insufficient human resources, inadequate financial resources, and dependency on other departments for data generally hindered optimal institutionalisation of M&E systems (Rabie, 2016:101; The Presidency, 2008:47). The survey revealed that a good practice in the Western Cape Provincial Government was that M&E is headed by the Chief Director for Monitoring, Evaluation and Review, who reports to the Director General (DG) who has links with the Chief Directorate for Policy Development, Implementation Support and Communication who in turn has links with the managers responsible for the M&E cluster and line managers. A readiness assessment compiled by the Office of the Premier, Western Cape Provincial Government to report on institutional M&E practices revealed that only one department did not have an M&E framework and strategy in place. Another good practice in the Western Cape Provincial is the establishment of a provincial-wide M&E Forum that facilitates M&E reporting requirements and assists with the implementation of the M&E strategy (Rabie, 2016:101; Provincial-wide M&E Framework, Provincial Government of the Western Cape, 2009:18).

In KwaZulu-Natal, the survey showed that the M&E units were not strategically positioned to enable efficient data collection from Programme Managers about planning, decision-making and policy development. Other shortcomings in KwaZulu-Natal include a lack of lack of capacity, and challenges with the M&E plan, data bases and a lack of dedicated evaluation and research (Rabie, 2016:103-104)

The survey showed that in the Free State Provincial Government all departments except one have M&E structures. The survey further showed that the M&E units within the provincial departments are responsible for non-financial performance, strategic planning, collecting of relevant data, the management of performance information, and for service delivery improvements within the province (Rabie, 2016:103; Office of the Premier, Free State Provincial Government, 2013).

According to the Provincial-wide M&E Framework (PWMES) of the Western Cape (2009:9), the mandate is to: firstly, strive for compliance with the GWMES; secondly, focus on the development and implementation of provincial-wide M&E policies, strategies and programmes that promote effective M&E; thirdly, promote ongoing M&E of the Provincial Strategic Plan and related strategies and; lastly, measure the results or outcomes of the PWMES. In addition



to the above, the Provincial Government Programme of Action and the Provincial Growth and Development Strategy set the tone for key strategic objectives of a provincial government.

Like the Eastern and Western Cape, many provinces adopted and condensed the MTSF into their Provincial Strategic Frameworks to provide them with a clear vision in line with the electoral mandate. Each province should ensure that the chosen priorities are outlined in its Programme of Action (POA). Lastly, the Provincial M&E framework should translate towards meeting the electoral mandate and provide information for policy decision, early warning and communication with all stakeholders in the province.

Morkel (2014:574) indicate that the point of departure for M&E in provincial governments is the Provincial M&E framework that aims to facilitate and coordinate the functions of the province's M&E as well as report on the progress with the implementation of the key strategic priorities of the province. These authors further clarify that the core objectives of a Provincial M&E Framework differ from province to province and list the following for the Eastern Cape:

- Promote quality of service delivery and governance;
- Strengthen accountability for the implementation of the priorities and programmes in the province;
- Establish a culture of M&E and reporting in the province; and
- Improve the provincial government's ability to communicate with the community and relevant stakeholders about key service delivery.

The Draft Provincial-wide M&E Framework of the Western Cape (2009:6) includes the following:

- Ensure alignment with GWMES;
- Improve the understanding of results-based M&E system;
- Improve understanding of the processes and systems required for the implementation of the Provincial-wide M&E system;
- Clarify compliance of M&E to achieve the results-based M&E;
- Clarify the standards and criteria for M&E reporting and review in support of M&E data processes;
- Promote accountability and transparency within provincial and local government departments concerning the provision of reliable data required for effective reporting;



and the identification of institutional and reporting requirements for M&E and related supporting systems.

According to Kariuki and Reddy (2017:1-2), the following are challenges in monitoring and evaluation that must be considered when establishing an M&E system:

- Lack of comparable definitions - the concepts and terms of the M&E system should be thoroughly defined according to national and internal standards.
- No impact analysis - mostly only the processes and outcomes of policies, projects and programmes are measured, not their impact on communities.
- Social bias - many indicators are influenced by participants' social bias and this holds considerable potential for under-reporting.
- Triangulation of data should be used since rigorous statistical methods are not frequently implemented as data collection methods.
- Different kinds of interventions require different evaluation tools and methods, and not a blanket approach.
- Difficult to measure individual institutional strategy contributions in the achievement of complex, multi-sectoral or integrated interventions.
- Difficult to define success - usually objectives and indicators are not clearly defined at the initiation stage of an M&E system.
- M&E plans lack clear and appropriate conceptual frameworks.
- Significant expertise and capacity is required for the interpretation of data.
- Insufficient resources - budgets often fail to allocate resources for M&E (which usually represent a significant investment for the organisation).
- M&E interventions can often be short term.

Mthethwa and Jili (2016:109) highlight another challenge, especially at local government level, as a lack of knowledge, skills and competence required to effectively and efficiently assess the impact of projects in specific communities. The complex nature of M&E duties requires a highly skilled workforce, but the attraction and retention of such is still a challenge. According to Morkel (2014:582-583), the following M&E challenges in the Eastern Cape Provincial Government (ECPG) are not exclusive to the ECPG, but generic across the different provinces that are all at varying stages of institutionalising M&E:

- Complex and cumbersome data flow and reporting formats.
- Lack of consensus of indicators to be prioritised across the three spheres of government.
- The validity and reliability of reports is still challenges in measuring departmental performance against service delivery mandates.
- Lack of commitment at management level to M&E processes.
- A lack of M&E culture resulting in M&E not being integrated into management process.
- Poor or lack of M&E tools (guides, systems, toolkits) provided by the provincial government.
- A shortage of professional and technical M&E skilled staff in departments.
- A shortage of M&E expertise at local government level.
- Over-engineering an M&E system.
- “Counter reforms” should be identified as they pose a threat to the successful implementation of the system.
- Most existing high academic qualifications are not appropriate for the M&E field.

The next two sections outline the specific institutional arrangements for the establishment of monitoring systems as well as the specific institutional arrangements to promote evaluation management.

### **3.3 INSTITUTIONAL ARRANGEMENTS FOR THE ESTABLISHMENT OF MONITORING SYSTEMS**

According to De Coning and Rabie (2014:256), there are specific institutional arrangements for the establishment of monitoring systems within the three spheres of government, normally involving the following:

- Assessing the state of institutional readiness to establish monitoring systems;
- Formulating effective M&E policies and procedures;
- Emphasising the need for leadership, support and commitment to successfully establish M&E;
- Management support and buy-in is an imperative for the establishment of M&E systems;
- Establishing a progressive monitoring and evaluation culture;

- Realising that monitoring arrangements at organisational level requires specific organisational structural and system arrangements;
- Clarity of the roles for and responsibilities of monitoring, reporting and other related functions;
- Specific human resource arrangements are required to support the establishment of M&E units;
- Supporting M&E capacity building and training initiatives;
- Good intergovernmental relations as to ensure vertical and horizontal coordination and cooperation in M&E functions;
- A comprehensive governance approach and good participative arrangements; and
- Clarity on monitoring and related functions.

Each of the above institutional arrangements are discussed below.

### **3.3.1 Assessing the state of institutional readiness to establish monitoring systems**

De Coning and Rabie (2014:256) warn that when an institution takes the decision to form monitoring systems, it first needs to understand the necessity of its function, how it benefits an organisational value and how the functions relate to what an institution already has. De Coning and Rabie (2014:256) elaborate that with the establishment of M&E systems, political and public officials (Functionaries) need to improve their understanding of how M&E relates to their existing responsibilities from the onset. In this regard, institutions should then make provision for management workshops and offer training courses to improve the institutional readiness to establish effective monitoring systems. Another method is to assess the readiness of a public- sector institution is to establish not only monitoring systems but also M&E in its totality. Furthermore, readiness assessment covers imperative issues such as the presence or absence of M&E champions as well as incentives, roles and responsibilities, organisational capacity, and barriers to getting started (Imas and Rist, 2009:113).

The Kusek and Rist (2004:41) provides that an assessment of institutional readiness remains an analytical support that determines where an organisation positions in relation to the requirements for establishing an outcomes or results-based M&E system. The three main parts, according to The Kusek and Rist (2004:42), are:

- **Incentive and demands for designing and building a results-based M&E system:** It is important to determine whether incentives exist to design and build a results-based M&E system. Furthermore, incentives play a major role in encouraging results-based M&E systems.
- **Roles and responsibilities and existing structures for assessing performance:** A readiness assessment will enable one to clarify the roles, responsibilities and existing structures available to monitor and evaluate development goals.
- **Capacity building requirements for a results-based M&E system:** A readiness assessment includes aspects such as a review of the current capacity to monitor and evaluate: technical and managerial skills; the existence and quality of data systems; available current technology to support the establishment of M&E; available fiscal resources; and institutional experience to ensure the effective establishment M&E.

### 3.3.2 The formulation of effective M&E policy and procedures

Once an institution concludes a readiness assessment and the necessary results are available, the institution should provide policies and guidelines for M&E to ensure that the roles and responsibilities of individuals are agreed upon so that it is clear exactly who is responsible for what (De Coning and Rabie, 2014:259). In this regard, the policies and guidelines for M&E are developed by the M&E unit in consultation with other important stakeholders in the organisation. Furthermore, M&E must be managed as a planned function and with a budget that is approved. Additionally, the policy should subsequently provide clarity on the roles and responsibilities for monitoring functions in relation to the evaluation, research, policy and reporting functions whether they are situated in the same component or not. In this regard, Cwayi (2011:2) cites that monitoring and evaluation (M&E) in South Africa is becoming progressively more significant for effective government policy and programme decision-making, resource allocation and implementation of policies, and programmes and projects that government decides on. Simply formulating policies and programmes is not enough as these policies and programmes should be monitored and assessed for results. This results focus is reinforced by Diabre (2002:1) who argues that “efficient or well-managed programmes projects and outputs will lose their relevance if they bring no discernible improvements in people’s lives”.

### **3.3.3 The successful establishment of M&E emphasises the need for leadership, support and commitment**

According to De Coning and Rabie (2014:260), a critical requirement for successfully establishing M&E systems is leadership support and commitment. De Coning and Rabie (2014:260) explain that both the results of monitoring and evaluation should be conducive to the performance management system and the overall improvement of service delivery of public-sector departments. Rabie (2016:111) advises that sustainable outcomes-based M&E systems are a political process more than a technical process, which requires strong and consistent political leadership, commitment and support to institute the system. De Coning and Rabie (2014:260) affirm that the “credibility of the source and the acceptance of the information that comes into an institution without a legitimate inside sponsor is not likely to be accepted” (De Coning and Rabie in De Coning and Rabie (2014:261). When this sponsor is a Councillor, the Municipal Manager or Strategic Manager of the local government, M&E efforts are more likely to be incorporated within the core management processes of the municipality and be responded to during the planning and implementation of municipal service delivery. The committed driving power of an influential sponsor such as top political and public officials is therefore critical to ensure a well-functioning M&E system.

### **3.3.4 Management support and buy-in is an imperative for the establishment of M&E systems**

De Coning and Rabie (2014:261) assert that support for management is an imperative in establishing an M&E system that will succeed. It allows for necessary agreement between line managers on the anticipated outcomes and indicators that are to be monitored by senior managers such as the managers for strategic planning, policy, information and research functions. All managers should therefore participate in M&E process of an institution.

According to the Presidency (2009:8), the public sector should provide for top-down political motivation and determination that lends acceptability and urgency to focus on outcomes. Middle managers’ support for M&E systems cannot be emphasised enough, nor that of the critical mass of individuals who deliver government services and without whom the contemplated reforms would be illusory. According to the Presidency (2009:8), line managers must ensure the capacity to advance the departments mandate and mission; promote effective

management or programming risk; promote more credible accountability mechanisms; and monitor and evaluate the success of programmes and policies.

### **3.3.5 To establish a progressive monitoring and evaluation culture**

The following are key aspects of organisational structure and culture for M&E design (Chilisa and Malunga, 2014:559-566; the Presidency, 2007:4; and Mayne, 2010:4-13)

- Organisational structures and culture, leadership commitment to data, evidence, and learning tolerance for risk and failure, levels of centralisation, size, staff skills and commitment to data, evidence and learning.
- An evaluative focus can be difficult and uncomfortable for programme staff; and learning activities can require time from busy programme staff.
- Leadership support and board clarity around expectations is a necessary precondition for the successful implementation of organisational M&E priorities.
- The level of knowledge and experience of staff of M&E will determine the M&E functions to be done by programme staff as opposed to M&E specialists.
- Even with M&E skills, trade-offs of time may lead to different preferences among programme staff about how much M&E activities they want to “own”.
- The level of organisational acceptance of risk and failure has implications for both resistances to more evaluative measures and openness to learning for improvement.
- Incentives can be structured so that negative consequences are associated with “bad” outcomes and that failure is not rewarded.
- The autonomy of programme areas and authority of programme leaders affect how M&E staff interact with programme staff and M&E priorities are implemented at the programme level. The distinctiveness of programme areas also impacts how uniform processes, tools and guidelines can and should be.
- Size (including constraints on additional hiring and the use of outsourcing), as reflected in organisational staff and funding levels, affects the overall amount and complexity of M&E.

### **3.3.6 Monitoring arrangements at organisational level require specific organisational structural and system arrangements; Organisational and System Arrangements**

Stofile (2017:49) states that an organisation can be viewed as the coordination of people, policies, strategies and plans, processes, structures, and practices aimed at the attainment of a common goal. Several structures are key in ensuring that organisational processes and goals are achieved (Stofile 2017:49). Monitoring arrangements at an organisational level, are typically managed and facilitated by permanent staff and units. These M&E units' responsibilities are usually to act as custodians and facilitators of M&E functions. M&E functions are most commonly integrated with other support functions and staff do not report directly to line managers (De Coning and Rabie, 2014:263). The following organisational requirements must be met to establish an M&E system:

- There should be a clear mandate and support by management;
- There must be a business plan in place to guide the establishment phase;
- The M&E policy should clearly state the roles and responsibility of the different role-players;
- Emphasis should be concentrated on organisational structure and reporting lines;
- Management should champion the concept of M&E;
- The M&E unit must be well resourced;
- The M&E unit must have a designated budget linked to the function; and
- Special consideration should be afforded to systems development (De Coning and Rabie 2014:264).

The above aspects should be present to establish the M&E system effectively.

### **3.3.7 Clarity of the role and responsibilities of monitoring, reporting and other related functions**

According to Phillips (2012:3-7), the M&E unit situated in the Office of the Premier at provincial sphere is responsible for clarifying the role and responsibilities of the monitoring function. De Coning and Rabie (2014:267) maintain that the M&E unit can only fulfil its functions effectively once it has successfully established policies, plans and processes, key institutional arrangements and monitoring frameworks. Furthermore, the M&E unit should

plan and facilitate the establishment of its policies and plans since it is responsible for core M&E functions and ensuring the outcomes and indicators encapsulated in the monitoring framework.

### **3.3.8 Specific human resource arrangements are required to support the establishment of M&E and M&E units**

According to Van der Westhuizen and Wessels (2013:113-114), another important step in the strategic PSHRM process is the monitoring, evaluation and reporting of results. Set objectives against which results can be measured should be established. Without these standards, it would be impossible to determine whether the programme, project or policy was a success or failure. Fundamentally, comparing the organisations vision, mission and objectives with anticipated outcomes is the starting point of monitoring and evaluation which culminate in reporting, because just matching objectives with accomplishments is not enough. Section 92 (3) (b) of the 1996 Constitution stipulates that Members of Cabinet should continuously furnish parliament with reports of matters that fall under the scope of their responsibility. Like most strategic policies, it is difficult to ascertain whether they will meet their intended vision, mission and, objectives so periodic monitoring and evaluation is important to ensure corrective action is undertaken early in the endeavour.

According to Phillips (2012:08-09), the following staff and competencies are necessary for the M&E unit to be as effective as possible:

- M&E champions to develop and communicate the importance of M&E both internally and externally;
- A vivid background for establishment of SMART indicators
- Have a thorough knowledge of and ability to apply results-based management in the organisation;
- A strong background and understanding of monitoring, evaluation and research;
- The ability to produce, manage and disseminate quality information in a timeous manner;
- The incumbent must be articulate and communicate the work and performance of the unit at the highest levels;
- The ability to work across different sectors;



- Thorough understanding of government-wide planning, budgeting, M&E and reporting cycles and the role of oversight bodies (e.g. SCOPA);
- Compliant with e.g. PFMA, PSA, Treasury Regulations, PSR, FMPPI, the Auditor General Act as well as policy environment (GWMES);
- Good understanding of departmental planning, MTSF, and Programme of Action.

In addition to the above De Coning and Rabie (2014:272) maintain that M&E units are generally not established once-off, but rather gradually as the functions of the unit are developed. Therefore, it is important to capacitate an M&E unit with at least one M&E champion who will guide the initial foundation phase, orientation, promotion, and advocacy for the effective functioning of the M&E unit.

### **3.3.9 To support M&E capacity building and training initiatives**

Stofile (2017:52-53) avers that capacity building includes aspects such as human, organisational and institutional capacity. In this regard, human capacity focusses on the performance of tasks such as analysis, design implementation and monitoring of results. Organisational capacity focusses on the collective performance of tasks relating to the achievement of organisational goals, strategies, structures, processes, systems, staffing and budgeting requirements. Institutional capacity focusses on the creation of related monitoring policies and frameworks, management support, and leadership, communication, involvement of communities or civil society, and the reporting and accounting lines at various spheres of government.

Capacity building and training goes beyond just training, other capacity building initiatives and relevant support activities. De Coning and Rabie. (2014:273) highlight the following capacity building and training initiatives to promote effective M&E namely: on the job training; exposure for interns and young professionals; readiness assessment workshops; think tanks on indicator development; research networks interpretation of M&E results; short or executive course training; post graduate studies; and mentorships, to name but a few.

### **3.3.10 Good intergovernmental relations as a requirement to ensure vertical and horizontal coordination and cooperation related to M&E function**

In terms of Chapter 1, Section (g) of the Intergovernmental Relations Framework Act, 2005, intergovernmental relations need to strengthen the relations between government and organs of state in the fulfilment of their functions. Effective M&E is reliant on these relationships to access relevant information and aid the usage of M&E results in and across the various sectors of government. Furthermore, M&E is essential in streamlining different government units that are working towards the same goals or objectives, for example, the South African cluster system which relies heavily on solid intergovernmental relations for monitoring joint activities. In addition to the above, the M&E units located in the Offices of the Premiers in the different provinces rely on information provided by government departments and other stakeholders, such as NGOs. Thus, cooperative governance plays an important role in promoting the function of M&E systems (De Coning and Rabie, 2014: 275-276).

### **3.3.11 Comprehensive governance approach and good participative arrangements**

De Coning and Rabie (2014:276) emphasise the importance of the relationship between a government-wide monitoring system and civil society with cooperative governance that ensures cooperation between the three spheres of government, as well as government, the private sector and civil society. According to the Presidency (2013:4), the South African government introduced the Framework for Strengthening Citizen Participation in Monitoring of Government Service Delivery to promote good participative arrangements between government and civil society with the following aims:

- To emphasise the importance of the views of citizens in improving government performance;
- To justify the implementation of a programme to strengthen the voice of citizens in monitoring; and
- To clarify the roles of government in the promotion of citizen-based monitoring (CBM).

The Presidency (2013:4) further adds that citizen-based monitoring (CBM) does not require the creation of further structures in government. Secondly, the framework advocates for the use of existing citizen participation instruments e.g. CDWs, ward committees and sector groups

and, lastly, the framework supports the construction of an active citizenry and a capable and developmental state built on evidence and that is results driven.

### **3.3.12 Clarity on monitoring and related functions**

According to De Coning and Rabie (2014:267), clarifying M&E functions is a typical function of M&E units. During the establishment phase, the M&E unit plans and facilitates M&E processes in accordance with the M&E policies, a monitoring framework and implementation plan. The M&E unit is further responsible for ensuring that normal monitoring functions are performed once the key institutional arrangements are in place. De Coning and Rabie (2014:257) explain that the normal monitoring function includes the regular production of monitoring results by ensuring relevant information is provided in accordance with the performance indicators and the monitoring framework. It also includes aspects such as to produce good quality and regular monitoring of results to promote good decision-making. Lastly, the M&E Unit is responsible for assessing the monitoring results (De Coning and Rabie, 2014:257).

## **3.4 INSTITUTIONAL ARRANGEMENTS AND CHALLENGES OF THE NATIONAL EVALUATION SYSTEM**

Since its inception, the DPME has introduced several M&E systems under which the National Evaluation System (NES). The Presidency (2012: iv) argues that evaluations are critical in the M&E system and should be linked to planning, policy-making and budgeting. As a result, Cabinet approved a National Evaluation Policy Framework (NEPF) in November of 2014. The Presidency (2012:1) identified the following outcomes the Policy Framework and the National Evaluation System try to achieve:

- Spearhead the importance of evaluations;
- Establish an institutional system across government that links planning and budgeting;
- Provide a conceptual base and common language for evaluations in government;
- Demonstrate clear roles and responsibilities related to evaluations;
- Enhance the quality of evaluations;
- Ensure the use of the findings of evaluations to enhance performance.

Ijeoma (2014:170) highlights the following primary purposes of evaluation:

- Enhancing performance with the aim to provide feedback to programme managers by asking “was this the right intervention for the stated objective”;
- Improving accountability entails ascertaining whether the resources allocated have the desired impact;
- Enhancing decision-making by assessing what works or does not to help government build an evidence-based evaluation for future policy development.
- Improving knowledge by determining the viability of an intervention (policies, plans, projects or programmes).

Ijeoma (2014:170) maintains further that there are six types of evaluations, namely: diagnostics; design; implementation; impact; economic; as well as evaluation synthesis that will be briefly explain below:

- Diagnostic evaluations also known as ex-ante evaluation is conducted to ascertain the current situation prior to an intervention and to inform intervention design.
- Design evaluations also known as performance logic chain assessment or pre-implementation evaluation is used to analyse the theory of change, or the inner logic and consistency of the programme before it commences.
- Implementation evaluation also known as process evaluation aims to evaluate whether an intervention supports the achievement of the intended objectives.
- Impact evaluation is conducted to measure changes in outcomes and the well-being of the target population.
- Economic evaluation focusses on the measurement of the cost of a policy or a programme against the benefits.
- Evaluation synthesis, also known as meta-evaluation, measures the results of a range of evaluations to generalise findings across government spheres (Ijeoma, 2014:96-97).

In addition, Ijeoma (2014:170) further accentuates that since the inception of the National Evaluation System (NES), a research unit within the DPME was established to drive the system and provide support. Secondly, the inception of a government-wide Evaluation Technical Working Group (ETWG) was established to support the DPME research unit. Thirdly, various guidelines were developed, along with standards for evaluation, and competencies for

programme managers, M&E staff and evaluators. Fourthly, in 2011, a System for Management Performance Assessment was created and the Monitoring Performance Assessment Tool (MPAT) used to evaluate 103 of 156 national and provincial departments. Numerous M&E training courses were introduced to inform public servants about M&E. Lastly, in June 2012, Cabinet approved the first National Evaluation Plan with the emphasis on conducting various evaluations within the public service.

Although there are some challenges concerning evaluations in the South African public service, significant progress has been made since the national evaluation system was introduced. Challenges include poor programme plans that make it difficult to evaluate the performance, and poor communication channels in that programme managers are not even aware of the possibility of conducting evaluations on their programmes. Some managers perceive evaluations as negative and do not see it as an opportunity to improve performance. Consequently, departments do not budget and rely on DPME to provide all the funds for evaluations. Another concern is that departments should plan to conduct evaluations. Impact evaluations, especially, should be planned at least three years ahead to assess the impact on the target population (Phillips 2013; Ijeoma, 2014:176-177).

The role players of M&E systems are outlined in the section below.

### **3.5 THE ROLE PLAYERS OF M&E SYSTEMS IN THE THREE SPHERES OF GOVERNMENT**

According to Gopane (2012:47), government has a number of stakeholders that are tasked with ensuring the successful implementation of M&E, namely the GWM&ES within the three spheres of government such as The Presidency, National Treasury, Department of Public Service Administration (DPSA), The Statistical Agency of South (StatsSA), Department of Cooperative Government and Traditional Affairs (COGTA), and the National School of Government (NSG). The various constitutional institutions such as the Public Service Commission, the Auditor-General, the Public Protector, Chapter 9 Commissions, Parliamentary Oversight Committees all have particular M&E roles to fulfil. The PSC (2008:13) argues that institutions at the centre of M&E are easier to comprehend when categorised into the following:

- Constitutional Institutions

- Departments at national government level
- Departments at provincial government level
- Line departments

A discussion of the above follows below.

### **3.5.1 Constitutional Institutions and role players to strengthen M&E**

The PSC (2008:15) states that although the M&E functions of constitutional institutions may often overlap with the functions of other national role players, the functions of constitutional institutions should be independent from the three spheres of government. Therefore, constitutional institutions report directly to Parliament as they play a pivotal role in protecting the values and tenets of South Africa's young democracy. Their importance emanates from the fact that they may arrive at a different conclusion regarding the performance of government, because of their independence. Each of the constitutional institutions are briefly outlined below.

#### **3.5.1.1 Public Service Commission (PSC)**

The Public Service Commission's functions and powers include, *inter alia*, investigating, monitoring and evaluating the governance, administration and human resource management practices of the public service (PSC, 1997:7). According to Naidoo and Henning in Goldman *et al.* (2014:359), the PSC focusses on the following key areas namely; reviews of human resources policies and practices; departmental performance; service delivery assessments; compliance evaluations; integrity and anti-corruption; and public service investigations and grievance management. In this regard, Gopane (2012:48) avers that the PSC is mandated to evaluate the success, failure, or challenges of government programmes, as well as to promote effective and efficient performance of the South African public service and enhance the principles and values of public administration. The Annual State of the Nation Address gives autonomy to the PSC as one of the important M&E mechanisms. The State of the Nation Address is an important tool in measuring national and provincial departments' adherence to public administration principles (Gopane, 2012:48).

Goldman *et al.* (2014:359) state that the Public Service Commission used Section 195 of the Constitution, 1996, to compile its Monitoring and Evaluation Framework and the 9 Constitutional Values and Principles (CVP) for public administration:

- Professional ethics; efficient, effective and economic use of financial and other public resources;
- Developmental orientation, and impartial, fair and equitable service delivery;
- To ensure public participation in policy making;
- To promote accountability and transparency;
- Good human resource management and career development;
- To promote broad representation of South African people in public administration.

The above CVPs are comprehensive efforts to promote good governance in the public service and the PSC fulfils the important M&E role of monitoring and evaluating the overall governance, administration and human resource management practices and promotes good governance in national and provincial government departments.

### **3.5.1.2 The Auditor-General (AG)**

In terms of Section 188 of the Constitution, 1996, the Auditor-General is to audit organs of state and report on how they spend public finances. Section 188(3) of the Constitution (1996) gives the Auditor-General power to audit and report on the accounts, financial statements and financial management of all national, provincial and municipal departments and administrations and other accounting entities required by national and provincial legislation to be audited by the Auditor-General. The PSC (2008:16) sees audits as doing the following:

- Certifying that financial reports of the various organs of state truly represent the financial position of the institution; and
- Ensuring compliance with regulations and prescripts of regulations and legislation (PFMA (1999) and MFMA (2003)).

Moreover, the Auditor-General not only does the above but should also, according to the PSC (2008:16), express an opinion about the quality of performance indicators. These practices would go a long way in fostering confidence in secondary users of performance information. Goldman *et al.* (2014:360) state that the Auditor-General has also been responsible for

reporting and auditing performance information against predetermined objectives and performance information since 2004. This came about because of the inclusion of performance planning and reporting requirements in the PFMA (1999) and MFMA (2003) and the MSA (2000). It could be argued that by having an oversight role, the Auditor-General performs an important M&E role by evaluating whether financial resources were spent economically, efficiently and effectively.

### **3.5.1.3 Public Protector**

According to Section 182 (1) of the Constitution (1996), the Public Protector has the power to investigate and report on conduct in state affairs or public administration in any sphere or level of government that is alleged or suspected to be improper or results in any impropriety or prejudice. As such, the Public Protector plays a very important role in monitoring the conduct of public functionaries. Hlekiso (2012:2-3) states that the mandate of the Public Protector includes the following:

- To strengthen the constitutional democracy by investigating and redressing improper and prejudicial conduct, maladministration and abuse of power in state affairs.
- To resolve administrative disputes or to rectify any act or omission in administrative conduct by means of mediation, conciliation or negotiation;
- To give advice regarding appropriate remedies or other expedient means;
- To report and make recommendations on findings;
- To advise of and investigate violations of the Executive Members Ethics Act, 1998 (Act 82 of 1998);
- To resolve disputes regarding the operation of the Promotion of Access to Information Act (Act 2 of 2000).

Hlekiso (212:4) states that the Public Protector has the above constitutional responsibilities and is also responsible for producing information and knowledge critical to the oversight responsibilities over the executive branch. Thus, the Public Protector fulfils a critical role in monitoring the conduct of public functionaries.



### **3.5.1.4 Chapter 9 Commissions**

Section 184 (1) and (2) of the Constitution (1996), provides that the different commissions are at the centre of state institutions supporting constitutional democracy. For this study, commissions that fulfil and important M&E roles will be combined.

The South African Human Rights Commission investigates, monitors and evaluates the observance of human rights in the public in addition, to monitoring and evaluating government service delivery (PSC, 2008:16). Section 185 (2) of the Constitution (1996), identifies the role of the commission as that of promoting, protecting, monitoring, educating, and reporting the rights of cultural, religious and linguistic communities. The same is true for the Commission for Gender Equity in Section 187 (2). These different commissions thus have one or other monitoring and evaluation role in government, specifically concerning service delivery.

### **3.5.1.5 Parliamentary Oversight Committees**

According to the Presidency (2010:1), Section 92 (2) and (3) of the Constitution (1996), provides for individual and collective accountability to Parliament for the discharging of duties. In pursuance of this ideal, Parliament should get accurate and timely reports on matters that fall under its control. One of the ways that government achieves this oversight role is through oversight committees. Parliamentary committees maintain oversight over monitoring of all organs of state at both provincial and local spheres of government. The roles of Parliamentary committees are:

- The “engine rooms” of Parliament’s oversight and legislative work as they do the “gritty work”
- They scrutinise legislation, oversee government action, and interact with the public.
- They consider annual reports of organs of State and of the Auditor-General.
- They can request a briefing from organs of state or visit them for fact finding.

Parliamentary committees may use budget votes, questions for executive reply, members’ statements, notices of motion, plenary debates, and constituency work as mechanisms to fulfil their oversight role,

### **3.5.2 The national sphere role players to strengthen M&E**

Various constitutional and national role players who promote M&E are outlined below.

#### **3.5.2.1 The President's Office**

Section 85 (1) of the Constitution (1996), states that the executive authority is vested in the Presidency of the country. Furthermore, the President, together with Members of Cabinet, exercises executive authority through the development and implementation of national policies and legislation, and coordinates the functions of state departments and administration. One of the most vital aims of the Presidency is the evaluation of implementation of government strategy and its impact as measured against designed outcomes (Gopane, 2012:48).

#### **3.5.2.2 The National Planning Commission (NPC)**

Bosch (2011:2) states that the National Planning Commission (NPC) was established in 2009 to achieve outcomes that depend on more than just good financial management. This led to a paradigm shift from traditional monitoring and evaluation focus to an outcomes-based approach. The Green Paper: National Strategic Planning (2009:23) issued by the Presidency states that the NPC will occasionally contribute to reviews of implementation or progress in achieving the objectives of a national plan.

#### **3.5.2.3 National Treasury**

Before GWM&ES, the treasury had already been focussing on non-financial information, such as service delivery outputs and outcomes to improve effectiveness, efficiency and economy, as stipulated by the PFMA (1999). According to Section 215 (1) of the Constitution (1996), national, provincial and municipal budgets and budgetary processes should promote transparency, accountability and effective financial management of the economy, department and public sector. The National Treasury's role in the GWM&ES context is to ensure that information about inputs, activities, outputs and outcomes underpins planning and budgeting, including implementation management and accountability reporting to promote economy, efficiency, effectiveness equity, transparency and expenditure. GWM&ES needs to provide

the National Treasury with data that enables it to evaluate whether value for money is being practiced by government as mandated by the Batho-Pele principles (Gopane, 2012:49).

#### **3.5.2.4 Department of Public Service and Administration**

Gopane (2012:49) cites that the department is tasked with ensuring improved governance and an effective public service. The department also acts as a custodian of public management reforms, performance, knowledge management and enhancing service delivery. In addition, it also co-chairs the governance and administration cluster and department with information that is needed to evaluate whether human resources (payroll and personnel data system - PERSAL) are used and developed effectively and efficiently. Though there are still challenges with PERSAL, the system is proving to be very useful to senior departmental management. Dassah and Uken (2006:713) note that, the monitoring and evaluation function is in the directorates of the national departments, therefore, ministers have oversight and coordination responsibility for monitoring and evaluation in their departments.

#### **3.5.2.5 Statistics South Africa**

Cloete (2009:301) indicates that Statistics South Africa should coordinate the quality of data used for monitoring and evaluation purposes in the system. Drawing on the International Monetary Fund's Data Quality Assessment Framework, 2007, Statistics South Africa released the SA Statistical Quality Framework (SASQAF), which was adapted to the local environment. The SASQAF provides the criteria used to assess and clarify stats produced by government departments and organisations. The framework assesses statistics based on 8 dimensions: relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness and integrity (Gopane, 2012:49). This is subject to periodic reviews by the Statistician-General in consultation with the head of the producing organ of state or agency. The purpose of official statistics is to assist organs of state, business, other organisations or the public in the monitoring and evaluation of policies, decision-making or other actions.

#### **3.5.2.6 Department of Cooperative Governance and Traditional Affairs (COGTA)**

Gopane (2012:49-50) cites that the OTPs in the nine provinces play an important role in the development and implementation of national and provincial policies, Provincial Growth and

Development Plans, as well as the coordination of provincial departments, by providing strategic leadership, formulating and reviewing policy coordination, and planning and overseeing the planning and implementation of service delivery.

COGTA is making an effort to develop national policies and legislation aimed at provincial and national government, monitoring and implementing these policies as well as support provincial and national government in the execution of constitutional and legal mandates. The M&E system should, therefore, provide local and provincial authorities with information that enables them to assess how well they are working towards fulfilling their mandates. COGTA is tasked with determining the final architecture of South Africa's GWM&ES. As such, provincial governments in the nine provinces should be accountable, since their responsibilities are not only limited to aligning provincial policies and planning frameworks to national plans, but also to ensuring that local Government Integrated Development Plans (IDPs) are also aligned with provincial and national growth and development strategies. To ensure progressive realisation of the socio-economic rights of citizens in the province, the OTP is charged with the responsibility to monitor the provision of basic municipal service delivery (Gopane, 2012:50).

Gopane (2012:50) concludes that a properly functioning M&E system should enable provincial government to identify potential municipal service delivery breakdowns and financial crises timeously, and become an invaluable tool for effective municipal monitoring, supervision, support and rapid intervention by provincial governments when necessary. There must be close cooperation between the Provincial Treasury, provincial COGTA and the OTP to ensure a coordinated, effective and efficient monitoring system and process for municipalities. This cooperation is of importance as it will prevent duplication of information and clarify the role of each of the three departments in M&E.

### **3.5.2.7 National School of Government (NSG)**

The Strategic Plan (2012:19) by the Public Administration Leadership Management Academy (PALAMA) shows that one of the priorities of the academy is to provide monitoring and evaluation training as part of its contribution towards achieving the twelve national outcomes. According to Engela and Ajam (2010:11), the former Public Administration Leadership Management Academy, currently known as the National School of Government (NSG), and

other service providers are responsible for all M&E training of public servants. The M&E training curriculum should be in line with or supportive of the GWM&ES. PALAMA initiated contact with all the major stakeholders in the GWM&ES through a number of extensive consultations, discussions and workshops to develop the M&E curriculum. The curriculum is targeted at line managers with M&E responsibilities, M&E managers tasked with setting up M&E units and lastly, M&E practitioners in government.

### **3.5.2.8 The M&E role of National Departments Responsible for Concurrent Functions**

Prinsloo (2011:104) postulates that the national departments responsible for concurrent functions need to monitor the performance information produced by their provincial counterparts and use it to evaluate delivery of services within their sector. The National Treasury (2007:18) also states that, for example, the National Department of Health has a responsibility to ensure the structures and systems used by provincial Health Departments to collect performance information are the same (or at least compatible) and that there is complete agreement on the types of information and definitions across the sector.

As seen from the discussion above, there are numerous institutions in South Africa which play a role in monitoring and evaluation. Cloete (2009:299) remarks that it seems like GWM&ES resembled an emerging network as the structures thereof are explained in a series of separate policy documents drafted by the respective stakeholders, each establishing one or more components of a comprehensive emerging regulatory framework that forms the backbone of the system. There is no integrated hierarchical structure and no indication of lines of authority and interlinking processes available yet.

### **3.5.2.9 The Department of Performance Monitoring and Evaluation (DPME)**

The Department of Performance Monitoring and Evaluation (DPME) was established in 2010 to introduce the outcomes approach to planning, monitoring and evaluation of the national government's top priority outcomes. The main responsibilities and roles of DPME are:

- Being responsible for M&E of national priorities that include, *inter alia*, planning for the twelve outcomes and delivery agreements, monitoring progress against plans, and conducting evaluations to improve programmes, policies, and plans;

- Responsibility for the management of performance M&E by assessing the quality of management practices in departments through the MPAT;
- Providing M&E frontline service delivery such as monitoring the experience of citizens regarding service delivery and taking responsibility for the Presidential Hotline;
- Rolling out the government-wide M&E system by establishing M&E platforms at national and provincial sphere, ensuring that quality data is available to structure and develop such units and government-wide capacity while developing the national evaluation system (Goldman, *et al.* 2014:360).

In addition to the above the DPME also issued numerous guidelines to assist public servants and M&E units to fulfil their functions effectively.

### **3.5.3 The various role players to promote M&E in Provincial Governments**

According to PSC (2008:15), line departments are charged with the responsibility to implement national and provincial policies in their specific jurisdictions. This includes the monitoring and evaluation of policy implementation processes, impact analyses, and the level and quality of service delivery. Goldman *et al.* (2014:361) opine that each of the 155 national and provincial departments is responsible for monitoring activities related to its services as prescribed by statutory and regulatory legislation. The other provincial role players to promote M&E in provincial governments are discussed below.

#### **3.5.3.1 Provincial Legislature**

According to Section (125) (1) of the Constitution (1996) the provincial executive authority of a province is vested in the Premier of a province. From an M&E perspective, the Provincial Government Programme of Action and the Provincial Growth and Development Strategy set the tone for the key strategic objectives of the province. Section 114 (1) (a) of the Constitution (1996) stipulates that a provincial legislature may consider, pass, amend or reject any bill before the legislature, this includes but is not limited to setting the strategic direction for the province. Section 114 (2) (a) of the Constitution (1996) ensures that provincial legislatures establish mechanisms to ensure accountability by all provincial executive institutions. PSC

(2008:15) argues that provincial legislatures must monitor and evaluate the performance of provincial government departments on the execution of their growth and development strategy and other provincial priorities. This is in line with Section 114 (2) (b) (i and ii) of the Constitution (1996), which mandates the provincial legislature to play an oversight role in the exercise of executive authority and implementation of legislation in the province. From the above, provincial legislatures must monitor and evaluate the performance of provincial government departments in executing their growth and development strategy and other provincial priorities.

### **3.5.3.2 Provincial Treasuries**

Fourie and Opperman (2015:551-552) maintain that Provincial Treasuries must monitor municipalities' and municipal entities' compliance with the MFA. They must also monitor municipalities' preparation of their budgets, monthly outcome of their budgets, and submission of municipal reports as required by the MFMA. Fourie and Opperman (2015:552) hold that Provincial Treasuries should submit information required by Section 5(80) of the MFMA (2003) monthly to the National Treasury, thus assisting the latter to enforce compliance with the constitutional measures as well as those established in the PMFA (1999) and MFMA (2003).

### **3.5.3.3 The role and functions of Office of the Premier M&E unit's**

The Presidency, Role of Premiers Offices in Government-Wide Monitoring and Evaluation: A Good Practice Guide (2008), and the DPME guidelines recommend that M&E units should be placed with the Head of Department and Director-General in each department to quality control information from various branches. Rabie (2016:98-100) emphasises that M&E units should combine all M&E reports from the various departments and local governments to reflect their budgetary performance, utilisation of human resources and achievement of set targets against delivery agreement outcomes. Since responsibility of financial resources at provincial sphere is shared with the Provincial Treasury, the M&E unit in the Premiers Office is well placed to combine that data with non-financial data as to whether service delivery outputs and impacts were achieved. According to the Presidency (2008:28-30), the M&E unit structure should comprise an M&E Chief Directorate supported by at least three directorates responsible for planning, monitoring, evaluation, and knowledge management (Rabie, 2016:98-100).

According to De Coning and Rabie (2014:272), M&E units are generally not established once-off, but rather gradually as the functions of the units develop. Furthermore, units should have at least two staff members to be effective. De Coning and Rabie (2014:272) recommend an M&E champion be appointed to guide the initial foundation phase, orientation, promotion and advocacy of the M&E unit. According to Phillips (2012:3-7) the functions of an M&E unit include but are not limited to:

- The advancement of a departmental monitoring framework. The framework should set out what needs to be done and who is responsible for what.
- Sector monitoring. The M&E unit must coordinate data collection, the analysis of data and the usage of information by the different branches. This could be data relating to one sector or departments in charge of concurrent functions.
- Preparing annual performance plans against set targets. The M&E unit should have meetings with senior management to discuss annual progress reports, shortcomings and possible solutions.
- Reporting on the delivery agreements for outcomes. The M&E unit should be provided with quarterly progress information on the achievement of all relevant indicators, outcomes and targets.
- Generic reporting requirements. The M&E unit should consolidate reports from various provincial departments and sectors as well as provide feedback to relevant stakeholders such as the provincial legislature.
- Monitoring of provincial departments. The M&E unit must be able to coordinate the different monitoring programmes of the different departments.
- Public entities monitoring. The M&E unit should assist provincial departments that have public entities under them to fulfil the monitoring responsibility.
- Motivation for monitoring and evaluation. The M&E unit should provide guidelines for different types of information to be collected by the different stakeholders in the M&E value chain.
- Creating an M&E information management system. The M&E should cooperate with the different departments in assisting them to improve the quality of information management systems and promote the uniformity of data.
- Evaluations. The M&E unit must determine what needs to be evaluated and should also design an evaluation plan, coordinate the implementation of the evaluation plan,



as well as facilitate and coordinate evaluations and provide continuous support to the various departments.

The DPME (2012:4) highlights the following about M&E units:

- The M&E units must develop a province-wide policy and implementation plan. The implementation plan should be expressed in quantifiable indicators and activities that are captured in the Provincial Growth and Development Strategies.
- The M&E units should provide technical guidance and support to provincial organs of state, by ensuring data is properly analysed, reliable and timeously available as well as disseminated amongst consumers;
- The M&E unit must establish M&E learning networks or associations. Training should be provided by the National School of Government (NSG) and or other accredited training institutions and service providers to coordinate M&E capacity development initiatives in the public service; and
- The M&E units in close cooperation with branch managers are also responsible for data flow, to establish business processes for managing data, to capture and manage data, continuously improving underlying IT systems to support M&E systems.

De Coning and Rabie (204:281-282) say the following about M&E units:

- Responsible for the management and advice of the M&E system and functions and ensuring constant improvements to the M&E system;
- The role and responsibilities of the monitoring function of the M&E units include, *inter alia*, to produce good and regular monitoring results to use during consultations and decision-making processes;
- To communicate and share relevant monitoring and evaluation data and results with all stakeholders;
- To support and assist the provincial government with the readiness assessment, and planning, development and design of the M&E function;
- Responsible for the development of an M&E policy framework where the roles and responsibilities of the different role players are provided as well as other guidelines concerning data-collection procedures;

- Responsible for facilitating and ensuring that an agreement is reached regarding the objectives, anticipated outcomes, targets, indicators and data that will be used regarding the monitoring framework;
- To update the M&E policy and business plan on a regular basis;
- To ensure that the M&E unit has the necessary financial, human and information management systems in place to fulfil its mandate effectively;
- To ensure validity and reliability of data and information;
- To ensure that relevant and reliable information is acquired on a regular basis as well as manage and produce relevant information that will be used for monitoring purposes and decision-making processes;
- To draft and release regular M&E reports to decision makers; and
- Responsible for effective evaluation of monitoring results.

The M&E unit plays an important role in the overall planning, coordination and management of the M&E function within provincial governments. It is also responsible for acquiring quarterly progress information on the achievement of all relevant indicators, outcomes and targets from the various departments. Another critical role is to produce relevant information that will be used for monitoring purposes and decision-making processes by various departments. Lastly, the M&E unit is also responsible for evaluating monitoring results.

### **3.6. PERFORMANCE OUTCOMES AND INDICATORS**

The twelve outcomes approach and performance indicators followed by the South African public sector are discussed below.

#### **3.6.1 The outcomes-based approach in the context of the South African public sector**

According to Goldman *et al.* (2014:364) and Kariuki and Reddy (2017:1), Cabinet adopted priority outcomes from the five priorities of the ruling party's manifesto. Twelve outcomes were agreed upon in January 2010, becoming the initial focus of the newly established Department of Performance Monitoring and Evaluation (DPME). Delivery agreements were signed with the relevant Ministers, and Outcome Facilitators at Deputy Director General (DDG) level were appointed in the newly established DPME to support the development of the

delivery agreements and help with the implementation and monitoring of the outcomes. Agreements were also signed by various national and provincial departments and municipalities before the first quarterly monitoring reports based on the outcomes were produced by the end of November 2010.

The reports emphasise progress of the plans, outputs and actions required to address relevant challenges. Goldman *et al.* (2014:365) aver that the quarterly monitoring reports containing the twelve outcomes bring together the different departments linked to specific outcomes and responsible for concurrent functions (education and health and national and provincials' sphere). These are discussed at various Cabinet subcommittees to identify progress and possible challenges to achieving outcomes. Performance and delivery agreements between Ministers or clusters and the President come from the twelve outcomes (Presidency 2010:7). According to Phillips (2012:14) and Ijeoma (2014:180), twelve priority outcomes that were approved based on the MTSF are:

- To provide quality basic education;
- To promote a long and healthy life for all citizens;
- All citizens in South Africa should feel safe;
- Decent employment opportunities through inclusive economic growth;
- To provide a skilled and capable workforce to support an inclusive growth path;
- To provide an efficient responsive economic infrastructure network;
- To promote a vibrant equitable and sustainable rural community contributing towards food security for all;
- To promote sustainable human settlements and improved the quality of household life;
- To create a responsive, accountable, effective and efficient local government system;
- To protect and enhance the natural resources and environmental assets;
- To create a better South Africa, a better Africa and a better world;
- To promote an efficient, effective and development-oriented public service and an empowered, fair and inclusive citizenship.

Rabie's (2016:95) outcomes approach and the twelve outcome agreements led to the development of the national evaluation Framework, 2011, which wants to ensure that credible and objective evidence from evaluations is used in policy reviews, planning, budgeting, programmes and projects.

### 3.6.2 Indicators in Monitoring and Evaluation

Rabie (2014:205) aver that indicators, often referred to as performance indicators, are measurement instruments used to track and assess the progress or attainment of objectives and outcomes based on evidence of achievement of results in relation to stated objectives. Stofile (2017:37) views the selection of key indicators to monitor outcomes as crucial to linking outcomes and relevant data gathered in line with set outcomes. Kusek and Risk (2004:68) identify five characteristics of good indicators namely:

- Must be clear, and unambiguous;
- Must be fit for the purpose in that they must be aligned to specific outcomes;
- Must have an economic value or a service with value for money;
- Must be adequate to fulfil their purpose;
- Must be measurable to assess the attainment of objectives and outcomes.

Although there is no consensus on the definition of an indicator, there are key characteristics such as being either quantitatively or qualitatively measurable and linked to a result or outcome.

According to Ijeoma (2014:208-2130), there are different types of indicators such as quantitative or qualitative, and standard M&E classifications such as input, process, output and outcome or impact indicators. Quantitative indicators measure the quantity and tend to focus on the measurement of numbers, percentages, rates, ratios and quantifiable results. Qualitative indicators focus on people's opinions, perceptions and attitudes towards a given situation or subject. Therefore, qualitative measurements measure results in terms of compliance with specific policies or procedures or the quality of a programme or a project (*ibid*). The Indicators at different levels in the M&E system referred to by Ijeoma (2014:2018) as standard M&E classifications indicators include the following:

- **Input indicators** - measure how a programme or project is implemented with reference to financial, physical, human, information and time resources provided for a project or programme.
- **Process Indicators** - focus on how a programme or a project achieves its goals. They aim to track the conversion of resources to policy outputs and outcomes, and reflect on efficiency, productivity and compliance to good government principles or client satisfaction and perception surveys.

- **Output indicators** - assess progress against certain outputs. These measure the direct results of a certain process and programme or project, and focus measuring the quality and quantity of services created or provided through inputs
- **Outcome indicators** - measure the intermediate changes that a programme effects on target audiences such as knowledge, attitudes, beliefs, skills, behaviour, access to services, policies and environmental conditions.
- **Impact indicators** - focus on long term implications and development outcomes of an intervention in the long term. These could be changes in people's lives and development conditions at different levels.
- **Results indicators** - measure the consequences of activities with regard to the objectives of programmes or projects and include output, outcome and impact indicators (Ijeoma, 2014:212-218; Cloete, *et al.* 2014:209-210).

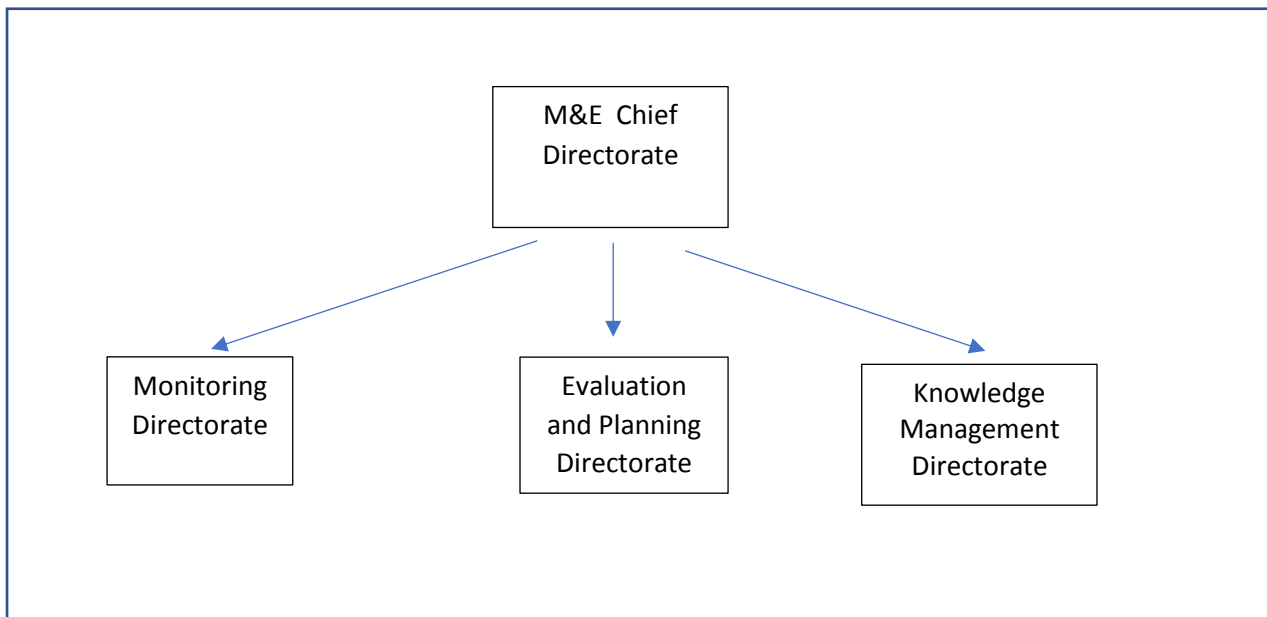
Rabie (2014:210) maintain that the input and output indicators are simpler to measure as they track tangible and quantifiable resources and products using readily available data. Process indicators focus on efficiency, cost effectiveness and productivity studies. On the other, outcome and impact indicators focus on intangible or unquantifiable improvements which require the use of various other indicators to measure performance aspects. Suffice it to say, different indicators vary in degree of difficulty and cost implications to measure accurately.

### **3.7 PROPOSED STRUCTURE FOR M&E UNITS OR DIRECTORATES IN GOVERNMENT DEPARTMENTS**

In terms of the National Evaluation Framework (2001) government departments should ensure that they have a specific structure in place to fulfil the function of evaluation (Rabie, 2016:99). Rabie (2016:100) maintain that that the M&E Units should be the ideal structure to fulfil the function of M&E. However, the function of M&E should be the responsibility of all management and in particular programme and project managements. The successful implementation of M&E depends on the structure and capacity of a M&E Unit. Rabie (2016:100) further explains that only a few government departments have managed to implement the generic proposed structure of the Premiers Office Guideline. The DPME Guideline 3.1.7 (2013) provides a framework for the generic roles and organisational design considerations for M&E components in provincial government departments that are geared

towards ensuring the institutionalisation of M&E. The guidelines advocate an M&E Unit that comprises of a M&E Chief Directorate supported by three directorates responsible for monitoring, evaluation and planning and management of knowledge (Rabie, 2016: 99). The proposed structure for M&E Units in government departments is illustrated in Figure 3.1 below.

**Figure 3.1 Recommended M&E structure for government departments**



(Source: Rabie, 2016:100).

The OTP, M&E Directorate of the Free State Provincial Government consist of two chief directors, in charge of M&E programme and public sector M&E, three directors who are responsible for (provincial department M&E, frontline service delivery monitoring and institutional performance monitoring), two assistant directors and one deputy manager responsible for institutional performance monitoring.

### 3.8 SUMMARY

This chapter provides an overview of the institutional arrangements of M&E as well as the provincial and municipal-wide M&E function. Best practices and current challenges of institutional arrangements for M&E in provincial governments were emphasised and the establishment of monitoring systems discussed. The successful institutionalisation of M&E relies on establishing an effective M&E system and capacity in an institution. To promote

effective institutional arrangements, the Government-wide M&E System (GWM&ES) was established not only to promote the delivery of useful M&E products or information for its users, but also to ensure that these systems are cascaded throughout all three spheres of government from the Executive Branch to Programme Managers, M&E units and Accounting Officers.

The institutional arrangements and challenges concerning the national evaluation system showed that significant progress has been made since the national evaluation system was introduced. Nevertheless, there are still some challenges concerning evaluations in the South African public service. These challenges include poor programme plans that makes it difficult to evaluate performance. Poor communication channels result in programme managers not knowing that evaluations can be conducted on their programmes. Conversely, some managers perceive evaluations as negative and not as an opportunity to improve performance. Also, departments do not budget for evaluations, relying on DPME to provide all the funds for evaluations. Another concern is that many departments lack planning for conducting evaluations, especially impact evaluations which should be planned at least three years ahead to assess the impact on the target population.

The chapter introduces the numerous stakeholders tasked with ensuring successful implementation of M&E, namely GWM&ES within the three spheres of government such as the Presidency, National Treasury, Department of Public Service Administration (DPSA), The Statistical Agency of South (StatsSA), Department of Cooperative Government and Traditional Affairs (COGTA), and the National School of Government (NSG). M&E roles and responsibilities of the various constitutional institutions such as the Public Service Commission, the Auditor-General, the Public Protector, Chapter 9 Commissions, and Parliamentary Oversight Committees were discussed as well as role players at provincial sphere. The role of M&E units in the OTP were outlined and that it plays a pivotal role in the overall planning, coordination and management of the M&E function within provincial governments. The M&E is responsible for acquiring quarterly progress information on the achievement of all relevant indicators, outcomes and targets from the various departments. Another critical role is to produce relevant information for use in monitoring purposes and in decision-making processes by various departments. The M&E unit is also responsible for evaluating monitoring results.

Twelve outcomes that became the initial focus of the newly established Department of Performance Monitoring and Evaluation (DPME) were agreed on in January 2010. Delivery agreements were signed with the relevant Ministers and Outcome Facilitators at Deputy Director General (DDG) level were appointed in the newly established DPME, with the aim to support the development of the delivery agreements as well as the implementation and monitoring of the outcomes. The agreements were also signed by various national and provincial departments and municipalities. The first quarterly reports emphasised progress against the plans, outputs and actions required to address relevant challenges. The various types of indicators such as input and output indicators, process indicators, outcomes and impact indicators were discussed. Input and output indicators were identified as simpler tools of measurement than process, outcome and impact indicators. It was concluded that these indicators vary in degree of difficulty and cost implications, followed by a discussion about the proposed structure for an M&E unit or structure for government departments. The next chapter is about the empirical research, methodology and findings.



## **CHAPTER 4: EMPIRICAL RESEARCH, METHODOLOGY AND FINDINGS**

### **4.1 INTRODUCTION**

The theoretical aspects which required certain procedures to ensure a thorough analysis of the problem as laid out in the study was explained in previous chapters. Chapter 2 gave the theoretical overview of monitoring and evaluation in the context of the South African public sector while Chapter 3 provided a theoretical overview of the institutionalisation of the government-wide monitoring and evaluation system in the South African public sector. This chapter explains the data gathering techniques and sampling, reliability and validity of the data measuring instruments.

A research methodology is a special approach of collecting and processing data within the framework of the research process (Brynard and Hanekom, 1997:28). An empirical investigation of the practices of monitoring and evaluation systems in the Office of the Premier was done through semi-structured interviews with selected participants. This chapter therefore explores the survey methods employed and theoretical basis for conducting empirical research. It also delineates the analysis, interpretation and findings of this study.

### **4.2 RESEARCH DESIGN AND METHODOLOGY**

In order to achieve the research objectives outlined in Chapter 1, the data was gathered through a literature study, followed by an empirical study. The research design is a general plan of how the researcher goes about answering the research question (Saunders, Lewis and Thornhill, 2009:136). According to Cooper and Schindler (2003:149), a research design is regarded as the blueprint for collecting, measuring and analyzing data. In this study the post-positivism or interpretive research paradigm which is based on qualitative research approach was followed. There are two main approaches to research, which are qualitative and quantitative. Quantitative researchers rely more extensively on numbers and statistics in the analysis and interpretation to generalise findings. Whereas, a qualitative approach is often used when the problem has not been investigated before, and this method requires smaller samples, from which findings are produced (Bless, Higson-Smith and Sithole, 2014:16). According to Mouton (2005:161) qualitative research involves the use of the post-positivism or interpretive research paradigm

(qualitative research approach) that seek to describe and evaluate the meaning of phenomena in social worlds (Mouton, 2005:161).

#### **4.2.1 Data gathering technique**

According to Motingo (2011:95), there are many ways of collecting data and analysing it as determined by the purpose, aims and objectives of the study. Information for this study was required from both secondary and primary sources. This method is preferred because both primary and to a larger degree, secondary information sources are scarcely available. According to Bless, Higson-Smith and Sithole (2014:184) and Salkind (2018:179) primary sources refer to original reports, journals abstracts, scholarly books, documents, interviews, records of eyewitnesses, dairies. Bless *et al.* (2014:184) maintain that secondary sources refer to data which was collected by other investigators either in connection with other research problems, or as part of the usual gathering of social data for a population census. In this study specific information concerning M&E practices and implementation challenges of M&E systems in the public sector was extracted from recent dissertations, theses and recordings of the semi-structured questionnaire and the semi-interviews conducted for this study. Recent scholarly information about M&E theories were also collected from both secondary and primary sources.

#### **4.2.2 Population and sampling**

According to Welman, Kruger and Mitchell (2005:52-53) a population encompasses the total collection of all units of analysis about which the researcher wishes to make specific conclusions. The population of this study consisted of 10 (ten) employees of the Free State Provincial Government. Sampling is defined as a process of choosing a small group of respondents from a larger defined target population and assuming that the results discovered about the small group will allow the researcher to draw conclusions about the larger group (Hair, *et al.* 2003: 333). According to Maree *et al.* (2017:84) there are no rules for sample size in qualitative studies.

In this study the convenience sampling method was used to identify the the two Chief Directors of the Office of the Premier, M&E Directorate who can be seen as the expertise of M&E matter within the province with who semi structured interviews were conducted to elicit information

about current M&E processes, practices, challenges and best practices concerning M&E in the Office of the Premier, M&E Directorate and in the Free State Province. According to Bless *et al.* (2014:172 -176), convenience sampling can be used in both qualitative and quantitative studies since it can be used based on the availability of the units of the target population. The target population of the study constituted the M&E unit in the Premiers office.

Purposive sampling, which is a non-probability sampling method was used to select the six public officials from the Office of the Premier, M&E Directorate who completed the semi-structured questionnaire to elicit information about M&E processes, and current challenges with the implementation of M&E systems. The two Chief Directors of the Office of the Premier, M&E Directorate with whom the semi structured interviews were conducted also completed the semi-structured questionnaire. The latter was a deliberate ploy, as the two Chief Directors had more information at a strategic level. Welmal *et al.* (2005:69) aver that purposive sampling is the most important type of non-probability sampling where a researcher draws on experience to deliberately obtain units regarded as representative of the relevant target population for analysis.

#### **4.2.3 Research instrument**

Tsatsire, (2008:229) avers that there are various ways to collect data such as a questionnaire, personal interviewing, observation of events as they happen, and abstraction. A questionnaire is an instrument of data collection with a standardised series of questions relating to the research topic to be answered in writing by the respondents. According to Welman *et al.* (2005:166-167), in semi-structured interviews the researcher has a list or interview guide with differently themed questions to be covered during the interview. This means that some questions may be asked in certain contexts related to the research topic.

The Director: M&E unit, gave permission to conduct empirical research both telephonically and in person when visited by the researcher and the supervisor. A semi-structured interview schedule was used to conduct interviews with the two Chief Directors of the Office of the Premier as well as eight public officials (Assistant and Deputy Directors), to collect information about current M&E processes, practices, challenges and best practices. The semi-structured questionnaire contained close questions by using a five-point Likert scale and by using open-ended questions scale.

Motingoe (2011:95) avers that a questionnaire is a written document with a number of questions and recorded answers for survey purposes and Tsatsire (2008:229) describes it as a major vehicle in data collection whose structure and design should ensure the accuracy of data collected. According to Tsatsire (2008:230), the following are crucial in a questionnaire:

- Confidentiality should be assured;
- If applicable, a choice of answers should be given on the questionnaire;
- Layout is important and adequate space should be provided for answers;
- Questions should be formulated in a way that does not give offense or cause for emotive language;
- Questions should also not require any calculations, but short, simple and to the point.

Confidentiality was assured through the covering letter, and the questions were unbiased so as not to guide responses. All the above requirements were taken into account with the compilation of the semi-structured questionnaire.

#### **4.2.4 Data collection methods and data analysis**

This study followed an interpretive paradigm that employed a qualitative research design. The interviews were conducted in the Office of the Premier in the Free State Province. The interviews were transcribed verbatim to capture the full meaning of what the participants had to say. After transcribing the data, the interviews were reviewed, and the typos were systematically removed.

A thematic analysis approach of data analysis was used to analyse the information retrieved from the eight interviews following Braun and Clarke's (2006) thematic analysis. Thematic analysis is a rigorous and inductive set of procedures designed to identify and examine themes from textual data in a way that is transparent and credible (Guest MacQueen & Namey, 2011:15). Following the thematic analysis procedure, after transcribing the interviews, the data was prepared, coded and categorised, themes were created, refined and finalised. The thematic analysis was used to make sense of the data and provide relevant themes that speak to the research question. The analysis followed Braun & Clarke's (2006) phases of thematic analysis.

#### 4.2.5 Validity and Reliability

According to Maree *et al.* (2017:123), validity and reliability are key measures in quantitative research while trustworthiness is more applicable to qualitative research. Du Plooy-Cilliers *et al.* (2014:258) opine that qualitative research, as in the case of this study does not use numbers as evidence but rather different criteria to determine trustworthiness or credibility of research findings. Trustworthiness is thus the overarching term to indicate reliability and validity in qualitative research and entail credibility, transferability, dependability and confirmability.

Credibility focusses on the accuracy with which collected data is interpreted, while transferability refers to the ability of the findings to be applied in similar situations to deliver similar results (Du Plooy-Cilliers, *et al.* 2014:258- 259). Dependability refers to the quality of the process of integrating the data collection method, the data analysis and the theory generated from the data. Lastly, confirmability is about how well the collected data supports the findings and interpretation by the researcher. In other words, it focusses on how well the findings flow from the data collected (*ibid.*). Bless *et al.* (2014:238) state that when credibility, dependability, transferability and confirmability are high, the researcher can argue that the research is highly trustworthy or of high quality. This study was based on qualitative study therefore triangulation was used to ensure the trustworthiness of the questionnaire and the interview schedule. Bless *et al.* (2014:238) see triangulation as the most frequently used method for verifying and increasing the trustworthiness of qualitative research.

Triangulation is often used in qualitative research as it is a multiple data-collection method that combines several or different data-collection methods. According to Welman *et al.* (2005:142-143), triangulation is a form of construct validity. Thus, triangulation as a form of construct validity was used in this study to ensure the semi-structured questionnaire measured what it intended to measure. The construct validity of a measuring instrument refers to the degree to which the instrument measures the intended construct. It means that conclusions are drawn from the findings of collected data and triangulated in terms of what was presented in the theoretical discussion or literature review of the study (Maree *et al.* 2017:122-123).

A pilot study was conducted with the Provincial Public Service Commissioner (an expert in monitoring and evaluation (M&E) systems within the Free State) to test the reliability and

validity of the semi-structured questions of the semi- structured interview guide and the semi-structured questionnaire.

#### **4.2.5 Statistical techniques**

Statistics deals with the collection, organization, analysis, interpretation and presentation of data. To analyses the data collected from the interviews and the semi-structured questionnaire NVivo 11 Pro was used. NVivo is a data analysis tool designed for qualitative researchers working with very rich text-based information. The interview transcripts were explored through lexical queries such as word frequency and text search queries to enhance the coding. Although there might still have been some elements of subjectivity in the coding process, coding collaboratively helps to considerably reduce the subjectivity bias in qualitative data analysis because it provides diverse standpoints in interpreting the data (Saldana, 2009:27; Guest, MacQueen and Namey 2011). Moreover, for more accuracy and more depth in the data analysis, a Computer Assisted Qualitative Data Analysis Software (CAQDAS) NVivo 11 Pro was used. In addition to the above as discussed in Section 4.3.2 in this Chapter, an athenatic analysis methodology of data analysis was used to analyze the data retrieved from semi structured interviews following Braun and Clarke's (2006) thematic analysis. Following the thematic analysis procedure, after transcribing the data collected from the semi-structured interviews, the data was prepared, coded and categorized, themes were created, refined and finalized. A thematic analysis was used to make sense of the data and to provide relevant themes that speak to the research questions. In addition to the above the Statistical Package for Social Sciences (SPSS) to populate data to generate tabulated reports, charts, and plots and distributions and trends, descriptive statistics, and complex statistical analysis.

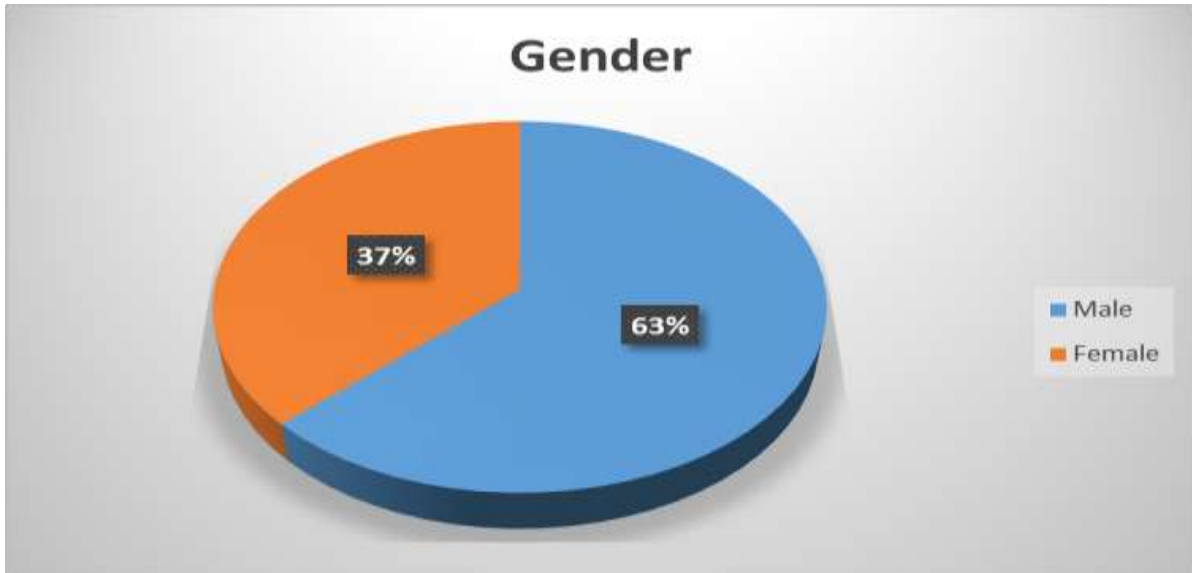
### **4.3 DATA PRESENTATION AND ANALYSIS OF THE SEMI-STRUCTURED QUESTIONNAIRE**

The findings of the semi-structured questionnaire conducted with eight public officials in the M&E unit in the OTP, FSPG, were divided into two sections, namely Section A and B. Section B consisting of two categories.

### 4.3.1 Section A: Biographical information

In Figure 4.1 below the outcome of the gender of the respondents is illustrated.

**Figure 4.1: Gender of the respondents**



As depicted in figure 4.1 above, 63% of the respondents were female as opposed to 37% who were male. The aim of the question was to draw attention to the gender category of the respondents. Figure 4.2 below illustrates the age of the respondents.

**Figure 4.2: Age of respondents**

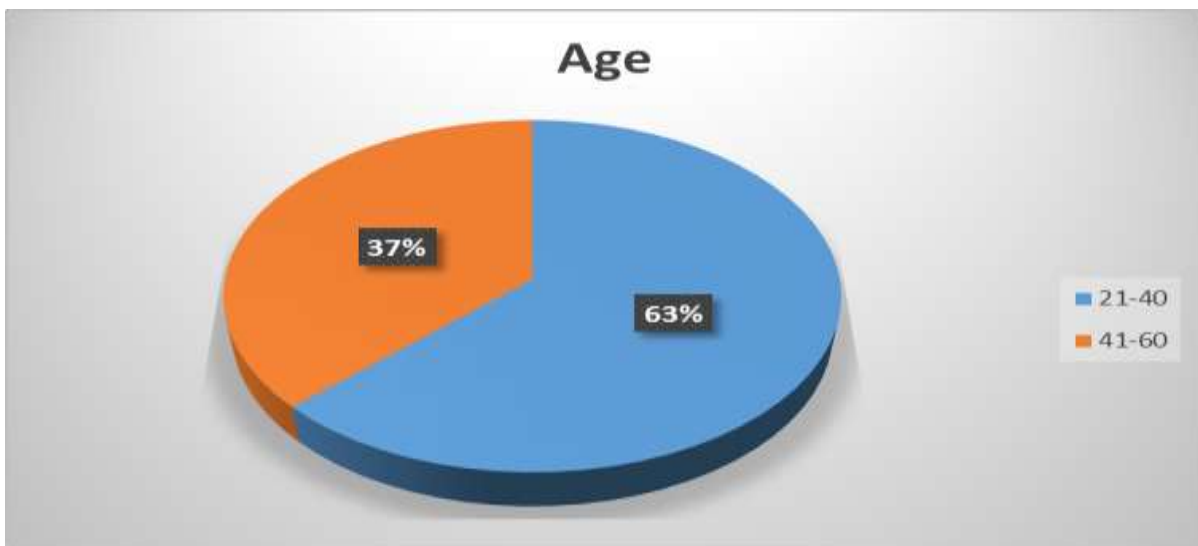
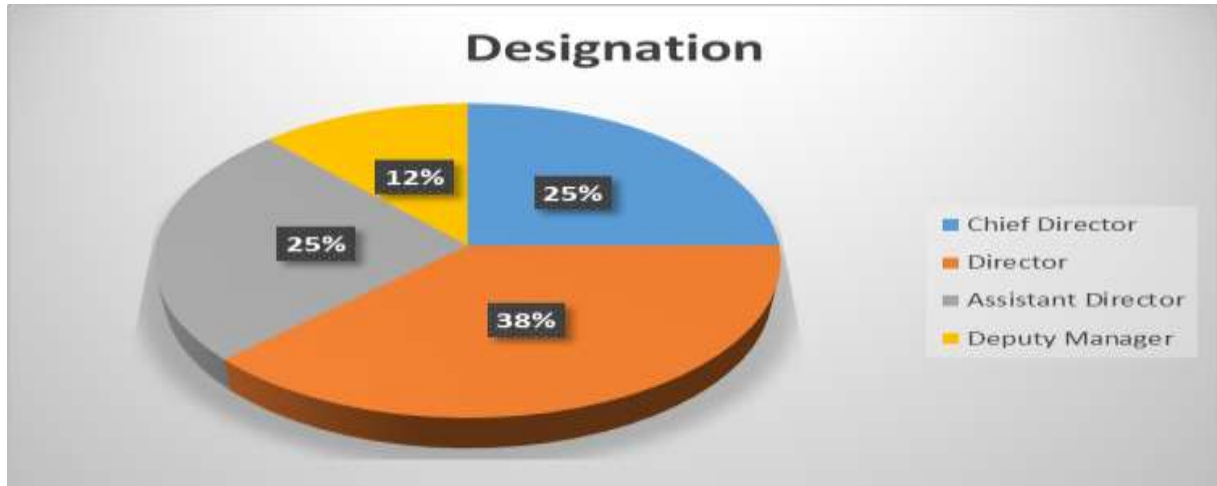


Figure 4.2 above shows that 63% of the respondents were between 21-40 years and 37% between 41-60. The purpose of this question was to draw attention to the age of the respondents. Below figure 4.3, elucidates the designation of the respondents.

**Figure 4.3: Designation**



From the above graphical information in Figure 4.3, 25% of the respondents are at Chief Director level, 37% at Director level, 25% at Assistant Director, and 12.5% at Deputy Manager/Director level. The education level of the respondents is depicted in figure 4.4 below.

**Figure 4.4: Education level**

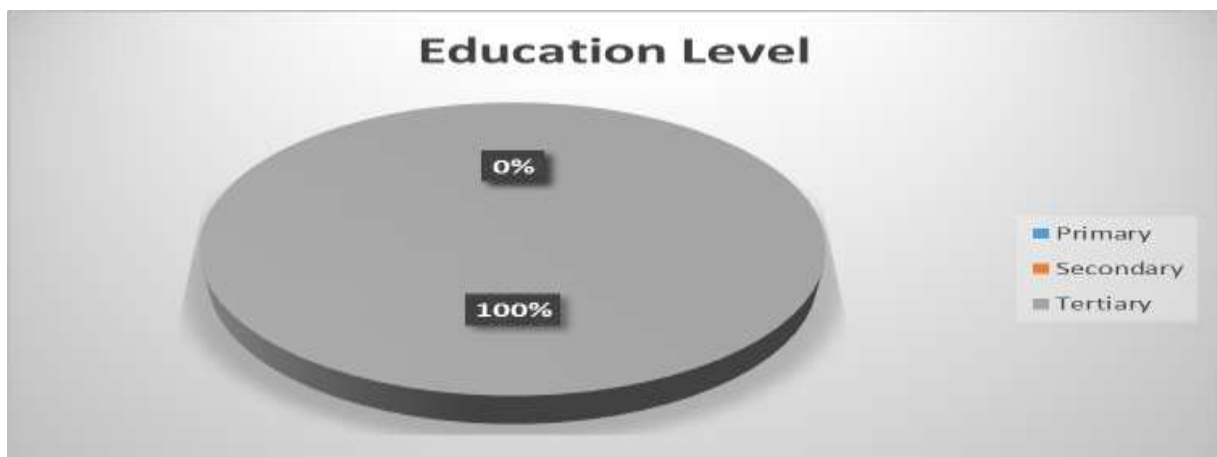
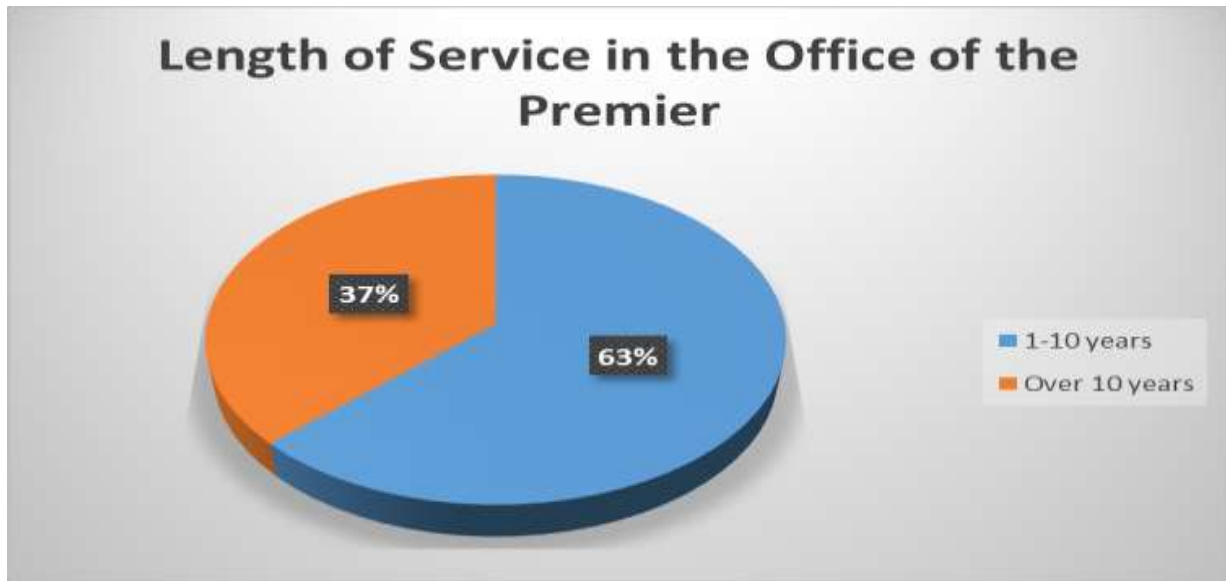


Figure 4.4 depicts the education levels of the respondents. The pie chart above shows that 100% of the respondents possessed a tertiary qualification, either a diploma or degree. One of the respondents holds a Ph.D. The aim of this question was to draw attention to the educational level of the respondents. The respondents' length of service in the Office of the Premier is portrayed in figure 4.5 below.



**Figure 4.5: Length of service in the Office of the Premier**



From Figure 4.5 above, 63% of the respondents had been employed in the Office of the Premier for a period of 1-10 years, with the remaining 37% having more than 10 years of service. The latter indicates that the respondents were experienced in the operations of the Office of the Premier, M&E Directorate.

#### **4.3.2 PROCESS OF DATA ANALYSIS AND CODING OF THE RESPONSES OF SECTION B: THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM**

In Section B, the data gathered from category 1 and 2 of the semi-structured questionnaires was analysed. This section analyses data collected on challenges faced by the Office of the Premier, Free State Provincial Government with the implementation of the GWM&ES.

A thematic analysis methodology of data analysis was used to analyse the data retrieved from the semi-structured questionnaire by following Braun and Clarke's (2006) thematic analysis. Thematic analysis is a rigorous and inductive set of procedures designed to identify and examine themes from textual data in a way that is transparent and credible (Guest, MacQueen and Namey, 2011:15). Following the thematic analysis procedure, after transcribing the responses of the responses to the semi-structured questionnaire, the data was prepared, coded and categorised, themes were created, refined and finalised.

The researcher focused on themes based on strategies, implementation challenges and practices for effective talent management as units of analysis and used open coding by assigning initial

codes or labels. Codes are “tags or labels for assigning units of meaning to the descriptive or inferential information compiled during a study” (Fereday and Muir-Cochrane, 2006). Following Saldana’s (2009) first cycle coding included coding methods such as descriptive coding, NVivo coding and process coding. After the creation of codes, they were systematically sorted into a codebook according to their categories, types and relationships. These codes were refined, some were merged, others were collapsed, and some other irrelevant codes were deleted. The identified themes were labelled and refined in light of the research questions. These codes represented four emerging themes discussed in the following section. Figure 4.6 below illustrates the codes and quotation of each participant.

**Figure 4.6: Codes and reference of each participant**

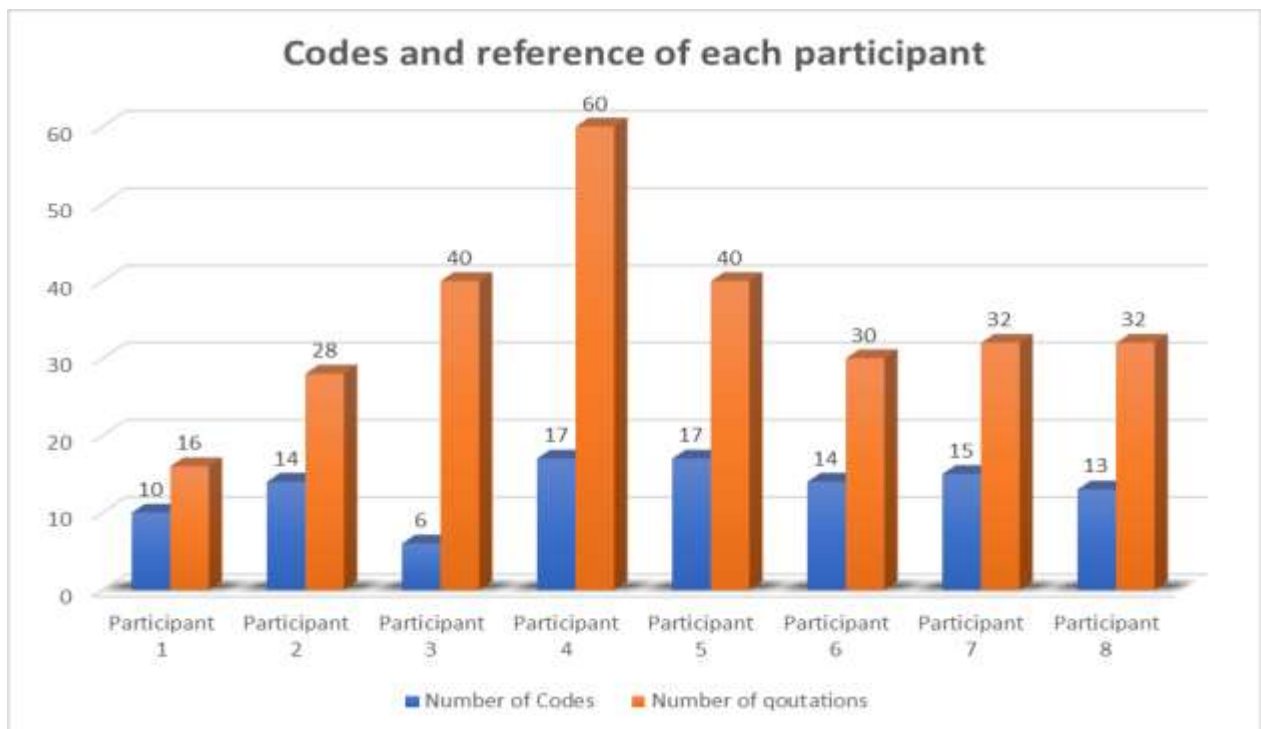
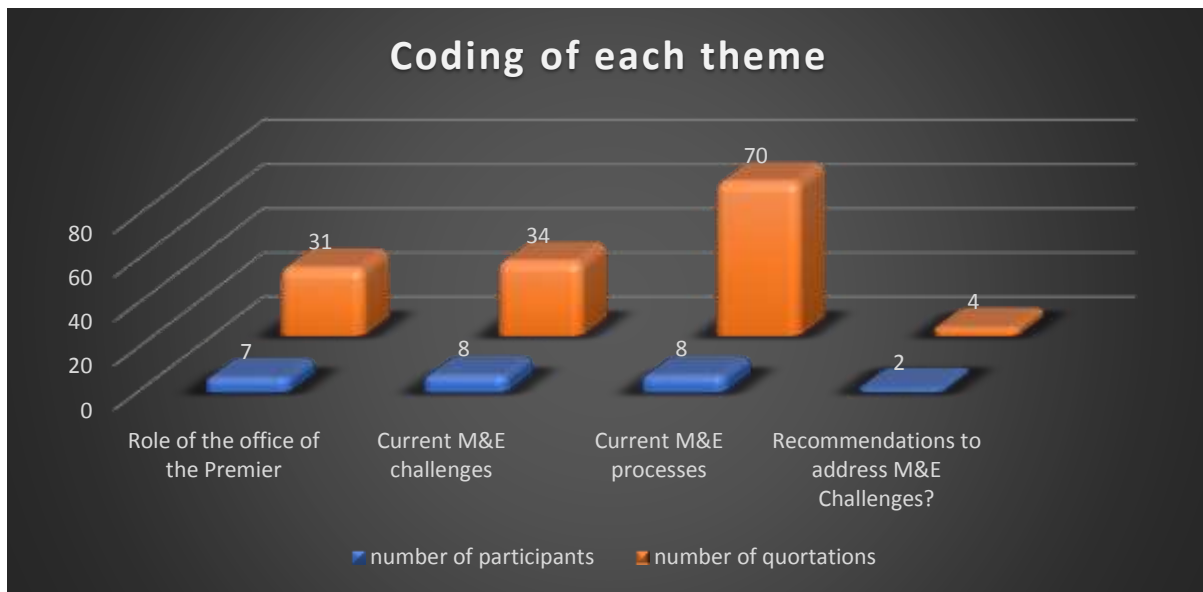


Figure 4.6 above indicates that this response got 17 codes and 60 quotations from Participant 4. It is therefore clear that Participant 4 provided more insight than any other because this participant is the Chief Director of Monitoring and Evaluation Programmes in the Free State Province. Four major themes were identified and sub-themes for each of the major themes were identified. Figure 4.7 illustrates the coding of each of the four major themes.

**Figure 4.7: Coding of each theme**



From Figure 4.7, it appears that from theme 1 “the role of the Office of the Premier” a total of 7 participants a total of 31 quotations were identified, while with theme 2 “current M&E challenges” a total of 34 quotations were identified by all 8 participants. A total of 70 quotations from all 8 participants were identified with theme 3 “current M&E processes” while 2 participants made 4 quotations concerning theme 4 “recommendations to address M&E challenges. From Figure 4.7 the most prominent as illustrated in Figure 4.7 above is “current M&E processes” with 70 quotations covered by all eight participants. The second most prominent theme is “current challenges” with 34 quotations followed by the role of the M&E Unit or Directorate with 31 quotations and lastly the least prominent theme was “recommendations and challenges” with only 4 quotations provided by only 2 participants.

In light of the above the following research themes and sub-themes were identified:

- Theme 1: Role of the Office of the Premier:
  - Sub theme: Providing expertise;
  - Sub theme: Planning of M&E;
  - Sub theme: Monitoring and evaluation programmes;
  - Sub theme: Leading development programmes;
  - Sub theme: Institutionalising M&E, and;
  - Sub theme: Implementing GWM&ES with local system or sphere of government.
- Theme 2: Current M&E challenges:

- Sub theme: Unqualified M&E officers;
- Sub theme: Uncooperative departments;
- Sub theme: Poor M&E systems;
- Sub theme: Poor M&E reports;
- Sub theme: Poor M&E communication;
- Sub theme: Limited capacity to monitor;
- Sub theme: Lack of involvement of managers in M&E; and
- Sub theme: Lack of financial resources.
- Theme 3: Current M&E processes:
  - Sub theme: Programme and systems responsible for M&E;
  - Sub theme: Progress on implementation of M&E;
  - Sub theme: M&E meetings
  - Sub theme: Institutionalisation of M&E; and
  - Sub theme: Implementation of M&E findings.
- Theme 4: Recommendations to address M&E challenges.
  - Sub theme: Establish a culture of M&E within the Free State Provincial Government.

Each of the themes and subthemes are detailed in the discussion below.

#### **4.3.2.1 What is the role of the Office of the Premier M&E Directorate concerning the effective implementation of the government-wide M&E?**

Figure 4.8 below illustrates the results of the findings concerning the first question of Section B, Category 1 in the semi-structured questionnaire which was also the first theme namely; the role of the Office of the Premier in particular the M&E Directorate concerning the effective implementation of the M&E and GWM&ES and the identified sub-themes?

**Figure 4.8: Role of the Office of the Premier M&E Directorate concerning the effective implementation of M&E and GWM&ES**

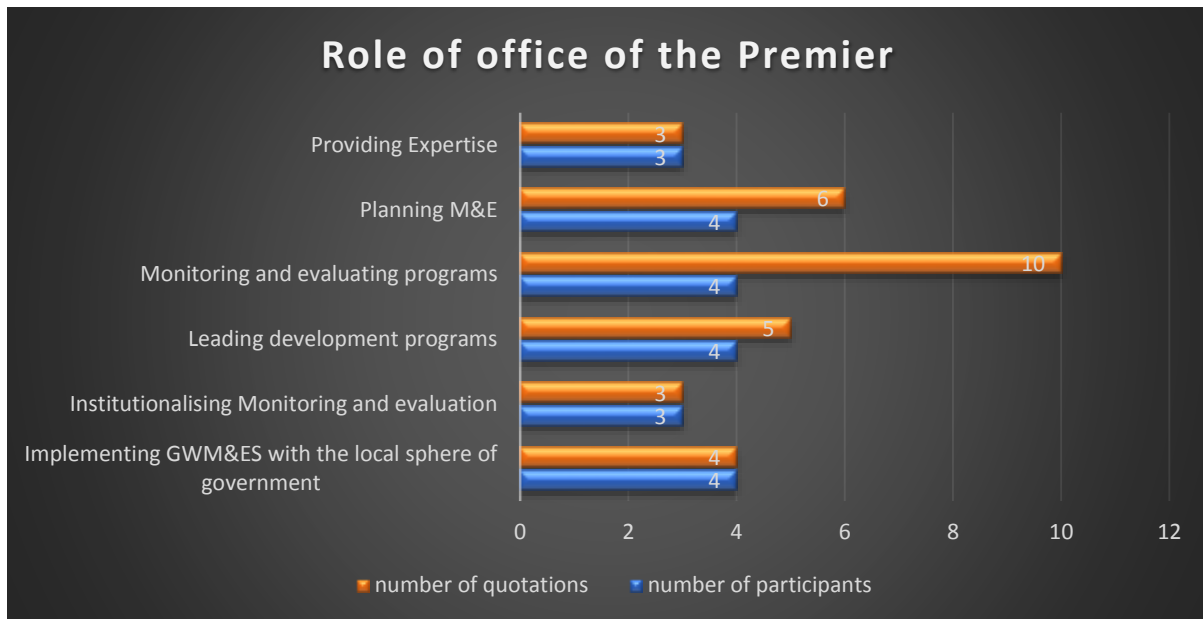


Figure 4.8 provides information related to the number of references per code in the theme the role of the Office of the Premier. The sub- theme “Providing expertise” a total of 3 quotations were identified, while the sub-them “Planning of M&E” received 6 quotations. The sub-theme “Monitoring and evaluation programmes” received a total of 10 quotations, sub-theme four “Leading development programmes” received a total of 5 quotations. The sub-theme “Institutionalising M&E” received 3 quotations and the last sub-theme “Implementing GWM&ES within local system or sphere of government” received 4 quotations. The most prominent sub-theme as illustrated in Figure 4.8 above is the the sub-theme “monitoring and evaluating programmes”.

In regard to the sub-theme “providing expertise” all participants describe the role of the Office of the Premier M&E Directorate as one of providing expertise. Participant 1 highlights that, “by providing expertise, advice and support to the government departments the Office of the Premier gives strategic direction in terms of service delivery services in the Free State”. Some of the participants shared their knowledge on province-wide monitoring and evaluation and how it could be distributed to do away with bad practices such as replicating reports.

With regards to the responses of the sub-theme “Planning M&E” participant 6 stated that the OTP, M&E Directorate, “performs and coordinates monitoring practices for developing systems and improving plans and facilitates improvement plans to ensure improved service

delivery implementation at all government sectors within the province”. All participants agreed that, for the OTP, M&E Directorate to achieve its goals, it should effectively use the GWM&ES framework to fulfil its objectives in the Free State province and across the country. Participant 8 contended that, “this office should plan and coordinate monitoring practices for the development of improvement plans as well as facilitation of the improvement plans to ensure implementation and improvement of service delivery at all government sectors within the province”. Another participant mentioned that “Provincial governments, through the Office of the Premier, M&E Directorate are tasked to ensure that provincial policies and planning strategies are in line with the national GWM&E Framework”. Participant 7 further emphasized that “the Office of the Premier M&E Directorate plans monitoring and evaluation systems to ensure that they are aligned with the National Skills Development Plan (NSDP)”. Participant 5 highlights that this office “plans and oversees service delivery”. Participant 7 mentioned that the “the OTP, M&E Directorate facilitates and plans the development of service delivery”.

Concerning the sub-theme “monitoring and evaluating of programmes” it was mentioned that “The OTP, M&E Directorate should monitor and evaluate governmental programmes as well as ensure that the main municipal services are meeting peoples’ socio-economic needs”. In this regard participant 4 highlights that “based on the Strategic Direction and Coordination role of the OTP, M&E Directorate, the Provincial Monitoring and Evaluation Branch within the Office of the Premier, Programme 4 (in terms of the budget structure) is responsible for provincial-wide monitoring and evaluation within Free State Provincial Government”. In addition to the above information, provincial governments are tasked with monitoring provincial policy and ensuring that their planning frameworks are in line with national ones. Participant 5 mentioned that the OTP, M&E Directorate is “responsible for monitoring municipal performances against the Government Programme of Provincial Growth and Development Strategy as a way of promoting good governance and effective, efficient and equitable service delivery”. Participant 7 emphasizes that “the office of the Premier is tasked with assisting frontline service delivery in municipalities to monitor only customer care centers and submit reports to COGTA”.

With regards to sub-theme “leading development programmes” one of the participants mentioned that “the OTP, M&E Directorate has to control and supervise subordinates, to ensure that all governmental systems, processes and structures are controlled, and that employees are supervised so that the goals and objectives can be meet”. Concerning the sub-theme “Implementing GWM&ES within local system or sphere of government participant 5,

mentioned that “cooperation between government departments is essential to promote a coordinated, efficient and effective monitoring system for all local municipalities in the Free State”. Participant 5 further mentioned that “The OTP fulfil a vital role in proving coherent strategic leadership and coordination between the provincial departments of local government to promote effective M&E systems”. The data analysis further reveals, through Participant 1, that, “GWM&ES should be implemented at the local sphere of government”. The OTP, M&E Directorate as the hub of the provincial government, must make sure that M&E programmes are implemented correctly. According to Participant 5, the OTP should encourage a cooperative government approach to development in the province by ensuring a coordinated mechanism through which national, provincial and local government are aligned for efficient and effective service delivery. Some of the participants claim that effective monitoring, evaluation and planning aid the success of a municipality in tracking service delivery progress and taking corrective action. Some of the participants also indicated that the OTP, M&E Directorate should plan and make sure that provincial programmes are in line with the community needs in the province.

From the above responses one could argue that the OTP, M&E Directorate has to share their M&E expertise and has to provide the strategic direction by providing advice and provide support to the departments within the Free State provincial government concerning M&E matters. It was further found from the above responses that the OTP, M&E Directorate must perform’ and coordinates monitoring practices and has to develop systems and has to facilitates improvement plans to ensure improved service delivery implementation within the Free State Provincial government. The above responses from the participants further provides that in order for the OTP, M&E Directorate to achieve its goals, it should effectively implement the GWM&ES framework that should be incorporated into the PWM&ES and MWM&ES in the Free State province. It was further mentioned by the participants that the OTP, M&E Directorate should plan and coordinate monitoring practices. Furthermore, the OTP, M&E Directorate is responsible for the facilitation of improvement plans to ensure implementation to promote of service delivery at all government sectors within the province. The OTP, M&E Directorate is further mandated to ensure that provincial policies and planning strategies are in line with the national GWM&E Framework and PWM&ES. It was also mentioned above that OTP, M&E Directorate has to ensure that the M&E are aligned with the National Skills Development Plan (NSDP). One could further argue from the findings of the responses of the participants above that the OTP, M&E Directorate monitor and evaluate government



programmes as well as to ensure that the main municipal services are meeting the communities' socio-economic needs. It was also mentioned by the participants that the OTP, M&E Directorate is responsible to monitor the implementation of provincial policies and to ensure that their planning frameworks are in line with national frameworks. The OTP, M&E Directorate should further monitor municipal performances against the Provincial Growth and Development Strategy as a way of promoting good governance and effective, efficient and equitable service delivery. The finding of the responses above further provides that the OTP, M&E Directorate is also responsible to monitor municipal customer care centers and the directorate has to submit reports to COGTA in this regard. The OTP, M&E Directorate is also tasked to promote a coordinated, efficient and effective monitoring system for all local municipalities in the Free State province. It was mentioned that the OTP, M&E Directorate fulfil a vital role by providing coherent strategic leadership and coordination between the provincial departments and local government to ensure that GWM&ES been implemented at the local sphere of government. The OTP, M&E Directorate is responsible to monitor municipality service delivery progress and taking corrective action.

The literature provided in Section 2.5 of this study that policy framework of the GWM&ES provides the guidelines to facilitate the rollout of M&E. Furthermore, Section 2.5 emphasized that all provinces must align their Provincial-wide Monitoring and Evaluation system (PWM&ES) and has to ensure that the Municipal-wide Monitoring and Evaluation system (MWM&ES) is implemented in local government. Section 3.2.2 of Chapter 3 of this study emphasized that in terms of Chapter 3 of the MSA (2000) municipalities must monitor and evaluate services provided and must set relevant key performance indicators to measure performance and achievement of outcomes and the impact of developmental priorities.

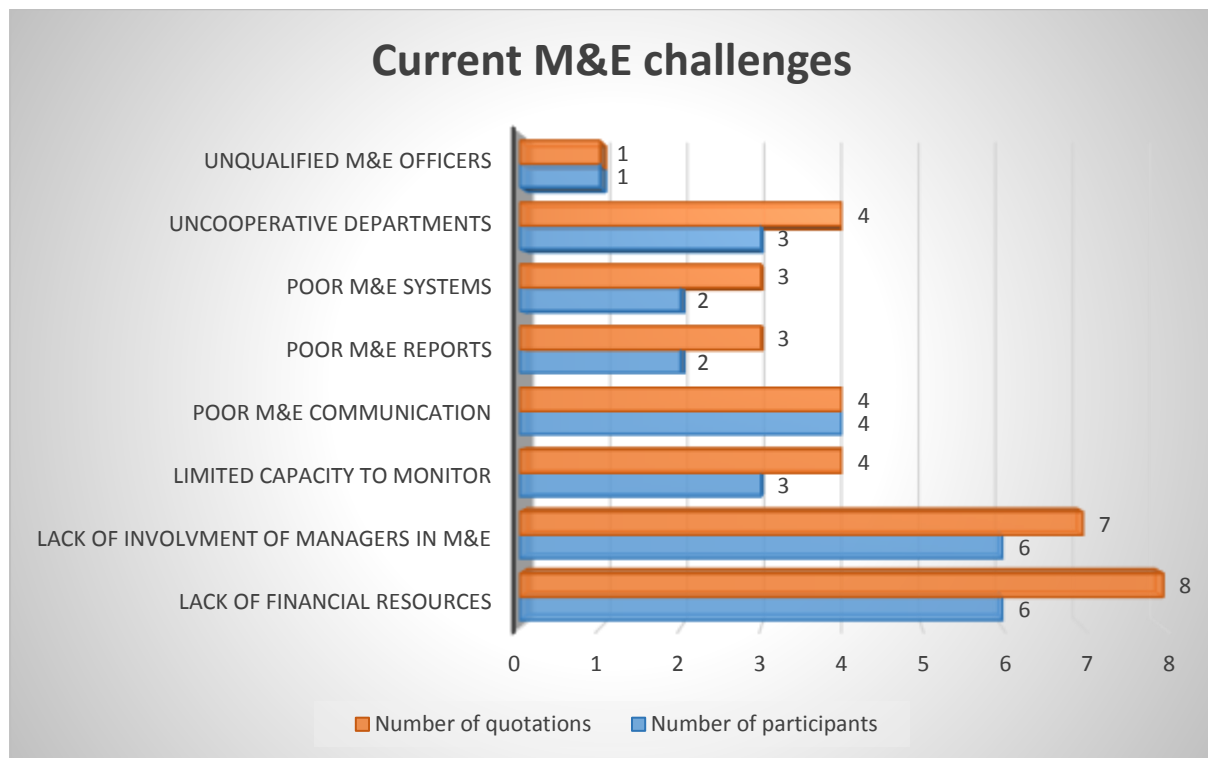
The above corresponds with the with the literature chapters of this study. It was mentioned in Chapter 2, Section 2.3.10 of this study Policy Framework for Government-wide Monitoring and Evaluation (GWM&E) provides a cohesive working guide for M&E practices. Section 3.5.3.3 of Chapter 3 mentioned that the M&E Units (Directorates) is responsible for the following namely; the advancement of GWM&ES, sector monitoring, evaluations, reporting on delivery agreements per outcomes, to consolidate reports from the various provincial departments, to monitor provincial departments and to monitor the different programmes within a province and the local sphere.



**4.3.2.2 What are the current M&E challenges concerning the implementation of GWM&ES in the Free State Provincial government and what recommendations are there to address these challenges?**

The results of the question on current M&E challenges concerning the implementation of GWM&ES in the Free State Provincial government and the findings of the theme “recommendations to address the challenges of M&E” as depicted in Figure 4.7 are discussed in this section. Figure 4.9 below illustrates the current M&E challenges concerning the implementation of GWM&ES in the Free State Provincial government.

**Figure 4.9: Current M&E challenges concerning the implementation of GWM&ES in the Free State Province**



From Figure 4.9, the data generated through thematic analysis illustrated that the following sub-themes were identified; Unqualified M&E officers; Uncooperative departments; Poor M&E systems; Poor M&E systems; Poor M&E reports; Poor M&E communication; Limited capacity to monitor; Lack of involvement of managers in M&E Lack of financial resources. Figure 4.9 further showed that the sub-theme “Unqualified M&E officers” received 1 quotation, while the sub-theme Uncooperative departments; received 4 quotations while, sub-theme “Poor M&E systems” received 3 quotations as well as the sub-theme “Poor M&E reports” received 3 quotations. The Sub-themes “Poor M&E communication” and “Limited

capacity to monitor” both received 4 quotations. The sub-theme “Lack of involvement of managers in M&E” received a total of 7 quotations. The last identified sub-theme “Lack of involvement of managers in M&E” received a total of 8 quotations. Thus, most prominent sub-themes are “Lack of financial resources” and “Lack of involvement of managers in M&E”.

Concerning the responses from the sub-theme “unqualified M&E officers”, participant 1 mentioned that “the OTP, M&E Directorate has failed to acquire the best candidates in terms of knowledge and expertise to take up the position of M&E Officers”. Participant 1 further mentioned that, “lack of capacity in terms of acquiring qualified M&E in the field is the biggest challenge”.

In regards of the sub-theme “uncooperative departments” one of the participants mentioned that the OTP, M&E Directorate works with provincial departments to increase their progress in relation to provincial programmes of service delivery. The same participant emphasized that, despite the positive progress, the OTP, M&E Directorate also faces common challenges in institutionalizing M&E in all government departments. One of the participants revealed that the “lack of cooperation from different departments in the province is another huge challenge”. Participant 5 states that, “departments disagree with modern M&E programmes.” Participant 5 further mentioned that “the findings based on available secondary data from GWM&E are not always considered by the departments even when previously incorrect/insufficient evidence has been updated. Therefore, the evidence submitted by departments is often not considered”. Participant 2 mentioned that “most departments in the free State province works in silos and clusters and they are not fully coordinated”. Considering the above information, participant 6 also added that “M&E departments are not fully involved with the implementation of the Frontline Service Delivery Monitoring (FSDM) programmes”. Participant 6 further adds that “the coordination of FSDM results is not well managed”.

In regard to the sub-theme “Poor M&E reports” two participants mentioned that “duplication and poor writing of reports can be seen as one of the most important challenges concerning M&E”. The participants further mentioned that “the duplication of reports places an administrative encumbrance on provincial departments reporting to the OTP, M&E, Directorate”. Participant 7 mentioned that “managers lack accountability and responsibility to ensure that reports are complete and summarizes correctly”. Participant 7 further mentioned that “the issue of reports is a challenge as most departments do not even consider the damage

to administration”. Participant 2 contends that “M&E reporting is simply done for compliance’s sake, it is not up to standard and does not capture the importance of monitoring”.

From the responses about the sub-theme “poor M&E communication” participant 7 contend that “M&E units in departments are not properly coordinated and the communication on M&E is very poor”. One of the participants argued that “poor communication is because of misconception of the role of the OTP, M&E Directorate”. Participant 8 indicates that, “the misinterpretation of what exactly the role of the M&E unit entails makes it difficult for M&E officers to retrieve information from departments within the agreed time frames”. Considering the above information, Participant 4 argued that, “There are selected provincial departments which are monitored but also regional offices of selected national departments such as Home Affairs, Magistrate Courts, etc. Good cooperation is obtained from the regional offices but direct contact between the Office of the Premier and the Head Office of National Departments has not been established and recommendations not implemented. The communication channel is not working there”. From the analysis, participant 5 mentioned that “the M&E programmes are not communicated properly to the OTP, M&E Directorate in the Free State” Participant 5 further, stipulated that “departments disagree with modern M&E programmes because they are not communicated in a way that every department understands and at times they are communicated for compliance sake”.

Concerning sub-theme, the “lack of capacity to M&E” participant 5 mentioned that “there is lack of capacity to monitor both the financial and service delivery performance of municipalities in an integrated manner”. Participant 8 supports the above response by saying, “effective and efficient implementation remains a great challenge due to lack of capacity as some departments do not have qualified M&E officers to do the job”. Most participants mentioned that the “OTP, M&E Directorate has failed to develop an institutional M&E system which really works”. One of the key requirements as provided in Chapter 3, Section 3.3 about the specific arrangements for the establishment of M&E systems refer to the importance to strengthen the M&E capacity of M&E units or Directorates.

Concerning the sub-theme “Lack of involvement of managers in M&E” one of the participants mentioned the “difficulty instilling a culture of critical reflection on the importance of M&E”. Most of the participants argued that “a lack of involvement from managers in M&E is a challenge and it leads to a failure to instill a M&E culture in most departments”. Participant 1 argues that “it is important to note that each manager has a role in terms of M&E currently in

government, but most see it mainly as the responsibility of M&E units in the respective provincial departments”. “The main challenge is that most of the managers are not taking part in M&E in their respective departments”. To support the above view, participant 3 highlights that “MTSF, Programme of Action (POA) coordinators in departments also struggle to get cooperation and support from managers/implementers contrary to the POA”. The above responses correspond with the literature as provided in Section 3.3 of Chapter 3 of this study that the buy-in and support of management is an imperative for the establishment of M&E systems. Section 3.3 further highlighted the need for leadership, support and commitment to successfully establish M&E in all three spheres of government.

One of the participants mentioned that the “lack of financial resources is another major challenge faced by the OTP, M&E Directorate in conducting monitoring and evaluation in the Free State Province. One of the participants highlighted that “maladministration of funds and corruption in the government deter successful M&E”. Most of the participants in the research study mentioned that “the lack of financial resources hinders the accomplishment of projects at local government level, which in turn leads to discontent among residents and sometimes leads to violent service delivery protests”. Participant 1 contends that, “at this stage, different departments are at different stages of progress given the issues of both capacity and financial resources which is a problem in government”. To add to the above information, participant 6 and participant 7 said that, “finances and resources remain the biggest challenges as we do not have enough resources (personnel budget) to improve the Frontline Service Delivery Monitoring (FSDM) programmes at all frontline facilities in the Free State”. Participant 4 comments that “when it comes to the FSDM, the main challenges with the implementation of this programme is the implementation of recommendations in frontline offices, mainly because frontline managers do not always have the authority or financial budgets to implement recommendations made”.

Findings of the responses concerning the theme “recommendations to address the challenges of M&E” the participants responded the following; The OTP, M&E has to establish a culture of M&E within the Free State Provincial Government (identified sub-theme) this can only be achieved if managers support and be accountable for M&E and the effective implementation of GWM&ES, PWM&ES and MWM&ES in the province. More qualified M&E expert needs to be acquired to address the challenge of a lack of M&E capacity with the OTP, M&E Directorate and within the province. Managers should be accountable for submission of reliable reports, as well as to avoid duplication of information. Managers have to budget for

M&E to ensure that there are sufficient financial resources to implement FSDM and other M&E findings and recommendations.

In light of the above it was mentioned in Section 3.2.3 of Chapter 3 of this study that one of the challenges to implement M&E systems effectively is insufficient resources. The literature further stated that departments often fail to allocate resources in their budgets for the implementation of M&E. It was mentioned in Section 3.2.3 of this study that across the different provinces the following challenges concerning the implementation of the Provincial-wide Monitoring and Evaluation System (PWM&ES) that derives from the GWM&ES remain namely; a shortage of M&E expertise, lack of commitment to M&E processes at management level, lack of accountability; a lack of a M&E culture resulting in M&E not being integrated into management processes; complex and cumbersome data flow and reporting; lack of consensus of indicators to be prioritized across the three spheres of government, validity and reliability of reports to measure and monitor departments performance against service delivery mandates.

In light of the above findings of the responses about the question “what the current M&E challenges are concerning the implementation of GWM&ES in the Free State Province” one can interpret that the OTP, M&E Directorate lacks the capacity to acquire officials with the required M&E qualifications and expertise. Another concern is that the OTP, M&E Directorate has failed to develop an institutional M&E system which really works. It can further be argued that the OTP, M&E Directorate did not manage to institutionalize M&E in all provincial government departments due to a lack of M&E culture and support by management. Another challenge that was identified is that there is lack of capacity in the OTP, M&E Directorate to monitor the financial and service delivery performance of municipalities in an integrated manner. From the responses of the participants the lack of cooperation from the various provincial departments to implement M&E in the Free State province can also be seen as one of the major challenges that hinders effective M&E. Another challenges that was identified from the above responses is that the GWM&E and PWM&ES are not always considered by the various provincial departments even when previously insufficient evidence were provided. Another concern is that that the various provincial departments work in silos and sectoral clusters and are not fully involved with the implementation of the Frontline Service Delivery Monitoring (FSDM) programmes.

From the above responses it was further found that duplication and poor report writing skills remains a challenge in the provincial departments that hinders effective M&E. Another concern is that managers lack the necessary accountability and responsibility to summarize reports and to promote effective M&E in the provincial government departments. One could further argue from the above responses of the participants that M&E reporting in the Free State Provincial government is simply done for compliances. It was emphasized that each manager has a role in terms of M&E, the current reality is that M&E been seen as the responsibility of M&E units in the respective provincial departments. It is also a concern that the MTSF, POA coordinators in departments struggle to get cooperation and support from managers. It was also found that M&E units in the various provincial departments are not properly coordinated and the communication about M&E matters is very poor. It was further found from the responses of the participants that there is a general misinterpretation of what exactly the role of the M&E units in the provincial departments entails that makes it difficult for M&E officers of the OTP, M&E Directorate to retrieve information from the provincial departments within the agreed time frames. Another concern is a lack of capacity in the OTP, M&E Directorate to monitor the financial and service delivery performance of municipalities in an integrated manner.

#### **4.3.2.3 What are the current processes of the Office of the Premier M&E Directorate of the Free State Province to promote alignment with GWM&ES?**

Figure 4.10 below illustrates the findings of the question about the current M&E processes of the Office of the Premier, M&E Directorate to promote alignment with GWM&ES in the Free State Province?

**Figure 4.10: Current M&E Processes**

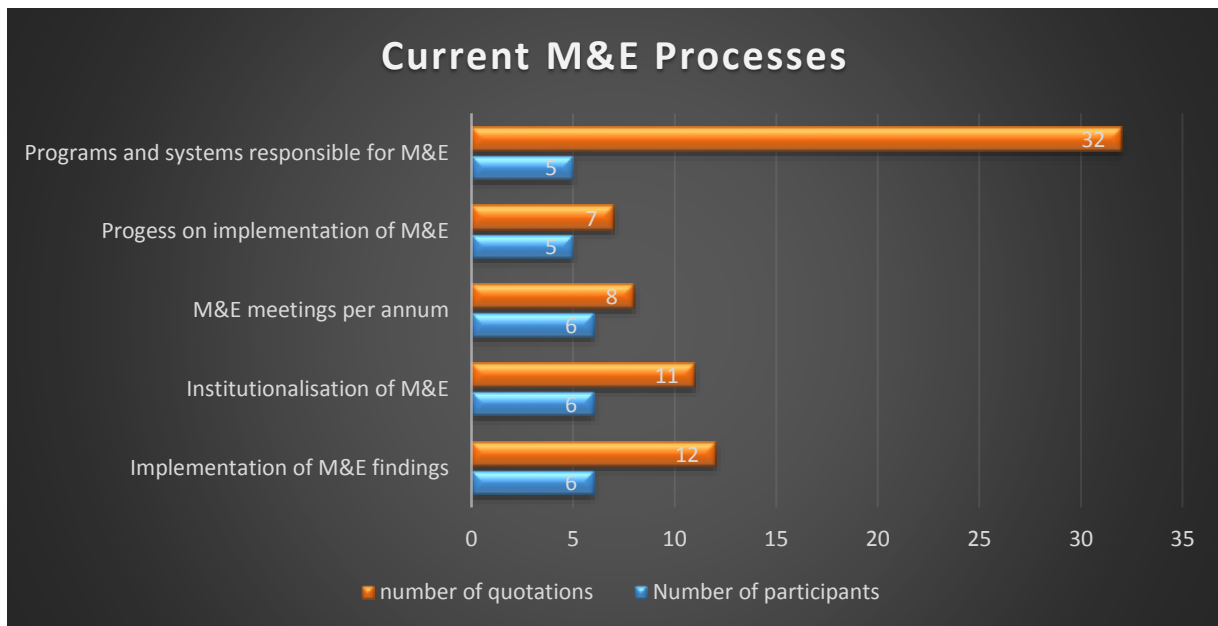


Figure 4.10 illustrates the various sub-themes, the amount of quotations from the various participants. The following sub-themes were identified; The first sub-theme refers to “programme and systems responsible for M&E”; followed by the sub-themes “progress on implementation of M&E”; “M&E meetings per annum”; “institutionalization of M&E” and the sub-theme “implementation of M&E findings”. The sub-theme ““programme and systems responsible for M&E” received a total of 32 quotations identified by 5 participants which is the most prominent sub-theme identified from the semi-structured questionnaire. A total of 7 quotations were identified with the sub-theme “progress on implementation of M&E”. A total of 8 quotations were identified with the sub-theme “M&E meetings per annum” while a total of 11 quotations were identified concerning the sub theme “institutionalization of M&E” while, the sub-theme “implementation of M&E findings” received a total of 12 quotations.

The findings of the responses concerning the sub-theme “programme and systems responsible for M&E” one of the participants highlighted that in terms of the Policy Framework for the Government-wide Monitoring and Evaluation, a monitoring and evaluation system is credible and transparent in that the success such a system depends on the credibility of the evaluators and transparency of the system. Participant 1 further stressed that there are programmes in the Free State province which are used to conduct monitoring. Participant 1 further mentioned that, “in the provincial and local government monitoring, there are MTSF (medium term strategic framework) programmes of action which are in line with the National Development Plan and



the 14 outcomes of the Department of Performance, Monitoring and Evaluation (DPME). One of the participants mentioned that “the OTP, M&E Directorate is also responsible for non-financial monitoring which is done through the e-QPR (quarterly performance reports) system wherein both departments load the Office of the Premier (OTP) and Annual Performance Plans (APP) targets progress”. The above corresponds with the literature as discussed in Chapter 3, Section 3.6.1 concerning the priority outcomes that are based on the MTSF. From the interpretations from the above responses concerning the sub-theme “programmes and system” it is clear that the OTP, M&E Directorate is responsible for the implementation of the GWM&ES and PGWM&ES. It was also argued that the OTP, M&E Directorate is responsible to get the support from M&E practitioners as well as the buy-in from managers across all provincial departments in the Free State province to implement the above systems. Another responsibility of the OTP, M&E Directorate is to monitor the implementation of the MTSF, POA and the 14 outcomes of the (DPME) within the Free State Provincial departments. The OTP, M&E Directorate has to submit quarterly reports to the DPME and the Free State Provincial Legislature (FSPL). Another responsibility of the OTP, M&E Directorate is to monitor non-financial matters which is done through the e-QPR (quarterly performance reports) system.

From the interpretations of the above responses concerning the sub-theme “programmes and system” it is clear that the OTP, M&E Directorate is responsible for the implementation of the GWM&ES and PGWM&ES. It was also argued that the OTP, M&E Directorate is responsible to get the support from M&E practitioners as well as the buy-in from managers across all provincial departments in the Free State province to implement the above systems. Another responsibility of the OTP, M&E Directorate is to monitor the implementation of the MTSF, POA and the 14 outcomes of the Department of Planning, Monitoring and Evaluation (DPME) within the Free State Provincial departments. The OTP, M&E Directorate has to submit quarterly reports to the DPME and the Free State Provincial Legislature (FSPL). Another responsibility of the OTP, M&E Directorate is to monitor non-financial matters which is done through the e-QPR (quarterly performance reports) system.

The findings of the responses of the sub-theme “institutionalization of M&E” that emerged from the data analysis one of the participants mentioned that “the Policy Framework for the Government-wide Monitoring and Evaluation helps various role players with monitoring and evaluation”. The participants further mentioned that “the GWM&ES framework sets out the requirements regarding the institutional arrangements to ensure the effective implementation



of the Government-wide Monitoring and Evaluation System in all three spheres of government. The framework is complemented by values and principles which will direct future implementation plans as well as outline legislative mandates of various stakeholders associated with M&E implementation”. The participants also highlighted that the OTP, M&E Directorate is getting buy-in from M&E practitioners across all government departments involved in the GWM&ES. One of the participants mentioned that the “data generated from the analysis further showed that the current M&E systems for the institutions and different departments are used to refine the institutional planning and implementation processes of M&E”. Participant 4 stated that “institutional performance monitoring is presently executed with a Management Performance Assessment Tool (MPAT) which was developed by the National Department of Planning, Monitoring and Evaluation in consultation with Offices of the Premiers. Annual self-assessments with this tool are coordinated and led by the Office of the Premier to refine the institutional planning and implementation processes”. Another participant mentioned that “with regards to FSDM programmes, the Office of the Premier, M&E Directorate works with the Department of Planning, Monitoring and Evaluation (DPME) to monitor service delivery at selected government departments based on an annual schedule”. Participant 2 emphasized that “the OTP, M&E Directorate is in some processes of getting the buy-in of monitoring and evaluation experts to use reporting systems from MTSF-directorate providers or coordination roles on what can be monitored at a provincial level in consultation with the provincial departments”. Another participant mentioned that “it is important to note that, the Free State province is still at a stage where the coordination of monitoring and reporting of the MTSF is being established”. Participant 3 mentioned that “departments are required to submit quarterly reports to the DPME plus they get to be submitted to the Free State Provincial Legislature and politburo committees, to establish the culture of monitoring and evaluation across all the departments in the Free State province through the Office of the Premier M&E, Directorate”.

From the interpretations about the sub-theme “institutionalization of M&E” it is clear that emerged from the data analysis one of the participants mentioned that “the GWM&ES framework serves as a guideline which sets out the requirements for the implementation of M&E in all three spheres of government. It was emphasized that the OTP, M&E Directorate used the Management Performance Assessment Tool (MPAT) developed by DPME to monitor institutional performance in the Free State provincial government to refine the institutional planning and implementation processes. The OTP, M&E Directorate in cooperation with

DPME is responsible to monitor the provision of service delivery of selected provincial government departments on an annual basis.

The above corresponds with the literature mentioned in Section 2.9.10 that MPAT must be used to guide internal monitoring and self-evaluations of the public service to promote effective service delivery. Furthermore, provincial departments are required to submit quarterly reports to the DPME and to the Free State Provincial Legislature. Section 2.5 of this study further highlighted that the Policy Framework for the GWM&ES serves as a guideline that provides a step-by-step approach concerning the institutionalization of the M&E system within the three spheres of government. Whereas, Section 3.3 of this study emphasized the specific institutional arrangements for the establishment of a M&E system within the three spheres of government such importance of the establishment of a progressive M&E culture; clarity of M&E roles, management support and the vertical and horizontal coordination of M&E systems. Section 2.9.10 of Chapter 2 of this study mentioned that the DPME in collaboration with DPSA and the nine Offices of the Premier (M&E Units) developed the Management Performance Assessment Tool (MPAT) to guide internal monitoring and self-evaluation.

The findings concerning the responses to the sub-theme “M&E meetings per annum” the following were mentioned. Establishment of an M&E Forum is necessary that consist of M&E managers of the various M&E Units of the provincial department, members of the OTP, M&E Directorate and the forum has to meet on a regular basis. Table 4.2 and 4.6 outline that M&E reporting is achieved through quarterly sector meetings with sector managers where challenges and possible remedies are tabled, and there are also six-monthly meetings where sector managers have to report and provide inputs about monitoring results.

From the data analysis concerning the responses of the participants about sub-theme “implementation of M&E findings” one of the participants mentioned that “M&E findings assist with the implementation of departmental programmes, and to justifying the allocation of public resources as well as identifying different barriers that should be addressed”. Participant 4 said that, “results of M&E findings are used to monitor the implementation of improvement programmes by provincial departments and make presentations to different inter departmental forums such as the Chief Financial Officer (CFO) Forum, Human Resource Executive Forum, Performance and Development Management Forum”. Participant 4 further provided that “The presentations and discussions from the findings assist to determine the root causes of non-compliance and to make recommendations on how to rectify problematic areas within

departments”. Participant 5 supported the above notion by saying, “we request submission of the M&E findings report, so that we present the final moderated report results to the administrative cluster and discuss areas of concern and propose recommendation for improvement”. Participant 6 said that “the Frontline Service Delivery Monitoring (FSDM) findings and reports are submitted to the sector of departments for implementation of M&E findings “to help improve the quality of customer care and analysis of challenges at municipal level that will contribute to service delivery improvements”.

In light of the above it was mentioned in Section 2.11 of Chapter 2 of this study that the findings of M&E can be used for management decision-making; to explore interventions to improve programmes and projects; to ensure accountability; to assist managers to decide whether to continue, adjust or terminate a programme and the findings could promote transparency. It was also emphasized in Section 2.11 of the literature that in terms of the National Evaluation Policy Framework, 2011, departments should respond to evaluation findings through a management response process. Furthermore, the findings of evaluations must be submitted to Cabinet and Parliament and findings must be made available on the website of DPME to make the public aware of the findings.

From the interpretations concerning the second most prominent sub-theme “implementation of M&E findings” it was found that the findings of M&E should assist managers to implement and improve departmental programmes effectively. The M&E findings should assist managers to justify the allocation of resources as well as to identify challenges and to how to address them. It was further identified that findings of M&E should be used to make presentations to different inter departmental forums such as the Chief Financial Officer (CFO) Forum, Human Resource Executive Forum, Performance and Development Management Forum. One can argue that from the presentations and discussions from the M&E should assist M&E practitioners and managers to identify the root causes of non-compliance as well as to make recommendations on how to rectify problematic areas within provincial departments. In addition to the above it was found that Frontline Service Delivery Monitoring (FSDM) findings should be submitted to the particular sector to ensure that the M&E findings are addressed and implemented. Furthermore, M&E findings should assist municipalities to identify service delivery challenges that will contribute to improvements of the quality of municipal customer care services and service delivery improvements.

#### 4.4 DATA PRESENTATION AND FINDINGS FROM THE SEMI-STRUCTURED INTERVIEWS BY USING AN INTERVIEW SCHEDULE

The following outlines the findings of the semi-structured interviews by using an interview schedule. Questions were presented to the two Chief Directors in the M&E Directorate who can be seen as experts concerning M&E in the Free State Province and their verbatim responses were recorded. Field notes were also made of the behavior and feelings of the respondents. Section A contains respondents' biographical information.

##### 4.4.1 Section A: Biographical information

Figure 4.11 below demonstrates the gender of the respondents.

**Figure 4.11: Gender**

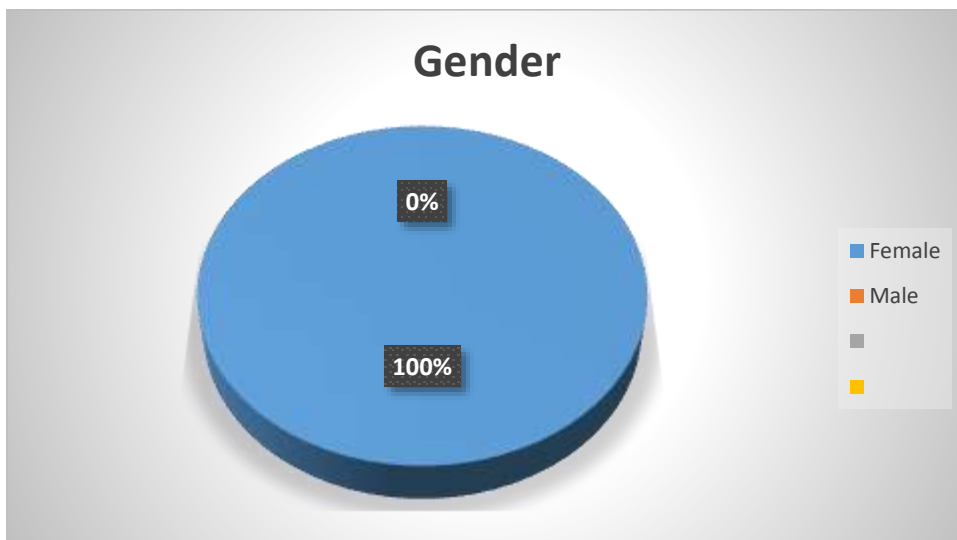


Figure 4.11 above shows that 100% of the respondents were female. The purpose of this question was to draw attention to the gender of the respondents. Figure 4.12 below designates the age of the respondents.

**Figure 4.12: Age**

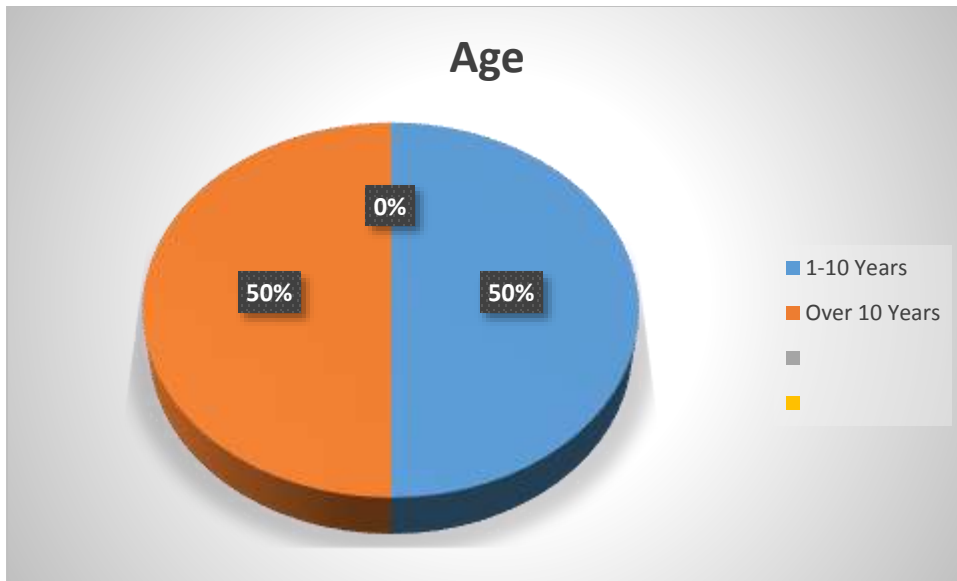


Figure 4.12 above shows that 50% of the respondents were between 21-40 years and 50% of the respondents were between 41-60. The purpose of this question was to draw attention to the age of the two respondents. Below, Figure 4.13 elucidates the designation of the respondents.

**Figure 4.13: Designation**

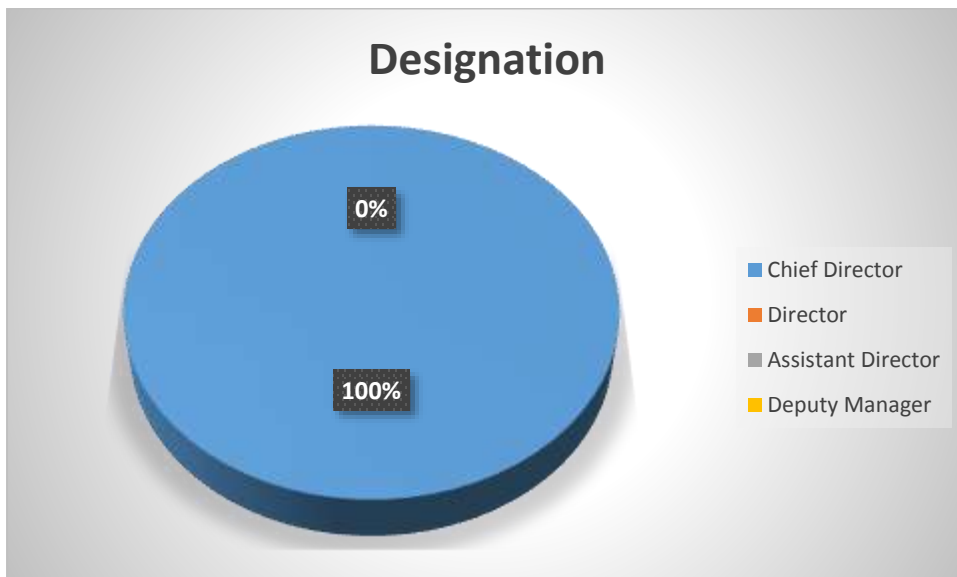


Figure 4.13 above illustrates that 100% of the respondents are at Chief Director level. The education level of the respondents is depicted in Figure 4.14 below.

**Figure 4.14: Education Level**

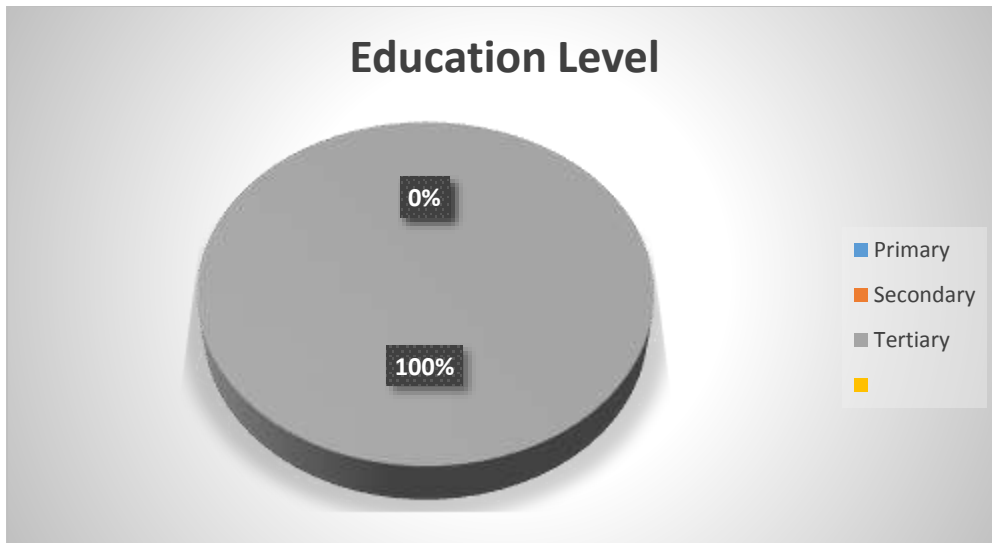
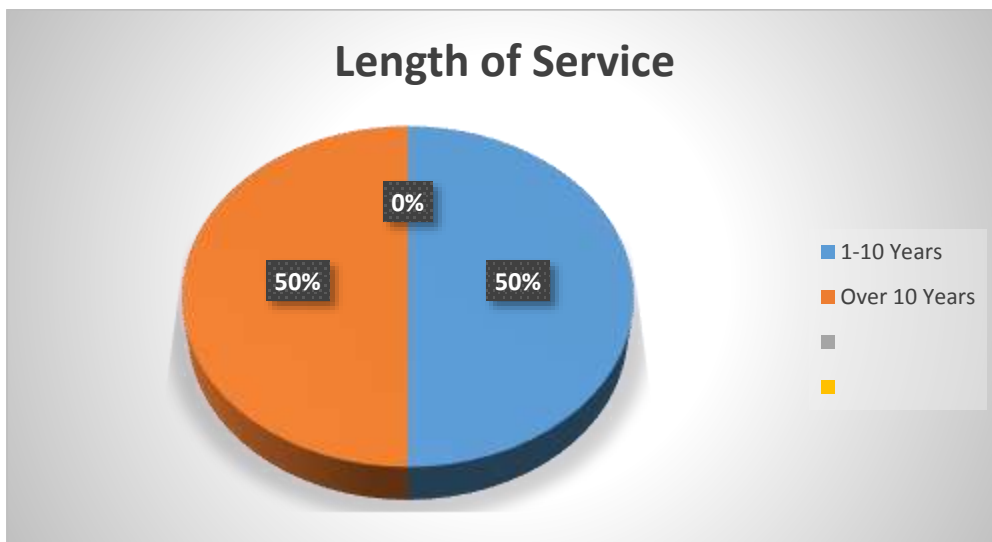


Figure 4.14 depicts the education levels of the respondents. The pie chart shows that 100% of the respondents had a tertiary qualification, either a diploma or degree. The aim of this question was to draw attention to the educational level of the respondents. Respondents' length of service in the Premier's Office is portrayed in Figure 4.15.

**Figure 4.15: Length of Service in the Office of the Premier**



From Figure 4.15 above, 50% of the respondents have been employed in the Office of the Premier, M&E Directorate for a period of 1-10 years, with the remaining 50% having more than 10 years of service in that office. The latter indicates that the respondents are experienced in the operations of the Office of the Premier and in particular the functions of the M&E Directorate.

#### 4.4.2 Section B: The government-wide monitoring and evaluation system

This section consists of the findings and results from the questions stated in the interview schedule that was used during the semi-structured interviews to collect information about the implementation of the GWM&ES within the Office of the Premier, M&E Directorate and within the Free State Provincial Government. The following themes and sub-themes were identified from the semi-structured interviews namely:

- Theme: Programmes monitored
  - Sub theme: M&E Sub-Directorate:
- Theme: Monitoring and Evaluation.
  - Subthemes: Sub-Directorate, M&E and the Sub-Directorate: Non-Financial Performance Monitoring
- Theme: Monitoring activities or systems in place to monitor programmes.
  - Sub-Themes; Institutional Performance Monitoring; Management Performance Assessment Tool (MPAT); and Provincial and Local Government Monitoring
- Theme: Current M&E challenges of programmes.
  - Sub-Themes; MTSF Programme of Action; MPAT compliance vs performance FSDM; Alignment with planning cycle of government; and Good cooperation
- Theme: Reporting and progress of programmes.
  - Sub-Themes; Non-Financial Monitoring; and Management practices.
- Theme: Evaluation of programmes.
  - Sub-Themes; Assessment of management; FSDM programme; National Evaluation Policy Framework and Evaluation Technical Working Group (ETWG).
- Theme: Uses of findings and results.
  - Sub-Themes; Forum for Heads of Departments; Annual reports; Presentations of reports; reliability of results; utilisation of reports and follow-up visits by M&E Directorate.

In the discussions below the identified themes and sub-themes, verbatim feedback (transcriptions), and codes of meaning were provided and interpreted of the responses of the participants who took part in the semi-structured interviews.

#### 4.4.2.1 Which programmes are you responsible for monitoring?

Table 4.1 provides the responses about which programmes concerning M&E each of the respondents were responsible for.

**Table 4.1: Which programmes are you responsible for?**

Which programmes are you responsible?			
Themes	Sub-themes	Transcription from interview	Code/Elements Identified
Programmes Monitored	Different areas of M&E	<i>“Responsible for high level monitoring and evaluation...”</i> <i>“The different Chief Directors are responsible for different areas of M&amp;E, the Sub-Directorate, M&amp;E and Sub-Directorate, Non-Financial M&amp;E”</i>	There are two sub-Directorates attach to the OTP, M&E Unit the Sub-Directorate, M&E and the Sub-Directorate Non-Financial Performance Monitoring
	Sub-Directorate: Monitoring and Evaluation	<i>“Responsible for provincial departments’ M&amp;E, Local Government M&amp;E, Evaluations and Impact Assessments”</i>	The Sub Directorate M&E is responsible for Provincial and Local Government M&E as well Evaluations and Impact Assessments.
	Sub-Directorate Non-Financial Performance Monitoring	<i>“Responsible for Non-Financial Performance Monitoring. It is also responsible for Institutional Performance Monitoring and Frontline Service Delivery Monitoring”</i>	Sub-Directorate is also responsible for Non-Financial Performance Monitoring and for institutional performance Monitoring and Frontline Service Delivery Monitoring (FSDM).

From the responses provided in Table 4.1 it is clear that there are two M&E Sub-Directorates in the OTP, M&E Directorate. The two Sub-Directorates include the M&E Sub-Directorate, Monitoring and Evaluation and the M&E Sub-Directorate Non-Financial Performance Monitoring and Evaluation. The Sub-Directorate, M&E is responsible for provincial and local government M&E as well evaluations and impact assessments. The Sub-Directorate, Non-



Financial Performance Monitoring is Sub-Directorate is also responsible for non-financial performance monitoring and for institutional performance monitoring and Frontline Service Delivery Monitoring (FSDM). In Chapter 3 of this study Section 3.5.2.4 indicate that monitoring and evaluation resides in the directorates of the national departments, and at provincial sphere it is attached to the Office of the Premiers, M&E Unit or Directorate. While Section 3.5.3.3 cites that an M&E Unit or Directorate structure should comprise a M&E Chief Directorate supported by at least three directorates responsible for monitoring, evaluation, planning and knowledge management (Rabie, 2016:98-100). Table 4.2 below summarises the findings on the question: What activities and or systems do you have in place to monitor this programme?

**Figure 4.2: What activities and or systems do you have in place to monitor this programme?**

<b>What activities and or systems do you have in place to monitor this programme?</b>			
<b>Themes</b>	<b>Sub-themes</b>	<b>Transcription from interview</b>	<b>Code/Elements Identified</b>
Monitoring activities or systems	Institutional Performance Monitoring	<i>“Institutional performance monitoring is presently executed with a Management Performance Assessment Tool (MPAT)</i>	Institutional performance monitoring is executed using MPAT.
	Management Performance Assessment Tool	<i>“Annual self-assessments with this tool are coordinated and led by the Office of the Premier”</i>	OTP leads annual self-assessments with the use of MPAT.
	Department of Planning, Monitoring and Evaluation (DPME)	<i>“with regards to FSDM, the Office of the Premier works with the DPME to monitor service delivery at selected government departments based on an annual schedule”</i>  <i>“a toolkit as developed by the DPME is used for this purpose”</i>	Service delivery is monitored by OTP in conjunction with DPME annually.  The toolkit developed by DPME is used for

	<p>Provincial and Local Government Monitoring</p> <p>Non-Financial Monitoring</p>	<p><i>“the results of monitoring are presented to cabinet nationally as well as to the Forum of Heads of Department provincially”</i></p> <p><i>“on an annual basis, the Unit/ Chief Directorate monitors the implementation of the Medium-Term Strategic Framework (MTSF) by provincial departments”</i></p> <p><i>“the province is still at a stage whereby the coordination, monitoring and reporting of the MTSF is being institutionalised”</i></p> <p><i>“this process involves intense interactions with provincial departments towards confirming the information of the MTSF, as it applies to the FS province”</i></p> <p><i>“reporting on progress of these on a quarterly basis”</i></p> <p><i>“there are also quarterly sector meetings with different departments where high-level discussions take place with senior managers on the findings during monitoring and the best possible ways to address the challenges”</i></p> <p><i>“is done through the e-Quarterly Performance Report (QPR) system wherein both the departments and</i></p>	<p>monitoring service delivery.</p> <p>Results presented to cabinet and the Forum of HODs.</p> <p>Unit/ Chief Directorate monitors the implementation of the MTSF.</p> <p>MTSF is in the process of being institutionalised.</p> <p>Information of the MTSF is communicated through interactions with provincial departments.</p> <p>Reporting is on a quarterly basis. Quarterly sector meetings are held with senior managers on the findings during monitoring and solutions to challenges.</p> <p>Non-financial reporting is done</p>
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		<p><i>the OTP load APP targets and progress (quarterly)”</i></p> <p><i>“the quarterly reports get submitted to DPME and are also presented to FS legislature portfolio committees”</i></p>	<p>through QPR system on a quarterly basis. OTP load APP targets and progress reports on a quarterly basis</p> <p>Quarterly reports are submitted to DPME and presented to the FSL and portfolio committees.</p>
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From the responses in Table 4.2 it can be interpreted that institutional performance monitoring is executed by using the Management Performance Assessment Tool (MPAT). It was indicated in Chapter 3, in Section 3.4 of this study that MPAT was introduced to evaluate performance in 103 of the 156 national and provincial departments. It was also mentioned in Section 3.5.4 that the DPME is responsible for performance M&E by assessing quality of management practices in departments through MPAT. The OTP, M&E Directorate has to lead this process and coordinate that various provincial departments using MPAT to do their annual self-assessment. The OTP, M&E Directorate in conjunction with the DPME is responsible to monitor FSDM in selected provincial departments on an annual basis. A toolkit was developed by DPME to be used for this purpose. The results are presented to Cabinet and to the Forum of HODs. The OTP, M&E Directorate is responsible to monitor the implementation of the MTSF. Information of the MTSF is communicated through interactions with provincial departments. It was also mentioned by one of the respondents that the MTSF which sets out the strategic priorities is currently in the process of being fully institutionalised. The above corresponds with the literature as provided in Chapter 3, in Section 3.2.3 of the study that provided that the provincial priorities must be in line with the priorities as provided in the MTSF.

From Table 4.2 it was further interpreted that M&E reporting is done on a quarterly basis, with the aid of quarterly sector meetings with senior managers. During the quarterly sector meetings challenges are identified and possible solutions are tabled. Non-financial reporting is done through e-QPR system on a quarterly basis. The OTP, M&E Directorate loads APP targets and

progress reports on a quarterly basis on the e-Quarterly Performance Report (QPR) system. The quarterly reports are submitted to DPME and presented to the Free State Legislature Portfolio Committees.

The above findings correspond with Section 3.5.3.3 in Chapter 3 of this study that the M&E Unit/Directorate has to consolidate reports from the various provincial departments and sectors and has to provide feedback to relevant stakeholders such as the provincial legislature. In Table 4.3, the responses from the question: “What are the current challenges concerning effective M&E of this Programme?” as indicated in the interview schedule were outlined.

**Figure 4.3: What are current challenges concerning effective M&E of Programmes?**

<b>What are current challenges concerning effective M&amp;E of this Programme?</b>			
<b>Themes</b>	<b>Sub-themes</b>	<b>Transcription from interview</b>	<b>Code/Elements Identified</b>
Current M&E Challenges of programmes	MTSF Programme of Action	<p><i>“various departments in the province are at varying levels of readiness to implement and report on the MTSF POA”</i></p> <p><i>“In some instances, MTSF POA coordinators in departments also struggle to get cooperation and support from managers/ implementers contributing to the POA”</i></p>	<p>Departments are at varying levels of readiness to implement and report on MTSF POA.</p> <p>Lack of cooperation and support from managers and implementers contributing to the POA.</p>
	MPAT compliance vs performance FSDM	<p><i>“at this stage more, focus is on compliance to a performance level”</i></p>	<p>Lack of support and cooperation from managers and implementers.</p>
		<p><i>“the main challenges with the implementation of FSDM programme is about the implementation of recommendations based on the</i></p>	<p>Lack of implementation of FSDM programme recommendations</p>

	<p>Alignment with planning cycle of government</p> <p>Good cooperation</p>	<p><i>findings made at frontline offices”</i></p> <p><i>“frontline managers do not always have the authority or budgets to implement recommendations made”</i></p> <p><i>“the alignment of monitoring findings with the planning cycle of government especially where the implementation of recommendations will have a large budget implication and if not taken into consideration with planning and budget processes will be difficult to implement”</i></p> <p><i>“Good cooperation between the Office of the Premier and the Head Office of National Departments have not been established where recommendations are not being implemented”</i></p>	<p>based on findings of frontline managers.</p> <p>Lack of authority or budgets to implement recommendations made.</p> <p>There is no alignment of monitoring findings and planning cycle of government.</p> <p>Cooperation between OTP, M&amp;E Directorate and the Head Office of National Departments is not established.</p>
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From the responses of Table 4.3 it can be interpreted that the various provincial departments in the Free State Provincial government were at varying levels of readiness to implement and report on the MTSF, Programmes of Action (POA). The above corresponds with the literature as provided in Chapter 3, Section 3.2.3 of the study which requires that the provincial departments articulate their chosen priorities from the MTSF in their provincial POA. As indicated in Table 4.3 there is a lack of cooperation and support from some managers to contribute to the POA. From the latter, one could argue that there is still a challenge to get buy-in from M&E to implement the POA effectively. Another challenge is the lack of implementation of recommendations based on the findings of the frontline offices with regards

to Frontline Service Delivery Targets (FSDM). Another challenge is that front-line managers do not have the necessary authority or budgets to implement the recommendations made. Another concern is that there is no alignment between the M&E findings and planning cycle of government. Therefore, one could argue that it is very difficult to implement the findings of the OTP, M&E Directorate. Another concern is that there is lack of cooperation between the OTP, M&E Directorate and head offices of national government departments. Table 4.4 below depicts the responses on how the various departments report on their progress regarding this programme.

**Table 4.4: How do the various departments report on their progress regarding this programme?**

<b>How do the various departments report on their progress regarding this programme?</b>			
<b>Themes</b>	<b>Sub-themes</b>	<b>Transcription from interview</b>	<b>Code/Elements Identified</b>
Reporting on progress	MTSF Programme of Action (POA)	<i>“Departments report through the excel monitoring tool which captures the outcomes, indicators, targets and quarterly reports”</i>	The used the excel monitoring tool to report on progress with the outcomes, indicators, targets and quarterly reports
	Non-Financial Monitoring	<i>“in 2017/18 the DPME had launched a new web-based” e-QPR system</i> <i>“Departments capture all APP information onto the system”</i>	Departments capture all APP information on e-QPR system.
		<i>“Office of the Premier assesses accuracy and analyses progress and departments submit the final reports through the system”</i>	OTP, M&E Directorate assess the accuracy and analyses the progress. Final Reports is submitted by departments through e-QPR system.

	<p>Management practices</p>	<p><i>“there is a compulsory annual self-assessment where all provincial departments must assess their management practices and upload evidence on a web-based system”</i></p> <p><i>“all assessments are annually moderated by subject experts”</i></p> <p><i>“preliminary moderated results are made available to Provincial Departments”</i></p> <p><i>“preliminary result can be challenged, and more evidence uploaded on the system”</i></p> <p><i>“after the challenge period the final moderated results are released and based on that departments develop improvement plans to address gaps”</i></p> <p><i>“the monitoring results of frontline offices are made available to the frontline managers as well as to the management of the applicable sector”</i></p> <p><i>“results are reported during quarterly sector meetings”</i></p>	<p>Departments must do the annual self-assessment to assess their management practices and submit it on the web-based system.</p> <p>Assessments are moderated by subject experts annually and made available to all departments.</p> <p>Preliminary results are scrutinised by the departments and more evidence uploaded.</p> <p>Final are released based and departments have to develop improvement plans to address gaps.</p> <p>Frontline offices monitoring results are made available to frontline managers in the applicable sector.</p> <p>Recommendations are communicated on a quarterly basis during sector meetings.</p>
	<p>Frontline Service Delivery Monitoring (FSDM)</p>		

From the responses of Table 4.4 above it is clear that various provincial departments have to report on the achievement of MTSF, POA outcomes, indicators, and targets. Quarterly reports are communicated through an excel monitoring tool namely the e-Quarterly Performance Report (QPR) system launched by the DPME in 2017 and 2018. The captured data is assessed by the OTP, M&E Directorate for accuracy and its progress evaluated. Departments capture all APP information into the system and departments submit the final reports through the e-QPR system. Annually, provincial departments assess their management practices through MPAT and substantiate their findings by uploading evidence for the annual self-assessment. These annual assessments are evaluated by subject experts. The departments are given an opportunity to challenge the preliminary results and upload additional evidence if the need arises. Upon the closure of the challenge period, the final moderated results are made available to the departments. This affords them the opportunity to address gaps through the departments' development improvement plans. Monitoring results of frontline offices concerning FSDM are made available to frontline managers in the respective sectors. Quarterly sector meetings assist to improve coordination between different stakeholders to the successful implementation of M&E systems throughout the province. In Section 2.4 of Chapter 2 of this study it was emphasised that DPME was established in 2010 with the specific purpose to monitor the performance and to evaluate public service standards. Section 3.5.2.9 also emphasised that DPME is responsible for assessing management practices and achieves this through the MPAT. While Section 3.5.3.3 of the previous chapter stated that the M&E Unit or Directorate is mandated to consolidate reports from various departments and provide feedback to the different stakeholders. In Table 4.5 below are the responses to the question: "How do you evaluate this programme?"

**Table 4.5: How do you evaluate this programme?**

<b>How do you evaluate this programme?</b>			
<b>Themes</b>	<b>Sub-themes</b>	<b>Transcription from interview</b>	<b>Code/Elements Identified</b>
Evaluation of programmes	Assessment of management	<i>"were evaluated by the DPME nationally after four years of implementation"</i>	The DPME do an assessment of management every four years. The DPME made



	<p>FSDM programme</p> <p>National Evaluation Policy Framework</p> <p>Evaluation Technical Working Group (ETWG)</p> <p>OTP, M&amp;E Directorate Technical Support and Steering Committee</p>	<p><i>“based on the outcome of the evaluation certain changes are affected to the MPAT tool to make it more performance orientated, and less compliance orientated”</i></p> <p><i>“continuously being assessed and changes affected, but a full evaluation of the programme has not been done yet”</i></p> <p><i>“the province has adopted the development of a three-year rolling cycle, Provincial Evaluation Plan (PEP), which gets reviewed annually” “this process is driven/overseen by departmental officials responsible for evaluations”</i></p> <p><i>“departments submit proposed evaluations, and these get assessed by the ETWG for whether they meet criteria for the PEP which is taken through provincial management for approval before evaluations can be undertaken”</i></p> <p><i>“OTP provides technical support and steering committee also oversee the process”</i></p>	<p>changes to MPAT to make it more performance orientated. FSDM is continuously assessed and changes affected.</p> <p>Provincial Evaluation Plan (PEP) is reviewed annually and overseen by officials responsible for evaluations</p> <p>The ETWG drives the three-year rolling cycle. Proposed evaluations are assessed against the criteria of the PEP before evaluations can be undertaken.</p> <p>The OTP, M&amp;E Directorate, Technical Support and Steering Committee oversees the process.</p>
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From the responses showed in Table 4.5 it was emphasised that OTP, M&E Directorate in cooperation with DPME is responsible to conduct an assessment of management performance of selected provincial departments as indicated in the planning cycle. Based on the outcomes of the assessment of management, certain changes are affected to MPAT to be more performance orientated rather than compliance orientated. Except for the above FSDM is continuously assessed and changes effected. The OTP, M&E Directorate reviewed the Provincial Evaluation Plan (PEP) annually. The Evaluation Technical Working Group (ETWG) drives the three-year rolling cycle and the OTP, technical support and steering committee oversee the assessment of evaluations against the criteria of the Provincial Evaluation Plan (PEP). In Section 2.7 of Chapter 2 of this study it was highlighted that M&E of the performance of an institution requires the development of a performance system that is fully integrated into the overall functions and activities of a department. It was also mentioned in the literature that the Performance Management and Development Guide of 2007 stated that M&E is required to ensure the achievement of set targets. Section 2.9.10 emphasised that MPAT must be used to guide internal monitoring and self-evaluations of public service to promote effective service delivery. The latter corresponds with what was mentioned in Section 3.5.4 of this study that the DPME in cooperation with M&E Units or Directorates is responsible for performance M&E by assessing quality of management practices in departments through MPAT. Table 4.6 provides the responses on: “What does the Office of the Premier do with M&E findings and results?”

**Table 4.6: The findings and results of M&E: What does the Office of the Premier do with them?**

<b>The findings and results of M&amp;E: What does the Office of the Premier do with them?</b>			
<b>Themes</b>	<b>Sub-themes</b>	<b>Transcription from interview</b>	<b>Code/Elements Identified</b>
Uses of M&E Findings and Results	Forum for Heads of Departments  Annual Reports	<i>“reports are presented to management forums and the Free State Provincial Legislature (FSPL)”</i>  <i>“an annual report on management practices is also developed, triangulated with other sources and</i>	Reports are presented to management forums and FSPL.  An annual report is presented to HODs

	<p>Presentations of reports</p> <p>Reliability of results</p> <p>Utilisation of Reports/results</p>	<p><i>presented to HODs and the Executive Council where decisions on interventions are taken”</i></p> <p><i>“an annual report is presented to FOHOD where decisions on interventions are taken”</i></p> <p><i>“reports are to support management and leadership in decision making”</i></p> <p><i>“presentation of the reports is done to appraise management of key implementation issues, challenges and bottlenecks and to make recommendations towards resolving challenges”</i></p> <p><i>“results on the assessment of management practices are triangulated with the outcomes of other processes executed by Provincial Treasury as well as the Auditor-General to determine the reliability of the results”</i></p> <p><i>“assessment parameters are not always the same”</i></p> <p><i>“results are also utilised to monitor the implementation of improvement programmes by provincial departments”</i></p> <p><i>“presentations and discussions assist to determine the root causes of non-compliance and to make recommendations to rectify problematic areas”</i></p>	<p>and the Executive Council.</p> <p>Annual report is presented to FOHOD. Reports aid in decision-making.</p> <p>Reports is done to appraise management on implementation issues, challenges and bottlenecks.</p> <p>Results of management practices are triangulated to determine reliability.</p> <p>Assessment parameters are not consistent.</p> <p>Results are used to monitor implementation of programmes.</p> <p>Presentations assists to identify root causes of non-compliance.</p>
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	<p>Follow-up visits</p>	<p><i>“reports are made available within a week to facility managers and they need to report progress on the findings”</i></p> <p><i>“during six monthly sector meetings the management within the respective sector also need to report and provide inputs about the monitoring results”</i></p> <p><i>“OTP also does follow-up visits to these facilities to determine whether improvements did take place”</i></p>	<p>During the six monthly sector meetings management has to report and to provide inputs about the monitoring results. OTP, M&amp;E Directorate has to do follow-up visits to determine whether improvements have taken place.</p>
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From the responses of the participants as showed in Table 4.6 above it is clear that annual reports of the various provincial departments are presented to management forums and to the Free State Provincial Legislature (FSPL). The above table further indicated that the annual reports are presented to HODs and the Executive Council and that the annual reports are also presented to FOHOD. The participants further responded that annual reports should support or assist management and leadership in decision making. Table 4.6 above further provided that annual reports is done to appraise management on implementation issues, such as challenges and bottlenecks. The results of management practices are triangulated to determine the reliability of the annual reports. The findings showed that another challenge is that assessment parameters which are used is not consistent which could have an impact on reliability of report. In Section 2.3.10 of Chapter 2 it was mentioned that M&E should lead to the improvement of governance in all three spheres of government and that findings and reports should provide a fair and balanced account and recommendations must be effective. Lastly,

Table 4.6 showed that management has to report on and has to provide inputs about the monitoring results during the six-monthly sector meetings.

#### **4.5 SUMMARY**

This chapter outlined the research methodology followed in the study and also discussed the analysis and interpretation of the data, giving empirically derived observations in each case. A total of four themes and various sub-themes were identified from the findings of the semi-structured questionnaire. The four themes are the role of the OTP; Current M&E challenges; current M&E processes and recommendations to address M&E challenges. It was found that the most prominent theme was current M&E process, followed by current M&E challenges, the role of the OTP and recommendations to address M&E challenges. From the responses of the semi-structured interviews with the M&E experts of the OTP, M&E Directorate a total of 7 themes and various sub-themes were identified namely; Theme 1, programmes monitored and sub-theme (M&E Sub-Directorate. Theme 2, monitoring and evaluation and sub themes (Sub-Directorate, M&E and the Sub-Directorate: Non-Financial Performance Monitoring). Theme 3, monitoring activities or systems in place to monitor programmes and sub-themes (Institutional Performance Monitoring; Management Performance Assessment Tool (MPAT); and Provincial and Local Government Monitoring). Theme 4, current M&E challenges of programmes and sub-themes (MTSF Programme of Action; MPAT compliance vs performance FSDM; Alignment with planning cycle of government; and Good cooperation). Theme 5, reporting and progress of programmes and sub-themes (Non-Financial Monitoring; and Management practices). Theme 6, evaluation of programmes and sub-themes (Assessment of management; FSDM programme; National Evaluation Policy Framework and Evaluation Technical Working Group). Theme 7 uses of findings and results and sub-Themes (Forum for Heads of Departments; Annual reports; Presentations of reports; reliability of results; utilisation of reports and follow-up visits by M&E Directorate).

From the data analysis and findings of the responses to the semi-structured questionnaire and the semi-structured interview the following aspects concerning effective M&E in the Free State Provincial government were emphasized. Firstly, the OTP, M&E Directorate consists of two Sub-Directorates namely; Sub-Directorate, M&E and the Sub-Directorate: Non-Financial Performance Monitoring. Secondly, provincial departments have to report on the achievement of MTSF, POA outcomes, indicators, and targets. Quarterly reports are communicated through an excel monitoring tool namely the e-Quarterly Performance Report (QPR) system launched by the DPME in 2017 and 2018. The captured data is assessed by the OTP, M&E Directorate

for accuracy and its progress evaluated. Departments capture all APP information into the system and departments submit the final reports through the e-QPR system. The OTP, M&E Directorate has to lead this process and coordinate that various provincial departments use MPAT to do their annual self-assessment. The OTP, M&E Directorate in conjunction with the DPME is responsible to monitor FSDM in selected provincial departments on an annual basis. A toolkit was developed by DPME to be used for this purpose. The results are presented to Cabinet and to the Forum of HODs. Thirdly, the OTP, M&E Directorate is responsible to monitor the implementation of the MTSF. Information of the MTSF is communicated through interactions with provincial departments. It was also mentioned by one of the respondents that the MTSF which sets out the strategic priorities is currently in the process of being fully institutionalised. Fourthly, M&E reporting is done on a quarterly basis, with the aid of quarterly sector meetings with senior managers. During the quarterly sector meetings challenges are identified and possible solutions must be tabled. It was emphasised that results on the assessment of management practices should be triangulated with the outcomes of other processes executed by Provincial Treasury as well as the Auditor-General to determine the reliability of the results. Results are used to monitor implementation of programmes. During the six-monthly sector meetings management has to report and to provide inputs about the monitoring results. The OTP, M&E Directorate has to do follow-up visits to determine whether improvements have taken place. Fifthly, non-financial reporting is done through the e-QPR system on a quarterly basis.

From the data analysis and findings of the responses the following M&E challenges were identified. The OTP, M&E Directorate and the M&E units of the various provincial departments do not have sufficient staff with M&E experience or qualifications. It was mentioned that the OTP, M&E Directorate fails to instil a culture of M&E in the Free State Provincial government. Poor communication and the lack of buy-in to implement M&E effectively as well as to use M&E findings in decision-making processes remains a challenge. There is no alignment of monitoring findings and planning cycle of government. There is a lack of cooperation and support from some managers to contribute to the POA. It was argued that there is still a challenge to get buy-in from M&E to implement the POA effectively. The lack of implementation of recommendations based on the findings of the frontline offices with regards to Frontline Service Delivery Targets (FSDM) is another concern that hinders effective M&E. Another challenge is that front-line managers do not have the necessary authority or budgets to implement the recommendations made. Furthermore, there is no alignment between the M&E findings and planning cycle of government. Therefore, one could argue that it is very

difficult to implement the findings of the OTP, M&E Directorate. It was highlighted that the main challenges with the implementation of FSDM programme is about the implementation of recommendations based on the findings made at frontline offices. Frontline managers do not always have the authority or budgets to implement recommendations made. Another concern is that there is lack of cooperation between the OTP, M&E Directorate and head offices of national government departments.

The following recommendations to address M&E challenges in the OTP, M&E Directorate were made. It was emphasized that the OTP, M&E has to establish a culture of M&E within the Free State Provincial Government this can only be achieved if managers support and be accountable for M&E and the effective implementation of GWM&ES, PWM&ES and MWM&ES in the province. More qualified M&E experts need to be acquired to address the challenge of a lack of M&E capacity with the OTP, M&E Directorate and within the province. Managers should be accountable for submission of reliable reports, as well as to avoid duplication of information. Managers have to budget for M&E to ensure that there are sufficient financial resources to implement FSDM and other M&E findings and recommendations. In Chapter 5 below the conclusions and recommendations are discussed.

## **CHAPTER 5: CONCLUSION AND RECOMMENDATIONS**

### **5.1 INTRODUCTION**

This chapter is the final chapter in the study. The chapter begins by focusing on a summary of the literature review Chapters 1, 2, and 3. The problem statement of the study as explained in Chapter 1 was as follows the OTP, M&E Directorate will not be able to fulfil their M&E role effectively if the M&E challenges are not identified and rectified using specific recommendations. From the above problem statement, the aim of this study was to positively contribute to improvement of M&E within OTP, M&E Directorate of the Free State province.

This chapter reiterates the research objectives as proposed in Chapter 1. Finally, the chapter concludes by making specific recommendations. An overview of the literature chapters was provided. It explained the analyses and interpretations that were concluded in Chapter 4. Finally, the chapter concludes by making specific recommendations concerning the implementation challenges of M&E system in Free State Provincial Government.

### **5.2 RESEARCH OBJECTIVES**

In this discussion an attempt is made to reflect on the extent to which the research objectives have been realised and the corresponding research questions proposed in Chapter 1 have been answered. The following were the research objectives of the study:

**5.2.1 Objective 1.** The main objective of the study was to determine the implementation challenges as well as best practices of the Government-wide Monitoring and Evaluation System (GWME&S) within the Office of the Premier of the Free State Provincial Government to recommend interventions to address these challenges.

Based on the literature study in Chapter 3 of this study, Section 3.2 outlined the institutional arrangements and challenges for the implementation challenges of M&E. Section 3.2.3 discussed the good practices and current challenges for institutionalisation of M&E systems in the South African public sector, while Section 3.4 outlined the institutional arrangements and challenges of the national evaluation system. The findings of the semi-structure questionnaire in particular in Section 4.3.2.2 of Chapter 4 of this study to the question “What are the current



M&E challenges concerning the implementation of GWM&ES in the Free State Provincial government and what recommendations are there to address these challenges? were provided. While the findings to the question on “What are the current challenges to institutionalized M&E within the Free State province were provided in Section 4.4.2. The specific recommendation to recommend interventions were provided in Section 4.5 (Chapter 4) and in section 5 of chapter 5.

**5.2.2 Objective 2.** To determine the requirements, purpose, principles, objectives, components, and systems of monitoring and evaluation (M&E) with specific reference to the introduction of the South African Government-wide Monitoring and Evaluation System (GWM&ES).

Section 2.3 of Chapter 2 outlined the statutory and regulatory framework underpinning monitoring and evaluation and provided an overview of monitoring and evaluation in the contest of South African Public Sector. In Section 2.5 the South African Government-wide M&E system were discussed. The South African Government-Wide Monitoring and Evaluation System, public policy monitoring and evaluation, development and implementation of performance management systems, different forms of monitoring, evaluation approaches or types, methods, tools and techniques were discussed. Strategies for improving monitoring and evaluation, indicators as well as uses and benefits of M&E and evaluation were also discussed in Chapter 2. Chapter 3 provided a theoretical overview of the institutionalization of the GWM&ES. In both the semi-structured questionnaire and in the semi-structured interviews pertinent questions concerning the implementation of the GWM&ES were asked as discussed in the previous chapter (Chapter 4).

**5.2.3 Objective 3.** To determine the role of the OTP, M&E Directorate concerning the effective implementation of M&E systems.

In the literature study, in Chapter 1 and in Section 3.5.3.3 outlined the role and functions of the OTP, M&E Unit. All of the questions in the both the semi-structured questionnaire and the semi-structured interview schedule were related to the role of the OTP, M&E Directorate concerning the implementation of M&E systems including the GWM&ES, capacity of OTP, M&E Directorate, M&E programmers, challenges, reports and uses of M&E findings. The findings of the above were discussed in detail in Chapter 4 of this study.

**5.2.4 Objective 4.** To identify current monitoring and evaluation processes, practices, challenges as well as best practices.

Section 3.3 of Chapter 3 of this study outlined in detail the institutional arrangements for the establishment of Monitoring systems while Section 3.4 the institutional arrangements and challenges of the national evaluation system were discussed in detail. In Chapter 2 in particular in Section 3.2 the institutional arrangements and challenges of M&E were discussed while Section 3.2.3 focussed discussed on the good practices of M&E. Pertinent questions were asked in both the semi-structured questionnaire and in the interview schedule concerning M&E processes, practices and challenges. The findings were discussed in Chapter 4 of this study.

**5.2.5 Objective 5.** To make specific recommendations based on the literature study and research findings concerning monitoring and evaluation best practices and challenges. The recommendations based on the literature chapters and based on the findings of the semi-structured questionnaire and the semi-structured interviews were outlined in Section 5.5 of this chapter.

### **5.3 REVIEW OF THE LITERATURE CHAPTERS**

The dissertation was divided into five chapters.

**Chapter 1** introduced the study by discussing background and literature review, the outlining the problem background, the orientation and problem statement, research questions, research objectives, research methodology and the provisional chapters of the study.

**Chapter 2** provided a theoretical overview of monitoring and evaluation in the context of the South African public sector. The chapter commenced with conceptualising of monitoring, evaluation and relevant concepts, followed by a discussion of the statutory and regulatory frameworks for M&E. The South African government wide monitoring and evaluation system (GWM&ES), the public policy M&E, the development and implementation of performance management systems, different forms of monitoring and the evaluation approaches or types, methods, tools and techniques were outline. Lastly, the strategies for improving and

evaluations, uses and benefits of monitoring and evaluation and the various types of indicators were discussed.

The discussion about the statutory and legislative frameworks of M&E emphasised that the Constitution, 1996 advocates alignment of monitoring and evaluation to the basic values and principles that govern public administration and apply to all public enterprises, organs of state and the administration of the three spheres of government. The Constitution, 1996 also requires the monitoring and evaluation of national, provincial and municipal budgets, the budgetary processes and financial management.

In addition, it was shown that the Policy Framework for Government-wide Monitoring and Evaluation (GWM&ES) was introduced in 2007 to outline the key principles, standards for monitoring and evaluation in the public service. Since 2009 the Presidency adopted an outcomes-based approach by requesting each national, provincial and municipal department to develop appropriate indicators to promote monitoring of their services. Twelve priority outcomes for improving interdepartmental and intergovernmental coordination were introduced. It was highlighted that the 12 outcomes focussed on priorities such as rural development, education, health, employment and crime and that the Department of Performance Monitoring and Evaluation (DPME), established in 2010, was to monitor performance and evaluate public service standards, while the Department of Public Service and Administration's purpose was to establish an efficient and effective public service that is developmental oriented for a fair and inclusive citizenship. It was emphasised that indicators provide a uniform framework for gathering data for measurements and reporting, assisting managers to translate concepts into simple operational measurable variables; enabling reviews of outcomes, goals and objectives; helping with public policy review processes; and helping manager focus on departmental strategic areas to provide proper feedback to staff. Performance indicators as measuring instruments, are useful to track and assess the progress in the achievement of objectives and outcomes. Therefore, measurements against the indicators become meaningful only when compared to specific baseline data or adopted targets.

**Chapter 3** This chapter gave an overview of the institutional arrangements for the establishment of a monitoring system of M&E, followed by a discussion about the institutional arrangements and challenges of the national evaluation system. The role players of M&E

systems in the three spheres of government, the performance outcomes and indicators, and the proposed structure for M&E units or directorates in government departments were discussed, as well as the provincial and municipal-wide M&E function.

The successful institutionalisation of M&E relies on establishing an effective M&E system and capacity in an institution. To promote effective institutional arrangements, the Government-wide M&E System (GWM&ES) was established not only to promote the delivery of useful M&E products or information for its users, but also to ensure that these systems are cascaded throughout all three spheres of government from the Executive Branch to Programme Managers, M&E units and Accounting Officers.

The institutional arrangements and challenges concerning the national evaluation system showed that significant progress has been made since the national evaluation system was introduced. Nevertheless, there are still some challenges concerning evaluations in the South African public service. These challenges include poor programme plans that makes it difficult to evaluate performance. Poor communication channels result in programme managers not knowing that evaluations can be conducted on their programmes. Conversely, some managers perceive evaluations as negative and not as an opportunity to improve performance. Also, departments do not budget for evaluations, relying on DPME to provide all the funds for evaluations. Another concern is that many departments lack planning for conducting evaluations, especially impact evaluations which should be planned at least three years ahead to assess the impact on the target population.

The chapter introduces the numerous stakeholders tasked with ensuring successful implementation of M&E, namely GWM&ES within the three spheres of government such as the Presidency, National Treasury, Department of Public Service Administration (DPSA), The Statistical Agency of South (StatsSA), Department of Cooperative Government and Traditional Affairs (COGTA), and the National School of Government (NSG). M&E roles and responsibilities of the various constitutional institutions such as the Public Service Commission, the Auditor-General, the Public Protector, Chapter 9 Commissions, and Parliamentary Oversight Committees were discussed as well as role players at provincial sphere. The role of M&E units in the Offices' of the Premier were outlined and that it plays a pivotal role in the overall planning, coordination and management of the M&E function within provincial governments. The M&E is responsible for acquiring quarterly progress information

on the achievement of all relevant indicators, outcomes and targets from the various departments. Another critical role is to produce relevant information for use in monitoring purposes and in decision-making processes by various departments. The M&E unit is also responsible for evaluating monitoring results.

Twelve outcomes that became the initial focus of the newly establish Department of Performance Monitoring and Evaluation (DPME) were agreed on in January 2010. Delivery agreements were signed with the relevant Ministers and Outcome Facilitators at Deputy Director General (DDG) level were appointed in the newly established DPME, with the aim to support the development of the delivery agreements as well as the implementation and monitoring of the outcomes. The agreements were also signed by various national and provincial departments and municipalities. The first quarterly reports emphasised progress against the plans, outputs and actions required to address relevant challenges. The various types of indicators such as input and output indicators, process indicators, outcomes and impact indicators were discussed. Input and output indicators were identified as simpler tools of measurement than process, outcome and impact indicators. It was concluded that these indicators vary in degree of difficulty and cost implications.

## **5.4 RESEARCH FINDINGS**

The following is a summary of the findings in Chapter 4 of the study.

**Chapter 4** highlighted the research method, data gathering techniques and sampling used for the study. Finally, it concluded by presenting the data which was gathered from the participants from the M&E directorate by using a structured questionnaire as well as data gathered from the interview schedule held with two chief directors from the M&E directorate. Finally, it concluded by presenting the data which was gathered as well as an analysis of the findings.

This chapter outlined the research methodology followed in the study and also discussed the analysis and interpretation of the data, giving empirically derived observations in each case. A total of four themes and various sub-themes were identified from the findings of the semi-structured questionnaire. The four themes are the role of the OTP; Current M&E challenges; current M&E processes and recommendations to address M&E challenges. It was found that the most prominent theme was current M&E process, followed by current M&E challenges, the role of the OTP and recommendations to address M&E challenges. From the responses of

the semi-structured interviews with the M&E experts of the OTP, M&E Directorate a total of 7 themes and various sub-themes were identified namely; Theme 1, programmes monitored and sub-theme (M&E Sub-Directorate. Theme 2, monitoring and evaluation and sub themes (Sub-Directorate, M&E and the Sub-Directorate: Non-Financial Performance Monitoring). Theme 3, monitoring activities or systems in place to monitor programmes and sub-themes (Institutional Performance Monitoring; Management Performance Assessment Tool (MPAT); and Provincial and Local Government Monitoring). Theme 4, current M&E challenges of programmes and sub-themes (MTSF Programme of Action; MPAT compliance vs performance FSDM; Alignment with planning cycle of government; and Good cooperation). Theme 5, reporting and progress of programmes and sub-themes (Non-Financial Monitoring; and Management practices). Theme 6, evaluation of programmes and sub-themes (Assessment of management; FSDM programme; National Evaluation Policy Framework and Evaluation Technical Working Group). Theme 7, uses of findings and results and sub-Themes (Forum for Heads of Departments; Annual reports; Presentations of reports; reliability of results; utilisation of reports and follow-up visits by M&E Directorate).

From the data analysis and findings of the responses to the semi-structured questionnaire and the semi-structured interview the following aspects concerning effective M&E in the Free State Provincial government were emphasized. Firstly, the OTP, M&E Directorate consists of two Sub-Directorates namely; Sub-Directorate, M&E and the Sub-Directorate: Non-Financial Performance Monitoring. Secondly, provincial departments have to report on the achievement of MTSF, POA outcomes, indicators, and targets. Quarterly reports are communicated through an excel monitoring tool namely the e-Quarterly Performance Report (QPR) system launched by the DPME in 2017 and 2018. The captured data is assessed by the OTP, M&E Directorate for accuracy and is progress evaluated. Departments capture all APP information into the system and departments submit the final reports through the e-QPR system the OTP, M&E Directorate has to led this process and coordinate that various provincial departments using MPAT to do their annual self-assessment. The OTP, M&E Directorate in conjunction with the DPME is responsible to monitor FSDM in selected provincial departments on an annual basis. A toolkit was developed by DPME to be used for this purpose. The results are presented to Cabinet and to the Forum of HODs. Thirdly, the OTP, M&E Directorate is responsible to monitor the implementation of the Medium Term Strategy Framework (MTSF). Information of the MTSF is communicated through interactions with provincial departments. It was also mentioned by one of the respondents that the MTSF which sets out the strategic priorities is

currently in the process of being fully institutionalised. Fourthly, M&E reporting is done on a quarterly basis, with the aid of quarterly sector meetings with senior managers. During the quarterly sector meetings challenges are identified and possible solutions must be tabled. It was emphasised that results on the assessment of management practices should be triangulated with the outcomes of other processes executed by Provincial Treasury as well as the Auditor-General to determine the reliability of the results. Results are used to monitor implementation of programmes. During the six monthly sector meetings management has to report and to provide inputs about the monitoring results. OTP, M&E Directorate has to do follow-up visits to determine whether improvements have taken place. Fifthly, non-financial reporting is done through e-QPR system on a quarterly basis.

From the data analysis and findings of the responses the following M&E challenges were identified. The OTP, M&E Directorate and the M&E units of the various provincial departments do not have sufficient staff with M&E experience or qualifications. It was mentioned that the OTP, M&E Directorate fails to instil a culture of M&E in the Free State Provincial government. Poor communication and the lack of buy-in to implement M&E effectively as well as to use M&E findings in decision-making processes remains a challenge. There is no alignment of monitoring findings and planning cycle of government. There is a lack of cooperation and support from some managers to contribute to the POA. It was argued that there is still a challenge to get buy-in from M&E to implement the POA effectively. The lack of implementation of recommendations based on the findings of the frontline offices with regards to Frontline Service Delivery Targets (FSDM) is another concern that hinders effective M&E. Another challenge is that front-line managers do not have the necessary authority or budgets to implement the recommendations made. Furthermore, there is no alignment between the M&E findings and planning cycle of government. Therefore, one could argue that it is very difficult to implement the findings of the OTP, M&E Directorate. It was highlighted that the main challenges with the implementation of FSDM programme is about the implementation of recommendations based on the findings made at frontline offices. Frontline managers do not always have the authority or budgets to implement recommendations made. Another concern is that there is lack of cooperation between the OTP, M&E Directorate and head offices of national government departments.

The following recommendations to address M&E challenges in the OTP, M&E Directorate were made. It was emphasized that the OTP, M&E has to establish a culture of M&E within the Free State Provincial Government this can only be achieved if managers support and be



accountable for M&E and the effective implementation of GWM&ES, PWM&ES and MWM&ES in the province. More qualified M&E experts needs to be acquired to address the challenge of a lack of M&E capacity with the OTP, M&E Directorate and within the province. Managers should be accountable for submission of reliable reports, as well as to avoid duplication of information. Managers have to budget for M&E to ensure that there are sufficient financial resources to implement FSDM and other M&E findings and recommendations.

## 5.5 RECOMMENDATIONS

The aim of the study was to determine the current implementation challenges with respect to monitoring and evaluation systems in the OTP, M&E Directorate of the FSPG to be able to make specific recommendations pertaining to the successful implementation of M&E systems. Based on the literature study (Chapter 2, and 3) and the empirical study (Chapter 4) undertaken, the following recommendations concerning the implementation challenges of M&E systems where identified:

- All provincial departments have to properly plan and budget for evaluations and not only rely on DPME to provide all funds for evaluations;
- Departments should plan at least three years ahead to assess the impact on the target community;
- Departments have to budget for M&E to ensure that there are sufficient financial resources to implement FSDM and other M&E findings and recommendations
- Programme planning should be improved in that poor programme plans make it difficult to evaluate the performance of programmes;
- Departments have to produce reliable and relevant information to be used in monitoring and in decision-making processes by various departments.
- The OTP, M&E has to establish a culture of M&E within the Free State Provincial Government this can only be achieved if top management support and be accountable for M&E and the implementation of GWM&ES, PWM&ES and MWM&ES in the province.
- The recommendations made on the findings of the frontline offices with regards to Frontline Service Delivery Targets (FSDM) must be implemented.



- More qualified M&E expert needs to be acquired to address the challenge of a lack of M&E capacity with the OTP, M&E Directorate and within the province.
- Managers should be accountable for submission of reliable reports, as well as to avoid duplication of information.
- The OTP, M&E Directorate has to do follow-up visits in the various provincial departments so they can determine whether M&E is being done properly.
- The Premier of the Free State should connect more with the various provincial departments during planning processes to make sure that MTEF resource distribution, reinforces the alignment between departmental strategic plans and the Provincial Growth and Development Strategy (PGDS).
- The OTP, M&E Directorate has to make use of Free State Provincial website to communicate M&E findings so that problematic issues and other challenges can be dealt with immediate effect.
- The OTP, M&E Directorate has to creating more awareness about M&E and in particular on what is expected in terms of the legislative frameworks and policies.
- The establishment of an M&E Forum that consist of M&E managers and implementers contributing to M&E should be a priority in the Free State Province, and
- The OTP, M&E Directorate has to appoint more staff with sufficient M&E experience and relevant M&E qualifications.
- The OTP should introduce developmental programmes concerning report writing and report writing skills and attendance should be compulsory for managers responsible for report writing in all departments of the Free State provincial departments.

## **5.6 CONTRIBUTION OF THE STUDY**

The study identified implementation challenges as well as best practices in the implementation of the GWM&ES. Based on the findings of the study, recommendations were made in terms of implementation challenges and best practices. The M&E directorate situated in the Office of the Premier, FSPG, will find the recommendations useful to ensure that the GWM&ES is implemented in an integrated, efficient and effective manner in all the provincial departments.

## **5.7 LIMITATIONS OF THE STUDY**

The study was influenced by certain conditions, as indicated in Section 1.10 of Chapter 1, namely:

- Limited scholarly work such as handbooks and journal articles are available in particular about the challenges and practices of M&E systems in particular the GWM&ES.
- External factors on the study, such as the commitment and willingness of participants to participate in the semi-structured interviews and to complete the semi-structured questionnaire.
- The study was limited to the OTP, M&E Directorate of the Free State Provincial Government (FSPG).

## **5.8 IMPLICATIONS FOR FURTHER RESEARCH**

Further research of the current study could be extended to examine the perceived impact of M&E findings on decision-making processes of the Free State province in comparison to other provinces in South Africa.

## **5.9 SUMMARY**

The chapter focuses on the summary of the entire study and summarizes the findings made in Chapter 1, 2, 3 and 4 based on the research objectives. Based on the findings, conclusions are drawn, recommendations were made pertaining to the implementation challenges as well as best practices in the successful implementation of M&E and in particular the GWM&ES and PWM&ES. This dissertation was completed in the hope that the findings and recommendations made, will be useful to promote and ensure effective implementation of M&E in OTP, M&E Directorate and all departments of Free State Provincial Government.

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## ANNEXURE A: PERMISSION LETTER TO MANGUANG METROPOLITAN MUNICIPALITY



### CONSENT LETTER

**To: Mrs. Hellen Kekana**  
**Office of the Premier Free State Provincial Government: Monitoring and Evaluation**

**To Whom It May Concern**  
**Department of Cooperation and Traditional Affairs**

**From: Mr. BS Magagula**  
**Master of Public Management**

**Research Study: Title: The role of the Office of the Premier in the implementation of the Government-wide Monitoring and Evaluation System.**

I am Mr. BS Magagula a Master of Public Management student and I am also a junior lecturer at Central University of Technology, Free State. I hereby requested permission to conduct structured interviews with selected public officials responsible for monitoring and evaluation in the Office of the Premier and line managers (Four or five). I also request permission to conduct semi-structured interviews with members from the Department of Cooperative Governance and Traditional Affairs (COGTA) about the implementation of the GWM&ES. I also confirm that I will make every effort to safeguard the confidentiality of the respondents with who I will conduct semi- structured interview.

The aim of the study is to determine the implementation challenges as well as best practices of the Government-wide Monitoring and Evaluation System (GWME&S) within the Office of the Premier of the Free State Provincial Government. As well as what interventions should be recommended to address these challenges determine the implementation challenges as well as best practices of the Government-wide Monitoring and Evaluation System (GWME&S) within the Office of the Premier of the Free State Provincial Government as well as what interventions should be recommended to address these challenges.

The main objective of this study is to determine the challenges faced by the Free State Premier's Office in the implementation of the Government-wide Monitoring and Evaluation System. In order to achieve the main objective, the following co-objectives are identified

- To investigate through the extensive literature, journal articles, on line source and legislative frameworks, the requirements, purpose, principles, objectives, and components and systems of monitoring and evaluation with specific reference to the introduction of the South African Government-wide Monitoring and Evaluation System (GWM&ES).
- To investigate through the extensive legislative framework, the role of the Offices of the Premier concerning the effective implementation of the Government-wide Monitoring and Evaluation System (GWM&ES).
- To conduct structured interviews with government officials responsible for monitoring and evaluation in the Office of the Premier, Free State Provincial Government to identify current monitoring and evaluation challenges as well as best practices.
- To make specific recommendations based on the literature study and research findings concerning specific monitoring and evaluation best practices and challenges.

The population of this study consist of the following with whom unstructured interviews will be conducted namely:

- Selected public officials responsible for Monitoring and Evaluation in the Office of Premier, Free State Provincial Government.
- Four or five line managers or Heads of Departments attached to the Office of Premier, Free State Provincial Government.
- Selected public officials of the Department of Cooperation and Traditional Affairs responsible for Monitoring and Evaluation.

Kind Regards



Mr. BS Magagula



## ANNEXURE B: SEMI-STRUCTURED QUESTIONNAIRE

### SEMI-STRUCTURED QUESTIONNAIRE: OFFICE OF THE PREMIER M&E DIRECTORATE, FREE STATE PROVINCIAL GOVERNMENT

I Mr BS Magagula is a Master of Public Management student and a junior lecturer at Central University of Technology, Free State. The title of my study is: Monitoring and Evaluation Challenges faced by the Office of the Premier of the Free State Provincial Government with the implementation of the Government-wide Monitoring and Evaluation System (GWME&S)

#### Purpose of the Interview schedule:

The purpose of the semi-structured questionnaire is to determine the challenges and best practices concerning the implementation of the GWM&ES and M&E in general in the Office of the Premier, Provincial Government, Free State.

#### Note to the respondent

- I would appreciate your willingness to assist in this research project.
- Your contributions to the interview will remain private and confidential and no one will be able to trace your responses back to you as an individual.
- Your permission to use these responses is required for the purpose of this master study.

Thank you for your participation.

### SECTION A

#### Biographical Information

Please mark with an X

What is your Gender

Gender

Female	<input type="checkbox"/>	Male	<input type="checkbox"/>
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1. Age

<input type="text"/>	<input type="text"/>
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2. Designation:.....

3. Education Level

Level	Mark with an X
Primary	<input type="checkbox"/>
Secondary	<input type="checkbox"/>
Tertiary	<input type="checkbox"/>

4. Length of service in the Office of the Premier:

1-10 years	
Over 10 years	

**SECTION B**  
**THE GWM&ES**

This section consists of question that seek to collect information about the implementation of the GWM&ES within the Free State Provincial Government.

**Category 1. Implementation of the GWM&ES**

1.1. What is the role of the Office of the Premier, M&E Directorate t concerning the implementation of the GWM&ES within the Free State Provincial Government?

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1.2 What does the Office of the Premier, M&E Unit do to ensure alignment with GWM&E?

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1.3 What are the current challenges concerning the implementation of the GWM&ES within the Free State Province?

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1.4 In terms of the 12 Outcomes formulated to implemented an effective monitoring and evaluation system how far is the Free State Province with the implementation of these outcomes:

Outcomes:	Description	Mark with an X
Outcome 1	Quality basic education should be delivered	
Outcome 2	To ensure a healthy life for all people of South Africa	
Outcome 3	To create a safe South Africa where all people feel safe and secure	
Outcome 4	To ensure employment for all through inclusive economic growth	
Outcome 5	To develop a skilled and capable workforce in order to support an inclusive growth plan	
Outcome 6	To establish an efficient, responsive and competent economic infrastructure networks	
Outcome 7	To ensure a sustainable rural community that contributes towards the achievement of sustainable food security for all	
Outcome 8	To improve the quality of household life for all and to establish sustainable human settlements	
Outcome 9	To promote an accountable, effective, efficient and responsive local government	
Outcome 10	To promote a sustainable environment for all people by protecting and enhance environmental resources	
Outcome 11	To create a better country, continent and world for all	
Outcome 12	To establish an efficient and effective public service that is developmental oriented as well as to promote an empowered fair and inclusive citizenship	

1.6 In your opinion what is the role of the Office of the Premier, M&E Directorate concerning the implementation of the GWM&ES within local government in the Free State

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1.7 What is the responsibility of the Office of the Premier, M&E Directorate concerning the monitoring of municipalities within the Free state province?

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1.8 In your opinion what is the progress with the implementation of the GWM&ES within the Free State Provincial Government?

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1.9 Does the Office of the Premier, M&E Directorate have enough financial resources to implement the GWM&ES?

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1.10. Please indicate the degree of agreement or disagreement with the following statements concerning M&E and the GWM&ES.

Nr	Statements	1 Strongly agree	2 Agree	3 Neither Agree Nor Disagree	4 Disagree	5 Strongly Disagree
1.10.1	The Office of the Premier play a pivotal role in providing coherent strategic leadership, coordination and M&E function regarding provincial policy formulation, review, planning and overseeing service delivery, planning and implementation in support of provincial and national priorities and plans.					
1.10.2	Effective M&E should contribute substantially to the achievement of the Office of the Premiers objective.					

1.10.3	Management processes and forums for M&E in the province should be critical for institutionalising M&E in the province.					
1.10.4	The M&E strategy for the province should be linked to the provincial growth and development strategy.					
1.10.5	The M&E strategy for the province should be supported by annual operational plans for M&E.					
1.10.6	The effectiveness of the M&E system in achieving its goals of improving executive decision-making, and service delivery depends on the active support of the use of M&E findings.					
1.10.7	M&E is included in the performance agreement of line managers.					
1.10.8	M&E should be integrated with other management processes such as policy-making, strategic and operational planning, budgeting and annual reporting.					
1.10.9	The Premiers Office need to have M&E arrangements which enable its provincial and local oversight role as the centre of provincial government.					

1.10.10	The Office of the Premier should avoid the creation of multiple reporting lines from provincial departments and municipalities as far as possible. Data and M&E information and findings should be shared and used to promote decision-making.					
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**Category 2: M&E in General**

2.1 How many departments in the Free State Provincial Government have dedicated M&E functions?

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2.2 What is the name of the M&E Forum in the Office of the Premier, Free State Provincial Government?

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2.3 How many meetings per annum is arranged by the M&E Forum?

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2.4 Is there a central data source concerning M&E in the Office of the Premier, M&E Unit?

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2.5 How is M&E institutionalized within the Free State Provincial Government?

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2.6 What are the current challenges to institutionalized M&E within the Free State Provincial Government?

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2.7 Does the Office of the Premier, M&E Unit Make use of consultants? If yes motivate what are their role.

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2.8 Has the Office of the Premier, M&E Unit established a M&E system, if yes explain how it works?

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2.9 How many times a year must the Office of the Premier, M&E Unit submit a M&E report, and to whom must they submit the report?

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2.10 What does the Office of the Premier, M&E Unit do with the findings of M&E reports and information?

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**Thank you very much for taking part in this interview.**

## ANNEXURE C: INTERVIEW SCHEDULE

### SEMI-STRUCTURED INTERVIEW SCHEDULE TO CONDUCT SEMI-STRUCTURED INTERVIEWS: PROGRAMME DIRECTORS IN THE OFFICE OF THE PREMIER, M&E DIRECTORATE FREE STATE.

I Mr BS Magagula is a Master of Public Management student and a junior lecturer at Central University of Technology, Free State. The title of my study is: Monitoring and Evaluation Challenges faced by the Office of the Premier of the Free State Provincial Government with the implementation of the Government-wide Monitoring and Evaluation System (GWME&S)

#### Purpose of the Interview schedule:

The purpose of the semi-structured interview is to determine the challenges and best practices concerning the implementation of the GWM&ES and M&E in general in the Office of the Premier, Provincial Government, Free State.

#### Note to the respondent

- I would appreciate your willingness to assist in this research project.
- Your contributions to the interview will remain private and confidential and no one will be able to trace your responses back to you as an individual.
- Your permission to use these responses is required for the purpose of this master study.

Thank you for your participation.

### SECTION A

#### Biographical Information

Please mark with an X

What is your Gender

Gender

Female	<input type="checkbox"/>	Male	<input type="checkbox"/>
--------	--------------------------	------	--------------------------

5. Age

<input type="text"/>	<input type="text"/>
----------------------	----------------------

6. Designation:.....

7. Education Level

Level	Mark with an X
Primary	<input type="checkbox"/>
Secondary	<input type="checkbox"/>
Tertiary	<input type="checkbox"/>



8. Length of service in the Office of the Premier:

1-10 years	
Over 10 years	

**SECTION B**  
**THE GWM&ES**

This section consists of question that seek to collect information about the implementation of the GWM&ES within the Free State Provincial Government.

**Category 1. Implementation of the GWM&ES**

1.1. Which programmes are responsible for monitoring.

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2. What activities and or systems do you have in place to monitor this programme.

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3. What are current challenges concerning effective M&E?

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4. How do the various departments report on their progress regarding programmes?

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5. How do you evaluate this programme?

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6. The findings and results of M&E: What does the Office of the Premier do with them?

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**Thank you very much for taking part in this interview.**

## ANNEXURE D: PROOFREADING AND LANGUAGE EDITING

Private Bag X20539  
Willows  
9301

03 December 2018

### TO WHOM IT MAY CONCERN

I, Lorraine Louw, Language Practitioner and lecturer in the Department of Communication Sciences at the Central University of Technology, Free State have thus far proofread and edited the first four chapters of the dissertation titled "*An Evaluation of the Implementation of Monitoring and Evaluation Systems in the Office of the Premier, Free State Provincial Government*" by Mr SB Magagula.

Yours faithfully



LM Louw