

**THE IMPLEMENTATION OF THE GOVERNMENT-WIDE
MONITORING AND EVALUATION SYSTEM IN SOUTH AFRICA: A
PROVINCIAL CASE STUDY OF THE KWAZULU-NATAL
DEPARTMENT OF ECONOMIC DEVELOPMENT AND TOURISM**

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ABSTRACT

Monitoring and evaluation practice is an imperative for a country to ensure good governance in government departments, including transparency, accountability, effectiveness and efficiency. Successful implementation of Government-Wide Monitoring and Evaluation (GWM&E) systems results in a government that is well co-ordinated, legitimate, credible, relevant and a government that seeks operational excellence (Kusek & Rist: 2004). The South African government seeks to achieve greater developmental impact and one of the ways government is increasing effectiveness is by concentrating on monitoring and evaluation. Improving monitoring and evaluation leads to improvements in the quality of planning and implementation systems.

The implementation of GWM&E and its strategies should be characterised by a management culture within government departments, which demands performance and utilises monitoring and evaluation (M&E) findings for planning and budgeting. Otherwise M&E systems could degenerate into superficial ‘tick the checklist’ exercises which comply with the GWM&E framework, but undermine its spirit.

This study investigated the implementation of the GWM&E system, using the KwaZulu - Natal Department of Economic Development and Tourism (DEDT) as a case study. This study explored how the intended aims and objectives of the GWM&E have been realised at a provincial level and the understandings and processes employed in institutionalising it.

The research methodology used is interpretative, using semi-structured interviews and content analysis to establish the relationship between what needs to be done according to legislation and what is done in practice. Theories of change, organisations, implementation, results-based evaluation and public policy were reviewed to examine the interrelationships between context, mechanisms and outcomes, with regards to GWM&E.

The review of implementation of the GWM&E system found that public institutions craft impressive monitoring and evaluation frameworks but it will take time before these frameworks are actually fully operationalised and M&E findings are influential in shaping policy and strategy formulation in public resource allocation.

Implementation of GWM&E requires clear aims and objectives of the M&E systems, co-ordination and integration in a decentralised system like the South African system. There

needs to be a balance between top-down guidance and bottom-up expertise. There is a need for M&E to be taken more seriously in South Africa in order for government mandates to be met and policy initiatives and programmes to be improved.

LIST OF ACRONYMS

AEMWG	-	Alberta Environmental Monitoring Working Group
APP	-	Annual Performance Plan
AU	-	African Union
B-BBEE	-	Broad-Based Black Economic Empowerment
BEE	-	Black Economic Empowerment
BPO	-	Business Process Outsourcing
DEDT	-	Department of Economic Development and Tourism
DPLG	-	Department of Provincial and Local Government
DPME	-	Department of Performance Monitoring and Evaluation
DPSA	-	Department of Public Service Administration
EBP	-	Evidence Based Policy
GIS	-	Geographical Information Systems
GWM&E	-	Government-Wide Monitoring and Evaluation
GWMES	-	Government-Wide Monitoring and Evaluation System
HOD	-	Head of Department
IEG	-	Independent Evaluation Group
ISAE	-	International Standard on Assurance Engagement
IT	-	Information Technology
KPA	-	Key Performance Areas
LED	-	Local Economic Development
M&E	-	Monitoring and Evaluation
MDG	-	Millennium Development Goals
MEC	-	Member of the Executive Council
MTSF	-	Medium Term Strategic Framework
NEF	-	National Evaluation Plan

NEPF	-	National Evaluation Policy Framework
OECD	-	Organization for Economic Cooperation and Development
PFMA	-	Public Finance Management Act
PMIS	-	Performance Management Information System
PSC	-	Public Service Commission
PSO	-	Public Support Office
PPC	-	Provincial Planning Commission
RBM	-	Results Based Management
SA	-	South Africa
SADMI	-	South African Management Development Institute
SASQAF	-	South African Statistical Quality Assessment Framework
SG	-	Statistician General
SMART	-	Specific, Measurable, Achievable, Relevant, Time-Bound
SMME	-	Small, Medium and Macro Enterprises
STATS SA	-	Statistics South Africa
UN	-	United Nations
UNDP	-	United Nations Development Programme
UNFPA	-	United Nations Fund for Population Activities

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CHAPTER ONE

Introduction

1. 1. Rationale for the Study

Monitoring and evaluation (M&E) is an important practice if countries are to achieve good governance in government departments and institutions (Loxton, 2004: 1). Successful implementation of a monitoring and evaluation system allows government to become co-ordinated, legitimate, credible and relevant, government that seeks to achieve operational excellence. Policy evaluation is the “process of finding out about a public policy in action, the means being employed and the objectives being served” (Howlett & Ramesh (1995) cited in Parsons, 1995: 211). Evaluations aim to determine outcomes of policy objectives during policy implementation and other phases in the policy cycle (Parsons, 1995: 546). Monitoring is described by Rossi and Freeman (1989: 170) as the attempt by evaluation researchers and programme staff to determine whether a policy/project/programme is being implemented as planned and whether the programme is achieving the intended objectives. Evaluation can be described as a periodic process that employs a mixture of applied social science research methods and practical policy planning to assist in meeting government’s mandate and to provide political and financial accountability and transparency (Parsons, 1995: 212).

Public institutions play an important role in society as they are more socially driven and are the enforcers of government policy (Rainey, 2009: 59). In South Africa, a major challenge was that government planning was not of quality, where policies, projects or programmes sometimes do not clearly identify the desired outcomes, and poor planning often impacts how outcomes are measured and evaluated (Presidency, 2011: 1). Lack of political will, inadequate leadership, management weaknesses, inappropriate institutional design, misaligned decision rights and a lack of a performance, monitoring and evaluation culture affected South Africa’s ability to achieve successful policy objectives (Presidency, 2009: 3). The problem was that “evaluation is applied sporadically in government and is not adequately informing planning, policy-making, and budgeting. So we are missing the opportunity to improve the relevance, effectiveness, efficiency, impact and sustainability of government interventions” (Presidency, 2011: 1). In an article titled ‘*Time to take performance monitoring seriously*’ by Gavin Keeton (2012: 1), performance monitoring was viewed as an important element in providing an “early warning system of things going wrong enabling

swift remedial action”. The government failed to quickly identify problems in their service delivery programmes because performance monitoring was not taken seriously.

Studies on implementing monitoring and evaluation systems in a country, district or region (¹AEMWG, 2012: v; ²Amstrong, 2011: 20; ³Engela & Ajam, 2010: 10) reveal that problems often arise when implementing M&E systems. The studies report that previous approaches to implementing M&E do not work because the approaches employed are not co-ordinated or integrated properly and often there are unclear aims and objectives of the M&E system and what it aims to achieve (AEMWG, 2012; Amstrong, 2011; Engela & Ajam, 2010). Common recommendations offered for implementing an M&E system suggest that: a) M&E systems need to be reformed and need to incorporate more rigorous scientific methods; b) M&E systems should have clear aims and objectives; c) institutions should develop M&E frameworks; and d) there should be a balance between top-down management/decisions and bottom-up technical expertise to aid in the successful implementation of an M&E system (AEMWG, 2012; Amstrong, 2011; Engela & Ajam, 2010).

The South African government’s approach to improving performance and the Government-Wide Monitoring and Evaluation System (GWMES) in the country together aim to improve government outcomes and guide policy implementation to ensure that government does what matters most (Presidency, 2009: 15). The public sector needs to buy-in to the process and implementation of Government-Wide Monitoring and Evaluation (GWM&E) to enhance service delivery initiatives and good governance, allowing for development to occur (Loxton, 2004:1).

The present study investigated the experiences of the KZN Department of Economic Development and Tourism (DEDT) in implementing the GWMES. The Department was used as a case study for the research. The study explored whether or not the intended aims and

¹ AEMWG refers to the Alberta Environmental Monitoring Working Group, which conducted a study entitled ‘Implementing a world class environmental monitoring, evaluation and reporting system for Alberta’ (2012). The M&E system aimed to improve governance and performance in the provincial government of Alberta (AEMWG, 2012).

² Armstrong (2011:9) conducted a study describing how the Brighton education district implemented and institutionalised the teacher M&E system to ensure teacher effectiveness.

³ The World Bank Group commissioned a study titled ‘Implementing a Government-Wide Monitoring and Evaluation System in South Africa’, which was conducted by the Independent Evaluation Group (IEG). It revealed some of the experiences of implementing an M&E system while comparing results to other developing countries (Engela & Ajam, 2010: 10).

objectives of the GWM&E have been operationalised at a provincial level. The study investigated the implementation of the GWM&E system at the KZN Department of Economic Development and Tourism, exploring how the GWMES is institutionalised within the Department. The study also investigated the implementation issues that have emerged while implementing the GWMES. The next section presents the research problems and objectives of this study.

1.2. Research problems and objectives: broad questions to be asked

The broad objectives of this study are to critically examine the answers to the following questions:

- What are the conceptions (purposes and uses) of monitoring and evaluation systems in the public sector?
- How are the public sector monitoring and evaluation systems designed and implemented?
- What are the experiences of the implementing agents of the public sector monitoring and evaluation systems?
- What are the issues that emerge during the implementation of public sector monitoring and evaluation systems?
- What techniques and principles are employed to ensure the successful implementation of monitoring and evaluation systems in the public sector in order to meet its intended aims and objectives?

The key research questions to be asked are specific to the case study. They are related to the Monitoring and Evaluation system at the KZN DEDT and include:

- What is the conception (purposes and uses) of GWM&E systems in the KZN Department of Economic Development and Tourism (DEDT)?
- How are the GWM&E systems in the DEDT designed and implemented in order to meet the national mandate?
- What are the experiences of the implementing agents within the DEDT in implementing GWM&E system at a provincial level?
- What are some of the issues that emerge during the implementation of the GWM&E system in the DEDT?
- How are these issues dealt with by the DEDT?

1.3. Overview of Research Design

The role of research methodology is to “seek to describe the world, but they also seek to undermine competing accounts, and to achieve a multitude of other effects such as advancing the career of the author, justifying certain actions, and influencing policies” (Terre Blanche & Durrheim, 1999: 4). The research methodology employed in the study aimed to capture the experiences involved in implementing a monitoring and evaluation system.

The interpretative paradigm is suitable to conduct the study as it “aims to explain the subjective reasons and meanings that lie behind social action” (Blanche & Durrheim, 1999: 7). The research methodology used in the study was qualitative, which was used to help understand the context (KZN Department of Economic Development and Tourism), including the culture of the organisation, the practices and behaviours and the experiences of the organisation. Babbie and Mouton (2001: 309) suggest that qualitative research is appropriate to study attitudes, experiences and behaviours. The interpretative paradigm and qualitative methodology was suitable for the study, as these methods advocate for a broader description and exploration of the experiences, meanings and interpretation of the implementers of the GWM&E within the KZN DEDT.

1.3.1. Case Study

A case study type of qualitative methodology was used. The case study approach was suitable to understand the organisational environment of the KZN Department of Economic Development and Tourism. It assisted in describing the behaviour, processes and activity outputs that influence the running of the government department. Babbie and Mouton (2001: 288) describe case studies as “intensive investigations of a single unit, with its context being a significant part of the investigation”. The case study may use mixed methods and techniques when collecting data to explain a single unit. This provides a thick description of the unit of study from various perspectives (Babbie & Mouton, 2001: 282).

This study investigated the KZN DEDT implementation experiences and interpretations of the GWM&E system in order to understand how monitoring and evaluation is institutionalised and practised at provincial government level. The case study approach was appropriate for this study because it was an intensive investigation of one of several provincial departments in KwaZulu-Natal that implement the national monitoring and evaluation system.

1.3.2. Data Collection Methods

Primary data was gathered through in-depth, semi-structured individual interviews, using open-ended questions. The interviews sought to gather information about the M&E system in the KZN DEDT and how it has been implemented. Secondary data for the study was available from the South African Constitution, all related policy documents on the GWMES, and government’s previous monthly and quarterly reports related to the implementation of the

GWMEs. Secondary data was available from the KZN DEDT's previous M&E monthly and quarterly reports, Monitoring Strategy and Evaluation Framework. The secondary data used in the study is dated from 2006 to 2013.

1.3.3. Sampling

The study used a non-probability sampling method, namely the purposive sampling technique. Purposive sampling is "used with a specific purpose in mind" (Maree, 2007). The purposive sampling technique allowed the researcher to gain important insights into a particular subject, using information gathered from relevant participants (Babbie & Mouton, 2001: 166). Five participants were chosen for the study. They were chosen on the premise that they represented the various personnel involved in implementing the GWMEs in the KZN DEDT. The sample chosen represents the people in the organisation who are directly and indirectly involved in the M&E activities that occur at the KZN DEDT. The KZN DEDT is a government institution that implements strategies, programmes and projects that drive economic growth in KZN. The study's sample included one programme manager of the six programmes in the DEDT, two project managers from the 24 sub-programmes in the DEDT, and two internal M&E practitioners belonging to the Monitoring and Evaluation Unit of the DEDT. These five participants are involved in M&E at different levels within the KZN DEDT.

The participants involved in the study had the following duties. The programme manager ensures that all projects of the programme are implemented as planned and that relevant progress reports have been submitted. These reports are later used by the M&E Unit to measure the performance of the programme. The project manager collects information about the projects they implement. This information is used for M&E purposes. The project manager collects information on the inputs, activities and outputs of the projects they implement. Each project manager compiles a report concerning each project being implemented; this report often reveals the status of the project and whether or not the project is achieving its intended objectives. The internal M&E practitioners belong to the M&E Unit/Sub-programme in the KZN DEDT. This Unit is responsible for overseeing all M&E related activities in the Department. These include monitoring projects, identifying projects that will be monitored, developing indicators and verifying indicators according to the DEDT's performance agreement with the service providers.

1.3.4. Data Analysis

The United States General Accounting Office: GAO (1989: 6) define content analysis as “a set of procedures for collecting and organizing information in a standardized format that allows researchers to make inferences about the characteristics and meanings of written and other recorded material”. Content analysis helps researchers to describe or summarise the content of written material and seeks to uncover the attitudes or perceptions of it and the researcher, as well as the effects of the material on its audiences (General Accounting Office, 1989: 8).

In the study, content analysis took the form of thematic analysis. These themes were based on the research questions of the study and identify the conceptualisation, implementation, processes and experiences of institutionalising the GWMES at the KZN DEDT. The information that was analysed through content analysis included the information collected from interviews, the legislative framework and the theoretical framework.

1.4. Structure of Dissertation

This study is divided into six chapters. Chapter One gives the background to the study and presents the study’s research questions. The chapter also provides the methodology used to conduct the study. In Chapter Two, the theoretical and conceptual framework of the study is discussed. These concepts include public policy, monitoring and evaluation, implementation theory, change theory and organisational theory. In Chapter Three, the relevant legislation and policy documents that underpin the Government-Wide Monitoring and Evaluation System is presented. Chapter Four describes the aims, objectives, processes, and mechanisms related to M&E which are used in the KZN DEDT. Chapter Five presents the findings of the research study and analyses the findings against the research questions of the study. Lastly, Chapter Six draws the conclusions to the research study.

CHAPTER TWO

Conceptual and Theoretical Framework

2.1. Introduction

Chapter Two provides the conceptual and theoretical framework for the study and looks at the conceptions, purposes and uses of a monitoring and evaluation system in the public sector; monitoring and evaluation system designs and implementation; the experiences of implementing agents when implementing M&E systems; the challenges of implementing M&E systems and how challenges are dealt with when implementing an M&E system.

The chapter begins with a brief discussion on key concepts and approaches of public policy and its relationship to monitoring and evaluation systems and the implementation theory. The chapter locates M&E in the public policy process. The South African Constitution (1996) section 195, mandates that the public sector be effective, efficient, development-oriented, accountable and transparent. Government institutions need to develop M&E systems to fulfil their legal and constitutional mandate. The chapter outlines the aims and objectives of the evidence-based policy approach. This chapter defines M&E and outlines the key characteristics, processes and approaches to M&E in the public sector. The GWMES initiative was introduced to improve governments' performance and good governance (Presidency, 2007: 2).

Lastly, the chapter defines the planned change theory and the organisational theory and engages the concepts, processes and uses of the change theory within the M&E context.

2.2. Policy Theory

2.2.1. Public Policy

Public policy is a "proposed course of action of a person, group, or government within a given environment providing obstacles and opportunities which the policy was proposed to utilise and overcome in an effort to reach a goal or realize an objective or purpose" (Friedrich & Mason, 1940: 6). Friedrich and Mason's definition describes public policy as an attempt to provide solutions to identified problems within a particular context. Governments develop policies to address social, economic and political issues in a particular context in order to achieve social and economic development. Anderson (1997) describes public policy as the "relationship of a government unit to its environment" (Anderson, 1997: 9). Anderson

regards public policy as a mechanism used by governments to develop strategies and processes relevant for addressing social problems within a particular context.

Public policy exists because it aims to address the problems in society or alternatives to a problem and analyses whether the objectives of the defined problems are achieved (Colebatch, 2002: 41). Public political systems do not just form by themselves but are designed to reach certain goals and objectives, which is achieved over a period of time by government officials. The goals and/or objectives are a response to policy demands (Anderson, 1997:11). For public policy to be effective, policy-makers need to identify ⁴social programmes that are worth implementing from those programmes that are ineffective, and thereafter revise or introduce new programmes that are most likely to achieve the desired results (Rossi, Lipsey, Freeman, 2004: 3). Public policy making follows a process that involves various stakeholders where different actions are undertaken to ensure the success of the policy. The following section outlines the processes of public policy.

Processes of Public Policy

The public policy process is viewed by Anderson (1975: 19) as a “sequential pattern of action involving a number of functional categories of activity that can be analytically distinguished namely problem identification and agenda formation, formulation, adoption, implementation and evaluation”. The public policy process follows a number of stages, which ensure that the policy in question is properly planned, implemented and essentially addresses the identified problem. The public policy process entails vertical and horizontal dimensions. The vertical dimension of policy assumes that policy is made in government institutions, where officials and political leaders make decisions. The horizontal dimension allows for the interaction between the participants and stakeholders with different levels of expertise. Thereafter social action takes place to address a public issue (Colebatch, 2002: 44).

The public policy process should ask who, what, where, why, and how, to ensure the effectiveness of policies, projects and programmes. The public policy process is a political process which often involves legislators, politicians and other relevant stakeholders who are responsible for policy. The public policy process can be implemented using a number of approaches and processes. The next section outlines policy implementation theory.

⁴ Social programmes are often described in legislation, policy documents and in written constitutions. They aim to ensure a minimum standard of living to people whose incomes are insufficient; target people who lack the ability to support themselves and people with little or no access to resources and encourage measures that promote self-sufficiency and independence (Eardley, Bradshaw, Ditch, Gough & Whiteford, 1996: 47).

2.2.2. Policy Implementation Theory

Wildavsky and Pressman (1984: xxi) stress that there was a need to study policy implementation to explain why government interventions were failing and to improve government planning. Hill and Hupe (2002: 43) argues that the general theory of policy implementation was “trying to develop a theory of doing or a theory of action”. Funnell and Rogers (2011) identify four features that comprise the theory of action. The features affect whether or not the goals will be achieved when the project has been implemented. These are:

- A detailed statement about the agreed-upon outcomes in the outcomes chain and the success criteria for each outcome;
- Assumptions about the processes involved and how the policy or programme is operationalised;
- Assumptions about the external factors, including social, economic and political conditions; and
- Assumptions about how the policy or programme have gone about addressing external factors in order to achieve policy or programme outcomes, considering resources, activities, management strategies, outputs and throughputs/outcomes.

(Funnell & Rogers, 2011: 201).

Managing policy implementation is described by Brinkerhoff and Crosby (2002: 17) as much about “‘how to do it’ as it is a question of determining ‘what to do’”. Managing policy implementation and performing the implementation tasks assist in adequate planning and preparation during policy implementation and policy formulation. Decision-makers can use implementation monitoring to make sure that a policy is being put into operation according to the design of the policy (Patton, 1997: 200).

Approaches to Policy Implementation

Policy implementation approaches differ amongst various theorists, but all theorists share the consensus that the policy implementation process should be towards the realisation of previously set goals. The two most common approaches to policy implementation are the top-down approach and the bottom-up approach.

Top-Down Approach to Policy Implementation

Pressman and Wildavsky (1973) view policy implementation as taking a rational model approach. The policy sets goals to be achieved and the implementation process and research

is concerned with the processes taken to achieve set goals (Pressman & Wildavsky, 1973: xxi).

The approach of Van Meter and Van Horn: System Building (1975) to policy implementation suggests that there is a need to take into account the amount of change required during implementation and the level of consensus between individuals about what is being implemented (Hill & Hupe, 2002: 46). Van Meter and Van Horn (1975), cited in Hill and Hupe (2002: 46), identify six variables for policy implementation, namely “a) policy should provide concrete and specific standards for goal achievement; b) resources and incentives for implementation should be readily available; c) the policy implementation process should address the quality of inter-organizational relationships during implementation; d) implementing agencies are characterized by their linkages with policy making or a policy enforcing body; e) the policy implementation process and planning should include considerations of the social, economic and political environment; f) and policy implementers should have the capacity to perform their tasks adequately and efficiently” (Hill & Hupe, 2002: 47).

Bottom-Up Approach to Policy Implementation

Lipsky (1980) explains that the decisions made by street-level bureaucrats, the processes they establish, and their coping mechanisms during times of pressure, effectively become the public policies they carry out (Lipsky, 1980: xii). Street-level bureaucrats are perceived as the implementers of public policy in this approach because they have high service principles, exercising discretion under intolerable pressures, with limited resources (Hill & Hupe, 2002:53; Lipsky 1980: 76). For policy implementation to be effective, there are a number of tasks that need to be performed. The following section discusses the policy implementation process.

Processes of Implementation

The policy implementation process employs a set of tasks that, when performed, assist in achieving policy objectives during implementation. These tasks include policy legitimisation, constituency building, resource accumulation, organisational design and modification, mobilising resources and actions and monitoring progress and impact (Brinkerhoff & Crosby, 2002: 24). The policy implementation process requires stakeholders to support and show commitment to the policy being implemented. Resources should be allocated accordingly, to avoid capacity issues and all implementation activities and processes need to be monitored to

allow the implementing agents to track the progress of the policy and ensure that the policy is producing the desired results (Brinkerhoff & Crosby, 2002: 24). The policy implementation process is often messy and sometimes unexpected challenges arise. The following section discusses the challenges to policy implementation.

Challenges to Policy Implementation

Understanding the barriers to implementation can assist the implementing agents better plan and address problems that arise, in order for implementation to get back on track (Patton, 1997: 201). Meyers (1981), cited in Patton (1997:201), points out that implementation failure often occurs because project plans are unclear and do not make sense. Implementing agents of a project will be unclear about what needs to be done to achieve goals and objectives when the goals and objectives are unclear themselves. Project plans should be clear and precise, and outline the relevant stakeholders' roles to ensure successful implementation and to avoid problems.

To overcome implementation challenges the policy implementation process should involve consensus-building, participation of key stakeholders, conflict resolution, compromise, contingency planning and adaptation (Brinkerhoff & Crosby, 2002: 6). Meyers (1981), cited in Patton (1997:201-202), said that implementation challenges occur as a result of projects being rushed to be completed, the urge to spend all the funds allocated for the project, performance agreements of service providers, vague legislation, lack of human capacity to implement the project and the growing gap between policy formulation and implementation. The present study seeks to investigate the experiences of implementing a GWM&E system. The policy implementation theory assists in identifying the implementation techniques, models and strategies that guide how the GWM&E system has been implemented at the KZN DEDT. The public policy process can be informed by a number of approaches. The next section outlines South Africa's approach to public policy.

2.3. Evidence-Based Policy

Evidence-based policy (EBP) is a type of public policy that uses evidence to make informed policy decisions to ensure effective results. EBP "is a set of methods which informs the policy process, it advocates a rational, rigorous and systematic approach to public policy" (Sutcliffe & Court, 2005: iii). The rationale behind EBP is that policy decisions should be informed by available evidence and should include rational analysis, because "policy that is based on systematic evidence is seen to produce better outcomes" (Sutcliffe & Court, 2005:

iii). The EBP approach to policy seeks to ensure that policy outcomes are successful. Too often policies are formulated and implemented, but the intended results are not met. Focusing on ⁵evidence when developing policy ensures that policy development initiatives will address the problems identified in society. South Africa's failing policy initiatives required government to reform their public management approach to ensure successful policy results. M&E is a technique used in evidence-based policy to ensure that evidence used for policy-making is reliable, credible and valid.

2.4. M&E and M&E Systems

2.4.1. Monitoring and Evaluation

Policy M&E is a mechanism that assists policy-makers to learn about the consequences of public policy on real-world conditions (Dye, 1995: 321). M&E are two separate concepts that are intimately related (UNFPA, 2000: 2). M&E research uses social science methods and uses findings to inform the adoption, formulation and implementation stages of a project, policy or programme (Geva-May & Pal, 1999: 266). A rigorous methodology when conducting M&E ensures that information collected is valid and reliable. M&E can occur at different stages within the policy cycle and seeks to improve the policy-making process (Parsons, 1995: 547).

Within a results-oriented environment, M&E is an integral part of the entire management system of an organisation. It can be used to:

- Clearly identify relevant stakeholders, beneficiaries and the benefits and problems of a project or programme;
- Set clear aims and objectives of the project or programme;
- Ensure that there are enough resources obtained for the project or programme to be implemented successfully;
- Monitor inputs, activities and outputs, using the appropriate indicators;
- Identify the risks of implementing a particular project or policy, while considering the costs versus benefits of implementation;
- Use qualitative and quantitative methods to measure the progress of a project or programme;

⁵ Evidence can be "expert knowledge, published research, stakeholder consultation, previous policy evaluations, the internet, outcomes from consultations, etc" UK Cabinet Office, 1999 (cited in Sutcliffe & Court 2005:3).

- Increase knowledge by learning from previous experience and using lessons learnt to inform future projects or programmes;
- Change objectives as a result of learning from previous experience; and
- Report the results achieved and resources used when implementing the project or programme.

(Sprekley, 2009: 5).

The following section briefly describes the purpose, processes and types of monitoring and thereafter it describes evaluation.

Monitoring

The United Nations Development Programme (UNDP) (1997) defines monitoring as “a continuous function that aims primarily to provide program or project management and the main stakeholders of an on-going program or project with early indications of progress or lack thereof in the achievement of program or project objectives”. The UNDP describes monitoring as a way of tracking a programme’s or project’s activities, processes and staff, to assist in achieving the goals and objectives of the programmes or projects.

Monitoring is undertaken to track the performance of projects/policies/programmes. The purpose of monitoring can be to address the needs of the evaluator, programme managers and staff, or policy-makers, sponsors and stakeholders (Rossi & Freeman, 1989: 172). Monitoring information can be used for a number of reasons during the life-cycle of a project or programme. Monitoring is used to determine efficiency and effectiveness of a project; to explain why the outcomes of a project have occurred; and for accountability by stakeholders for decision-making on whether to continue, revise or terminate a project (Rossi & Freeman, 1989: 173-180).

There are two types of monitoring that this study focuses on. These are implementation monitoring and monitoring for results. Implementation monitoring/programme monitoring tracks the inputs, activities and outputs used to achieve a specific goal (Shabalala, 2009: 32; Rossi & Freeman, 1989: 170). Implementation monitoring helps determine how well the outputs of the project have been achieved, using the allocated inputs and activities.

The second type of monitoring is results monitoring. Results monitoring aims to align the outcomes of a programme with the impact of the programme (Shabalala, 2009: 31); it seeks to determine whether an organisation is achieving its desired goals or outcomes.

Evaluation

Evaluation is a “time bound exercise that attempts to assess systematically and objectively the relevance, performance and success of on-going and completed programs” (UNDP, 1997). The UNDP describes evaluation as an exercise that occurs at various stages during the existence of the policy/programmes and checks the progress of the intervention. Evaluation seeks to determine the worthiness of a policy or programme, and help determine whether programmes should be continued, improved or expanded (Lipsey, Rossi & Freeman, 2004: 2).

There are a number of reasons for conducting evaluations. Carol Weiss (1998) identifies two major purposes for conducting evaluations. These are conducting evaluations for decision-making and for organisational learning (Weiss, 1998: 25-28). Evaluations conducted for decision-making help researchers choose the best possible alternative to implementing a programme and assist the evaluator to determine whether or not a programme is meeting the planned goals and objectives (Weiss, 1998: 26). Evaluations for organisational learning provide feedback to the people involved in implementing the project; and emphasises accountability and clearly defined projects goals and objectives (Weiss, 1998: 27).

There are different ways to conduct M&E. The type of M&E conducted is often linked to the purpose of the evaluation or monitoring initiative. There are various types of evaluations, namely diagnostic evaluations/needs assessment, formative evaluations, summative evaluations and implementation evaluations, which occur at different stages of a programme’s cycle or policy cycle (Herman, Morris & Fitz-Gibbon, 1987: 17). In South Africa, different types of M&E are conducted to ensure projects are achieving the desired results. The following section discusses how M&E practice can be institutionalised and operationalised in an organisation.

2.4.2. Monitoring and Evaluation Systems

M&E practice can be institutionalised in organisations by developing an M&E system. Previously, traditional implementation-focused M&E systems depended on whether M&E procedures were being conducted in government (Kusek & Rist, 2004: 12). Today the result-based M&E has shifted towards the effectiveness of M&E practice in government.

An M&E system should have the capacity “to develop relevant indicators; to collect, aggregate, analyse and report on the performance data in relation to the indicators developed and their baseline information; and to ensure that management has the relevant skills to make

appropriate decisions using the M&E information” (Kusek & Rist, 2004: 22). Ile, Eresia-Eke & Allen-Ile (2012: 92) feel a good M&E system should advocate collaboration between different stakeholders, emphasise ownership to ensure that organisation members buy-in to the M&E system, be well maintained and produce credible information.

Kusek and Rist (2004: 12-22) reason that results-based M&E systems are an integral part of the government management system and that politics plays a central role in decision-making where M&E information empowers policy-makers to make better-informed decisions. Institutionalising an M&E system in an organisation is a long process, that requires continuous work by all stakeholders (Kusek & Rist, 2004: 2). The South African government has adopted a results-based government-wide monitoring and evaluation system to track government’s performance and strengthen good governance. The following section discusses the various approaches to M&E. The present study focuses on a specific type of M&E approach called evidence-based M&E.

2.4.3. Approach to Monitoring and Evaluation

Approaches to M&E can use quantitative or qualitative techniques, or both (Herman *et al*, 1987: 19; Parsons, 1995: 563). In this present study there was a particular focus on evidence-based M&E, which uses both qualitative and quantitative methods to collect data for analysis.

Modern policy-making lies at the heart of the modernising government agenda, which seeks to make government more responsive and effective in achieving its goals (Sanderson, 2003:334). The rationale for evidence-based policy-making and evaluation is given by David Blunkett (2000), cited in Sanderson (2003: 334): “rational thought is impossible without good evidence, social science research is central to the development and evaluation of policy”. The approach to policy-making assumes that one can make the best plans and derive the most suitable interventions if one has correct, up-to-date evidence and information on which to base the plans and interventions. Evidence-based policy-making uses the evidence-based evaluation approach, especially in budget decision making and national planning, to assist government to focus on relevant priorities which address the demands from citizens and groups in society (Sergone, 2008: 9). The public sector is reliant on results in order to rate its performance, efficiency and effectiveness. Implementing M&E, founded on evidence-based policy-making, allows government to plan and implement programmes efficiently and effectively.

Ian Sanderson (2002: 332) describes an evidence-based M&E approach as being characterised by two forms of evidence required to improve governmental effectiveness. The first form of evidence seeks to promote accountability in terms of results and the second form of evidence focuses on the knowledge of how policy interventions achieve changes in social systems (Sanderson, 2002: 332). Knowing what to do, when to do it and how to do it, is important when conducting M&E. In South Africa, evaluation practice adopts a utilisation-oriented approach. The following section discusses the processes involved in M&E practice.

2.4.4. Processes of Monitoring and Evaluation

An M&E framework is important when developing an M&E system. The framework guides all the processes and activities that occur in the M&E system and acts as a planning tool for M&E processes (Ile, Eresia-Eke & Allen-Ile, 2012: 95). There are different types of M&E frameworks. For the purpose of this study, the logical framework approach is relevant, because it is suitable in a results-oriented environment and it provides the inputs, activities, outputs, outcomes and impact of the project or policy. The M&E framework provides the M&E plan for the system, which outlines who, what, when, how, and why M&E activities are conducted in a particular context (UNFPA, 2000; Ile, Eresia-Eke & Allen-Ile, 2012).

Different stakeholders commission the M&E of projects for different reasons. Whether M&E is commissioned by the evaluator, stakeholders or project staff, the M&E criteria should serve the needs of all the stakeholders involved (Rubin, 1995: 39-42). The M&E framework also outlines what is to be monitored and evaluated; this provides the focus, role and criteria that will be used to conduct M&E practice (Rubin, 1995; UNFPA, 2000). It is important for the M&E framework to provide information about when M&E is to be conducted during the project life cycle. This type of information allows the researchers to inform the relevant people involved in the process well in advance (Rubin, 1995: 33-35). M&E frameworks inform the stakeholders how information will be collected and the techniques that will be used to collect information; data collection can employ either qualitative or quantitative methods, or both (UNFPA, 2000: 3). Lastly, the M&E framework should report on the findings of the research. Reports are often compiled periodically during the life cycle of the project and the information presented in the report should be relevant to its audience (Rubin, 1995: 31; EUPSP, 2012: 10). South Africa has developed the Policy Framework for the GWMES and the National Evaluation Policy Framework, which outlines the M&E plan of the GWMES. The National Evaluation Plan was developed to provide timelines on when

evaluations will be conducted. The following section discusses the various challenges that may arise when implementing an M&E system.

2.4.5. Challenges of Monitoring and Evaluation

There are a number of challenges that may arise as a result of implementing an M&E system. Bamberger (1989) identifies the following challenges when institutionalising an M&E system:

- M&E systems are often centralised and follow a top-down approach. This results in programme managers perceiving M&E as a way for government to control the tasks performed by managers;
- M&E systems are mostly imposed on government departments and, as a result, officials are not aware of their M&E tasks, there is a lack of M&E buy-in by officials and there is a lack of concern for the quality of M&E data being produced in the organisation;
- A centralised approach to M&E may result in stakeholders and staff performing their M&E tasks merely to comply with the national mandate, rather than performing M&E tasks to improve project implementation and project effectiveness;
- Government demands quantifiable information regarding M&E findings on government performance and, as a result, quantitative findings are neglected;
- M&E information seeks to influence decision-making and inform future planning by learning from past experiences but this rarely happens. M&E information is, instead, merely collected and stored;
- Most M&E plans and strategies fail to identify the relevant stakeholders needed for M&E. This results in a misunderstanding/misconception of the uses and purposes of M&E information;
- Many officials view M&E practice as the sole responsibility of the M&E practitioner and do not expect themselves to make and perform any M&E related tasks;
- Project staff and stakeholders do not understand the reports provided by M&E personnel and often complain that reports are too long, unclear and often come too late;
- Project managers perceive M&E as a threat and they are sometimes reluctant to compile and submit progress reports of their projects and to use evaluation recommendations to improve their project's performance.

(Bamberger, 1989: 391-394).

M&E challenges arise from the lack of understanding of what M&E entails, which limits people's understanding of their M&E related tasks. Misconceptions of M&E results in major challenges that hinder any M&E system from being fully operational. The South African government has encountered a number of challenges when implementing the GWMES. The following section discusses the theory of planned change and supportive organisational design. This theory outlines the approaches, mechanisms and objectives of initiating change in an organisation and the structures provided to ensure that change initiatives are managed accordingly.

2.5. Planned Change and Supportive Organisational Design

2.5.1 Theory of Change

The theory of change is defined by Van Der Knapp, (2007) as the “collection of assumptions, principles and propositions to explain the relationship between a program's actions and the expected outcomes”. Van Der Knapp's (2007) definition shows that the theory of change is about explaining the cause and effect of problems and changing behaviour within a particular setting or environment. Burke (2002: xiii), in his book titled *Organization Change: Theory and Practice*, states that organisations change all the time and, to survive, organisations must install a new system for management, initiate a programme to improve the quality of services, or change the structure to improve decision-making. A theory of change underpins the programmes of the KZN DEDT. The GWMES seeks to monitor and evaluate the results of the programmes implemented by the government department. The theory of change assumes that “programmes or projects introduce a change stimulus and processes that are used as vehicles that can develop, and desired outcomes can be planned to address the changing environment” (Reeler, 2007: 6). The components of a theory of change involve: a) situation analysis and identification of the problem, causes, opportunities and consequences; b) focusing and scoping and setting the boundaries of the programme linking to partners; and c) outcomes chain, which is the centrepiece of one programme theory, linking the theory of change and the theory of action/implementation (Funnell & Rogers, 2011: 150). Change in the culture of the organisation is important when introducing new strategies, because it is the behaviour of the people in the organisation that needs to change, to ensure that the new strategy is implemented (Burke, 2002: 13).

There are different types of change that can occur in an organisation. The present study focuses on what Reeler (2007) and Burke (2002) identify as ‘conscious emergent change/evolutionary change/planned change’. Reeler (2007:10) explains that conscious emergent change occurs where identity, relationships, structures and leadership are formed. Evolutionary change is often “continuous, has a continuing flow, transactional, operational and is often done at the local levels of the organization” (Burke, 2002: 12). It requires improvement measures regarding how a project/programme or service is designed, how a service is delivered and how quality is measured and upgraded.

Planned change may occur at different levels of the organisation namely change at the individual level, group level or at the total system level. Burke (2002: 12-13) cautions that change at all levels requires procedures and behaviours of the new strategy to be internalised in order for people to buy into the change strategy and for the change to be legitimate. The theory of change addresses the transition that occurs in organisations when adopting and implementing new strategies to improve outcomes. The theory of change applied to the study assists in explaining how change (GWMES) was internalised by the KZN DEDT, and explaining its implementation. The following section discusses the organisational theory. New strategies are designed and planned, but are only operationalised within the structures of an organisation.

2.5.2 Organisational Theory

Organisations are the products of individual human actions with special meanings and significance to those who act (Denhardt, 2004: 1). Organisational theory emphasises topics that concern the organisation as a whole, such as organisational environments, goals and effectiveness, strategy and decision-making, change and innovation and structure and design (Rainey, 2009: 10). Max Weber, cited in Rainey (2009: 28), reasons that people’s functions are assigned by management personnel in an organisation and identifies a hierarchy of authority in the organisation to help achieve organisational goals. Denhardt’s (2004:1) definition reveals that organisations consist of people with specific tasks to perform. These tasks assist the organisation to achieve its goals (Weber cited in Rainey (2009: 8)).

Public organisations/public bureaucracies are specific types of organisations. Weber, cited in Rainey (2009: 30), describes an organisation as a bureaucracy consisting of rules, hierarchy of authority, administrative positions, management of sub-units and managers (Rainey, 2009: 30). Bureaucracy is a form of organisation, especially for efficiency and the fair and equitable

treatment of clients and employees. The public bureaucracy is a “complex chain of human events, understandings, and behaviours developed in the everyday lives of people just like us” (Denhardt (2004: 1). The South African government is a public bureaucracy, which seeks to achieve its service delivery mandate efficiently and effectively.

Types of Organisations

Weber’s work on the organisation described the *Ideal-Type Bureaucracy*, which suggests that “every system of authority must establish and secure a belief in its legitimacy, and this can be achieved in a number of ways” (Weber, 1947: 327). Weber’s types of legitimate authority suggest that organisations are comprised of various lines of authority which contribute to the nature, beliefs and culture of the organisation. The bureaucratic organisation advocates efficiency when controlling the work of large numbers of people in pursuit of organisational goals and objectives (Denhardt, 2004: 28).

Weber (1947) concluded his description of the ideal type of organisation, stating that previous experiences show that the bureaucratic type of organisation stems from a technical point of view, which is capable of attaining the highest degree of efficiency and is formally the most rational known means of carrying out imperative control over human beings (Weber, 1947: 334). A bureaucracy is essentially a type of organisation with visible lines of authority which assist the organisation in achieving the organisational goals.

Weber’s (1947) organisational theory is relevant to this study’s objectives, because he addresses the issues of performance within organizations and provides strategies to implement projects or programmes successfully, effectively and efficiently. The organisational theory explains the structure of organisations and how it relates to the tasks performed. This theory advocates that organisational structure affects organisational behaviour. The KZN DEDT is a government department which is a public organisation and has similar characteristics as Weber’s ideal-type of bureaucracy which has various lines of authority which contribute to the KZN DEDT’s beliefs, culture and practices.

Managing Organisations

Today, international development agencies place strong emphasis on governments/public organisations to demonstrate that they are achieving results (UNFPA, 2000; Ile, Eresia-Eke &

Allen-Ile, 2012). With the great emphasis on ⁶capacity building, ⁷good governance and public sector ⁸transparency from international agencies (Ile *et al*, 2012:76), the results-based management approach focuses on the results of development initiatives and shifts away from focusing on resources and procedures required when implementing projects, policies or programmes (Spreckley, 2009: 3).

The Organisation for Economic Co-operation and Development (OECD) defines results-based management as “a management strategy focusing on performance and achievement of outputs, outcomes and impacts...it is aimed at achieving important changes in the way in which organizations operate, with improving performance and achieving results as the central orientation...it provides a coherent framework for strategic planning and management by improving on learning and accountability” (OECD, 2004: 30). The OECD’s definition suggests that Results-Based Management (RBM) is a developmental strategy that ensures that an organisation is performing as planned and makes provision for adequate planning in order for the organisation to realise their goals.

RBM seeks to ensure that the inputs, activities, outputs, outcomes and impacts of a programme are aligned with the planned objectives of the programme, policy or project, in order to achieve the desired results (Bester, 2012: 3). Ile, Eresia-Eke & Allen-Ile (2012: 79) stress that the RBM approach should emphasise planning, M&E, and management. He notes that ‘proper planning prevents poor performance’ and this is often the basis for any form of successful performance. Spreckley (2009: 3) states that RBM needs to be embedded in the organisation’s culture, policies, processes and decision-making procedures.

The South African public sector management approach to development is results oriented. Government policies need to achieve the desired results in order for government to address the service delivery needs of its citizens. The following section outlines the concepts, processes and approaches of public policy.

2.6. Conclusion

This chapter has discussed relevant issues concerning the implementation of an M&E system from a theoretical and conceptual perspective. The chapter identified and defined relevant

⁶ Refers to the process which individuals, groups, organisations and institutions enhance and organise their systems, resources and knowledge to reflect the organisation’s ability to individually or collectively perform its functions, solve problems and achieve intended results (UNPFA, 2000: 2).

⁷ Refers to the strategic approaches employed by government to ensure that government is effective, efficient, accountable and transparent (Grindle, 1997: 3-4).

⁸ Refers to information sharing assumptions and is the basis for judgements and decisions (UNPFA, 2000: 10).

terms that inform the study, including implementation theory, public policy, monitoring and evaluation, change theory and the organisational theory. The chapter illustrated a theoretical and conceptual link between the concepts, proceeding from the assertion that public organisations implement new policy strategies which are used to strengthen the efficiency and effectiveness of organisations. Results-based management of public organisations allows government to focus on the effectiveness of its social interventions instead of only focusing on the efficiency aspect. To ensure that government interventions are effective, policy-makers require evidence produced from M&E research to make calculated and informed decisions on social problems. Results-based M&E increases government's chances of formulating, designing and implementing effective government interventions.

Introducing a new strategy into an organisation requires a change in behaviour, processes and culture, in order for the new strategy to be fully operationalised. It is essential for management to make provisions for the change strategy. Failure to do so may cause problems which may affect the implementation of the new strategy. The chapter identified the implementation tasks that need to be considered, which ensure that the implementation process is successful. Finally, the chapter identified common challenges of implementing a new policy and implementing an M&E system. These problems challenge the design and the intended aims and objectives of the policy or M&E system.

The chapter presented the theoretical and conceptual framework for understanding the implementation of the GWMES within the KZN DEDT. The approaches, processes and challenges discussed in the chapter are used to analyse the implementation of the KZN DEDT M&E system. The next chapter describes the policy and legislative framework of the GWM&E system in South Africa.

CHAPTER THREE

Policy and Legislative Framework for the Government-Wide Monitoring and Evaluation System (GWMES) in South Africa

3.1. Introduction

This chapter outlines the policy and legislative framework of the South African GWMES. It begins with a brief description of international agreements that influence M&E practice in South Africa. South Africa has international agreements with the United Nations (UN), the Organization for Economic Cooperation and Development (OECD) and the African Union (AU). The chapter then proceeds to describe the South African legislation that indirectly informs the GWMES at a national and provincial level, these include the Constitution (1996), Public Finance Management Act (1999), Public Service Amended Act (1999), Statistics Act (1999) and the Public Audit Act (2004).

Finally, the chapter describes the South African policy documents that directly inform the GWMES. These pieces of policy documents form the main components of the system. The policy documents that underpin the GWMES include the Policy Framework for the GWMES (2007), the Framework for Managing Programme Performance Information (2007), South African Statistics Quality Assurance Framework (2008) and the National Evaluation Policy Framework (2011). Chapter Three focuses on the GWMES aims and objectives; approach; processes and implementation challenges.

3.2. International Agreements that Influence the M&E practice in South Africa

South Africa belongs to an international community that encourages public administration to operate efficiently, effectively and represent good governance, in order for government to be able to meet its service delivery mandate. The United Nations Development Programme (UNDP) has partnered with the KZN Provincial Government and signed the United Nations Strategic Co-operation Framework (2012), which seeks to improve governance, accountability and strengthen government performance in the province (UN, 2013). The UNDP is a global development network that promotes the effective co-ordination of the UN system, which supports national priorities and assists countries move closer to achieving the Millennium Development Goals (MDGs) and other developmental targets. The UNDP

promotes evidence-based policy and monitoring and evaluation and results-based management.

In 2008 South Africa signed a joint statement with the OECD on an enhanced engagement programme between South Africa and the OECD (Finance Ministry & OECD, 2008: 3). South Africa participates in activities of the OECD such as public governance and budget reform. As a member of the enhanced engagement programme, South Africa is required to measure and improve its own performance, using the standards established by the OECD (Finance Ministry & OECD, 2008: 3). South Africa is also a member state of the African Union (AU). The Constitutive Act (2000) mandates member states to promote democratic principles and institutions, popular participation and good governance. The GWMES seeks to promote governance and government performance in South Africa. The following section outlines the legislation that indirectly informs the GWMES.

3.3. South African Legislation that indirectly informs the GWMES

After the 1994 elections, the new democratic government of South Africa adopted legislation frameworks that promote governance, accountability, transparency, efficiency and effectiveness in the public sphere of government. GWM&E is an M&E approach to strengthen governance, improve learning and improve government's performance and governance in South Africa (Presidency, 2007:5). The Constitution (1996), Public Finance Management Act (1999), Public Service Amended Act (1999), Statistics Act (1999), and the Public Audit Act (2004), are pieces of legislation that promote efficiency and effectiveness in government institutions and indirectly inform the GWMES.

The South African Constitution No 108 (RSA, 1996) Section 85(1) mandates the *“executive authority and the President to implement and develop national policy and co-ordinate the functions of state departments and administrators”* (RSA, 1996). It is this mandate that informed The Presidency to establish the Department of Performance Monitoring and Evaluation (DPME) in South Africa. The DPME's mandate is to *“co-ordinate the outcomes approach; develop and implement performance monitoring mechanisms for all spheres of government; and carry out monitoring of frontline service delivery”* (Presidency, 2012b: 6). The DPME is the main custodian of the GWMES in South Africa.

Section 188(1) of the Constitution (RSA, 1996) and The Public Audit Act No 25 of (2004) Section 20(1)(c) requires the South African government to appoint an Auditor-General who is responsible for the “audit and report on the accounts, financial statements and financial

management of all national and provincial state departments and administrations” (RSA, 1996; RSA, 2004). The Auditor-General’s mandate is to “*measure government institutions performance against each department’s allocated budget*” (RSA, 1996). The Auditor-General reports on the efficiency of the South African public sector.

Section 195 (1) (a-e) of the Constitution (RSA, 1996) states that public administration should have the following:

- *“A high standard of professional ethics;*
- *Efficient, economic and effective use of resources;*
- *A public administration that is development oriented;*
- *Services that are provided impartially, fairly, equitably and without bias;*
- *Peoples needs that are responded to and encourage greater participation in the policy making process;*
- *Accountable administration;*
- *Transparency of the public with timely, accessible and accurate information;*
- *Good human resource management and career-development to maximise human potential”*

(RSA, 1996).

The Constitution (RSA, 1996), Section 196(f)(i), makes provision for the Public Service Commission (PSC), whose mandate is to investigate and evaluate the interpretation of personnel and public administration processes and thereafter report to the pertinent executive authority and legislature (RSA, 1996).

Lastly, Section 215-216(1) of the Constitution (RSA,1996) and the Public Finance Management Act No 1 of (1999) mandates that government establish the National Treasury, which should develop standardised methods for government departments that ensure transparency and expenditure control in all spheres of government (RSA, 1996; RSA, 1999a). The Constitution (1996) makes provision for establishment structures and practices which ensure that public administration promotes good governance.

The Public Service Amended Act No 5 of (1999), Chapter Three, Section (7)(1), requires government to establish the Public Service Administration, whose mandate, outlined in Section (2)(a-b), is to transform and reform, develop organisational arrangements, provide a framework of norms and standards and promote the representativeness, human resource

management and training in the public service (RSA, 1999b). The Public Service Administration promotes the effectiveness of government. In addition, Chapter Two, Section(4)2, mandates the South African Management Development Institute to provide capacity building for the Public Service in the country (RSA, 1999b). The GWMES requires capacity building to help government department officials to develop M&E related qualifications and skills.

Statistics Act 6 of (1999) mandates the Statistician-General (SG) to present a framework which will enable the evaluation of statistics collected by the organs of state (RSA, 1999c):

- *Section 14 (6) of the Statistics Act makes provision for the SG to advise an organ of state on the application of quality criteria and standards;*
- *Section 14 (7) confers upon the SG power to designate statistics produced by other organs of state as official statistics; and*
- *Section 14 (8) authorises the SG to comment on the quality of national statistics produced by another organ of state, and to publish such other department's statistics*
(RSA, 1999c).

The Act outlines data collection tools and methods that can be used to produce valid and reliable information which may be used for M&E purposes. The legislation discussed above provides the legal basis for the efficient and effective management of public service policies. The following section discusses the policy frameworks that directly inform the GWMES.

3.4. Policy Frameworks that guide M&E practice in South Africa

The South African government recognised the need for GWMES after the 1994 democratic elections, which required government to increase service delivery to meet the needs of all South Africans. The government's rationale to improve performance is captured in the Green Paper on Improving Government Performance (2009), which states that;

“If we are to improve our performance we have to reflect on what we are doing, what we are achieving against what we set out to achieve, and why unexpected results are occurring. We cannot advance without making mistakes on the way, but we must evaluate and learn from our successes and our mistakes. Without this we cannot improve“(Presidency, 2009: 3).

One of the ways government sought to improve its effectiveness was to focus on M&E, because it improves policies, strategies, plans and government performance (Presidency,

2007: 5). In 2005, the South African Cabinet approved the recommendations on an implementation plan to develop the GWM&E system (Presidency, 2007).

The GWM&E System seeks (Presidency, 2007: 5) to “provide an integrated, encompassing framework of M&E principles, practices and standards to be used throughout government, and functions as an apex level information system which draws from the component systems in the framework to deliver useful M&E products for its users”. The GWMES initiative is a public service reform which aims to consolidate the public service by encouraging M&E practice in government. The Policy Framework for the GWMES (2007) and the National Evaluation Policy Framework (2011) define monitoring and evaluation. “*Monitoring involves the continuous collecting, analysing, and reporting of data in a way that supports effective management. Monitoring aims to provide managers with regular feedback on progress in implementation and results and early indicators of problems that need to be corrected. It usually reports on actual performance against what was planned or expected*” (The Presidency, 2007: 2). Evaluation is then “*the systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organizations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability, and recommend ways forward*” (The Presidency, 2011: iii).

The South African government has developed various pieces of legislation that directly inform the GWMES. These include the Policy Framework for the Government-Wide Monitoring and Evaluation System (2007), the Framework for Managing Programme Performance Information (2007), the South African Statistics Quality Assurance Framework (2008) and the National Evaluation Policy Framework (2011). Other legislation, such as the Role of the Premier’s Office in Government-Wide Monitoring and Evaluation (2008) Policy Document, the Improving Government Performance (2009) Policy Document and the recently approved Framework for Strengthening Citizen Involvement in Monitoring Government Service Delivery (2013). Each piece of legislation is discussed according to the practices and procedures it contributes the GWMES. The following section outlines the purpose of the South African GWMES.

3.4.1. Aims and Objectives of GWMES

The *Policy Framework for the Government-Wide Monitoring and Evaluation System* (2007) is the main policy document for M&E in SA. It outlines the objectives of the GWM&E System, which include:

- *Improved quality of performance information and analysis at programme level within departments and municipalities (inputs, outputs and outcomes);*
- *Improved M&E of outcomes and impact across the whole of government;*
- *Sectoral and thematic evaluation reports;*
- *Improved M&E of provincial outcomes and impact in relation to Provincial Growth and Development Plans;*
- *Projects to improve M&E performance in selected institutions across government;*
and
- *Capacity building initiatives to build capacity for M&E and foster a culture of governance and decision-making which responds to M&E findings*

(Presidency, 2007: 7).

The GWMES aims to facilitate all the stages of a policy or project, namely adoption, design, implementation and evaluation, to ensure that service delivery is effective and meeting the needs of the people (Presidency, 2007: 5).

The National Evaluation Policy Framework (2011) states that evaluations should be conducted to improve performance, improve accountability, generate knowledge and for decision-making for public service interventions (Presidency, 2011: 2). In conducting credible and quality evaluations the public sector would be able to plan policies and allocate budgets, reduce unwanted results of policy and strengthen the culture of using evidence to improve performance (Presidency, 2011: 2). The NEPF suggests that government departments undertake ⁹impact evaluations, ¹⁰implementation evaluation, ¹¹design evaluation and ¹²economic evaluation, because these types of evaluations are linked with the results-based management approach adopted by government (Presidency, 2011: 8).

The Policy Framework for the GWM&E (2007) outlines the guiding principles for M&E, which assert that:

⁹ Impact Evaluations “seek to measure changes in outcomes that are attributable to a specific intervention” (Presidency, 2011: 9). These changes can be checked three to five years after a project has been implemented.

¹⁰ Implementation evaluation seeks to determine whether or not the activities of a project lead to planned objectives of the project and explain why (Presidency, 2011: 9).

¹¹ Design Evaluation seeks to determine whether or not the objectives of an intervention or policy can actually bring about change and can be conducted after a project or policy has been designed (Presidency, 2011:9).

¹² Economic evaluations are conducted at any stage of the project or policy cycle and seek to determine whether or not “the costs have outweighed the benefits of the intervention” (Presidency, 2008: 9).

- M&E should contribute to improved governance through transparency, accountability, participation and inclusion;
- M&E should be rights based;
- M&E should be development-oriented, nationally, institutionally and locally;
- M&E should be undertaken ethically and with integrity;
- M&E should be utilisation oriented;
- M&E should be methodologically sound;
- M&E should be operationally effective;

(Source: Presidency, 2007: 3).

The GWMES in South Africa seeks to enhance service delivery and governance by using evidence to plan and execute government interventions. South Africa's approach to improve its performance uses the results-based management approach. The following section discusses the key concepts related to results-based management and M&E in the public sector.

3.4.2. Approach to the GWMES

In South Africa, a results-based management approach is based on “defining strategic goals which provide a focus for action; specifying expected results which contribute to the achievement of strategic goals; aligning programmes, processes and resources to achieve expected results; ongoing monitoring and assessment of performance and using lessons learnt from implementation to inform future planning; and improving accountability for results” (Presidency, 2007: 22). The Department of Performance Monitoring and Evaluation developed the Management Performance Assessment Tool in 2011 and a reporting scorecard which aim to increase the strategic focus of government and ensure co-operative governance in South Africa (Presidency, 2012b: 17). The policy framework for the GWM&E System states that the M&E System be integrated into the existing management and decision-making systems of government, to ensure that M&E information informs planning, budget allocation implementation and reporting of government strategies (Presidency, 2007: 11).

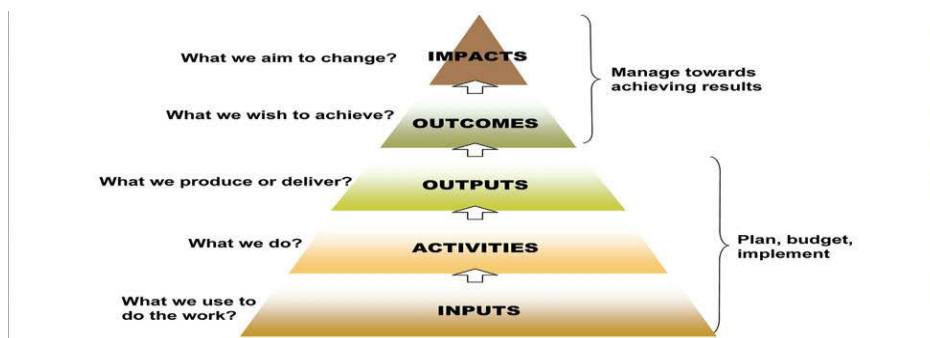
The National Treasury issued a Programme Performance Information (PPI) Framework (2007), which focuses on the information that is collected by government institutions in the course of fulfilling their mandates and implementing government policies (National Treasury, 2007). The PPI Framework aims to:

- “Clarify standards for performance information and supporting regular audits of non-financial information;
- Improve the structures, systems and processes required to manage performance information;
- Define roles and responsibilities for performance information; and compensate;
- Promote accountability to Parliament, provincial legislatures and municipal councils and the public through timely accessible and accurate publication of performance information”

(National Treasury, 2007: 4).

The PPI Framework identifies key performance management concepts which seek to organise government and demonstrate how government uses available resources to deliver on its mandate (National Treasury, 2007: 6). These concepts include ¹³inputs, ¹⁴activities, ¹⁵outputs, ¹⁶outcomes and ¹⁷impact. In managing for results, budgets are developed in relation to inputs, activities and outputs, while the aim is to achieve the outcomes and impacts (National Treasury, 2007:6). Figure 1 illustrates the relationship between the key performance information concepts.

Figure 1. Relationship between the key performance information concepts



Source: (Presidency, 2007: 6).

¹³ Inputs: are all the resources that contribute to the production of service delivery outputs. Inputs are ‘what we use to do the work’. They include finances, personnel, equipment and buildings (Presidency, 2007: 2).

¹⁴ Activities: are the processes or actions that use a range of inputs to produce the desired outputs and, ultimately, outcomes. In essence, activities describe ‘what we do’ (Presidency, 2007: 2).

¹⁵ Outputs: are the final products, goods and services produced for delivery. Outputs may be defined as ‘what we produce or deliver’ (Presidency, 2007: 2).

¹⁶ Outcomes: are the medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes are ‘what we wish to achieve’ (Presidency, 2007: 2).

¹⁷ Impacts: are the results of achieving specific outcomes, such as reducing poverty and creating jobs. Impacts are ‘how we have actually influenced communities and target groups’ (Presidency, 2007: 2).

The Green Paper on Improving Government Performance (2009) states that the purpose of the outcome performance system is not limited to measuring outcomes and outputs, but it also serves as a mechanism to guide the direction of policy implementation, to ensure that government is doing what matters most (Presidency, 2009: i). To ensure that government performance is measurable, the Framework for Strategic Plans and Annual Performance Plans (2010) stresses that government departments align strategic goals with annual performance plans and develop Specific, Measurable, Achievable, Relevant and Time-bound (SMART) indicators to encourage focused strategies and actions to achieve desirable outcomes and impacts (National Treasury, 2010: 13).

The Framework for Strengthening Citizen Involvement in Monitoring Government Service Delivery (2013) was recently adopted by the DPME. The framework aims to address the gap in government's existing monitoring approach, by:

- *Providing a common understanding of citizen-based monitoring and its importance to government service delivery;*
- *Providing guidance to government departments on how to strengthen the involvement of citizens in monitoring;*
- *Providing a set of principles, essential elements and set out roles and responsibilities;*
- *Examining risks and mitigation strategies; and*
- *Presenting an action plan for strengthening citizen-government partnerships for monitoring frontline service delivery”*

(Presidency, 2013: v).

The Role of the Premiers Office in Government-Wide Monitoring and Evaluation (2008) policy document requires all provincial and national government departments to develop M&E systems that should integrate into each department's existing management and decision-making systems (Presidency, 2008: 8). The policy document stresses that all M&E strategies have a capacity building plan which should outline strategies to increase the human capacity. The plan should involve stakeholders responsible for M&E capacity building (Presidency, 2008: 13).

The Department of Performance Monitoring and Evaluation recently developed a National Evaluation Plan (2012) which was approved by Cabinet and sets the target for evaluation in the South Africa. The National Evaluation Plan (NEP) provides details on evaluations of

existing interventions that address national priorities in the country (Presidency, 2012a: 1). The NEP provides criteria for selecting government interventions that will be evaluated, thereafter evaluations conducted will be made public and the DPME will support government departments to ensure that evaluation findings are implemented (Presidency, 2012a: 1). There are a number of procedures that have been adopted by the South African public sector to ensure that M&E practice produces the desired results. The following section discusses the processes of the GWMES.

3.4.3. Processes of the GMWES

The development of the South African Statistical Quality Assessment Framework (SASQAF) seeks to enhance and extend transparency in data evaluation (Stats SA, 2008: i). The SASQAF provides the framework and criteria used for evaluating and certifying statistics produced by government departments and other organs of state and by non-governmental institutions and organizations (Stats SA, 2008: 1). SASQAF outlines the data collection processes involved when collecting M&E information. The framework provides standardised norms and processes that collectively aim to promote quality information across the public sector (Presidency, 2007: 9). Statistics South Africa (Stats SA) is the agency responsible for the collection and dissemination of official statistics and has a central role in evaluation and improvement of data quality (Stats SA, 2008: i).

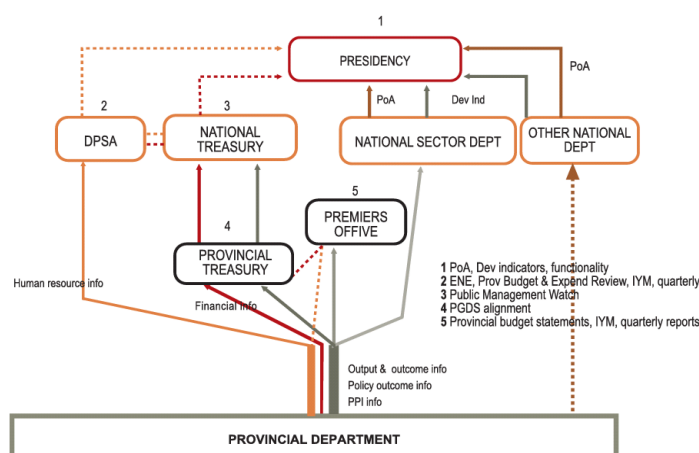
In national government, the GWM&E Working Group was established by the Presidency to develop the principles and practices; information and reporting needs; and the evaluation practices of the GWMES (Presidency, 2007: 17). The M&E Co-ordinating Forum and the Provincial M&E Forum have been established to develop the implementation plan of the GWMES at a national and provincial level (Presidency, 2007; Presidency, 2008). The Role of the Premier' Offices in the GWME (2008: 8) policy document states that all government departments must develop M&E systems which should be aligned with the National and Provincial Growth and Development Strategy. Furthermore, "M&E strategies will outline how M&E findings will inform strategic and operational planning, budget formulation, and implementation as well as in-year and annual reporting" (Presidency, 2008: 10).

The Policy Framework for GWM&E System (2007) defines the institutional roles and responsibilities related to M&E of national and provincial departments. Executive authorities are responsible for using M&E information for accountability and decision-making and to report on the performance of their respective government institutions/departments.

Accounting Officers and Accounting Authorities, which include CEOs of public entities and HODs in government departments, are responsible for the regularity and quality of M&E. These officials are responsible for the reliability and validity of M&E information and ensuring that M&E issues are addressed without delay. Programme managers, project managers and other line managers and officials are responsible for developing and maintaining M&E systems by collecting, analysing, verifying and using M&E information. Lastly, M&E units are responsible for ensuring the implementation of M&E strategies by providing expertise for M&E functions, capacity building and reporting on the M&E strategies (Presidency, 2007: 14). The M&E units should be located in the Office of the HOD in the department, to ensure M&E practice and information is taken seriously (Presidency, 2008: 36).

The Offices of the Premier need to be able to access information already being collected by provincial departments for managing purposes and so that they can focus on analysing information provided by provincial departments (Presidency, 2008: 10). Streamlined reporting of information emphasises the sharing of information and the Premier’s Office’s role would shift to greater analysis of information and reduced emphasis on gathering and reporting information. Figure 3 illustrates the reporting lines of provincial departments with reduced duplication of information reported and an increase in the sharing of information across government.

Figure 3. Reporting lines of Provincial Government with reduced duplication and information sharing



Ideal situation: reduced duplication and sharing of information

Source: (Presidency, 2008: 19).

3.5. Conclusion

This chapter focused on the legislative and policy framework for the GWMES in South Africa. It presented the legislative framework that informs M&E practice in South Africa and internationally. The international agencies that are committed to South Africa emphasise that public administration should be efficient, effective represent good governance. The international agencies promote evidence-based policy making and results-based M&E and management. Measuring the performance of the public sector is essential to determine whether or not there has been an improvement in service delivery.

The chapter presented the legislative and policy frameworks that inform the GWMES, generally and directly. The chapter described GWMES aims and objectives, approach and processes, according to the legislation and policy documents. The South African GWMES seeks to improve the performance of public administration by using evidence gathered from monitoring and evaluations for future learning and decision making. The policy documents clearly outlines the guidelines, mechanisms and approaches needed to institutionalise the GWMES at provincial and national level. In South Africa, all public institutions are required to develop monitoring and evaluation systems. The Presidency's Department of Performance Monitoring and Evaluation ensures that the principles and practices of M&E have been established, while tracking the performance of the public sector. The policy documents outline the implementation roles and responsibilities of public servants and public institutions of GWMES. The aims, approaches and processes of the GWMES will be used in the study to analyse KZN DEDT's implementation of the GWMES. The following chapter presents the case study of this study.

CHAPTER FOUR

Case Study of the KwaZulu-Natal Department of Economic Development and Tourism

4.1. Introduction

Chapter Four outlines the M&E system of the KZN DEDT. It highlights how the M&E system is organised and integrated into the KZN DEDT. The chapter begins with a brief background of the KZN DEDT, presenting its vision and mission, its aims and objectives, general structure and policies, programmes that guide the mandate of the department. The chapter outlines some projects the department has implemented.

The chapter discusses and describes the M&E system within the KZN DEDT and the aims and objectives, approaches and processes of the KZN DEDT M&E system. Chapter Four provides the baseline information for the analysis of the experiences of respondents from the in-depth, semi-structured interviews. These were conducted with the programme senior manager, two project managers and the two internal M&E practitioners of the KZN DEDT. The aim of the interviews was to critically discuss the implementation of the GWMES within the KZN DEDT, which is the subject matter of Chapter Five.

4.2. The KwaZulu-Natal Department of Economic Development and Tourism

The KZN Department of Economic Development and Tourism (KZN DEDT) has been assigned the responsibility of ‘championing’ economic development in the province (KZN DEDT, 2013: 2). KZN’s poverty, inequality and unemployment problems need to be addressed to ensure social and economic development in the province (KZN PPC, 2011: 9). The KZN DEDT collaborates with other government departments and social partners to deal with these issues, which hinder economic growth in the province. The KZN DEDT funds a number of Public Entities in the province which promote economic growth (KZN DEDT, 2011: 6). These include the Dube Trade Port, KZN Sharks Board, Richards Bay Industrial Development Zone, Ithala Development Finance Co-operation, Trade and Investment KZN, Moses Kothane Institute, Tourism KZN, Agribusiness Development Agency and the Growth Fund. The Constitution (1996) outlines several roles of provincial government, namely a strategic role, developmental role, intergovernmental role, regulatory role, an institutional development and capacity building role, a fiscal role, a monitoring role and an intervention

role. Provincial government serves as an executive authority over local government and aims to promote standards of service delivery and good governance (RSA, 1996). The following section outlines the aims and objectives of the KZN DEDT.

4.2.1. Aims and objectives of the KZN DEDT

The KZN DEDT's main objective is to establish an environment for KZN that is conducive for sustainable socio-economic growth. Its vision is "leading the attainment of inclusive growth for job creation and economic sustenance" (KZN DEDT, 2013: 2). The mission of the KZN DEDT is to "develop and implement strategies that drive economic growth; become a catalyst for economic transformation and development; provide leadership and facilitate integrated economic planning and development; and create a conducive environment for investment" (KZN DEDT, 2013: 2). The department aims to develop strategies and processes that accelerate the economic growth process and encourage participatory sustainable economic development in South Africa. The DEDT promotes the culture of *ubuntu* and is guided by the values of being supportive and caring; ethical and honest; accountable; transparent; innovative; and committed to its constitutional mandate. (KZN DEDT, 2013: 2).

The KZN DEDT's goals and objectives are:

- *"To facilitate globally competitive and sustainable industries and services;*
- *To support the development of sustainable small, micro and medium and social enterprises that contribute to food security, wealth and job creation;*
- *To facilitate integrated planning that ensures effective implementation of sustainable economic development policies, strategies and programmes;*
- *To strengthen compliance with relevant legislation and government policies;*
- *To become the choice destination for investment and tourism;*
- *To be the centre of excellence through effective and efficient administration that promotes service delivery and good corporate governance;*
- *To develop and transform the tourism sector to achieve destination competitiveness; and*
- *To build a vibrant institution for superior performance"*

(KZN DEDT, 2013: 10).

The department's operations are guided by a number of national and provincial policies and strategies, which essentially direct the mission, vision and mandate of the KZN DEDT (KZN DEDT, 2013: 2). The national policies and strategies include Integrated National Broad-

Based Black Economic Empowerment (B-BBEE) Strategy and KZN B-BBEE Strategy; B-BBEE Act; B-BBEE Codes of Good Practice; Small, Medium and Macro Enterprises (SMMEs) Act; Co-operatives Act; New Growth Path; Industrial Action Plan; National Development Plan; Local Economic Development (LED) policy guidelines; South African Trade Policy Framework; Green Economy Framework; Mining Beneficiation Strategy; National Spatial Economic Development Perspective; Special Economic Zones Bill and Policy; and a number of sector-specific strategies (KZN DEDT, 2013: 7). The provincial government's policies and strategies that guide the KZN DEDT include the Ithala Act; Toursim Act; Liquor Act; Business Act; Dube Trade Port Act; Black Economic Empowerment (BEE) Act; Film Commission Act; Trade and Investment Act; Consumer Protection Legislation; Provincial Growth and Development Strategy; Provincial Spatial Economic Development Strategy; Export Strategy; Industrial Development Strategy; Investment Promotion Strategy; Green Economy Strategy; Airport Strategy; SMME Strategy; Co-operative Development Strategy; Youth Economic Empowerment Strategy; and Informal Economic Policy (KZN DEDT, 2013: 8). The structure of the KZN DEDT has been reconfigured to reflect the functions, responsibilities and goals of each programme within the department. The following section describes the structure of the KZN DEDT.

4.2.2. Structure of the KZN DEDT

The KZN DEDT consists of six programmes/departments namely, Administration; Integrated Economic Development Services; Trade and Industry Development; Business Regulations and Governance; Economic Planning; and Tourism Development (KZN DEDT, 2013: 89-110). The DEDT's line of authority is from the Member of the Executive Council (MEC), who is an elected official, to the HOD, Director-General and Deputy Director-General. Each department/programme is organised into a hierarchy of positions starting at the top with the Senior General Manager, General Manager, Managers, Administrators and Personal Assistants. Each programme is made up of several sub-programmes that ensure that aims, objectives and goals are met.

The first programme, called Administration, is responsible for managing the KZN according to legislation, regulations and policies that guide the department and ensure that there are sufficient support services for the other programmes in the department (KZN DEDT, 2013: 89). The Administration programme is made up of four sub-programmes, namely the Office of the MEC; Office of the Head of Department; Financial Management; and Corporate Services. The Administration programme seeks to promote corporate governance and

organisational learning in the department (KZN DEDT, 2013: 89). The programme implemented the Waaihook Agri-Village Project, Macambini Tourism Development Initiative Project and the Convention Bureau Project.

Programme two is the Integrated Economic Development Services Programme, which is made up of the Enterprise Development, Local Economic Development and the Economic Empowerment Sub-programmes, which are responsible for “implementing policies and programmes which aim to support and promote enterprises owned by disadvantaged individuals, groups or communities in order to bring them into the mainstream of the economy” (KZN DEDT, 2013: 46). Projects that have been implemented by this programme include the Strengthening Co-operative Programme at the Unizulu Project, the Bavelase Poultry Project, the Sivanada Luwamba Wellness Centre Project, the SMME Training and Capacity Building Programme and the Mandeni Informal Trading Skills Project.

The third programme, Trade and Industry Development, stimulates economic growth in KZN by promoting trade and investment, developing different sectors and industries to promote global competitiveness and by attracting foreign investment (KZN DEDT, 2013: 65). The Trade and Investment Promotion, Sector Development and Tourism Development Sub-programmes make up the Trade and Industry Development Programme. The programme implemented training projects in the Business Process Outsourcing (BPO), Information Technology (IT) and tourism sector. The programme also implemented a project that conducted a viability assessment to improve logistics of rural enterprises (KZN DEDT, 2011).

Programme four is the Business Regulations and Governance Programme, which aims at developing an equitable and socially responsible business environment in KZN (KZN DEDT, 2013: 77). The Consumer Protection, Liquor Regulations and Regulation Services Sub-programmes make up this programme. The programme has administered the application process and awarding of liquor licences (KZN DEDT, 2013) and it has also established an M&E framework for the formal and informal business sector (KZN DEDT, 2011).

Economic Planning is the fifth programme in the KZN DEDT. The programme aims to “develop provincial economic policies and strategies to achieve and measure sustainable economic development” (KZN DEDT, 2013: 90). The programme is made up of the Policy and Planning, Research and Development, Knowledge Management and Monitoring and Evaluation Sub-programmes. The M&E Sub-programme will later be discussed in detail to

understand the M&E system at the KZN DEDT. The programme implemented the Emerging Researchers Capacity Enhancement Programme for students to gain M&E skills.

Programme Six, Tourism Development, is made up of the Tourism Planning, Tourism Growth and Development, and the Tourism Sector Development Sub-programmes. This programme is responsible for developing and implementing provincial tourism policies and strategies that create a favourable environment for KZN tourism to flourish and contribute to economic growth in the province (KZN DEDT, 2013: 110). The programme has implemented the Mpumalanga Gateway Project and the Muzi Pan Development Project. The following section discusses the M&E system in the KZN DEDT.

4.3. Monitoring and Evaluation System within the KZN DEDT

M&E in the DEDT helps to ensure effectiveness in the implementation of economic development policies, strategies and projects by monitoring and evaluating the outputs, outcomes and impact of the department's interventions (KZN DEDT, 2013: 98). M&E practice allows the KZN DEDT to continuously learn and improve its performance (KZN DEDT, 2012: 80).

The M&E Sub-programme is the custodian of the M&E system in the KZN DEDT. The M&E Sub-programme is located in the fifth programme/department in the KZN DEDT. It is called Economic Planning. The Sub-programme was established in 2006 within the KZN DEDT. Its primary focus was to develop tools, systems, approaches and practices related to M&E in the department (KZN DEDT, 2007: 7). The M&E Sub-programme is guided by the Constitution (1996), Public Finance Management Act (1999), Policy Framework for the Government-Wide Monitoring and Evaluation System (2007), Green Paper on Outcomes-Based Performance Monitoring & Evaluation (2009), the National Evaluation Policy Framework (2011) and the Framework on Managing Programme Performance Information (2007). The Monitoring and Evaluation Sub-programme has developed the Monitoring and Evaluation Framework (2007), an updated Monitoring Strategy (2010), the Evaluation Framework (2012) and the Department of Economic Development and Tourism Annual Performance Plan Verification Framework (2012), all of which guide M&E practices of the KZN DEDT's M&E system. The following section describes the aims and objectives of M&E within the KZN DEDT.

4.3.1. Aims and Objectives M&E System in KZN DEDT

The objective of having an M&E system within the KZN DEDT was to:

- *“Guide the collection of analysis and use evidence-based monitoring information to inform management in an effort to improve learning and results;*
- *Guide capacity building initiatives and foster a culture of governance and decision-making which uses M&E information;*
- *Contribute to sustained improvement planning, budgeting and implementation management through evidence-based learning;*
- *Enable evidence-based accountability to political and financial authorities to the public; and*
- *Improve reporting at all levels and to make it simpler, better and faster”.*

(KZN DEDT, 2007:6).

The Monitoring Strategy (2010), which outlines the aims, approaches and strategies for monitoring, states that the main objectives of monitoring were to track the progress of KZN DEDT strategies and policies; to determine whether implementation of projects and their results meet the planned objectives; conduct project site visits to verify performance of projects as reported by the project manager; to assist in creating a culture of learning and improving performance of the programmes in the KZN DEDT; and to inform decision-making in the planning, designing and budgeting stages of a project (KZN DEDT, 2010: 5).

The KZN DEDT’s Evaluation Framework (2012) outlines the aims, processes and approaches to evaluation, emphasising that evaluations commissioned by the KZN DEDT be transparent, accountable, participative and inclusive, well-targeted, development orientated, ethical, sound and cost effective (DNA Economics, 2012: 7). The following section describes the approach adopted for M&E practice in the KZN DEDT.

4.3.2. Approach to the M&E System in KZN DEDT

The KZN DEDT has adopted an M&E approach, which is results-oriented and is based on the inputs, outputs and results model which flows from inputs to activities to outputs to outcomes and ultimately impacts (KZN DEDT, 2007: 8).

Monitoring at the KZN DEDT aims to “track the progress and efficient use of a project’s resources” (KZN DEDT 2007; KZN DEDT, 2010). Monitoring is undertaken using three approaches, namely the Process Flow approach,¹⁸ Performance Information Verification approach and the Site Visit approach (KZN DEDT, 2010: 5). The Process Flow approach to

¹⁸ The verification of results/outputs to determine whether they are aligned with the goals in the annual performance plan (KZN DEDT, 2010: 5).

monitoring outlines the planning, implementation and reporting stages of the project cycle and describes the M&E roles of the project (KZN DEDT, 2010: 6). The Performance Information Verification approach seeks to verify the validity, reliability and completeness of reported performance information against the department's Annual Performance Plan (APP), ensuring that the ¹⁹performance indicator and targets follow the ²⁰SMART criteria (KZN DEDT, 2012: 2). The ²¹Site Visit approach to monitoring seeks to determine whether or not the project being implemented is achieving the desired objectives using qualitative and quantitative techniques (KZN DEDT, 2010: 12). The KZN DEDT chooses projects that will be monitored based on the value, location, representativeness, phase of implementation, timing and strategic goals the project addresses (KZN DEDT, 2013). Some of the projects that have been monitored include the Strengthening Co-operative Programme (2012) at Unizulu, the Sivananda Luwanba Wellness Centre Project (2013) and the Emerging Researchers Capacity Enhancement Programme (2013).

The KZN DEDT's approach to evaluation stresses that evaluation be relevant and aligned with the strategic goals of the department. They should measure efficiency and cost effectiveness; impact and sustainability of development projects (DNA Economics, 2012: 8-9). The types of evaluations undertaken at the KZN DEDT include ²²ex-ante evaluations, implementation evaluations, economic evaluations, impact evaluations and ²³evaluation synthesis. It is often the nature of the project that informs the type of evaluation to be undertaken (DNA Economics, 2012: 10). Not all projects that are implemented are evaluated. Instead the KZN DEDT evaluations are selected through random sampling or non-random sampling. The random sampling approach requires five projects be evaluated annually, whereas the purposive sampling approach requires one M&E system evaluation, one diagnostic evaluation and three projects chosen by the M&E Sub-programme, or programme managers (DNA Economics, 2012: 12). Evaluations at the KZN DEDT are undertaken externally by DNA Economics. Projects such as the SMME Training and Capacity Building Programme (2013) and the Emzvamweni Community Project (2008) have been evaluated by

¹⁹ A performance indicator is a variable normally in the form of a statement which measures the achievement of results against the planned objectives of a project (KZN DEDT, 2007: 4).

²⁰ A SMART criterion requires indicators to be specific, measurable, achievable, relevant and time-bound (KZN DEDT, 2010: 9).

²¹ A site visit is also known as a field visit, which is conducted to measure the progress of projects (KZN DEDT, 2010: 12).

²² Ex-ante evaluations are similar to needs assessments and seek to inform the design of a policy or project (DNA Economics, 2012: 9).

²³ Evaluation synthesis collects, collates, analyses and reports on M&E findings (DNA Economics, 2012: 10).

the KZN DEDT. The approach to GWM&E in the KZN DEDT is underpinned by the results-based management approach which seeks to ensure that M&E information informs planning, budget allocation, implementation and reporting of the government department's strategic goals, objectives and performance. The following section discusses the processes involved when conducting M&E. A summary of the M&E activities conducted by the M&E Sub-programme is provided (Appendix 1).

4.3.3. Processes of the M&E System in the KZN DEDT

M&E practice involves a number of processes and data collection methods to ensure that information produced is accurate, valid and reliable. Monitoring information is collected during the project planning and implementation stage of a project and thereafter monitoring information is reported to the relevant M&E stakeholders in the department. It is important to note that M&E activities are not solely conducted by the M&E Sub-programme, but various sub-programmes are involved in the M&E process.

The KZN DEDT monitors the policies, interventions and the projects that they implement. Monitoring is conducted every quarter of the financial year and M&E reports are produced annually. The M&E Sub-programme and project managers are responsible for conducting monitoring within the KZN DEDT, where the project managers are responsible for continuously monitoring the progress of their projects. Periodically, the M&E Sub-programme, together with the project managers, monitor the projects by conducting site visits. KZN DEDT projects are implemented by service providers appointed by the Human Resources office and budgets are allocated by the department's Finance Management Sub-programme. Projects are monitored against the output and financial indicators of the project to measure compliance with the APP goals and objectives and the performance of the project (KZN DEDT, 2010: 7).

During the planning stage of a project, the M&E Sub-programme works together with the Public Support Office (PSO), located within the Knowledge Management Sub-programme in the Economic Planning Programme, and assists project managers in conceptualising and planning their projects (KZN DEDT, 2010: 15). The M&E Sub-programme and PSO assist the programme managers to develop projects that address the KZN DEDT's main strategic objectives and develop project performance indicators which are aligned with the annual performance plan (KZN DEDT, 2007: 13).

During the implementation stage of the project the PSO tracks the implementation of projects by entering project information into the Project Management Information System (PMIS) which records the location, budget, objects and the number of beneficiaries of the project (KZN DEDT, 2010: 15). The M&E practitioner, together with the project manager, conducts a site visit to monitor the projects' performance and thereafter the M&E staff analyses information collected from the site visit and verifies the outputs of the project against the Annual Performance Plan of the Department (KZN DEDT, 2010: 7). The department has developed the Project Assessment Tool and the performance verification tool to conduct monitoring during site visits and when verifying the Annual Performance Plan (APP). These are attached in appendix two and three of the study.

Reporting of monitoring information is done by the M&E Sub-programme. It compiles the APP Verification and Analysis Report, the Site Visit Report and the DEDT Monitoring Report. Reporting is done bi-annually, where the M&E Sub-programme reports to the senior managers of Sub-programmes and project managers on the performance of the project. The Programme managers then report to the HOD on the performance of each programme and the HOD reports to the MEC on the performance of the KZN DEDT as a department (KZN DEDT 2007: 14).

Monitoring information is used to conduct evaluations in the department. Evaluation information is used in the department to provide a detailed analysis on whether intended outcomes are achieved or not and determine the worthiness of implemented evaluations (KZN DEDT, 2013: 98). The data collection methods used to collect information for evaluations are both qualitative and quantitative, using structured and semi-structured interviews, beneficiary surveys and focus groups (DNA Economic, 2012: 14). Evaluation information is essential for informing management on whether or not implemented interventions should be continued, adjusted or terminated (KZN DEDT, 2013: 98). The processes of the GWM&E in the KZN DEDT are geared towards gathering evidence which is underpinned by evidence-based policy and evidence-based M&E. Gathering evidence ensures that decision makers choose the best alternative to address a specific social problem. M&E practice ensures that evidence gathered for decision making is reliable and credible.

4.4. Conclusion

Chapter Four presents some basic information on the KZN Department of Economic Development and Tourism, its vision mission and values, its structure and the M&E system

of the government department. The chapter presented the approaches and processes of M&E in the KZN DEDT. The M&E system in the KZN DEDT is guided by the national GWMES. The main aim of the M&E system in the KZN DEDT is to track the progress of projects being run within the department and thereafter track the overall performance of the department. Projects are monitored and evaluated following the selection criteria, clearly stipulated in the monitoring strategy and evaluation framework. Monitoring is conducted during project site visits and the APP verification process.

Evaluations are conducted by the DNA Economics and monitoring is conducted internally by the M&E Sub-programme and project managers. Reporting of monitoring information is conducted quarterly and annually to ensure that project managers are aware of the status of their projects and programme managers are aware of the performance of their department. M&E information is disseminated to project managers, programme managers, the HOD and MEC to report on the performance of the department. The following chapter presents the findings and analysis of this study.

CHAPTER FIVE

Findings and Analysis

5.1. Introduction

This chapter presents the findings and analyses from the in-depth, semi-structured interviews conducted during the study. The chapter critically explores the strengths and challenges of implementing an M&E system in the KZN DEDT. Data was collected during in-depth interviews of five participants. Those interviewed included a Senior Programme Manager, two Project Managers and two internal M&E practitioners. This sample of five draws participants from public officials involved in different capacities, at different levels in the KZN DEDT. The responses are based on the M&E experiences of the participants. The five respondents have been coded as R_1 – the Senior Programme Manager, R_2 to R_3 the Project Managers, and R_4 to R_5 – the M&E practitioners.

The following questions guided the investigation:

- What are the conceptions, uses and purposes of the GWM&ES within the KZN DEDT?
- How is the GWM&E System in the KZN DEDT designed and implemented?
- What are the experiences of implementing agents within the KZN DEDT when implementing the GWM&ES at a provincial level?
- What are some of the issues that emerge during the implementation of the GWM&ES in the KZN DEDT?
- How are these issues dealt with by the KZN DEDT?

Four broad themes were identified from the respondents' answers to the research questions. These include the aims and objectives of the M&E system within the KZN DEDT, the approach to M&E in the KZN DEDT and the processes of M&E in the KZN DEDT. These themes are discussed in terms of the strengths and challenges experienced in implementing the GWMES in the KZN DEDT. Refer to Appendix four and five provide an outline of the interview questions that were asked to respondents to determine the implementation of the GWMES in the KZN DEDT.

5.2. Aims and Objectives of the GWMES in the KZN DEDT

Ile, Eresia-Eke & Allen-Ile (2012: 92) argue that M&E systems should advocate collaboration between different stakeholders; emphasise ownership to ensure M&E buy-in by all stakeholders and produce quality information. Respondents in this study portrayed their understanding of M&E systems to be about organisational learning, tracking performance, governance and capacity building. R_1, the Senior Programme Manager, describes the GWMES as follows:

“The GWMES is a system that assesses the performance of the government department in terms of programmes and projects that are run by the department for service delivery. The GWMES seeks to determine whether the department does serve their purpose of achieving planned objectives and goals set by the department...M&E seeks to strengthen governance in the public sector and it ensures that things are done on time and efficiently. The public sector can waste a lot of money implementing projects that are not effective, M&E ensures that government interventions and government are effective” (R_1).

The Project Managers describe the M&E system at the KZN DEDT, stating:

“The aims of the GWMES are to consolidate how the public sector is doing with regards to service delivery and the allocation of budgets...The GMWES was introduced to allow government to track the progress of its interventions through M&E. M&E helps in determining the impact of government interventions on beneficiaries by conducting evaluations. The GWMES assists government in realising its mandate of strengthening service delivery and government effectiveness. Government cannot be doing things for the sake of doing things and therefore the GWMES aims to ensure that government is efficient, effective, accountable and transparent” (R_2).

“Government provides a number of services to the public. In order for government to implement effectively, it needs to use M&E. Previously I was not aware that I had to do M&E for our projects and I was unskilled to monitor my projects. It is through attending a programme at UKZN on M&E that I began to understand the uses and purpose of M&E” (R_3).

From the M&E practitioners' perspective,

“M&E helps government track its performance and assists government to be able to display measurable results. Often results are not measurable if projects lack the theory of change. In

M&E practice what gets measured gets done and what gets done gets measured...The GWMES aims to create a culture of accountability and that is results oriented in the public sector...M&E is perceived as an accountability measure by government neglecting the fact that monitoring is also a learning tool..." (R_4).

The M&E system is perceived to improve performance, governance and ensure accountability and planning. It was revealed by (R_3) that they had no understanding of the M&E concept, but through capacity building they now understand the purpose of conducting M&E. The M&E practitioner (R_4) reveals that there is much focus on M&E systems being for performance and less attention is paid to learning as an objective of the M&E system. All the respondents portray a rough understanding of what the M&E system is and what its aims and objectives are. An important finding is that there is a slight difference in how the M&E practitioner views M&E to how the Project Managers and Senior Programme Manager understand M&E. Rossi and Freeman (1989: 173) state that the purposes of M&E often overlap among M&E researchers and Program Managers. In an ideal world, M&E activities would meet the needs of all groups. In practice, time and resource constraints may require giving priority to one set of information needs over another.

5.2.1. Monitoring and Evaluation

Thomas Dye (1987: 351) explains that the aim of policy evaluation is ‘learning about the consequences of public policy. Ile, Eresia-Eke & Allen-Ile (2012: 21) state that policy monitoring is about making sure that activities and programmes are on track towards achieving desired results. In defining their M&E roles and responsibilities, respondents said:

“My specific role is to ensure that each and every project within the Unit has been implemented as planned and that there is a report on the progress of the project” (R_1).

A Project Manager added that

“project managers collect information used for monitoring and evaluation purposes. The project manager is responsible for the operations of the project and compiles a report that is submitted to the M&E Unit to determine the progress of the project” (R_2).

Another Project Manager stated:

“We work with the M&E Unit because they are responsible for monitoring projects and Project Managers are not skilled to monitor...the PSO tracks the performance of the project.

It is the job of the M&E practitioner to monitor projects. The M&E practitioner and Project Manager conduct a site visit, but it is the practitioner's job to provide a monitoring report. The Manager provides a monthly progress report to the programme director and the after three months the information is collated and submitted to the PSO, which will determine the performance of a project” (R_3).

The response of the Senior Programme Manager was that they play an accountability/oversight role in the M&E process. The Project Manager shows understanding of their role in the process. What is interesting is how (R_2) and (R_3) describe their role in the M&E process. When asked about their understanding of the M&E system, they answered that it is to track performance. But when asked what their role is in relation to M&E activities they reveal that they collect information for monitoring and it is the monitoring and evaluation unit that tracks the performance of projects. These responses show that they understand the concepts of M&E and what it entails, but are unclear on where exactly they fit into the M&E process. The responses indicate that the responsibilities they described of Project Managers are essentially monitoring responsibilities.

Hill and Hupe (2002: 296) reason that multiple lines of authority may produce “possible contradictory action imperatives and street level bureaucrats constantly weigh out how to act”. When asked whether or not there is a relationship between the national and departmental M&E system, an M&E practitioner points out that:

“The KZN DEDT has developed a monitoring and evaluation strategy which is guided by the National Evaluation Framework and the GWM&E framework. There is a relationship between the GWM&E at national and provincial government. Yet there is also a misassumption on what M&E is. At national level, the DPME has made a distinction between monitoring and evaluation, where monitoring is tracking progress and evaluations take the form of applied research. At the provincial level there is a tendency to confuse M&E practice and social research; it is perceived that if you can do research then you can automatically do monitoring and evaluation. The main challenge is that the department is unable to differentiate between social research and M&E” (R_4).

A Project Manager's response was that:

“There is a relationship between the National GWMES and the DEDT M&E. National government is scarce, they are not visible. The KZN DEDT has developed its own M&E strategy as per national mandate” (R_3).

The findings show that understanding of the objectives of a concept may sometimes be blurred as a result of the devolution of powers between national and provincial government. Lack of support from national government may exacerbate the knowledge gap between the policy-makers and the implementers of policy.

5.3. Approach to M&E in the KZN DEDT

Melchor (2008: 12) feels that managing change is the ability to “influence people’s mindsets, culture, attitudes and practices to adapt to a new environment and arrangement”. He adds that new strategies can be implemented successfully or unsuccessfully, depending on the level of public participation in the definition of the reform strategy (Melchor, 2008: 12). The Outcomes Performance Approach (Presidency, 2009: 18) warns that meaningful change occurs when central government provides top-down political support and civil servants provide bottom-up support towards a new policy to avoid reform policies that are illusive. When respondents were asked about the approaches involved in the M&E system they answered that:

“In the department the M&E was designed by the external and internal stakeholders and a task team which drew up the strategy for the department. The M&E approach took a top-down approach because South Africa belongs to an international community which encourages M&E practice. M&E was imposed on the South African government, but it was imposed for the better, to improve accountability” (R_5).

M&E practitioner (R_4) said:

“The GWMES was implemented using a top-down approach and government is starting to fill in the gaps to make the system for efficient and effective...The M&E system is perceived to be policing over public officials, it is viewed as an authoritarian approach to getting people to do their jobs in the department”.

Another M&E practitioner points out that:

“Before 2009 value for money was measured from an efficiency aspect, after 2009 Zuma’s administration introduced an M&E approach which focuses on effectiveness and change

government policies and projects bring about change to the people. Previously we were unable to measure change. M&E is still a relatively new concept in the public sector” (4_1).

A Project Manager states that:

“There is no formal engagement from government stating roles and responsibilities. There has been no provincial workshop on M&E where people were informed about the uses and purposes of how M&E works. Not all officials see the value of conducting M&E officials who understand M&E is through previous knowledge from an employer or school. Government needs to create an awareness around M&E, then public officials will buy into the system...M&E is a top-down approach; it should be more participatory” (R_2).

Lastly, a Project Manager indicates that:

“There is a management forum that discusses the performance of the department’s projects, unfortunately we are still fighting as Project Managers to be able to be a part of those meeting because they are discussing our projects” (R_3).

Responses on the design of the M&E approach reveal that there was little or no level of participation from any of the respondents regarding the designing of the M&E system at the KZN DEDT. It was revealed by (R_3) that reporting is done to management and not directly to the project managers on their projects. The practitioner (R_4) reveals that there has been a shift in the M&E approach adopted by the department. First it was focused on efficiency and today it focuses on effectiveness. What is common in the responses is that M&E was inherently a top-down approach by national government.

The Presidency (2008) suggested that M&E Units in government departments should be situated at higher levels of a government department, to ensure that M&E is taken seriously and there is buy-in from political principals. Respondents state that:

“Next year, there are plans for the Unit to move to the Office of the Head of Department. Some respondent have differing views on the consequence of moving the move to the Office of the HOD will assist M&E practitioners easily get information required for evaluations (R_5).

“The location of the Unit is affecting how people respond to M&E in the department. The Unit is hoping to move to the HOD’s office next year but I fear there will be problems if we move and there is still tension around M&E practice in the department...There is no

leadership from department heads on M&E if this was the case then there would be a rule that no project should be implemented without an M&E signature” (R_4).

The responses reveal that M&E does not have enough political support to be able to conduct M&E related tasks efficiently.

O’ Toole (2001), cited in Hill and Hupe (2002: 173), explains that a top-down approach to policy implementation focuses on compliance and monitoring whereas the bottom-up approach to implementation incorporates innovation, collaboration and creativity. The Presidency (2009: 14) advises that performance cannot be achieved through coercion; instead, the implementing agents of a new policy need to buy-in to the reform to avoid ‘malicious compliance’. In their responses, participants emphasise the notion that monitoring and evaluation practice in the department is for compliance.

A Project Manager states:

“Not all officials see the value of conducting M&E...M&E in the department is conducted for compliance purposes and is perceived as a waste of time” (R_2)

The M&E practitioners give their opinions:

“M&E is perceived as policing over people in the workplace. Most people think that M&E is conducted to make judgements about a project’s performance rather than viewing M&E as a mechanism that can be used to achieve results...there is no value in M&E if things are not done right...even M&E is conducted for compliance within the M&E Unit...The department conducts impact evaluations three months after the project is implemented, evaluations are conducted when the projects are not matured enough” (R_4).

“Even monitoring and evaluation is conducted for compliance purposes. Evaluations are done when projects have not matured, this due to the fact that government interventions are about project not the effect of the project on M&E” (R_5).

Melchor (2008: 17) stresses that people resist change if the reform is not clearly explained by leaders and understood by all relevant stakeholder managers. Burke (2002) cautions “change in mission and strategy means that the organization’s culture must be modified if success of the overall change effort is to be realised, whereas change in the culture is in support of the changes in the mission and strategy”. In essence, change strategies are successful if the behaviour and strategies of the people within the organisation are altered to address the new

strategy. Respondents were asked what they have identified from the introduction of the GWMES to the department.

The Project Manager states:

”There has been a dramatic change in how reporting is done in the department. Previously people would not submit reports on projects and the M&E Unit would have to chase after officials for reports. Today more officials submit reports on time and more and more officials are realising the need to track project implementation, performance and spending. The department use to underspend but now the budget is spent more efficiently for developmental programmes” (R_2).

Respondent (R_3) thinks that

“There is a change that has occurred in government because in the past public officials were not aware of their roles and responsibilities. There has been a change for the better since the introduction of the GWMES”.

The Senior Programme Manager reveals that

“The change that may be observed is that people from different units in the department were trained on M&E and its practice which allows for everyone to be able to collect information required for M&E and departmental programmes are not all depending on one unit to tell them what M&E information is required of each Unit” (R_1).

“It is often difficult to obtain M&E information from project managers as they perceive M&E as policing and they often delay submitting reports because they feel they are not accountable to the M&E staff” (R_4).

The responses reveal that the introduction of M&E has brought about a change in the government department with regards to M&E informing planning and budget implementation (R_2), as well as a change in the awareness of what the M&E system entails (R_3). The Senior Programme Manager reveals that changes in perceptions of M&E have shifted as a result of capacity building. People still resist change regarding M&E, however to further assess the change brought about by the M&E system in the department, participants were asked to state their perceptions of organisational culture and buy-in to M&E. Burke *e al.* (2012: 11) state that “for an innovation to be successfully implemented, it must become

culturally embedded within the organisation”. The Programme Senior Manager perceives the M&E culture in the organization to be:

“There is a strong buy in around M&E in the public sector. There are M&E workshops that were conducted to enhance M&E awareness in the public sector and people seem to like it and they like the system. There will be hiccups and obstacles along the way but the system is definitely being welcomed by most government departments. There is an M&E culture because people are supportive of the system and when the M&E Unit requests information they get it as soon as possible and we all attend their meetings and fill in their templates as requested” (R_1).

When the Senior Manager was asked whether or not M&E information assists in realising their programme goals and objectives, he said:

“If the system was implemented correctly the DEDT and its M&E unit would be able to improve in terms of project implementation. But sometimes, because the department is too big, it does not have the capacity to address individual issues as much as it would like to do so, and there is a gap in addressing issues to strengthen project implementation” (R_1).

There are three things to point out in the Senior Programme Manager’s responses. Firstly, there is some support by officials towards M&E, but because of implementation barriers M&E information is not used to inform decisions or to track performance. It appears that his department merely produces M&E information for the M&E unit. Change is apparent in processes, but not in directly informing the work the respondent performs.

In assessing the experiences of the M&E practitioners regarding organisational culture, they state:

“There is a lot of hype around M&E, and there is a perception that everyone can do M&E. M&E on paper is perceived to be a learning curve but people do not want to do the right things right. There is no strong supply side of M&E practitioners. M&E training is not sufficient, people are being trained on evaluations not monitoring. The approach taken for M&E is top-down and people have not yet fully warmed up to M&E and what it entails. There is no leadership from department heads on M&E. If this was the case then there would be a rule that no project should be implemented without an M&E signature. There is a gap in that challenges aren’t being met” (R_4).

(R_5) emphasises “*if there was an M&E buy-in, every project would have an M&E plan*”.

The M&E practitioners perceive the M&E culture to be absent. Their responses differ from that of the Senior Programme Manager. Different roles and responsibilities around M&E reveal the different perceptions that underlie the M&E system in the KZN DEDT. Melchor (2008: 12) warns that when the need for change is imposed, it is more difficult for all the stakeholders to commit to the reform initiative and this can essentially undermine success. The capacity of M&E in the department needs to be enhanced. A reference was made by (R_1) to the need for capacity building in people, to ensure the effectiveness of the M&E system. An M&E culture has not been easily accepted by governments, as these methods require accountability and transparency of government and politicians, and leaders fear loss of power by adequately adopting strategies (Schacter, 2000). Perceptions of organisation culture and organisational buy-in to M&E reveal that there is strong attention towards M&E, but that the system is not used to its full potential. Kusek and Rist (2004), cited in Ile, Eresia-Eke & Allen-Ile (2012: 90), state that a good monitoring and evaluation system must be based on ownership, management, maintenance and credibility. It should employ a participatory approach that includes all M&E stakeholders, to ensure that M&E information adequately addresses the information needs of all stakeholders, and to ensure that organisation members buy into the M&E system. Adopting a strategy is directly linked with how the strategy will be implemented. The following section describes the processes involved in implementing the M&E system at the KZN DEDT.

5.4. Processes of M&E in the KZN DEDT

Meter and Horn (1975), cited in Hill and Hupe (2002), argue that to build a system, policy makers should develop a model or framework that explains the implementation process. In doing so, policy-makers ensure that “high consensus and high change” is possible concerning the new policy. Participants reveal that legislation and policy documents in place spell out how the GWMES is to be implemented.

“The KZN DEDT is guided by the national mandate which...mandates that all government departments and institutions should develop and institutionalise M&E practice, processes and management systems to strengthen government performance” (R_2).

“The M&E legislation and approach is good on paper in terms of frameworks and policies that exist...the KZN DEDT has developed a Monitoring and Evaluation Strategy which is guided by the National Evaluation Framework and the Government-Wide Monitoring and

Evaluation Framework...recently the Community Based Service Delivery Monitoring Framework was developed by the Presidency” (R_4).

“The National Evaluation Policy Framework and the Government-Wide Monitoring and Evaluation Framework is broad and the department’s Strategy is refined to the nature of the KZN DEDT” (R_5).

The development of a legislative and policy environment for the GWME&E system in South Africa contributes to how M&E is practised at a national, provincial and departmental level. The legislation and policy documents spell out the rules of implementing the GMWES in the country and in the KZN DEDT. One M&E practitioner (R_4) comments further, stating that it is good on paper.

Simon (1997) states that “administrative activity is a group activity”. To implement a policy requires more than one person or department, instead it involves a number of people. In attempting to discover the processes involved with implementing the GWMES in the KZN DEDT, respondents said that a number of departments collaborated to implement the M&E strategy. The Senior Programme Manager’s experience with the M&E system’s implementation is explained:

“Provincially the KZN Office of the Premier has established an M&E Unit which monitors government performance in the province. The Premier’s M&E Unit works in conjunction with provincial government departments. The DEDT’s M&E Unit...liaises with the M&E Unit at the Premier’s Offices and collects all M&E information from the department and submits it to the Office of the Premier and there they collate and analyse information to determine the performance of the department” (R_1).

The Project Manager elaborates:

“Each project has a Project Steering Committee which consists of the project manager, M&E practitioner, service provider, and the relevant stakeholders for the project. The PSC determines the aims and objectives of the project and the project’s strategy. The PSC presents a feasibility study and determines the aims and objectives of the project. The PSC provides the monitoring during the planning stage of the project” (R_2).

“The M&E Unit develops indicators, conducts workshops and writes reports on M&E in the department. The M&E Unit informs the rest of the department what is expected of them” (R_3).

There is a consistency in the fact that all descriptions of implementation involve collaboration of some kind with another government department. The Senior Programme Manager (R_1) describes implementation between the Premier’s Office and the KZN DEDT and (R_1) and (R_2) describe the implementation of the system between government departments within the KZN DEDT.

Stoker (1991), cited in Hill and Hupe (2002: 73), reasons that different layers of government may exercise autonomy, but still work in collaboration to achieve the same goal. Though central government may introduce a policy to be initiated, lower levels of government have the discretion to show how they will implement the national strategy in a particular context (Hill and Hupe, 202: 73). When participants were asked about the relationship between national and provincial government regarding the M&E process, they answered:

“There is a strong relationship between national GWMES and the KZN DEDT’S M&E system, because the department takes its responsibilities from national, and thereafter it extends that national mandate at a provincial level. There is a strong relationship between national priorities and provincial priorities” (R_2).

“The KZN DEDT has developed a monitoring and evaluation strategy which is guided by the National Evaluation Framework and the GWME&E Framework” (R_4).

The respondents confirm that there is a relationship between national and provincial government. National priorities are interpreted to suit the context of provincial government. This can be problematic if national priorities are not interpreted correctly. Hill and Hupe (2002: 296) feel that multiple lines of authority may produce “possible contradictory action imperatives and street level bureaucrats constantly weigh out how to act”.

An M&E practitioner points out that:

“The KZN DEDT has developed a monitoring and evaluation strategy which is guided by the National Evaluation Framework and the GWM&E framework. There is a relationship between the GWM&E at national and provincial government. Yet there is also a misassumption on what M&E is. At national level, the DPME has made a distinction between

monitoring and evaluation, where monitoring is tracking progress and evaluations take the form of applied research. At the provincial level there is a tendency to confuse M&E practice and social research; it is perceived that if you can do research then you can automatically do monitoring and evaluation. The main challenge is that the department is unable to differentiate between social research and M&E” (R_4).

It is evident from the responses that there is a relationship between national and provincial government regarding the implementation of the GWMES. The collaboration between the different spheres of government can have some disadvantages, one being that the national vision of the GMWES is clearly understood and interpreted by all government departments, as per national mandate.

5.4.1 Implementing a Results-Based Monitoring and Evaluation System

The World Bank (2004) states that a results-based M&E system must have the capacity to develop indicators, data collection tools and combine and analyse M&E reports against indicators and baselines (Kusek and Risk, 2004: 22). When participants were asked how monitoring and evaluation is conducted, the M&E practitioners answered:

“On a quarterly basis the M&E Unit examines progress reports from project managers and service providers to determine the indicators identified for the projects are SMART. The M&E unit tracks the performance of projects within the KZN DEDT. The Unit then compiles a monitoring report quarterly to determine what intervention was achieved in the quarter. The quarterly reports make up the annual monitoring report” (R_4).

“The M&E Units then conduct site visits with the project managers. Interviews and observations are undertaken to determine how beneficiaries perceive the intervention. Performance information is collected first because progress reports provide the information on the aims and objectives of the project. The progress report is then compared to the plan and thereafter the M&E unit develops indicators and instruments relevant for the project site visit. The assessment tools seek to determine the relevance and efficiency of the project. The KZN DEDT has an onsite assessment tool that does not address the monitoring aspect of tracking project performance. The tool was not results oriented, instead it was just asking questions. We have developed an on-site assessment which specifically addresses the results of the project...The M&E unit also checks for the impact of the intervention on its beneficiaries and checks whether intended outcomes have occurred and determine why things

have not worked. We look at the sustainability measures of the project to determine what has worked and what has not” (R_4).

The M&E practitioner (R_4) has provided a clear explanation of what occurs during the monitoring process. The practitioner discusses how monitoring information is collected, collated and reported on against the Annual Performance Plan. It is the M&E Unit who is the main custodian of the M&E system, as it is responsible for all monitoring activities in the department.

Burke *et al.* (2012: 10) define an implementation plan; it “sets out clearly the objectives of the innovation, specific tasks relating to its implementation, the individuals responsible for accomplishing these tasks and agreed timelines”. In short, the implementation plan provides information about what will be done, when it will be done and how it will be done.

Participants in the study revealed that:

“In the M&E Unit there is no M&E plan which helps us determine what will be monitored and evaluated for that quarter...With no M&E plan, M&E practice in the department will lead to the demise of M&E” (R_4).

“There is no M&E plan in the department because M&E in the department is not taken seriously...not having an M&E Plan makes it difficult to perform our tasks...There is no M&E Plan therefore M&E can’t effectively assist the department meet its strategic goals and objectives” (R_5).

Responses from (R_1) and (R_2) reveal that there is no M&E plan in the KZN DEDT. This results in there being no direction of M&E practice in the department. A lack of an M&E plan makes it hard for the M&E practitioners to do their jobs.

Reporting M&E information can be used to make decisions around a project and to address identified challenges. Reporting should follow a specific format and should always keep in mind the audience of the report (Rossi & Freeman, 1989: 176). When asked about reporting styles in the KZN DEDT, the M&E practitioners stressed:

“ The reporting matrix in the department needs to be updated; furthermore, “the quality of reports received by the M&E practitioners is often unclear, lack indicators, theory of change, and the inputs are not aligned with the goals of the project” (R_4).

“There is no standardised reporting system in the department, and there has been no capacity building in the department to address reporting challenges”. Lastly, project managers often pass on the appointed service provider’s progress report as the programme manager’s monitoring report” (R_5).

Bamberger (1989: 391) points out that “there is a serious underutilization of data that has been collected and analysed at a great expense”. In other words, M&E is not used as much as one would like it to be used, considering the lengths taken to collect M&E information. When participants were asked about how M&E information is used, the following are some of the experiences revealed by the Senior Programme Manager, Project Manager and the M&E practitioners:

“M&E is not very helpful because feedback reports provided by the units in the department comes back to the managers very late and by then it is not so useful” (R_1).

“M&E helps tracking progress of projects and future planning” (R_2).

“M&E information is used on the basis of how the project manager perceives M&E. If they view it as useful then they will use our recommendations to improve projects, if they do not then they don’t, for example, if one identifies an indicator that is not SMART, then we merely acknowledge that the indicator is not SMART and no corrective action is taken, you get praised for finding a problem with no solution....Often, M&E recommendations are not used as there is no M&E buy-in and ownership. People do not feel they are a part of the M&E process and as an effect they do not embrace the recommendations...M&E is done for compliance purposes and does not inform service delivery. M&E information is merely stored and analysed “(R_4).

“I do not know. I would like to think that it is used at some stage. Unfortunately M&E is just done and not used to inform decisions for improvement...It is merely filed and left for the auditors” (R_5).

Responses from the participants of how M&E information is used show that information is not used. Reports are often late and are thereafter deemed useless. The M&E practitioner (R_4) says that M&E information is not used because there is no M&E buy-in. Instead it is merely stored without informing decision-making. M&E practice is poorly understood and rarely implemented, resulting in evaluation practice being used as a means to an end, not improving future performances of government (Nielsen & Ejler, 2008). The different views

from the Senior Programme Manager and the M&E practitioners suggest that M&E information arrives late and that is why it is not used. The Project Manager reveals that M&E information is used to plan and for corrective action. The following section discusses some of the implementation challenges experience when implementing the GWMES.

5.5. Challenges to Implementing the GWMES at the KZN DEDT

Melchor (2008: 21) states that when a implementing a new strategy, financial, material and trained staff are necessary for the implementation process to be a success. Brinkerhoff and Crosby (2002) point out that new policies often lack resources, or even budgets, to correctly implement the policies at hand. Policy-makers and implementers thus often have to find resources from failed development projects to carry out reformed policy objectives. Bester (2009: 8) states that the capacity gap between international, national and provincial governments can influence the credibility of evaluations conducted. Having the capacity to implement a reform policy increases the likelihood of its success. An M&E practitioner explains the capacity challenges they encounter and how they affect the work they do:

“I am an M&E official within the M&E Unit. We monitor projects. We identify projects for monitoring, develop indicators, and verify indicators, according to the performance agreement. Some of the tasks that I am suppose to perform I am not, due to capacity such as verifying indicators and developing indicators for projects, The issue of capacity is a recurring challenge that has not been addressed since 2009. It is the same problem every year” (R_4).

Another M&E practitioner discusses the difficulties of implementing the monitoring and evaluation system. The participant elucidates:

“The DPME M&E system has been implemented but it is not a fully functional system. In the department, project managers develop their indicators, and implement these projects without any input from the M&E staff. When the M&E unit conducts a site visit, they find that it is difficult to monitor the progress of the project because most of them do not have measurable indicators. Project Managers confuse inputs and activities, and outputs and results, project indicators are not aligned with project objectives. Problems are not addressed on time to improve outcomes” (R_5).

The Senior Programme Manager identifies a similar challenge, stating:

“M&E is not very helpful because feedback to reports provided by its units in the department comes back to project managers very late and by then it is not useful...there are administrative challenges in terms of implementing specific projects as not all the project management steps are being followed and corrective measures are not being done as much as one would like them to happen. The department does not have enough capacity to perform their tasks as there are delays in feedback. If the capacity of the M&E Unit can be enhanced then the unit will be more efficient and effective in carrying out their tasks” (R_1).

An M&E Practitioner warns:

“Project Managers often confuse inputs and activities, activities and outputs and as a result project indicators are not aligned with project objectives...the PMIS system does not track performance information” (R_5)

Luthaus, Adrien & Perstinger (1999: 1) advise that capacity development entails that development initiatives should not be done for the sake of carrying out a development project, but instead they should be planned extensively, considering all possible alternatives, then properly implemented, in order for them to be successful. Development programmes and initiatives are most often executed by governments and therefore there is a need for programmes to be carefully strategised, extensively monitored and evaluated for the improvement of the effectiveness and efficiency of government departments. The Paris Declaration on Aid Effectiveness (2005) states that “the capacity to plan, manage, implement and account for results of policies and programs is critical for achieving development objectives from analysis and dialogue through implementation, monitoring and evaluation”. Implementing the M&E system is not an easy process, as there is not enough capacity to conduct all the procedures necessary to make the M&E system fully functional.

Bamberger (1989: 387) points out that “M&E systems focus only on certain quantitative and financial aspects of the projects and most of the information only refers to the period of physical implementation”. The experiences of an M&E practitioner regarding implementing the M&E system at the KZN DEDT were:

“Projects have vague deliverables because the department has not yet shifted towards outcomes-based M&E, the department still focuses on the efficiency aspect of M&E...Project managers are monitored on the basis that they have made payments to the service provider and not by the level and standard of the progress report submitted...projects are analysed at

face value and we do not determine the cause and effect of the intervention on beneficiaries...the M&E unit monitors the inputs and activities of the project as well as the outputs of the project, but there is a great focus on the efficiency aspect of M&E rather than the effectiveness” (R_4).

It is evident from these responses that M&E practice in the KZN DEDT focuses on efficiency rather than effectiveness. The aim of the GWMES is to improve the results of effectiveness of government interventions. It is not enough that the projects are implemented, but projects also need to address the service delivery needs of the beneficiaries.

Another challenge facing the KZN DEDT is that the PMIS system used to store data does not store the relevant information needed for evaluation. An M&E practitioner advises:

“The department needs to develop or upgrade into an electronic management information system that allows practitioners to access all the information of a project, its location, and performance level, stage in the policy cycle, indicators and outcomes (R_5). If there is an electronic system that is fully functional then M&E practitioners will not have to chase after project managers for project information, as they too (the project manager) will be able to update project information” (R_5).

Patton (1997: 201) points out that implementation barriers occur during the implementation process and stakeholders should plan and prepare adequately to ensure that, when problems do arise, corrective action can be employed (1997:201). When respondents were asked about the measures they have taken to address issues related to M&E, they answered:

“The Unit or the department has not yet addressed the issue of getting feedback speedily on information collected by the M&E Unit” (R_1).

“The department has addressed some challenges by work-shopping municipalities on M&E uses, purposes and practices” (R_2).

“Because problems are not addressed in the department I seek help outside to address challenges” (R_4).

“The department is currently trying to amend certain procedures and processes related to M&E. In the upcoming months we are hoping to workshop projects managers on what is required of them regarding M&E” (R_5).

Responses reveal that there have been some attempts to address problems, but more effort is needed to ensure that the M&E system is effective.

5.6. Conclusion

Chapter Five presented the analysis of findings from semi-structured interviews. Using extensive quotes from respondents, the following three broad sections have been discussed: the aims and objectives of the M&E system in the KZN DEDT, the approach of the KZN DEDT M&E system and the processes involved when implementing the GWMES. Each of these revealed that the aims and objectives of the M&E system, in a way, affect the approach adopted for the M&E system and the processes involved. The study revealed that there is, in fact, an M&E system in place in the KZN DEDT, with a monitoring strategy and an evaluation framework that guide the processes of M&E practice in the department. The department has developed data collection tools to conduct monitoring.

The M&E Sub-programme is the main unit responsible for the M&E system and, though there are implementation challenges, the Sub-programme has improved. The findings show that the M&E system in the department is not fully serving its intended purpose. A major contribution to this is lack of capacity and lack of support from the department's management. The findings suggest that M&E should become participatory, in order for people to understand their roles in the monitoring process. Finally, the department needs to strengthen their M&E capacity in order to bridge the gap between the theory and practice concerning M&E.

The study showed that there is a clear understanding of the aims and objectives of the GWMES, but also that a top-down approach emerges. The study shows that M&E is mainly done for compliance purposes, which undermines the true purpose of an M&E system. The experiences of the participants about the M&E system in the department were that monitoring information is not used and rarely informs future planning, but instead monitoring focuses on tracking performance. The need to comply with the system has resulted in a culture of compliance in the government department. The role of the M&E Unit is significant for the success of the M&E system in the government department. It is the M&E practitioners who stress that management strengthens the system, by providing adequate support mechanisms such as an M&E Plan, to ensure that M&E is taken seriously and that it serves the needs of the department's strategic goals and objectives.

CHAPTER SIX

Conclusions

The introduction of the GWMES was an initiative by government to strengthen the effectiveness and efficiency of governance in South Africa. The present work set out to critically analyse the implementation of the GWMES in provincial government departments, using the KZN Department of Economic Development and Tourism as a case study. The aim was to investigate the experiences of the implementing agents of the M&E system in the KZN DEDT. The study's objective was to explore the intended aims and objectives of the GWM&E and determine how they have been realised at a provincial level.

The following broad questions guided the investigation:

- What is the conception (purposes and uses) of GWM&E systems in the KZN Department of Economic Development and Tourism (DEDT)?
- How are the GWM&E systems in DEDT designed and implemented in order to meet the national mandate?
- What are the experiences of the implementing agents within the DEDT in implementing the GWM&E system at a provincial level?
- What are some of the issues that emerge during the implementation of the GWM&E system in the DEDT?
- How are these issues dealt with by the DEDT?

Three concluding observations are worth special consideration: firstly, that the implementation of the Government-Wide Monitoring System within the KZN DEDT is top-down and it is used for compliance and monitoring, rather than as a learning tool; secondly there is a gap between the theory and practice of M&E; and thirdly, there is a capacity gap which taints the possible effectiveness of the M&E system in the department.

In answering the first question, the study revealed that the aims and objectives of the GWMES seek to strengthen governance in the public sector and ensure that government delivers on their service delivery mandate. Within the KZN DEDT, the M&E system was perceived as a mechanism that assists the department to measure its performance and ensure that the department's interventions are achieving the desired goals. The M&E system aims to

help project managers plan and budget their projects and essentially make sure that the department is doing the right things right.

In answering the second question, the study shows that the implementation approach used was top-down. The low organisational culture of the M&E system and what it entails has resulted in government officials merely complying to M&E processes, because it has to be done. The design of the M&E system lacks elements of participation by all relevant stakeholders of the department. This has played a major factor on how M&E is perceived. In the KZN DEDT, there is a lack of support regarding M&E from management, resulting in the M&E system not being taken seriously.

The South African government has gone to great lengths to provide a conducive legislative environment for the GWMES to flourish. Legislation provides detailed information on how to institutionalise the M&E system and provides guidelines on M&E practice to help maintain the system. The KZN DEDT has developed its own Monitoring Strategy and Evaluation Framework, which guide the practice of M&E in the KZN DEDT.

Implementation of the GWMES within the KZN DEDT shows that there is an M&E system in place, but it is not fully functional as per national mandate. There is a serious capacity challenge within the department, because government officials are not clear on their roles and responsibilities regarding M&E. The capacity challenge influences the M&E system's ability to produce quality M&E information timeously. It is essentially a great threat to the survival of the M&E system. If the department does not attempt to change the perceptions of M&E by enhancing capacity, then M&E practice will remain a technical function conducted for compliance and not for improvement through organisational learning.

The GWMES should address the implementation barriers of the system in order for it to take corrective action and get back onto the path of improving governance and performance in the South African public sector. Williams, cited in Patton (1997: 200), argues that the lack of concern for implementation is the crucial impediment to improving complex operating programmes, policy analysis and experimentation of social policy areas. Williams suggests that implementation processes should be addressed more carefully, as they determine the success or failure of a project. To reduce the gap between the theory and practice of M&E, government needs to address challenges, so that progress can be made.

In answering the third and fourth questions, the study shows that the implementing agents within the KZN DEDT experience a great deal of difficulty performing their M&E tasks. A

lack of capacity, support and resources make it difficult for M&E information to truly produce the intended results. The South African approach to monitoring and evaluation has moved towards effectiveness and results. The reality is that government interventions focus on the efficiency aspect and little attention is given to the true effectiveness of government interventions. The rationale for implementing the GWMES was to assist government to plan better, to budget and to increase the use of evidence to inform policy. The constraints in the M&E system have led to M&E practice in the M&E Sub-programme being done for compliance, in order to meet the needs of the performance agreement. Organisational resistance to the M&E system makes it more difficult for M&E to collect reports, analyse data and report on its findings. Data collection tools and the management information system of the department need to address the needs of a result-based M&E system. The M&E Sub-programme needs to develop an M&E plan which will assist in evaluation practice being more focused on addressing the needs of the KZN DEDT.

Though provincial government has been given guidance on how to institutionalise the GWMES, national government has been fairly distant with regards to providing M&E assistance to public organisations on the ground. Proper guidance around the nature of the GWMES will assist provincial and local government better understand the uses, purposes, roles and responsibilities related to M&E.

M&E is a technical support mechanism which assists government officials and development managers with better means to improve service delivery, planning and resource allocation. M&E provides evidence and results for accountability to relevant stakeholders (The World Bank, 2004:5). Managing implementation barriers can prevent government from dealing with the same problems. A participant explained this redundant process as ‘garbage in, garbage out’. To avoid technical problems related to M&E, the KZN DEDT needs to boost its capacity in order for the M&E Unit to perform its tasks more efficiently.

The M&E legislation and policy documents emphasise that M&E practice in government projects improves policy, encourages learning from experience and ensures accountability, effectiveness and efficiency of service delivery. In the KZN DEDT, the study found that M&E is done because it has to be done. It does not seek to improve government decision-making. Often, M&E recommendations are not addressed by the project managers and, when problems are found, practitioners are praised for identifying problems, without formulating a solution. This may be the result of the nature of a bureaucratic organisation, where experience

in the organisation is valued above skill. For M&E to be effective and assist government in the realization of their goals, M&E should undergo the necessary processes and procedures necessary to get the M&E system fully functional and serving its intended purposes.

Monitoring practice in the KZN DEDT needs to move away from the rational ideal model for M&E procedures and should instead follow a more incrementalist approach in for the system to become more effective. One of the reasons for this recommendation is that M&E theory and practice is still relatively new in South Africa. The department is in the early stages of implementing the GWMES and, as a result, many problems may arise. Addressing problems regularly will lead to the department improving M&E practice and its ability to provide relevant information pertaining to the KZN DEDT's mandate.

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APPENDICES

Appendix 1

Monitoring and Evaluation Activities of the M&E Sub-programme

Strategic objective: To determine the effectiveness and impact of provincial economic development policies, strategies and programmes.

Strategic Objective	To determine the effectiveness and impact of provincial economic development policies, strategies and programmes.
Objective Statement	To monitor and evaluate Departmental projects and strategies.
Baseline	No of projects monitored and evaluated to date: 1. Monitored: 55. Evaluated: 33
Justification	This objective will contribute towards DEDT effectiveness and thus improvement in its performance.
Links	The objective will contribute towards public sector service delivery improvement and growth in the economic sector.
Strategic Objective	To determine the effectiveness and impact of provincial economic development policies, strategies and programmes.
Objective Statement	Provide M&E capacity building for relevant stakeholders in the province.
Baseline	No of stakeholder trained to date: 295
Justification	This objective will contribute towards M&E capacity enhancement in the province.
Links	The objective will contribute towards improvement of capacity on M&E skills.

Performance Indicator	Audited/Actual performance		Estimated performance 2012/13	Medium-term targets			
	2009/10	2010/11		2011/12	2013/14	2014/15	2015/16
1. Measurable Objective: To monitor and evaluate Departmental projects and strategies.							
1.1 Number of monitoring reports produced***	2	2	9	12	14	14	16
1.2 Number of evaluation reports produced***	3	3	3	5	5	5	5
2. Measurable Objective: To provide M&E capacity building for relevant stakeholders in the province.							
2.1 Number of stakeholders trained on M&E	52	38	60	55	30	30	40

Performance Indicator	Reporting period	Districts	Annual Target	Quarterly targets			
				Quarter 1	Quarter 2	Quarter 3	Quarter 4
1. Measurable Objective: To monitor and evaluate Departmental projects and strategies.							
1.1 Number of monitoring reports produced***	Quarterly	All	14	3	4	3	4
1.2 Number of evaluation reports produced***	Annually	All	5	0	0	2	3
2. Measurable Objective: To provide M&E capacity building for relevant stakeholders in the province							
2.1 Number of stakeholders trained on M&E	Annually	All	30	30	Ongoing	Ongoing	Ongoing

Source: (KZN DEDT ,2013: 100).

Appendix 2

Performance Verification Tool

Table 2: Performance Verification Template
Strategic Objective: To implement strategies for the positioning of the industrial sector as a key contributor to economic growth and development

Measurable objectives	Performance measure indicator	1st Quarter							
		Target as per 2010/2011 App	Planned Output	Actual Output	Verified Output (For M&E use only)	File Number (For M&E use only)	Means of verification	Reasons for variance	Plans to redress variance
Promote skills development in logistics	No of logistics infrastructure projects initiated	0	0						
	Number of workshops held on the Rural Logistics Viability study Report	0	0						
	No of strategies to address skills development	0	0						

Sub-Programme Manager _____ Date: _____

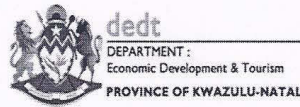
Programme Manager _____ Date: _____

Verified by _____ Date: _____

Source: (KZN DEDT, 2010: 21).

Appendix 3

KZN DEDT Performance Assessment Tool



PROJECT ASSESSMENT TOOL

Project Name:	DEDT Project Manager:
Project Description:	DEDT Monitor:
Date of signed SLA ¹ :	Sector:
Project Current Status:	Date of the Site Visit:
Project Total Cost:	DEDT's Contribution:

Project Design/Management

(1) Very Poor - (2) Poor - (3) Good - (4) Very Good	1	2	3	4
Quality of the Project Design (Indicators, Log Frame, & Baseline)				
SMART Intended Goals and Objectives				
Alignment of the intervention to the Problem Statements and APP				
Project Implementation				
Progress towards achieving Intended Purpose				
Project Plans against Actual activities as per SLA				
The mitigation plan in place				
Project Monitoring				
Quality of Project Monitoring System				
Institutional Capacity of the Implementing Agency				
Financial execution against Budget and Time				

¹ Service Level Agreement

PROJECT ASSESSMENT TOOL

Project Name:	DEDT Project Manager:
Project Description:	DEDT Monitor:
Date of signed SLA ¹ :	Sector:
Project Current Status:	Date of the Site Visit:
Project Total Cost:	DEDT's Contribution:

Project Design/Management

(1) Very Poor - (2) Poor - (3) Good - (4) Very Good	1	2	3	4
Quality of the Project Design (Indicators, Log Frame, & Baseline)				
SMART Intended Goals and Objectives				
Alignment of the intervention to the Problem Statements and APP				
Project Implementation				
Progress towards achieving Intended Purpose				
Project Plans against Actual activities as per SLA				
The mitigation plan in place				
Project Monitoring				
Quality of Project Monitoring System				
Institutional Capacity of the Implementing Agency				
Financial execution against Budget and Time				

¹ Service Level Agreement

Appendix 4

Interview Guide for Programme, Project and Line Managers

The Kwa-Zulu Natal Department of Economic Development and Tourism Interview Guide

Programme, Project and Line Managers

Respondent No. _____

The Purpose of this study is to explore and describe the experiences of the institutionalisation and implementation of the Government-Wide Monitoring and Evaluation System within the Kwa-Zulu Natal Department of Economic Development and Tourism

This study is purely for academic purposes.

Your Participation is highly appreciated.

Please fill in where appropriate.

- What is your understanding of the GWM&E systems? (Prompt: aims and objectives/ purposes)
- What is your understanding of the monitoring and evaluation system in the KZN Department of Economic Development and Tourism (DEDT)? (Prompt its aims and objectives).
- Is there a relationship between the two? What is the relationship between the two?
- How is it the GWM&E System in the KZN DEDT being implemented? (M&E System management, data collection)
- What specifically are your roles and responsibilities (tasks) in relation to M&E within KZN DEDT?
- What has been your experience in carrying out your tasks related to M&E?
- What are some of the issues that have emerged during the implementation of GWM&E at the KZN DEDT?
- How have you attempted to deal with some of these issues?
- How is the information collected from M&E programmes used within the KZN DEDT (Reporting of M&E findings)?

- Has there been any change since the introduction of the GWM&E system in the KZN DEDT? If so what kind of change?
- How does M&E assist the KZN DEDT in realising their programme goals and objectives?

Appendix 5

Interview Guide for Monitoring and Evaluation Unit

The Kwa-Zulu Natal Department of Economic Development and Tourism Interview Guide

Monitoring and Evaluation Unit

Respondent No. _____

The Purpose of this study is to explore and describe the experiences of the institutionalisation and implementation of the Government-Wide Monitoring and Evaluation System within the Kwa-Zulu Natal Department of Economic Development and Tourism

This study is purely for academic purposes.
Your Participation is highly appreciated.

Please fill in where appropriate.

- What is your understanding of the GWM&E systems? (Prompt: aims and objectives/ purposes of the GWM&E system)
- What is your understanding of the monitoring and evaluation system in the KZN Department of Economic Development and Tourism (DEDT)? (Prompt its aims and objectives).
- Is there a relationship between the two? What is the relationship between the two?
- How is/ was the monitoring and evaluation systems in the DEDT designed? Who was involved? What processes were involved in the design? (Prompts : meetings/ workshops/ level of participation etc. what kinds of inputs did you give etc.)
- How is it being implemented? What are the structures, processes, personnel, data collection tools, data inputting, M&E system management, database system used when implementing GWM&E in the KZN DEDT?
- What specifically are your roles and responsibilities (tasks) in relation to M&E within KZN DEDT?
- What has been your experience in carrying out your tasks related to M&E?

- What are some of the issues that have emerged for you while collecting information for M&E?
- How have you attempted to deal with some of these issues?
- How is the information collected from M&E programmes used within the KZN DEDT?