

UNIVERSITY OF KWAZULU-NATAL

**EVALUATING THE IMPACT OF MONITORING AND EVALUATION ON
PERFORMANCE IN THE KWAZULU-NATAL SHARKS BOARD**

by

Mpho Nana LEKOBA

213571893

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Supervisor: Professor TI Nzimakwe

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DECLARATION

I, **Mpho Nana LEKOBA**, declare that

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(ii) This dissertation has not been submitted for any degree or examination at any other university.

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ABSTRACT

The objective of the study was to determine the impact of monitoring and evaluation on improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness, with a focus on the KwaZulu-Natal Sharks Board public entity. Further, the study was aimed at analysing the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board. The study also assessed the extent to which employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board. A quantitative research approach was adopted and quantitative data collection techniques employed, which included the administering of questionnaires. The respondents comprised of staff of the KwaZulu-Natal Sharks Board. The study targeted 20 participants and all questionnaires were returned, indicating a response rate of 100 per cent. A simple random technique was used to select executive management, middle management, supervisors and staff of KwaZulu-Natal Sharks Board. Quantitative data was analysed using correlation and percentages. The findings revealed that there are high levels of agreement and show that respondents have an understanding of what the monitoring and evaluation is and what they need to do so that positive impact is achieved, which can improve performance and enhance accountability, good governance, efficiency and effectiveness within the KwaZulu-Natal Sharks Board. It was concluded that monitoring and evaluation enhances accountability, management decision, organisational learning and promotes good governance. The study recommended that monitoring and evaluation should not only be structured to insignificant compliance; but should also support and enhance evidence-based decision making. Monitoring and evaluation must be properly institutionalised, resourced, funded and properly located so as to mediate policy processes, planning and service delivery. This will better inform the implementation strategy of monitoring and evaluation in the organisation.

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ACRONYMS

GWM&E	Government-Wide Monitoring and Evaluation
KZN	KwaZulu-Natal
KZNSB	KwaZulu-Natal Sharks Board
MTEF	Medium-Term Expenditure Framework
M&E	Monitoring and Evaluation
NEPF	National Evaluation Policy Framework
PSC	Public Service Commission
SMART Time-bound	Specific Measurable Achievable Results-Focus and Time-bound
MTSF	Medium-Term Strategic Framework
SASQAF	South African Statistical Quality Assessment Framework

CHAPTER ONE

INTRODUCTION AND OVERVIEW OF THE STUDY

1.1 INTRODUCTION

The concept of monitoring and evaluation has the potential to assist governments, companies, international donors, foundations and non-profit organisations in Africa with the information and insight they need to improve their interventions and produce better results, and ultimately achieve a greater impact on economies and people's lives. Monitoring and evaluation (M&E) is a process that helps improve performance and achieve results. Its goal is to improve current and future management of outputs, outcomes and impact. It is mainly used to assess the performance of projects, institutions and programmes set up by governments, international organisations and non-governmental organisations (NGOs). The study will be conducted based on a case study of the organisation called KwaZulu-Natal Sharks Board, a Schedule 3C public entity in terms of the Public Finance Management Act No. 1 of 1999, reporting under the KwaZulu-Natal Provincial Department of Economic Development, Tourism and Environmental Affairs.

There has been a shift in public sector management to ensure that government institutions are more accountable to their stakeholders and also to perform more efficiently and effectively. According to Kusek and Rist (2004), stakeholders are no longer interested in organisational activities and outputs, they are now interested in actual outcomes. In other words, there is growing pressure on governments and organisations around the world to be more responsive to the demands of internal and external stakeholders for good governance, accountability and transparency, greater development effectiveness, and delivery of tangible results. Therefore, monitoring and evaluation is one of the critical tools that the public sector utilises effectively in addressing the issues of inefficiency, ineffectiveness and wasteful management of public resources. It is for that reason that as demands for greater accountability and real results have increased, there

is an attendant need for enhanced results-based monitoring and evaluation of policies, programmes, and projects. Just as governments need financial and human resources, and accountability systems, governments also need good performance feedback systems (Kusek and Rist, 2004).

1.2 BACKGROUND OF THE STUDY

In South Africa, the National Treasury developed a framework for managing programme performance in 2007. The Framework for Managing Programme Performance by National Treasury (hereafter referred to as the National Treasury Framework) states that in order to ensure that public service delivery is as efficient and economical as possible, all government institutions are required to formulate strategic plans, allocate resources to the implementation of those plans, and monitor and report on the results. Performance information is essential to focus the attention of the public and oversight bodies on whether public institutions are delivering value for money. The National Treasury Framework further states that the most valuable reason for measuring performance is that what gets measured gets done.

The National Treasury Framework aims to:

- Clarify definitions and standards for performance information in support of regular audits of such information where appropriate;
- Improve integrated structures, systems and processes required to manage performance information;
- Define roles and responsibilities for managing performance information; and,
- Promote accountability and transparency by providing parliament, provincial legislatures, municipal councils and public with timely, accessible and accurate performance information (Framework for Managing Programme Performance by National Treasury, 2007).

According to Kusek and Rist (2004), results-based monitoring and evaluation is a powerful public management tool that can be used to help policymakers and decision

makers track progress and demonstrate the impact of a given project, programme, or policy. Results-based monitoring and evaluation differs from traditional implementation-focused monitoring and evaluation in that it moves beyond an emphasis on inputs and outputs to a greater focus on outcomes and impacts.

1.3 PROBLEM STATEMENT/STATEMENT OF THE RESEARCH PROBLEM

There are challenges facing the KwaZulu-Natal Sharks Board with regards to establishing the monitoring and evaluation system.

Monitoring and evaluation systems are established or designed to inform programme management whether implementation is going as planned and whether corrective action is needed to adjust implementation plans. In addition, monitoring and evaluation systems should provide evidence of programme or project outcomes and justify programme or project funding allocations. The roles of monitoring and evaluation are as follows:

Monitoring	Evaluation
<ul style="list-style-type: none"> ▪ Routine collection of information. 	<ul style="list-style-type: none"> ▪ Analyses information as to why intended results were or were not achieved.
<ul style="list-style-type: none"> ▪ Tracks project implementation progress and links activities and their resources to objectives. 	<ul style="list-style-type: none"> ▪ Ex-post assessment of effectiveness and impact, and/or assesses specific causal contributions of activities to results.
<ul style="list-style-type: none"> ▪ Measures efficiency. 	<ul style="list-style-type: none"> ▪ Confirms project expectations.
<ul style="list-style-type: none"> ▪ Measures impacts. 	
<ul style="list-style-type: none"> ▪ Question: Is the project doing things right? 	<ul style="list-style-type: none"> ▪ Question: Is the project doing the right things?

The challenge that this study seeks to address is to make the employees aware of the impact of monitoring and evaluation on improving performance. The challenges faced by the KwaZulu-Natal Sharks Board are to get a buy-in from employees for the system to be implemented effectively and efficiently, and for the monitoring and evaluation system to be embraced as a management tool.

1.4 RESEARCH QUESTIONS

The study attempts to answer the following key questions:

- To what extent do employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board?
- To what extent are the strategic goals and plans of the entity understood by the employees of the KwaZulu-Natal Sharks Board?
- What are the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board, and
- What are the best practices of monitoring and evaluation systems and possible solutions that can be adopted to solve challenges in the KwaZulu-Natal Sharks Board?

1.5 OBJECTIVES OF THE STUDY

The objectives of the study are:

- To assess the extent to which employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board;
- To ascertain the extent to which the strategic goals and plans of the entity are understood by the employees of the KwaZulu-Natal Sharks Board;
- To analyse the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board; and
- To explore and draw from the existing best practices of monitoring and evaluation systems and therefore propose solutions to the existing and identified problems in the KwaZulu-Natal Sharks Board.

1.6 LITERATURE REVIEW

1.6.1 Defining 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 (and real-time) feedback on progress in implementation and results, and early indicators of problems that need to be corrected (Rabie, 2010: 137). It usually reports on actual performance against what was planned or expected. In summary, monitoring asks whether the things that are planned are being done right, while evaluation is asking are people doing the right things, are they effective, efficient and providing value for money, and how can things be done better.

Evaluation has the element of judgment, and must be done against objectives or criteria. Evaluation is often seen as only occurring at the end of an intervention, while different forms of evaluation should be undertaken at different phases, from prior to an intervention, during an intervention (e.g. to check whether the activities are leading to outputs, and outputs to outcomes), and after the intervention has been completed, which is called ex-post evaluation (South Africa, 2011).

Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policymakers. Evaluations may assess relevance, efficiency, effectiveness, impact and sustainability. Impact evaluations examine whether underlying theories and assumptions were valid, what worked, what did not, and why. Evaluation can also be used to extract crosscutting lessons from operating unit experiences and determining the need for modifications to strategic results frameworks (Policy Framework for the Government-wide Monitoring and Evaluation System (GWME&E)).

The public sector's major challenge is to become more effective. Monitoring and evaluation processes can assist the public sector in evaluating its performance and identifying the factors which contribute to its service delivery outcomes. Monitoring and

evaluation is uniquely oriented towards providing its users with the ability to draw causal connections between the choice of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the services actually delivered and their ultimate impact on communities. Monitoring and evaluation helps to provide an evidence base for public resource allocation decisions and helps identify how challenges should be addressed and successes replicated (Policy Framework for the Government-wide Monitoring and Evaluation System (GWME&E)).

1.6.2 Monitoring and Evaluation Policy Framework

The Constitution of the Republic of South Africa of 1996, Chapter 2, under Section 33 states that all citizens have a right to a just administrative action. Section 33 of the constitution continues by saying that national legislation must be passed to give effect to this right and also promote effective administration. The Promotion of Administrative Justice Act No. 3 of 2000 gives effect to Section 33 of the Constitution of the Republic of South Africa of 1996. This Act promotes an efficient administration and good governance, and creates a culture of accountability, openness and transparency in the public administration or in the exercise of a public power or the performance of a public function, by giving effect to the right to just administrative action.

Chapter 10 of the *Constitution* of the Republic of South Africa of 1996, Section 195(1) states that public administration should be governed by the principles and values of democracy. These democratic principles include the following (RSA, 1996):

- (a) A high standard of professional ethics must be promoted and maintained.
- (b) Efficient, economic and effective use of resources must be promoted.
- (c) Public administration must be development-oriented.
- (d) Services must be provided impartially, fairly, equitably and without bias.
- (e) People's needs must be responded to, and the public must be encouraged to participate in policymaking.
- (f) Public administration must be accountable.
- (g) Transparency must be fostered by providing the public with timely, accessible and accurate information.

- (h) Good human resource management and career development practices, to maximise human potential, must be cultivated.
- (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.

The above principles apply to (a) administration in every sphere of government; (b) organs of the state; and (c) public enterprises. National legislation must ensure the promotion of the values and principles listed in Section 195 of the Constitution of the Republic of South Africa of 1996. To ensure that citizens receive a just administration and also to ensure that the principles of democracy are adhered to, government developed monitoring and evaluation policies. Effective monitoring and evaluation increases the effectiveness of public service by improving policy, planning, strategy as well as impact.

1.7 RESEARCH METHODOLOGY

1.7.1 Research Design

The purpose of research design is to plan and structure a research project in such a way that it enhances the ultimate validity of the research findings (Bailey, 1987: 81; Mouton and Marais, 1992:52). The quantitative research method will be used in collecting data. This research method is briefly described in the following section:

1.7.2 Quantitative Methods

Quantitative research is described by the terms 'empiricism' (Leach, 1990) and 'positivism' (Duffy, 1985). It derives from the scientific method used in the physical sciences (Cormack, 1991: 18). This research approach is an objective, formal systematic process in which numerical data findings will be evaluated. It describes, tests and examines cause and effect relationships (Burns and Grove, 1987), using a deductive process of knowledge attainment (Duffy, 1985). Quantitative methods produce legitimate scientific answers as a result of hard data, action is generated, and changes take place

(Melia, 1982). Duffy (1985:67) states that “quantitative research is a research methodology which demands random selection of the sample from the study population and the random assignment of the sample to the various study groups”.

According to Creswell (2009: 4), quantitative research is a means for testing objective theories by examining the relationship among variables. These variables, in turn can be measured, typically on instruments so that numbered data can be analysed using statistical procedures. This study will therefore adopt a quantitative research approach.

1.7.3 Data Collection Methods

An empirical study will be conducted where primary sources will be used in order to obtain the necessary data for the research. The study will use a non-random probability sample. Primary data will be collected from staff members through a self-administered questionnaire. This will be an efficient and fast method to use as data will be collected on campus. Secondary data will also be collected from textbooks and journal articles relating to the phenomenon being studied. The questionnaire will help obtain an objective view in order to determine the perceptions of staff members regarding monitoring and evaluation, and their awareness of the monitoring and evaluation policy. A Likert scale will be used in the construction of questions (Neuman, 1997).

1.7.4 Sampling

Staff members of the KwaZulu-Natal Sharks Board will constitute the population from which the sample will be drawn. A list of all staff members will be obtained from the human resources division and a random sample of 20 will be chosen from five (5) different divisions of the KwaZulu-Natal Sharks Board and four (4) questionnaires distributed in each division.

1.7.5 Data Collection Instruments

The data collection instrument to be used in this study is a questionnaire. According to Treece and Treece (1986: 277), “the questionnaire is the most common research instrument”. A questionnaire will be administered to all 20 staff members and allowed for

the participants' anonymity. The questions asked are close-ended, straightforward and will not cause sudden discomfort to the participants.

The questionnaire will have a covering letter stating the objectives of the study. Confidentiality and anonymity will be guaranteed because of the sensitivity of the study, so that participants can answer questions fully without prejudice.

The close-ended questions will be based on a five-point Likert scale in order to measure participants' attitudes ranging from strongly agree to strongly disagree. This is appropriate because it will provide an insight into what participants are thinking and will measure the responses of all participants.

Bailey (1987: 201) confirms that the use of a questionnaire in a study of this nature has the following advantages: (i) It is the most commonly-used research instrument. It is assumed that respondents will not have a problem in filling it in, provided they are fully informed about the purpose of the study; (ii) It is a useful tool for collecting data from a widely dispersed population as cheaply, rapidly and efficiently as possible; (iii) Respondents express their views more freely in a questionnaire compared to interviews, where anonymity may be doubtful; (iv) A questionnaire gives the respondent time to contemplate his or her responses to the questions, and (v) Absence of a researcher when the questionnaire is filled in encourages honesty, prevents bias and measurement is enhanced because respondents respond to the same questions.

1.7.6 Data Analysis

Data will be captured, cleaned and analysed using the latest version of Statistical Package for Social Science (SPSS), a reputable computer-based data analysis package, to produce reliable analysis presented in tables and graphs.

1.8 ETHICAL CONSIDERATIONS

The approval for this research was obtained from the Ethics Committee of the University of KwaZulu-Natal. In addition, the gate keeper's letter was obtained from the KwaZulu-Natal Sharks Board. Informed consent was sought from the respondents to participate voluntarily in the study. Participants were reminded that privacy, confidentiality and anonymity would be maintained with regards to their responses in the questionnaires,

1.9 LIMITATIONS OF THE STUDY

The study will be limited to the KwaZulu-Natal Sharks Board headquarters in Umhlanga. It would be difficult for the researcher to collect data from all the base stations along the KwaZulu-Natal coastline due to time constraints in terms of questionnaire returns, identifying and targeting of respondents, and the administering of the questionnaire.

1.10 STRUCTURE OF THE DISSERTATION

The research paper consists of five chapters as structured below:

Chapter 1: Introduction and the overview of the study

Chapter one provides the introduction and the overview of the study where the background of the study, problem statement, objectives of the study, research questions, research methodology, ethical considerations and limitations of the study are discussed.

Chapter 2: Literature review and theoretical framework

This chapter seeks to review literature on monitoring and evaluation and also looks at the theoretical framework on monitoring and evaluation. The legislative framework on monitoring and evaluation will be detailed.

Chapter 3: Research methodology and design

This chapter explores the research methodology, and research design that will be used to accomplish the research objectives.

Chapter 4: Data presentation and interpretation of findings

Chapter four discusses data presentation, and the interpretation of the findings. This chapter intends to present the data collected in terms of the methodology outlined in chapter 3 and is adhered to in terms of data collection. The data is in a structured format from the respondents and recorded objectively. Data analysis is also presented in this chapter.

Chapter 5: Conclusions and recommendations

Conclusions and recommendations of the study are presented in this chapter. The recommendations of this study are based on the findings and conclusions that have been reached during the discussion.

1.11 CONCLUSION

It is evident in the review of relevant literature that monitoring, and evaluation have a significant impact and role to play in improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness in the KwaZulu-Natal Sharks Board public entity. It is imperative that monitoring and evaluation forms part of an organisation's strategic drive to gain a sustainable competitive advantage in the market place. This chapter has discussed the need for the study, the background of the study, objectives, research methodology, literature review, ethical considerations and the limitations of the study. The next chapter is a discussion of the literature review and theoretical framework of the study.

CHAPTER TWO

LITERATURE REVIEW AND THEORETICAL FRAMEWORK

2.1 INTRODUCTION

This section will review the existing academic literature on monitoring and evaluation by different scholars and researchers. Neuman (2009) states that conducting a literature review builds on the idea that knowledge accumulates, and we can learn and build on what others have done. Therefore, this puts the current research in context and shows how it connects to previous studies. Through the literature review the concepts are unpacked and the conceptual framework is constructed (Badenhorst, 2007). Literature review is defined as a critical assessment of what has been done in the past in the given discipline, more in the direction of revision and, or reconsideration (Nkantini, 2005: 26).

The chapter begins with a discussion on the monitoring and evaluation situation in the South African public sector context. This is followed by a discussion on the South African government-wide context.

2.2 MONITORING AND EVALUATION IN THE SOUTH AFRICAN PUBLIC SECTOR

It has been acknowledged generally across government that, although the level of services has increased dramatically since 1994, the quality of those services is often not as good as it should be. Government must be more effective in its actions, and must improve the quality of its services. Since 1994 access to services has successfully been expanded, however the quality of services has often been below standard. Massive increases in expenditure on services have not always brought the desired or expected results (The Presidency).

According to Rabie (2010: 139) with ever increasing pressure on government to ensure the sustainable development of the country through its governance and service delivery

processes, there is an attendant need to demonstrate the delivery of tangible results proofing responsive, accountable governance and the attainment of outcomes. While the evaluation of government programmes is to some extent institutionalised in the planning and reporting cycles of government, the past focus of these evaluations was mostly on financial compliance and the outputs of the programmes.

To deliver on its developmental mandate and long-term strategies, government needs to adopt an outcomes-based evaluation focus, and develop and institutionalise monitoring and evaluation systems that will provide credible, continuous information on the progress and deviation in attaining development outcomes (Rabie, 2010: 139).

‘Country-led’ evaluation is the response to obtaining information on government’s own development outcomes and progress. South Africa has embarked on the process of establishing a country-led evaluation system. The emerging system as presented in complementing new policies and supporting documents can benefit from considering best-practice guidelines and experiences of other countries which have established country-driven monitoring and evaluation systems in consolidating and implementing the system (Rabie, 2010: 39).

To give realisation to these principles, countries need to establish and institutionalise a systematic approach to evaluate national and sectoral development strategies with regular reporting to parliament, government and civil society on present standards (Segone 2008b: 17-25, Segone 2009: 26 cited by Rabie, 2010: 139). Country-led evaluation is defined as evaluation whereby the country determines what is to be evaluated, what methods will be used, the approaches to be taken, and how findings will be communicated and used (Segone 2009: 24 cited by Rabie, 2010: 139).

Integrated monitoring and evaluation strategies aim to expand the research and evaluation knowledge base that informs policymaking (Rabie, 2010). Monitoring and evaluation systems and strategies should comprise decisions about what constitutes appropriate evaluation designs and methodology, balancing accuracy with time

constraints, identifying and overcoming gaps in current information and presentation of the policies that provide the framework for monitoring and evaluation in the South African public sector. Good practice guidelines for government-driven monitoring and evaluation systems are derived from the selected international systems and reconciled with the World Bank's best practice guidelines. South Africa's emerging public-sector monitoring and evaluation framework as outlined in the new Green Paper on Improving Government Performance, the Government-wide Monitoring and Evaluation System policy and other supporting policies and documents form the basis for the monitoring and evaluation in the public sector (Rabie, 2010: 139).

The United Nations Development Programme (2002) Handbook on Monitoring and Evaluating for Results states that the growing demand for development effectiveness is largely based on the realisation that producing good 'deliverables' is not enough. Efficient or well-managed projects and outputs will lose their relevance if they yield no discernible improvement in development conditions and ultimately in people's lives.

Having realised this, there has been a shift in public sector management to ensure that government institutions are more accountable to their stakeholders and also perform efficiently and effectively. According to Kusek and Rist (2004), stakeholders are no longer interested in organisational activities and outputs, they are now interested in actual outcomes. In other words, there is growing pressure on governments and organisations around the world to be more responsive to the demands of internal and external stakeholders for good governance, accountability and transparency, greater development effectiveness, and delivery of tangible results. Governments, parliaments, citizens, the private sector, non-governmental organisations (NGOs), civil society, international organisations, and donors are among the stakeholders interested in better performance.

Therefore, monitoring and evaluation is one of the critical tools that the public sector utilises effectively in addressing the issues of inefficiency, ineffectiveness and wasteful management of public resources. It is for this reason that as demands for greater accountability and real results have increased, there is an attendant need for enhanced

results-based monitoring and evaluation of policies, programmes, and projects. This emphasis is part of the overall establishment process of the developmental state. One of the ways that government would want to increase effectiveness is by concentrating on monitoring and evaluation, as it improves performance and optimises impact (The Presidency, 2007).

According to the Policy Framework for the Government-wide Monitoring and Evaluation System the government's major challenge is to become more effective. Monitoring and evaluation processes can assist the public sector in evaluating its performance and identifying the factors which contribute to its service delivery outcomes.

In the National Treasury Guideline, the framework and templates for provincial departments for the preparation of strategic and performance plans, the National Treasury proposes that departments should describe strategic goals for each of the following areas - which can be viewed as perspectives:

- Service delivery;
- Management/organisation;
- Financial management; and
- Training and learning.

By implication, a set of perspectives was also chosen when the framework for annual reports was prescribed for the South African Public Service, because the framework requires of departments to report on their performance under specific headings. The annual report is an important accountability instrument and it contains performance information. When thinking about the content of the Annual Report, the National Treasury had to decide what perspectives (which subsequently became chapters in the report) to include (Public Service Commission, 2008).

The annual report should be a summary of monitoring and evaluation information available in the department. Underpinning the information in the annual report should be proper monitoring and evaluation systems, and evaluations of the department as an institution and of the programmes it offers. The annual report should focus on

performance, and to give a balanced view, should include different perspectives and should anticipate key questions that the department's stakeholders may have (Public Service Commission, 2008).

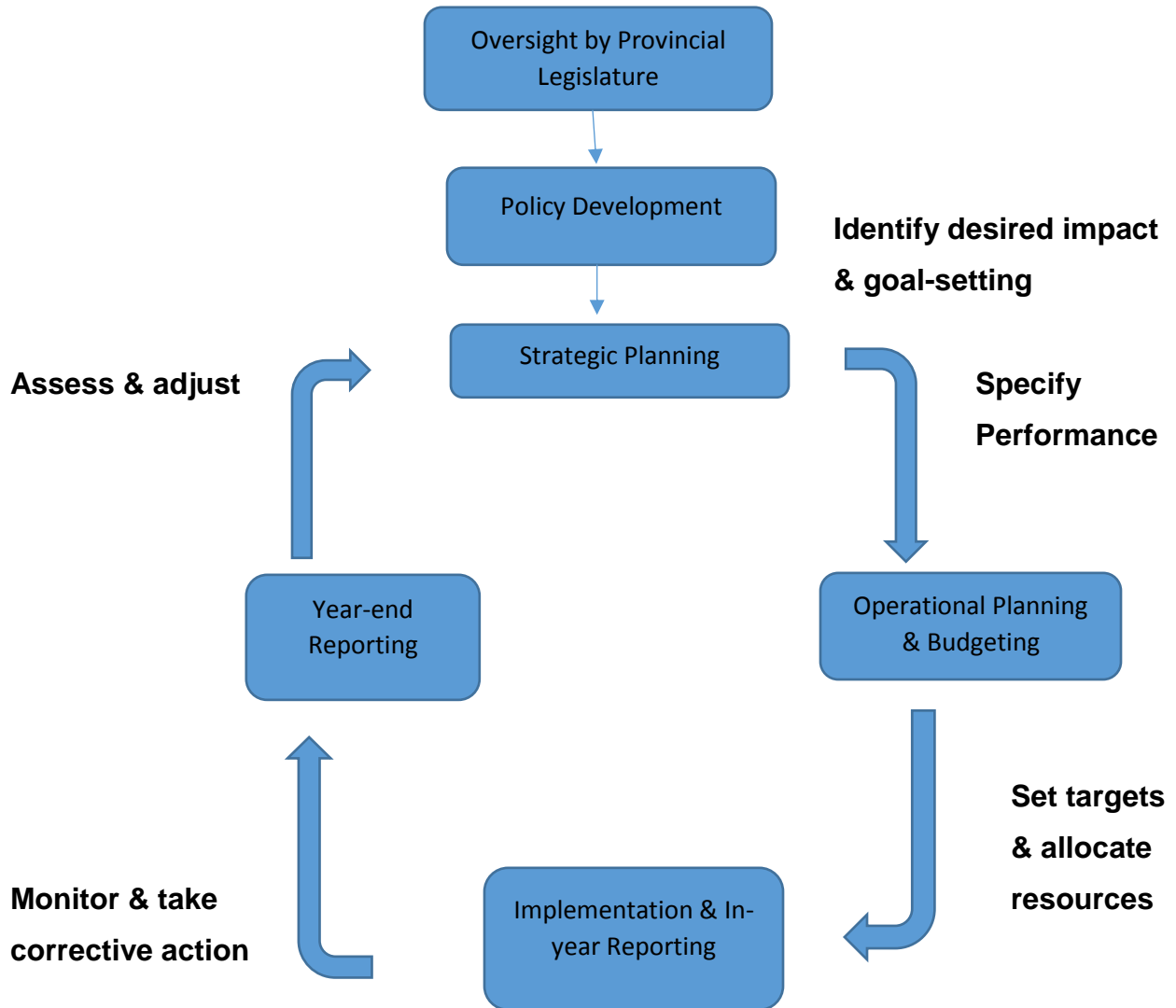
2.3 THEORETICAL FRAMEWORK ON MONITORING AND EVALUATION

There are theories that underpin the monitoring and evaluation system on improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness thereby ensuring effective service delivery. It is important to note that the public sector performance is regulated by policy instruments to guide governmental activities.

The policy instrument has goal-settings identified which are to be translated into deliverables. These policies are statements comprising a series of decisions which need to be communicated, in order to provide guidance that influences practice and enables the attainment of predetermined goals (Ile, *et al.*, 2012). This is important because the policies can and do fail if they are not closely monitored and appropriately evaluated as these are fundamental instruments for improving governance and delivery functions (Ile *et al.*, 2012).

These policies guide implementers to bring about the desired change and thereby enhance the quality of life of citizens in the country. The policies therefore provide the foundations for the formulation of strategic plans to steer government activities accordingly. They form the basis for developing strategic plans and have to be followed by managers, officials and political office holders. Monitoring follows implementation and the policy gets evaluated periodically to determine its impact. Therefore, the theoretical framework to be looked at is the goal-setting theory.

Figure 2.1: The overall planning, budgeting and reporting cycle:



Source: Ile *et al* (2012)

2.4 LEGISLATIVE FRAMEWORK ON MONITORING AND EVALUATION

2.4.1 Monitoring and Evaluation Policy Framework in South Africa

The centralised sphere of monitoring and evaluation is laid down in The Constitution of the Republic of South Africa (1996), and the White Paper on Transforming Public Service Delivery (Batho Pele White Paper) (1997). What is setting the scene for an integrated system of public sector monitoring and evaluation in South Africa is the discussion Green

Paper on National Performance (2009) and the development of the Policy Framework for a Government-wide Monitoring and Evaluation System (2007), the National Treasury Framework for Managing Programme Performance Information (2007), the South African Statistical Quality Assessment Framework (SASQAF), first edition (2008) and the Presidency's annual mid-term development indicators. To capture the essence of the South African system for public sector monitoring and evaluation the key excerpts from the respective documents will be presented.

2.4.2 Draft National Guiding Principles and Standards for Monitoring and Evaluation of Public Policies and Programmes

The guiding principles and standards were developed in 2006 in terms of the requirement of Chapter 10, Section 195(1) of the Constitution of the Republic of South Africa of 1996. They set the principles, practices, norms and standards for monitoring and evaluating of government policies, projects and programmes. Monitoring is about setting targets and selecting indicators, the challenge is to manage the monitoring system that integrates different types of information. In terms of Chapter 10, Section 195(1) of the Constitution of the Republic of South Africa of 1996, it advises that developing a monitoring matrix is a solution, and also to prepare a performance monitoring plan that details the data collection and data analyses. It is indicated that monitoring has four purposes which are:

- Effective management - identifying evidence of deviations from planned implementation and challenges that need to be solved;
- Policy transparency - consulting citizens on issues of policy development, financing and implementation;
- Democratic accountability - informing citizens of the government plans, budget allocation, expenditure and deviation or mismatch; and
- Feasible target setting - identifying the past achievements and build from them.

2.4.3 Policy Framework for the GWM&E System

In November 2007, the South African government published a Policy Framework for the Government-Wide Monitoring and Evaluation System. The aim of this policy framework is to ensure that the public sector understands the importance of monitoring and

evaluation as a tool to evaluate and identify factors that are contributing to the outcomes of service delivery. The internal management systems like planning, budgeting and reporting systems are integral in the GWM&E. The GWM&E highlights the principles of monitoring and evaluation, these principles of M&E encompass the principles of democracy as enshrined in Chapter 10 of the Constitution.

The GWM&E system produces improved quality of performance information and analysis of inputs, outputs and outcomes at programme level within departments. There are three data terrains that underpin the GWM&E system: the programme performance; social, economic and demographics statistics; and evaluation.

The *programme performance* information focuses more on the output and outcome information that is collected by the departments as part of meeting their mandates and implementing the policies. This information is part of the strategic and annual performance plans and budgets, it also clarifies standards for performance and promotes accountability to provincial legislature and the public through timely, accessible and accurate publication of performance information.

The *social, economic and demographic statistics* put more focus on information collected by Statistics South Africa.

The *evaluation* focuses on the standards, processes, and techniques of planning and evaluating the government programmes and policies and communicating the results of the evaluations.

“It is important that the three components of the GWM&E be understood and be integrated with other reforms such as the MTEF, and In-Year-Management, Human Resource Planning, Annual Reporting and Monitoring such as the Public Management Watch Programme” (South Africa 2007). The strategic plan and annual performance plan of the department should adopt an M&E strategy which clearly outlines the approach the department will adopt in creating and operating monitoring and evaluation systems that produce efficient results and improve service delivery and governance. The monitoring and evaluation strategy also specifies the procedure for building the human capacity to perform the monitoring and evaluation function.

2.4.4 National Evaluation Policy Framework

The National Evaluation Policy Framework (NEPF) was introduced in the GWM&E policy framework to support quality evaluations and also to ensure that credible and objective evidence from evaluation is incorporated in planning, budgeting, organisational improvement, policy review, as well as on-going programmes and project management, to improve performance.

2.4.5 Monitoring and Evaluation System

A monitoring and evaluation system is a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other institutions to discharge their monitoring and evaluation functions effectively. In addition to these formal managerial elements are the organisational culture, capacity and other enabling conditions which will determine whether the feedback from the monitoring and evaluation function influence the organisation's decision making, learning and service delivery (Policy Framework for the Government-wide Monitoring and Evaluation System).

2.4.6 Relationship between Institutional Monitoring and Evaluation Systems and the GWM&E System

It is a statutory requirement that the accounting officer of a department or municipality, or the chief executive officer of a public entity, is required to establish a monitoring and evaluation system for the institution. Primary users of the monitoring and evaluation system will use these source systems to refine their planning and implementation processes. The data and information from these source systems will also be used by other stakeholders in the GWM&E system to create an overall picture of national, provincial and local performance. These secondary users may use derived IT systems to collate and analyse the data from the underlying organisational source systems (Policy Framework for the Government-wide Monitoring and Evaluation System).

The rationale of this study is to determine the impact of monitoring and evaluation on improving public sector performance, and enhancing accountability, good governance, efficiency and effectiveness of the KwaZulu-Natal Sharks Board public entity. The study will also seek to identify short-comings and problem areas with the existing monitoring and evaluation system, both formalised as well as informal systems. The study will categorise the problems identified and also identify the root causes.

Furthermore, it will also draw from the existing best practices of good monitoring and evaluation systems and therefore propose solutions to the existing and identified problems. It will continue to discuss the existing institutional arrangements for monitoring and evaluation, including the current links between monitoring and evaluation and the strategic planning and programme implementation functions.

2.4.7 The Constitution of the Republic of South Africa of 1996

Public sector monitoring and evaluation is but one part of instilling a performance culture and ethos in the public service (Rabie, 2010: 146). The Constitution of the Republic of South Africa of 1996 provides the basic principles that should underpin the public service as thus:

- (a) A high standard of professional ethics must be promoted and maintained.
- (b) Efficient, economic and effective use of resources must be promoted.
- (c) Public administration must be development-oriented.
- (d) Services must be provided impartially, fairly, equitably and without bias.
- (e) People's needs must be responded to, and the public must be encouraged to participate in policymaking.
- (f) Public administration must be accountable.
- (g) Transparency must be fostered by providing the public with timely, accessible and accurate information.
- (h) Good human-resource management and career-development practices, to maximise human potential, must be cultivated.
- (i) Public administration must be broadly representative of the South African people, with employment and personnel management practices based on

ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation.

The Constitution of the Republic of South Africa of 1996, chapter 2, section 33 states that all citizens have a right to a just administrative action. Section 33 of the Constitution continues by saying that the national legislation must be passed to give effect to this right and also promote effective administration. The Promotion of Administrative Justice Act No. 3 of 2000 gives effect to section 33 of the constitution. This Act promotes an efficient administration and good governance, and creates a culture of accountability, openness and transparency in the public administration or in the exercise of a public power or the performance of a public function, by giving effect to the right to just administrative action.

The Constitution of the Republic of South Africa of 1996, section 195(1) states that public administration should be governed by the principles and values of democracy. These democratic principles include (1) promotion of economic, efficient and effective use of resources, (2) accountability and transparency, (3) providing services to all citizens fairly and without bias, (4) responding to people's needs and encouraging public participation in policymaking.

To ensure that citizens receive a just administration and also to ensure that the principles of democracy are adhered to, government developed monitoring and evaluation policies. Effective monitoring and evaluation increases the effectiveness of public service by improving policy, planning, strategy as well as impact.

The Public Service Commission's mandate to seek good governance, is empowered to investigate, monitor and evaluate the organisation, administration and personnel practices of the public service and to advise national and provincial organs of the state, as well as promote a high standard of professional ethics (PSC, 2007: 2). In fulfilling this mandate, the PSC annually investigates the compliance of public service departments with the nine principles for public administration as outlined in Chapter 10, Section 195(1)

of the Constitution. For each constitutional principle, departments are measured against one to two performance indicators (PSC, 2007).

Section 85 of the *Constitution* requires that the President together with other Cabinet members should, *inter alia*, exercise executive authority through the development and implementation of national policy and the co-ordination of the functions of state departments and administrations. The Presidency plays a crucial role in the co-ordination, monitoring, evaluation and communication of government policies and programmes and accelerating integrated service delivery. The Presidency also aims to evaluate the implementation of government strategy, including its impact as measured against desired outcomes (Ile *et al.*, 2012).

2.4.8 The *Batho Pele* White Paper of 1997

The White Paper on Transforming Public Service Delivery (*Batho Pele* White Paper) of 1997 developed by the Department of Public Service and Administration, required national and provincial departments to develop performance management systems that include the setting of service delivery indicators and measurement of performance. The tools needed to attain a new system of public service management are:

- Assignment to individual managers responsibility for delivering specific results for a specified level of resources and for obtaining value for money in the use of those resources;
- Individual responsibility for results matched with managerial authority for decisions about how resources should be used;
- Delegation of managerial responsibility and authority to the lowest possible level; and
- Transparency about the results achieved and resources consumed (RSA 1997: Sections 1.2.6-1.2.7).

In implementing these tools, public service institutions were to be guided by the *Batho Pele* principles.

2.4.9 Green Paper on National Performance

The discussion paper entitled *Improving Government Performance: Our Approach* (2009) states that achieving outcomes starts with identifying the desired outcome, defining the output measures that must be monitored, describing the key activities to be completed and listing crucial inputs:

Delivery requirements will be set out in a performance letter from the President to a Minister, group of Ministers or Sector including the MECs. Report-back meetings with the President every six months will evaluate progress and provide guidance on how to overcome obstacles to delivery. Reports will comment on all four aspects of the Delivery Chain – Outcomes; Outputs; Activities and Inputs. (Presidency, 2009: 3).

The performance management process is based on the priorities in the MTSF five-year plan, which is translated into 25-30 outcomes with corresponding indicators. From here, critical outputs (and output indicators) are identified, key activities are listed, and essential inputs identified. The delivery chain is developed into a delivery agreement between implementing partners and finally translated into a performance agreement between the President and relevant Minister(s) (Presidency, 2009: 7-8).

2.4.10 Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES)

The Government-wide Monitoring and Evaluation System seeks to impart the systematic and co-ordinated monitoring and evaluation of public sector programmes and policies to improve the general management of the public sector (Cloete, 2008: 8).

The Government-wide Monitoring and Evaluation System policy framework consists of four parts. Part one outlines the importance and principles of monitoring and evaluation and monitoring and evaluation systems; part two explains the Government-wide Monitoring and Evaluation System and its supporting data terrains; part 3 gives guidelines for implementing monitoring and evaluation at institutional level, including potential

division of responsibilities; and part 4 outlines the implementation process for affecting the Government-wide Monitoring and Evaluation System in government. “The overarching Government-wide Monitoring and Evaluation System aims to provide an integrated, encompassing framework of M&E principles, practices and standards to be used throughout Government” to increase effectiveness and developmental impact (Presidency, 2007: 9). It aims to enhance the quality of performance information available for programmes by:

[improving the] monitoring of outcomes and impact across the whole of government; [promoting] sectoral and thematic evaluation reports; [improving the] M&E of national outcomes in relation to the Constitution and government’s Programme of Action, provincial outcomes and impact in relation to Provincial Growth and Development Plans, and municipal outcomes in relation to Integrated Development Plans (Presidency, 2007: 11).

The system will enhance existing monitoring and evaluation systems within government by listing and enhancing links between systems (National Treasury, 2007). The Government-wide Monitoring and Evaluation System thus reassesses secondary data obtained from departments and other agencies to track and assess performance against the Programme of Action and strategic national goals (Cloete, 2008: 8). Therefore, while each department must monitor and evaluate its own performance, monitoring and evaluation strategies should adopt an outcome and sectoral perspective to ensure that the generated information can be used by other stakeholders to identify challenges and measure performance at an outcome level (Presidency, 2007).

To attain this aim, Presidency and National Treasury will develop a framework, guidelines and support material to promote the regular evaluation of public programmes, guide evaluation processes and provide for the publication of the results (Presidency, 2007). The aim is not to impose a new M&E system, but rather to embed a management system which articulates with current internal management systems such as strategic and operation planning, budgeting and in-year reporting (Presidency, 2007: 8-16). Responsibility for M&E should be distributed throughout the organisation, from the

political and executive heads, to the programme managers, dedicated M&E units and accounting officers (Presidency, 2007: 20).

To this effect, the Government-wide Monitoring and Evaluation System will implement projects and capacity building initiatives to improve M&E practices, thereby fostering a governance culture that responds to monitoring and evaluation findings. Organisations should also develop internal skills to ensure that the users of monitoring and evaluation data can incorporate findings into management decision making, that managers can set up appropriate systems and that practitioners can gather, analyse and present useful findings timeously (Presidency, 2007: .21-22).

The Government-wide Monitoring and Evaluation System is implemented in conjunction with Treasury's Programme Performance Information Framework to prepare for the audit of non-financial information, as well as with Stats SA's Statistical Quality Assessment Framework to ensure the quality of generated performance information (Presidency, 2007: 17).

2.4.11 National Treasury Framework for Managing Programme Performance Information (May 2007)

The Government-wide Monitoring and Evaluation System has three components, programme performance information; social, economic and demographic statistics; and evaluations (National Treasury, 2007: 2). The first component falls under the wings of the National Treasury and is guided by the Framework for Managing Programme Performance Information. The Framework for Managing Programme Performance Information aims to:

- Clarify standards for performance information and supporting regular audits of non-financial information where appropriate;
- Improve the structures, systems and processes required to manage performance information;
- Define roles and responsibilities for performance information;

- Promote accountability to Parliament, provincial legislatures and municipal councils, and the public through timely, accessible and accurate publication of performance information (Presidency, 2007; National Treasury, 2007).

This framework provides detailed guidelines on performance information concepts, developing indicators, managing performance information and the division of roles and responsibilities. It also makes accounting officers responsible for ensuring that the organisation has:

- Documentation that outlines the process for establishing integrated performance management systems that are integrated with existing management systems;
- Appropriate capacity to manage performance information;
- Appropriate systems and processes to collect, collate, verify, store, review and evaluate information for each service delivery period; and
- Consultation processes to select performance information elements, processes to integrate performance management responsibility into individual performance agreements and appropriate indicators to report for oversight and publication purposes (National Treasury, 2007).

2.4.12 Stats SA - South African Statistics Quality Assurance Framework (SASQAF)

According to Rabie (2010: 150-151), Stats SA is responsible for the collection and presentation of social and demographic statistics. Changing these statistical patterns is often the aim of public sector policies and programmes. While Stats SA tracks national statistics, the organisation has limited capacity in tracking the outcomes of specific sectoral and geographical programmes. To give effect to the Government-wide Monitoring and Evaluation System, the collection of statistics needs to be decentralised to departmental level where implementation takes place to ensure the generation and use of appropriate information for the specific sector or geographical area (Rabie, 2010: 150-151).

Through SASQAF, Stats SA “aims to promote quality maintenance within a decentralised system of statistics production” through the establishment of standards, criteria and

practices that protects the integrity of gathered information (Presidency, 2007: 14 cited by Rabie, 2010: 150). The aim of the assessment framework is “to provide a flexible structure for the assessment of statistical products” and the quality of produced data. While the first draft document (2006) drew extensively on the International Monetary Fund’s Data Quality Assessment Framework, the final document (2008) incorporated viewpoints from a range of users (StatsSA, 2008, preface, cited by Rabie, 2010: 150).

The document allows for the self-assessment of data quality by the producers of statistics, to provide a basis for reviews by the data quality assessment teams, and for data users and international agencies to assess the quality of data based on the quality declaration (Stats SA, 2008: 2, cited by Rabie, 2010: 150).

The document provides detailed guidelines and indicators on each of the eight quality requirements to assist statistic-producing institutions to change their processes so that they may deliver quality statistics, accepted by the Statistician General as National Statistics, fit for internal and external monitoring and evaluation (Rabie, 2010: 151).

2.4.13 National Indicator Initiative

The Presidency’s Mid-term Development Indicators provide a “series of 72 preliminary generic policy assessment indicators”, revised slightly to contain 76 indicators in the 2008 and 2009 publications, and which provide the first co-ordinated national set of development indicators (Cloete, 2008: 12; Presidency, 2009). The 76 indicators cover the following sectors (Presidency, 2009):

- Economic growth and transformation;
- Employment;
- Poverty and inequality;
- Household and community assets;
- Health;
- Education;
- Social cohesion;
- Safety and security;

- International relations; and
- Good governance.

The document provides a guideline to departments in tailoring their own monitoring and evaluation systems to provide feedback on these national indicators to the Government-wide Monitoring and Evaluation System so as to enable the compilation of national statistics on progress in terms of these sectors.

Rabie (2010) states that in terms of institutionalising monitoring and evaluation in government processes to ensure the generation and use of quality evaluation information, the South African system is vague. In general terms, the Government-wide Monitoring and Evaluation System refers to improving the monitoring of outcomes and impact across the whole of government in terms of various national, provincial and local outcomes to create an overall picture of performance. However, it does not state what the implications of good or poor performance will be, or how this will be communicated, used or improved.

It also refers to promoting sectoral and thematic evaluation reports, but once again fails to specify the types, purpose and use of these reports. Lastly, it expects departments to formulate monitoring and evaluation strategies that outline how monitoring and evaluation findings will inform strategic and operational planning, budget formulation and execution as well as in-year and annual reporting. However, most departments already conduct some programme evaluation and all departments are required to report on performance to various decision makers, treasury and the Auditor-General. The Government-wide Monitoring and Evaluation System is too vague in specifying how monitoring and evaluation should be used to inform the planning and reporting processes of departments to ensure consistency across departments. Treasury's Programme Performance Information guidelines refer to the "regular audits of non-financial information where appropriate" but fails to specify in any detail what this may entail. Lastly, Stats SA states that information will be used to expand national statistics, but there is no direct benefit (or negative consequence) to departments failing to produce statistics at the level required for incorporation into national statistics. The sad reality is that evaluation is, for most

departments, an 'add-on' activity to be performed if the stretched budget allows for it (Rabie, 2010).

According to Ile, *et al.* (2012), monitoring and evaluation should contribute to improved governance and this should be achieved through improved:

- Transparency: All findings in monitoring and evaluation processes should be publicly available, however, there may be exceptions when the circumstances are deemed compelling;
- Accountability: The use of resources by public officials is open to public scrutiny;
- Participation: The voice of the historically disadvantaged should be heard;
- Inclusion: Interest groups traditionally excluded are represented throughout the monitoring and evaluation processes.

Ile, *et al.* (2012) further state that monitoring and evaluation should be rights-based, it should adhere to the Bill of Rights as contained in Chapter 2 of the South African Constitution. This ensures consistency in the practice of government and requires officials to be sensitive to rights issues during any monitoring and evaluation exercise in which they are involved. Monitoring and evaluation should be development-oriented.

This should occur across all spheres of government but most importantly at local level where the services impact directly on the lives of the most citizens. This suggests that an underlying theme of any monitoring and evaluation exercise is the improvement of the quality of lives of citizens by ensuring that service levels are appropriate and of an acceptable level. For monitoring and evaluation to be developmental, it requires an appropriate management of human resources. Monitoring and evaluation should be operatively effective. This requires a lot of effort at the planning stages by ensuring that the task at hand is properly scoped, planned and managed in the most effective manner (Ile, *et al.*, 2012).

According to Ile, *et al.* (2012), a number of factors may affect the quality of the monitoring and evaluation exercise. This is because of the nature of and the context of the operation

or the location of public administration. The monitoring and evaluation team should be well informed about the elements from the environment that may impact on the monitoring and evaluation exercise and some of the factors are as follows:

i) Political maturity and culture

The quality of monitoring and evaluation may be affected by the political culture which may be embracive or hostile to policy evaluation activities. In instances where the environment is heavily politicised, evaluations may be seen as part of a political game and may be resisted. It is also important that monitoring and evaluation processes are not manipulated to bring about the desired outcome.

In ideal circumstances, administrators or implementers of public policy recognise that the resources at their disposal belong to the public and that they will be monitored and may be called on to account for policy management, including the utilisation of such resources. In such a situation, monitoring and evaluation is viewed as an integral part of government delivery. It is therefore acceptable practice to nurture such a culture of monitoring and evaluation internally even before the need arises externally.

ii) Technicality

Monitoring and evaluation could be affected by a range of technical issues, which will impact on the evaluation's outcome. The monitoring and evaluation will be negatively impacted if:

- The terms of reference are not specific enough, or are loosely conceived.
- There is a lack of quality baseline information.
- There are questions about the validity, accuracy and reliability of baseline and other information.
- Due processes are not followed.
- Goals and objective are unclear and perhaps do not meet the SMART (Specific, Measurable, Achievable, Realistic, Timely) criteria.
- If poor record-keeping practices and poor tracking processes result in incomplete or unavailable information.

- Indicators are inappropriate or irrelevant.

iii) Resource Limitation

Resource limitation can seriously affect the quality of the monitoring and evaluation exercise. There can be situations where there is a monitoring and evaluation skills shortage. Resource limitation can be very expensive and laborious, but the gains if well executed could save taxpayers millions, and it should never be taken lightly.

2.5 MONITORING PERFORMANCE IN THE PUBLIC SECTOR

According to Wholey J.S., quoted as a foreword in Mayne and Zapico-Goni (2009), a number of promising public-sector reform efforts are underway throughout the world. In governments challenged with deficit and declining public trust, these reform efforts seek to improve resource allocation and other policy decision making, to improve public management, to improve programme efficiency and effectiveness, and to help rebuild public confidence in government. Whether through regular measurement of programme inputs, activities, and outcomes, or through programme evaluation studies, performance monitoring plays a central role. Performance monitoring helps clarify the purposes and goals of public sector activities and helps communicate the costs, results and value of public programmes. As performance monitoring and public-sector reform efforts evolve, it is important that we discover how performance monitoring can help improve policy decision making, public management, programme efficiency and effectiveness and public trust.

Wholey, quoted as a foreword in Mayne and Zapico-Goni (2009), further mentions that the critical initial steps in effective monitoring are the identification and clarification of the goals and objectives in terms of which performance will be assessed as well as the identification of key external factors that could influence the extent to which goals and objectives are achieved. The performance of a programme will be found through the connection of the inputs, activities, outputs and outcomes that are most important from the perspective of the programme's key stakeholders.

2.6 THE ROLE OF MONITORING AND EVALUATION ACCOUNTABILITY IN PROMOTING GOOD GOVERNANCE

Mulgan (2000), quoted in Ojok (2016), defines accountability as acknowledgement and assumption of responsibility for actions, decisions and policies. He further argues that in governance, accountability expands beyond the basic definition of 'being called to account for one's actions'. It is described as an account-giving relationship between individuals. He says accountability cannot exist without proper accounting practices, in other words, an absence of accounting means an absence of accountability. This therefore implies that accountability should not only be said to be done, but should actually be done for it to achieve its purpose of promoting accountability. Jabbra and Dwiredi (1989) list eight types of accountability, namely: moral, administrative, political, managerial, market, legal/judicial, constituency relation, and professional. They indicate that accountability and transparency are some, but not all, of the indicators of good governance. There are others, such as participation, the rule of law and inclusivity. They point out that even if there is good compliance by government, this is but a partial contribution to good governance, which is a more comprehensive, all-embracing concept. In accountability-orientated monitoring and evaluation, high levels of scrutiny are expected, and judgement is generally made against clear standards and norms that have been established for a range of performance areas. This would include the proper management of budgets, personnel, and legal and regulatory compliance with processes and procedures. In this context, monitoring and evaluation is seen as supporting a governance function, which Cook (1997) as quoted in Ojok (2016) points out that it encompasses the entire management, operating systems and culture of an institution. It also links to government if supported by a strong government auditing system. Goetz (2005), quoted in Ojok (2016), argues that to define accountability principles means to define who has the power to call for an account and who is obligated to give an explanation for their actions. He further argues that accountability can also be taken to mean taking responsibility for oneself. Understanding what you have done, being able to respond to questions about the basis of strategic decisions, the underlying theory of

change and, of course, how money was spent. According to Blair (2000), quoted in Ojok (2016), there are important limitations on how much participation can actually deliver because accountability covers a much wider range of activities and larger scope for democratic local governance strategy than initially appears.

2.7 THE ROLE OF MONITORING AND EVALUATION MANAGEMENT DECISION MAKING IN PROMOTING GOOD GOVERNANCE

According to Elkins (2011), quoted in Ojok (2016), monitoring and evaluation supports evidence-based decision making through rigorous approaches to collecting and using quality data on programme performance, results and impact. The application of appropriate analytical tools in order to assess the efficiency and effectiveness of interventions in well-defined contexts over time contributes to our knowledge of the kinds of interventions that work best, and under which conditions. On the other hand, the World Bank Report (2012) agrees with the fact that monitoring and evaluation systems support development by generating relevant, accurate, and timely information, promote decision making and thus enhance impact. In short, monitoring and evaluation in the field of development supports the making of evidence-based decisions in the implementation of development interventions, or programmes (projects), through rigorous but cost-effective approaches to collecting and using quality data on programme performance, results and impact. Monitoring and evaluation are important management tools to track progress and facilitate decision making (World Bank, 2007). The data and information collected during monitoring and evaluation constitute a critical foundation for action by programme managers and stakeholders, who need to be able to identify evolving problems and decide on crucial strategies, corrective measures, and revisions to plans and resource allocations pertaining to the activities in question. The international community agrees that monitoring and evaluation has a strategic role to play in informing policymaking processes. The aim is to improve relevance, efficiency and effectiveness of policy reforms. Segone (2008) introduces the concept of evidence-based policymaking, exploring the apparent tension between authority and power on the one side, and knowledge and evidence on the other. He suggests that monitoring and evaluation should

inform evidence-based policy options, to facilitate public argumentation among policymakers and societal stakeholders and facilitate the selection of policies. To do so, monitoring and evaluation should be both technically sound and politically relevant. Mackay (2006) suggests that monitoring and evaluation is necessary to achieve evidence-based policymaking, management and accountability. Policymaking, especially budget decision making and national planning, focuses on government priorities among competing demands from citizens and groups in society. The information provided by monitoring and evaluation systems can support government's deliberations by providing evidence about the most cost-effective types of policy options.

Therefore, the practice and use of monitoring and evaluation as part of the decision-making process is more important than formal requirements for monitoring and evaluation. The real product of monitoring and evaluation is not reports or facts *per se*, but a higher quality of decision making (Hauge, 2013). To Hauge (2013), the question that should be asked is whether the quality of the monitoring and evaluation information provided is appropriate and how well it feeds into existing managerial processes. Tuckerman (2007) argues that the greater value ascribed to monitoring and evaluation by decision makers or managers, the greater the propensity for monitoring and evaluation to be used in the decision-making process and the greater its potential for promoting good governance. It should be noted that monitoring and evaluation can never replace good management practices; rather it augments and complements management.

In practice, monitoring and evaluation is one of many streams of information and influences that are used by decision makers before decisions are finally made. Tuckerman (2007) illustrates that learning comes about only when there is communication based on self-reflection and dialogue. Nabris (2002) also shows how monitoring and evaluation has a particular learning purpose, as failures are explained. Engel and Carlson (2002) view evaluation as opportunities for improving organisational learning. Monitoring and evaluation is also a research tool to explore what programme design, or solution to societal problems, will work best and why, and what programme design and operational processes will create the best value for money. Monitoring and

evaluation should provide the analysis and evidence to do the trade-offs between various alternative strategies. The information gathered should be translated into analytical, action-oriented reports that facilitate effective decision making. The focus here is on causes of problems rather than the manifestation of problems (Naidoo, 2011). Tuckerman (2007) assesses this grouping in terms of how monitoring and evaluation contributes to learning and reflection, and notes that in this mode, monitoring and evaluation is seen as but one tool that supports management by improving the quality of information provided for decision making. There is much potential for evaluation to lead to organisational learning, and not just accountability, which has been illustrated by Gray (2009). The point made is that monitoring and evaluation's intent is very important, as it could lead to different outcomes. It should be remembered that monitoring and evaluation has assumed different identities, due to context, and depending on this it may be used for accountability, promoting a behaviour or practice, or learning, as demonstrated in a series on the subject (Bemelemans-Videc, *et al.*, 2007).

2.8 THE MAIN PURPOSES OF MONITORING AND EVALUATION

2.8.1 Management Decision Making

Monitoring and evaluation systems augment managerial processes and provide evidence for decision making. The question that should be asked is whether the quality of the monitoring and evaluation information provided is appropriate, and how well it feeds into existing managerial processes. Monitoring and evaluation can never replace good management practices; rather it augments and complements management. Some examples of monitoring and evaluation used in this context are decisions on resource allocation, choices between competing strategies to achieve the same objective, policy decisions, and decisions on programme design and implementation. The accuracy of information and the manner in which it is presented becomes critical for supporting management in their decision-making processes.

2.8.2 Organisational Learning

This is the most challenging outcome for monitoring and evaluation, as it presupposes that monitoring and evaluation results and findings help to create learning organisations. However, translating findings into 'learnings' challenges even the most sophisticated of organisations. Monitoring and evaluation is also a research tool to explore what programme design, or solution to societal problems, will work best and why, and what programme design and operational processes will create the best value for money. Monitoring and evaluation should provide the analysis and evidence to do the trade-offs between various alternative strategies. The information gathered should be translated into analytical, action-oriented reports that facilitate effective decision making. The focus here is on causes of the problems rather than the manifestation of the problems. Learning has been described as a continuous dynamic process of investigation where the key elements are experience, knowledge, access and relevance. It requires a culture of inquiry and investigation, rather than one of response and reporting. Monitoring and evaluation produces new knowledge. Knowledge management means capturing findings, institutionalising learning, and organising the wealth of information produced continually by the monitoring and evaluation system.

2.8.3 Accountability

Public officials have a constitutional obligation to account to Parliament. They should be broadly accountable for how they spend public money, how they have achieved the purposes for which the money has been voted and that they have gone about their duties with a high degree of integrity. Monitoring and evaluation provides the information, in a structured and formalised manner, which allows scrutiny of public service activities at all levels. This purpose of monitoring and evaluation may account for the perception that monitoring and evaluation is 'policing'. Despite the concerns that many have that one should not pursue monitoring and evaluation only for the purpose of accountability, as it may create suspicion and a culture of fear, when dealing with public funds accountability is critically important. Accountability is governed by the Constitution and legislation such as the Public Finance Management Act, is supported by institutions such as the Auditor-General and the Public Service Commission, and failure to adhere to meeting

accountability requirements is often met by sanction. Apart from the above main purposes of M&E, its findings are also used, across a broad audience, for the following:

- Soliciting Support for Programmes

If the success of a programme can be demonstrated by means of evaluation findings, it is easier to garner support for the programme, for example continued or increased budgetary allocations for the programme or political support when important policy decisions affecting the programme must be made.

- Supporting advocacy

Monitoring and evaluation results from projects and programmes generally help to make an argument for the continuation, adjustment or termination of a programme. Monitoring and evaluation in this context provides the means for supporting or refuting arguments, clarifying issues, promoting understanding of the aims and underlying logic of policies, documenting programme implementation and thereby creating an institutional memory, and involving more people in the design and execution of the programme. Through this it plays a vital advocacy role.

- Promoting Transparency

One of the most persuasive uses for monitoring and evaluation, if its findings are made available to a broader audience, is that it promotes transparency, and through this facilitates decision making and accountability. Monitoring and evaluation requires a willingness to be subjected to scrutiny, as findings may be published and made available to the public.

2.9 EMPIRICAL STUDIES

A number of studies have been conducted on the role of monitoring and evaluation in promoting good governance. Naidoo (2011) undertook a study to examine the role of monitoring and evaluation in promoting good governance in the Department of Women in South Africa and established that whilst information has been generated through different forms of monitoring and evaluation, without effective follow-through by decision makers, it generated transparency not accountability. He further asserts that administrative compliance cannot on its own be tantamount to good governance. The study also confirms the assertion that monitoring and evaluation promotes good governance. Another study done by Hauge (2003) on the development of monitoring and evaluation capacities to improve government performance suggests that monitoring and evaluation is helping to bring greater rationality to public finances and development, and providing evidence-based foundation for policy, budgeting and operations, which are tenets of good governance. Mackey (2006) in a study on institutionalisation of monitoring and evaluation systems to improve public sector management in Africa suggests that support to monitoring and evaluation systems and capacities in developing countries has an important part to play in promoting and strengthening good governance.

2.10 SYNTHESIS OF THE LITERATURE REVIEW

Countries the world over have been grappling with the challenge of increasing efficiency and effectiveness in the delivery of services. The fundamental cause of these challenges has been attributed, among other things, to weak monitoring and evaluation systems (Hauge, 2003). Governments and other stakeholders have been responding to this plight through institutionalisation of effective monitoring and evaluation systems. Governments have also put in efforts to improve transparency and build a performance culture to support better management and policymaking and to strengthen accountability relationships. However, there is a contention that a number of governments and institutions have not been able to achieve the objectives of the monitoring and evaluation arrangement. The effectiveness of the monitoring and evaluation systems in achieving good governance has been an area of contention. From the review of literature, not much

research has been done to establish the effectiveness of monitoring and evaluation in promoting good governance in some public entities. Much of the research done has been on the role of M&E in project management. This is attributed to the fact that monitoring and evaluation is still a new phenomenon, especially in the public sector.

2.11 CONCLUSION

This chapter gave a description of what monitoring and evaluation is and illustrated the monitoring and evaluation process. The discussion on monitoring and evaluation above has detailed what it entails. The next chapter will give further discussion on the research methodology and different methods, including the method chosen for this research study.

CHAPTER THREE

RESEARCH METHODOLOGY AND DESIGN

3.1 INTRODUCTION

It is vital that a researcher in any research project uses a research method that is appropriate to address the research topic, and that will assist to ensure that the research project achieves the desired results. All research is based on some underlying philosophical assumptions about what constitutes 'valid' research and which research method(s) is/are appropriate for the development of knowledge in a given study. In order to conduct and evaluate any research, it is therefore important to know what these assumptions are. Therefore, this chapter will cover the research design and methodology, different research methods, research approaches, including sampling and sample size, population, data collection instruments, data collection methods, establishing rigour during and after data collection, ethical considerations, data analysis and limitations of the study.

3.2 RESEARCH APPROACH AND RESEARCH DESIGN

The research design articulates what data is required, what methods are going to be used to collect and analyse this data, and how all of this is going to answer the research questions. Its purpose is to plan and structure a research project in such a way that it enhances the ultimate validity of the research findings (Bailey, 1987: 81; Mouton and Marais, 1992: 52). This study employs the quantitative method approach. The population is the employees of KwaZulu-Natal Sharks Board and data collected through questionnaires.

Burns and Grove (2003: 195) define a research design as “a blueprint for conducting a study with maximum control over factors that may interfere with the validity of the findings”.

Creswell (2014: 3) indicates that there are three research approaches to research. He identifies them as qualitative, quantitative and a mixed approach. The selection of the research approach is based on the research problem. Creswell (2014: 4) defines the qualitative approach as a means of exploring and understanding the meaning individuals or groups ascribe to social or human problems. He defines the quantitative research as an approach that tests objective theory by examining the relationship among variables. Finally, he defines mixed research approach as residing in the middle of this continuum because it incorporates elements of both qualitative and quantitative approaches. Creswell's definitions are concurred with by John (1996: 282) where he defines quantitative research as being aimed at testing theories, determining facts, and statistical analysis demonstrating relationships between variables and predictions, while he defines qualitative research as aimed at the development of theories and understanding. John (1996: 283) further mentions that the objective of the qualitative research is to promote better self-understanding and to increase insight into the human condition.

A research design is an arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance with the research purpose (Kothari, 2004:31).

This chapter will describe and justify the data gathering method used. It will also outline how the data has been analysed. It also discusses the research methodologies, and design used in the study including strategies, instruments, and data collection and analysis methods, while explaining the stages and processes involved in the study. The quantitative research method will be used in collecting data.

Parahoo (1997: 142) describes a research design as “a plan that describes how, when and where data are to be collected and analysed”. Polit *et al.* (2001: 167) define a research design as the researcher's overall intention for answering the research question or testing the research hypothesis.

3.2.1 Qualitative Research

Qualitative research generally aims to understand the experiences and attitudes of participants (McCusker *et al.*, 2015: 537). In qualitative research, the enquiry may start with a theory that guides the research questions, but this theory is modified during the research rather than it being fixed (Creswell, 2015: 29).

3.2.2 Quantitative Research

According to Creswell (2014: 53), quantitative research is the scientific prediction or explanation for what the research expects to find. McCusker *et al.* (2015: 540) believe that utilising quantitative research enables many factors to be investigated, some of which may be linked to and influenced by each other, allowing the researcher to analyse varying factors and how they relate to the research question. Creswell (2003: 9) states that standards of validity and reliability are important in quantitative research. Horna (1994), as cited in Dilanthi *et al.* (2001: 3) believes that quantitative research is characterised by the assumptions that human behaviour can be explained by what may be termed 'social facts'.

3.2.3 Mixed Method

According to Creswell (2003: 15), a mixed method approach is one in which the researcher tends to base knowledge claims on pragmatic factors such as consequence-oriented, problem-oriented and pluralistic enquiries. Creswell (2014: 14) states that mixed method involves combining or integrating qualitative and quantitative research and data in a research study. This method needs to establish a general purpose, a purpose for the mixing of methods, and a rationale for why quantitative and qualitative data need to be mixed in the first place (Creswell, 2003: 12).

This study employs the quantitative method approach. The primary data that forms the core of the study was gathered through the use of questionnaires administered staff of the KwaZulu-Natal Sharks Board. The quantitative method approach was chosen because focussed nature of this study was on the perceptions of the respondents based on their personal experiences in the monitoring and evaluation environment.

3.3 RESEARCH METHODS

The research method is a strategy of enquiry, which moves from the underlying assumptions to research design, and data collection (Myers, 2009). Although there are other distinctions in the research modes, the most common classification of research methods is into qualitative and quantitative. At one level, qualitative and quantitative refer to distinctions about the nature of knowledge: how one understands the world and the ultimate purpose of the research. On another level of discourse, the terms refer to research methods, that is, the way in which data are collected and analysed, and the type of generalisations and representations derived from the data.

According to Costley *et al.* (2010: 80), research methods involve the development of activities that take place while carrying out research and these can include the process of change in day-to-day professional practice, following the completion of the research. Bless *et al.* (1995: 6) state that research is systematic and logical, therefore a certain method with a logical order must be followed. A methodological approach is followed by the construction of a methodological framework and this can be seen as starting at a conceptual or philosophical level and working down, through principles of research and action to specific data gathering and practical action (Costley *et al.*, 2010: 81). The approach and the methods that are chosen must support the point of view or an ideology of the researcher, which in turn, is often based on a particular set of values that may be taken for granted.

3.3.1 Phenomenological Approach

According to Costley *et al.* (2010: 87) the phenomenological approach is powerful for understanding subjective experiences, gaining insight into people's motivations and actions, and cutting through the clutter of assumption and conventional wisdom. Creswell (2014: 5) states that the approach to research involves philosophical assumption as well as distinct methods or procedures. This approach is particularly good at exposing limitations in current thinking, actions or policies, developing widened or alternative perspectives and testing complex systems (Costley *et al.*, 2010: 87).

3.3.2 Hermeneutics

The hermeneutics method is concerned with the understanding of texts, at the level of meaning conveyed through attempting to get below the surface by understanding the perspective and context from which the text is produced (Costley *et al.*, 2010: 87).

3.3.3 Grounded Theory

According to Costley *et al.* (2010: 88) the grounded theory is an indicative approach to research and understanding, rather than stating from a hypothesis or theory about the situation. Theory is seen to grow out of data and incidents as they are collected and observed (Costley *et al.*, 2010: 88).

3.3.4 Survey-Based Research

According to Costley *et al.* (2010), the basic principle of survey-based research is to take samples for study from an overall population, and through the use of statistical methods, to make inferences that are representative of the population as a whole. Costley further states that surveys need a good understanding of what is to be researched in order to be able to frame research questions and to design data-collection instruments effectively. The questions are more suitable to use in quantitative approach.

According to Creswell (2014), the researcher should indicate why survey-based research is the preferred type of data collection procedure and should take into consideration the disadvantages of the survey research such as economy of the design and the rate of turnaround in data collection (Creswell, 2014). Creswell (2014) further states that the basic purpose and rationale for survey research should be discussed in the following manner:

- Identify the purpose of survey research. This purpose is to generalise from a sample to a population so that inferences can be made about some characteristics, attitudes or behaviour of this population (Babbie, 1990 cited in Creswell, 2014).
- Indicate why a survey is the preferred type of data collection procedure for the study. In this rationale, consider the advantages of survey designs, such as the economy of the design and the rapid turnaround in data collection. Discuss the advantage of

identifying attributes of a large population from a small group of individuals (Babbie, 1990; Fowler, 2002 cited in Creswell, 2014).

- Indicate whether the survey will be cross-sectional, with the data collected at one point in time, or whether it will be longitudinal with data collected over time (Creswell, 2014).
- Specify the form of data collection. Fink (2002), cited in Creswell (2014), identifies four types of data collection: self-administered questionnaires; interviews; structured record reviews to collect financial, medical, or school information; and structured observations. The data collection may also involve creating a web-based or internet survey and administering it online (Nesbary, 2000; Sue and Ritter, 2007 cited in Creswell, 2014). Regardless of the form of data collection, provide a rationale for the procedure, using arguments based on its strengths and weaknesses, costs, data availability and convenience.

3.4 DATA COLLECTION METHODS AND INSTRUMENTS

Costley *et al.* (2010: 92) state that the methods to collect data and information should be methodologically coherent, practically and ethically feasible, and capable of providing the type of information that is needed. The first of these ways of gathering information is through interviews which involve the direct contact with the participant. The second way is through questionnaires which do not require direct contact with the participant and can be administered without help of the interviewer. The quantitative data was collected using questionnaires that were completed by the staff members of the organisation.

These two methods will be further discussed in the following paragraphs.

3.4.1 Interviews

Costley *et al.* (2010: 92) mentions that the interviews are the widely used research technique that can be adapted to work in a wide-range of institutions or situations to source information about people's perceptions, experiences or preferences. Interviews can be conducted face-to-face, via skype or on the telephone. One of the advantages of the interviews over the questionnaires is that they allow the researcher to explore areas

of ambiguity and to seek clarification. The disadvantage is the length of time they take and the fact that the interviewee's identity cannot be kept hidden from the researcher, while structured interviews are sometimes described as questionnaires administered verbally.

3.4.2 Questionnaires

Costley *et al.* (2010: 92) states that questionnaires are widely used as a research tool often associated with survey research, and with short term evaluation. Questionnaires can be highly structured with closed questions, multiple choice or numerical answers, and the closed questions are the easiest to analyse statistically. In this study, primary data was collected using questionnaires. The questionnaire was the key method for primary data collection. The questionnaire method was chosen because it has the advantage of eliciting a lot of information within a short space of time, providing relevant information and being a less costly method (Sekaran, 1992). It is also good for confidentiality purposes (Moser and Kalton, 1979). The self-administered questionnaires were given to employees to complete.

3.5 DATA ANALYSIS

The quantitative data analysis techniques are used in this research study.

3.5.1 Quantitative Data Analysis

The SPSS computer programme was utilised to undertake the quantitative analysis. After data collection, a systematic sequence of data preparation (checking, editing and coding), data entry (entering data to SPSS) and data processing and analysis took place. The analysis was done with respect to research objectives. Data was analysed using regression and correlation to establish the relationships between the independent and dependent variables. Data was presented using tables and descriptive statistics. The Pearson correlation test was used to establish the relationship between variables, and multiple regression coefficient tests were used to establish the effect of independent variables on the dependent variables.

3.6 ETHICAL CONSIDERATIONS

Creswell (2014, p.92) stresses the importance of considering the ethical issues as the researcher needs to: protect the participants; develop a trust between them; promote integrity of research; guard against misconduct and impropriety that might reflect on their organisations or institutions; and cope with new and challenging problems. Approval for this research was obtained from the Ethics Committee of the University of KwaZulu-Natal. In addition, the gate keeper's letter was obtained from the KwaZulu-Natal Sharks Board. The researcher ensured confidentiality, the respondents participated willingly, and the purpose of the research was declared to the respondents.

3.7 CONCLUSION

This chapter expanded on the methodology used to obtain the information during the research study. The following chapter will look at the data analysis.

CHAPTER FOUR

DATA PRESENTATION AND INTERPRETATION OF FINDINGS

4.1 INTRODUCTION

In this chapter, the results will be presented and the findings obtained from the questionnaires in this study will be discussed. The questionnaire was the primary instrument used to collect data and was distributed to employees at the KwaZulu-Natal Sharks Board. The data collected from the responses was analysed with SPSS version 24.0. The results will present the descriptive statistics in the form of graphs, cross tabulations and other figures for the quantitative data that was collected. Inferential techniques include the use of correlations and chi square test values, which are interpreted using the p-values.

4.2 THE SAMPLE

In total, 20 questionnaires were administered and all 20 were returned which gave a 100 per cent response rate.

4.3 THE RESEARCH INSTRUMENT

The research instrument consists of 20 items, with a level of measurement at a nominal or an ordinal level. The questionnaire is divided into two sections which measure various themes as illustrated below:

Section A – Biographical Data

Section B – Monitoring and Evaluation

4.4 RELIABILITY STATISTICS

The two most important aspects of precision are **reliability** and **validity**. Reliability is computed by taking several measurements on the same subjects. A reliability coefficient of 0.70 or higher is considered as 'acceptable'.

The table below reflects the Cronbach's alpha score for all the items that constitute the questionnaire.

Reliability Statistics

Cronbach's Alpha	No of Items
0.913	16

The reliability scores for all sections exceed the recommended Cronbach's alpha value. This indicates a degree of acceptable, consistent scoring for these sections of the research.

(Although the sample size is small, the respondents are a select group of professionals.)

4.5 FACTOR ANALYSIS

Why is factor analysis important?

Factor analysis is a statistical technique whose main goal is data reduction. A typical use of factor analysis is in survey research, where a researcher wishes to represent a number of questions with a small number of hypothetical factors. For example, as part of a national survey on political opinions, participants may answer three separate questions regarding environmental policy reflecting issues at the local, state and national level. Each question, by itself, would be an inadequate measure of attitude towards environmental policy, but **together** they may provide a better measure of the attitude. Factor analysis can be used to establish whether the three measures do, in fact, measure the same thing. If so, they can then be combined to create a new variable, a factor score variable that contains a score for each respondent on the factor. Factor techniques are applicable to a variety of situations. A researcher may want to know if the skills required to be a decathlete are as

varied as the ten events, or if a small number of core skills are needed to be successful in a decathlon. You need not believe that factors actually exist in order to perform a factor analysis, but in practice the factors are usually interpreted, given names, and spoken of as real things.

The matrix table is preceded by a summarised table that reflects the results of the KMO and Bartlett's Test. The requirement is that the Kaiser-Meyer-Olkin Measure of Sampling Adequacy should be greater than 0.50 and Bartlett's Test of Sphericity less than 0.05. In all instances, the conditions are satisfied which allows for the factor analysis procedure.

Factor analysis is done only for the Likert scale items. Certain components divided into finer components. This is explained below in the rotated component matrix.

KMO and Bartlett's Test

Table 4.1 Rotated Component Matrix^a

	Component			
	1	2	3	4
The monitoring and evaluation process does help me improve my work performance.	0.198	0.774	0.373	-0.091
I am of the opinion that with monitoring and evaluation the quality of my work has greatly improved.	0.239	0.781	0.410	0.115
I am aware of monitoring and evaluation as a management tool that is utilised to address the issues of inefficiency, ineffectiveness and wasteful management of public resources.	0.746	0.113	-0.032	0.181
Monitoring and evaluation has empowered me to manage my performance information efficiently and effectively.	0.196	0.885	-0.046	-0.029
I believe monitoring and evaluation effectively tracks progress and demonstrates the impact of a given programme or project.	0.782	0.395	0.170	0.106
I believe that with my performance information, the monitoring and evaluation has enhanced my level of accountability and good governance.	0.264	0.789	0.315	0.052
I believe that to be more effective as a public entity, the M&E process can assist in evaluating its performance and identifying the factors which contribute to its service delivery outcomes.	0.761	0.127	0.069	-0.275
I am aware that monitoring and evaluation is a management tool for efficiency.	0.832	0.229	0.040	0.103
I am aware that monitoring supports effective management through reports on actual performance against what was planned or expected	0.519	0.242	0.656	-0.383
I am aware that evaluation is a decision-making tool to be incorporated into the planning cycle and the performance information management of the entity.	0.445	0.246	0.346	0.151
I believe the frequency of tracking and collecting data, and also evaluating the performance information, has an improved impact on my job.	0.500	0.801	0.118	0.129
Monitoring and evaluation is intended to improve service delivery.	0.739	0.318	0.050	0.213
The entity has its Five-year Strategic Plan in place and I am aware of its strategic goals and objectives.	0.019	0.164	0.938	-0.012
I am fully aware of the Annual Performance Plan of the entity and the performance indicators thereof.	0.015	0.189	0.950	0.131
I am aware that monitoring and evaluation is linked with the entity's strategic plan and I am also aware of where my role fits in.	0.055	0.186	0.858	0.276
I am aware that the entity's performance information collected during the monitoring phases, is evaluated at the end of a five-year cycle of the strategic plan.	0.241	0.051	0.229	0.842

Extraction Method: Principal Component Analysis.

Rotation Method: Varimax with Kaiser Normalisation.

a. Rotation converged in six iterations.

KMO and Bartlett's Test

Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		0.446
Bartlett's Test of Sphericity	Approx. Chi-Square	270.195
	df	120
	Sig.	0.000

All of the conditions are satisfied for factor analysis.

That is, the Kaiser-Meyer-Olkin Measure of Sampling Adequacy value should be greater than 0.500 and the Bartlett's Test of Sphericity sig. value should be less than 0.05.

Table 4.1: Rotated Component Matrix

Factor analysis is a statistical technique whose main goal is data reduction. A typical use of factor analysis is in survey research, where a researcher wishes to represent a number of questions with a small number of hypothetical factors. With reference to the table above:

- The principle component analysis was used as the extraction method, and the rotation method was Varimax with Kaiser Normalisation. This is an orthogonal rotation method that minimises the number of variables that have high loadings on each factor. It simplifies the interpretation of the factors.
- Factor analysis/loading shows inter-correlations between variables.
- Items of questions that loaded similarly imply measurement along a similar factor. An examination of the content of items loading at or above 0.5 (and using the higher or highest loading in instances where items cross-loaded at greater than this value) effectively measured along the various components.

It is noted that the variables that constitute Section B are loaded along four components (sub-themes). This means that respondents identified different trends within the section. Within the section, the splits are colour coded.

4.6 QUANTITATIVE ANALYSIS

Section A: Biographical Data

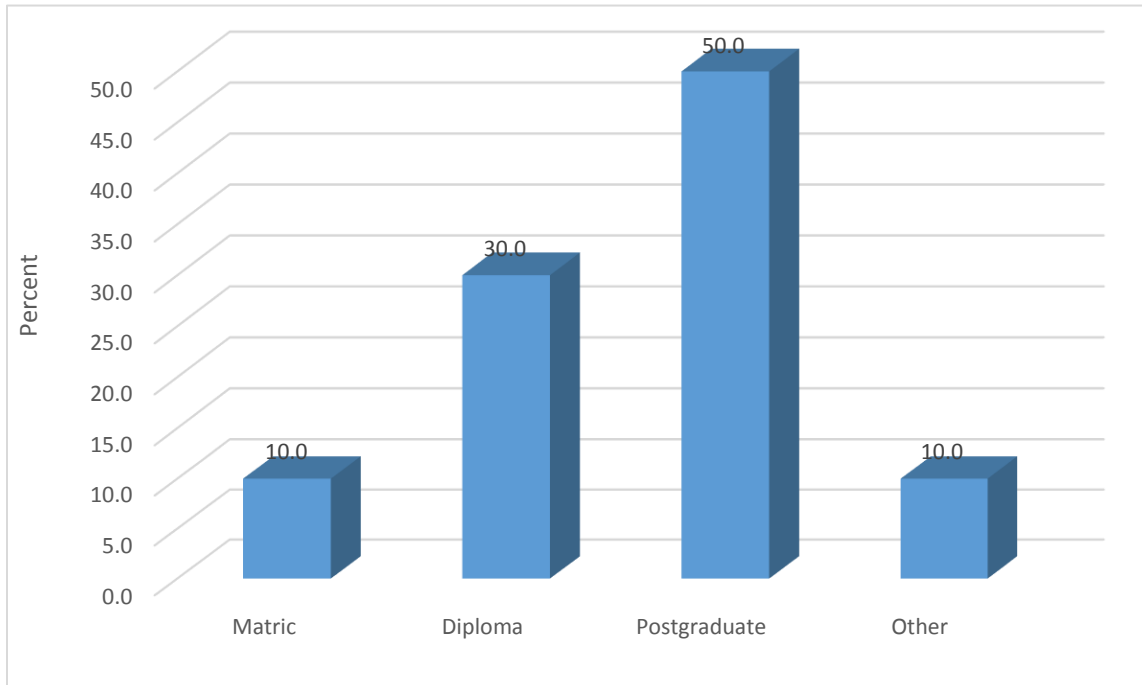
This section summarises the biographical characteristics of the respondents.

Table 4.2: The table below describes the overall gender distribution by age.

			What is your Gender?		Total
			Male	Female	
What is your age? (years)	20 - 29	Count	0	1	1
		% within What is your age?	0.0%	100.0%	100.0%
		% within What is your Gender?	0.0%	10.0%	5.0%
		% of Total	0.0%	5.0%	5.0%
	30 - 39	Count	3	7	10
		% within What is your age?	30.0%	70.0%	100.0%
		% within What is your Gender?	30.0%	70.0%	50.0%
		% of Total	15.0%	35.0%	50.0%
	≥ 40	Count	7	2	9
		% within What is your age?	77.8%	22.2%	100.0%
		% within What is your Gender?	70.0%	20.0%	45.0%
		% of Total	35.0%	10.0%	45.0%
Total	Count	10	10	20	
	% within What is your age?	50.0%	50.0%	100.0%	
	% within What is your Gender?	100.0%	100.0%	100.0%	
	% of Total	50.0%	50.0%	100.0%	

Overall, the ratio of males to females is 1:1 (50 per cent : 50 per cent). Within the age category of 30 to 39 years, 30 per cent are male. Within the category of males (only), 30 per cent are between the ages of 30 to 39 years. This category of males between the ages of 30 to 39 years form 15 per cent of the total sample.

Figure 4.1: The figure below indicates the education levels of the respondents.

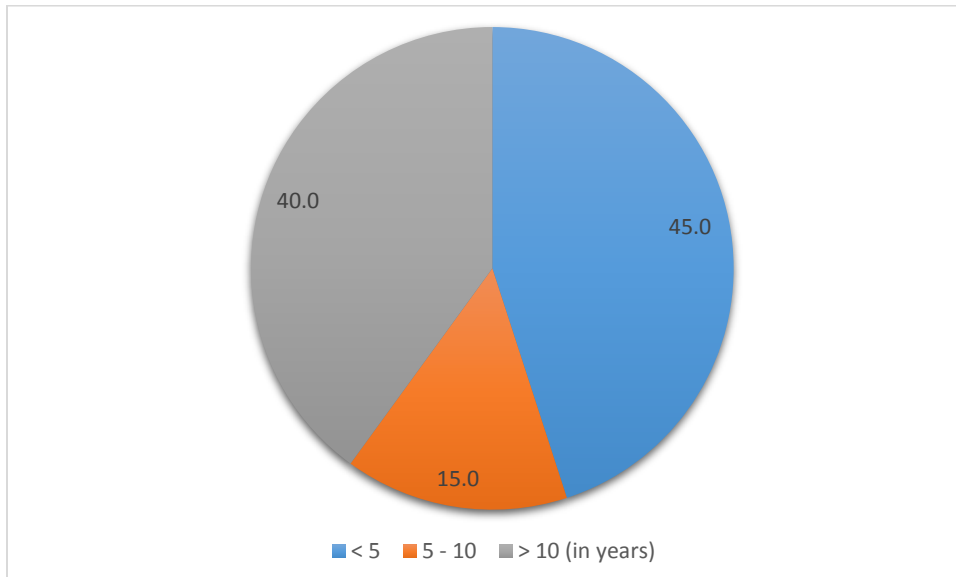


The majority of respondents (90 per cent) have a post-school qualification. Half of the respondents (50 per cent) have a post graduate degree.

The high percentage of employees that hold Post-Graduate Degrees indicates that most KZN Sharks Board employees are reasonably well educated.

This is a useful statistic as it indicates that a fair proportion of the respondents have a higher qualification, which indicates that the responses gathered are from an informed (learned) source.

Figure 4.2: The figure below indicates the length of service of the respondents.



More than half of the respondents (55 per cent) have been employed for more than 5 years.

This implies that respondents have been in employment for a while, which is also a useful fact as it indicates responses from experienced workers.

Section Analysis

The section that follows analyses the scoring patterns of the respondents per variable per section. Where applicable, levels of disagreement (negative statements) were collapsed to show a single category of 'Disagree'. A similar procedure was followed for the levels of agreement (positive statements).

The results are first presented using summarised percentages for the variables that constitute each section. Results are then further analysed according to the importance of the statements.

Section B: Monitoring and Evaluation

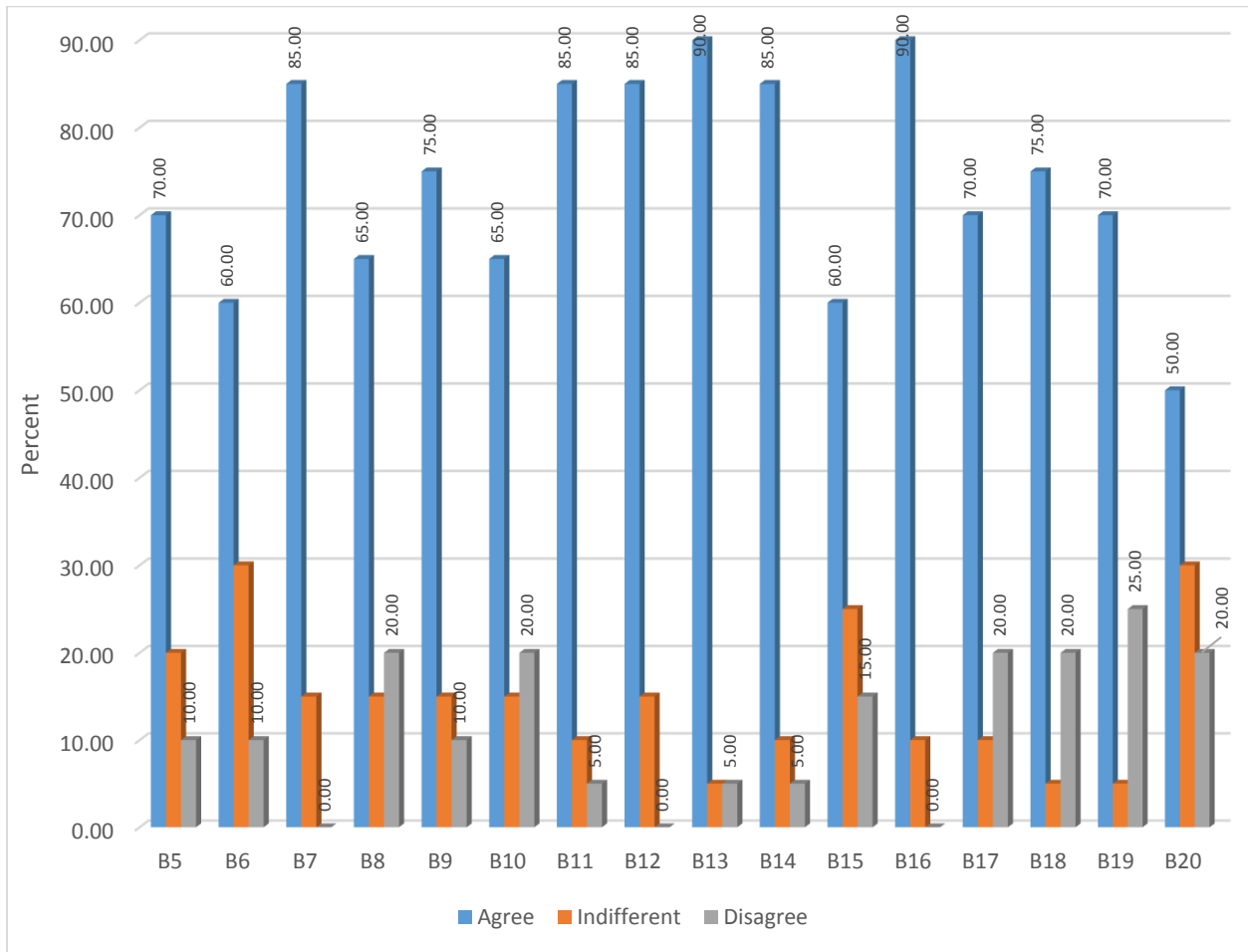
This section deals with the impact of monitoring and evaluation on improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness in the KZN Sharks Board.

Table 4.3: Scoring Patterns

The table below summarises the scoring patterns.

		Agree		Indifferent		Disagree		Chi Square
		Count	Row N %	Count	Row N %	Count	Row N %	p-value
The monitoring and evaluation process does help me improve my work performance.	B5	14	70.0 %	4	20.0 %	2	10.0 %	0.002
I am of the opinion that with monitoring and evaluation the quality of my work has greatly improved.	B6	12	60.0 %	6	30.0 %	2	10.0 %	0.022
I am aware of monitoring and evaluation as a management tool that is utilised to address the issues of inefficiency, ineffectiveness and wasteful management of public resources.	B7	17	85.0 %	3	15.0 %	0	0.0%	0.002
Monitoring and evaluation has empowered me to manage my performance information efficiently and effectively.	B8	13	65.0 %	3	15.0 %	4	20.0 %	0.011
I believe that monitoring and evaluation effectively tracks progress and demonstrates the impact of a given programme or project.	B9	15	75.0 %	3	15.0 %	2	10.0 %	0.000
I believe with my performance information; the monitoring and evaluation has enhanced my level of accountability and good governance.	B10	13	65.0 %	3	15.0 %	4	20.0 %	0.011
I believe that to be more effective as a public entity, the M&E process can assist in evaluating its performance and identifying the factors which contribute to its service delivery outcomes.	B11	17	85.0 %	2	10.0 %	1	5.0%	0.000
I am aware that monitoring and evaluation is a management tool for efficiency.	B12	17	85.0 %	3	15.0 %	0	0.0%	0.002
I am aware that monitoring supports effective management through reports on actual performance against what was planned or expected.	B13	18	90.0 %	1	5.0%	1	5.0%	0.000
I am aware that evaluation is a decision-making tool to be incorporated into the planning cycle and the performance information management of the entity.	B14	17	85.0 %	2	10.0 %	1	5.0%	0.000
I believe the frequency of tracking and collecting data and also evaluating the performance information has an improved impact on my job.	B15	12	60.0 %	5	25.0 %	3	15.0 %	0.035
Monitoring and evaluation is intended to improve service delivery.	B16	18	90.0 %	2	10.0 %	0	0.0%	0.000
The entity has its Five-year Strategic Plan in place and I am aware of its strategic goals and objectives.	B17	14	70.0 %	2	10.0 %	4	20.0 %	0.002
I am fully aware of the Annual Performance Plan of the entity and the performance indicators thereof.	B18	15	75.0 %	1	5.0%	4	20.0 %	0.000
I am aware that monitoring and evaluation is linked with the entity's strategic plan and I am also aware of where my role fits in.	B19	14	70.0 %	1	5.0%	5	25.0 %	0.001
I am aware that the entity's performance information collected during the monitoring phases is evaluated at the end of a five-year cycle of the strategic plan.	B20	10	50.0 %	6	30.0 %	4	20.0 %	0.247

Figure 4.3: Scoring Patterns



The following patterns are observed:

- All statements show (significantly) higher levels of agreement, whilst other levels of agreement are lower (but still greater than levels of disagreement).
- The significance of the differences is tested and shown in the table.

For example: factor analysis shows that the following statements form a sub-theme:

B5: The monitoring and evaluation process does help me improve my work performance. The B5 statement shows a 70 per cent level of agreement, a 20 per cent level of indifference and a ten per cent level of disagreement.

B6: I am of the opinion that with monitoring and evaluation the quality of my work has greatly improved.

The B6 statement shows a 60 per cent level of agreement, a 30 per cent level of indifference and a ten per cent level of disagreement.

B7: I am aware of monitoring and evaluation as a management tool that is utilised to address the issues of inefficiency, ineffectiveness and wasteful management of public resources.

The B7 statement shows an 85 per cent level of agreement, a 15 per cent level of indifference and a zero per cent level of disagreement.

B8: Monitoring and evaluation has empowered me to manage my performance information efficiently and effectively.

The B8 statement shows a 65 per cent level of agreement, a 15 per cent level of indifference and a 20 per cent level of disagreement.

B9: I believe monitoring and evaluation effectively tracks progress and demonstrates the impact of a given programme or project.

The B9 statement shows a 75 per cent level of agreement, a 15 per cent level of indifference and a ten per cent level of disagreement.

B10: I believe that with my performance information, the monitoring and evaluation has enhanced my level of accountability and good governance.

The B10 statement shows a 65 per cent level of agreement, a 15 per cent level of indifference and a 20 per cent level of disagreement.

There are high levels of agreement in relation to the sub-theme, **improving public sector performance and enhancing accountability**. Respondents have an understanding of what these are and what they need to do so that they are achieved.

B11: I believe that to be more effective as a public entity, the M&E process can assist in evaluating its performance and identifying the factors which contribute to its service delivery outcome.

The B11 statement shows an 85 per cent level of agreement, a ten per cent level of indifference and a five per cent level of disagreement.

B12: I am aware that monitoring and evaluation is a management tool for efficiency.

The B12 statement shows an 85 per cent level of agreement, a 15 per cent level of indifference and a zero per cent level of disagreement.

B13: I am aware that monitoring supports effective management through reports on actual performance against what was planned or expected.

The B13 statement shows a 90 per cent level of agreement, a five per cent level of indifference and a five per cent level of disagreement.

B14: I am aware that evaluation is a decision-making tool to be incorporated into the planning cycle and the performance information management of the entity.

The B14 statement shows an 85 per cent level of agreement, a ten per cent level of indifference and a five per cent level of disagreement.

B15: I believe the frequency of tracking and collecting data and also evaluating the performance information has an impact on my job.

The B15 statement shows a 60 per cent level of agreement, a 25 per cent level of indifference and a 15 per cent level of disagreement.

B16: Monitoring and evaluation is intended to improve service delivery.

The B16 statement shows a 90 per cent level of agreement, a ten per cent level of indifference and a zero per cent level of disagreement.

There are high levels of agreement in relation to this sub-theme, **Efficiency and Effectiveness**. Respondents have an understanding of what these are and what they need to do so that they are achieved.

B17: The entity has its Five-Year Strategic Plan in place and I am aware of its strategic goals and objectives.

The B17 statement shows a 70 per cent level of agreement, a ten per cent level of indifference and a 20 per cent level of disagreement.

B18: I am fully aware of the Annual Performance Plan of the entity and the performance indicators thereof.

The B18 statement shows a 75 per cent level of agreement, a five per cent level of indifference and a 20 per cent level of disagreement.

B19: I am aware that monitoring and evaluation is linked with the entity's strategic plan and I am also aware of where my role fits in.

The B19 statement shows a 70 per cent level of agreement, a five per cent level of indifference and a 25 per cent level of disagreement.

B20: I am aware that the entity's performance information collected during the monitoring phases is evaluated at the end of a five-year cycle of the strategic plan.

The B20 statement shows a 50 per cent level of agreement, a 30 per cent level of indifference and a 20 per cent level of disagreement.

There are high levels of agreement in relation to this sub-theme, **Good Governance**. Respondents have an understanding of what these are and what they need to do so that they are achieved.

To determine whether the scoring patterns per statement were significantly different per option, a chi square test was done. The null hypothesis claims that similar numbers of respondents scored across each option for each statement (one statement at a time). The

alternate states that there is a significant difference between the levels of agreement and disagreement. The results are shown in the table.

Table 4.4: Scoring Patterns – Chi Square Tests

		Chi-Square	df	Asymp. Sig.
A1	What is your age?	7.3	2	0.026
A2	What is your Gender?	0	1	1.000
A3	What is your highest qualification?	8.8	3	0.032
A4	How long have you been working for KZN Sharks Board?	3.1	2	0.212
B5	Monitoring and Evaluation process does help me improve my work performance	12.4	2	0.002
B6	I am of the opinion that with monitoring and evaluation the quality of my work has greatly improved	7.6	2	0.022
B7	I am aware of monitoring and evaluation as a management tool that is utilised to address the issues of inefficiency, ineffectiveness and wasteful management of public resources	9.8	1	0.002
B8	Monitoring and evaluation has empowered me to manage my performance information efficiently and effectively	9.1	2	0.011
B9	I believe monitoring and evaluation effectively tracks progress and demonstrate the impact of a given program or project	15.7	2	0.000
B10	I believe with my performance information, the monitoring and evaluation has enhanced my level of accountability and good governance	9.1	2	0.011
B11	I believe that to be more effective as a public entity, the M&E process can assisting evaluating its performance and identifying the factors which contribute to its service delivery outcomes	24.1	2	0.000
B12	I am aware that monitoring and evaluation is a management tool for efficiency	9.8	1	0.002
B13	I am aware that monitoring supports effective management through reports on actual performance against what was planned or expected	28.9	2	0.000
B14	I am aware that evaluation is a decision-making tool to be incorporated into the planning cycle and the performance information management of the entity	24.1	2	0.000
B15	I believe the frequency of tracking and collecting data and also evaluating the performance information has an improved impact on my job	6.7	2	0.035
B16	Monitoring and evaluation is intended to improve service delivery	12.8	1	0.000
B17	The entity has its Five year Strategic Plan in place and I am aware of its strategic goals and objectives	12.4	2	0.002
B18	I am fully aware of the Annual Performance Plan of the entity and the performance indicators thereof	16.3	2	0.000
B19	I am aware that monitoring and evaluation is linked with the entity's strategic plan and I am also aware of where my role fits in	13.3	2	0.001
B20	I am aware that the entity's performance information collected during the monitoring phases, it is evaluated at the end of a five year cycle of the strategic plan	2.8	2	0.247

The highlighted sig. values (p-values) are less than 0.05 (the level of significance), which implies that the distributions are not similar. That is, the differences between the way respondents scored (agree, indifferent, disagree) are significant.

The fifteen statements of the respondents of the KwaZulu-Natal Sharks Board show a high level of agreement where the impact of monitoring and evaluation as a management tool for improving performance in the KwaZulu-Natal Sharks Board is positive. This is evident in that the majority of the respondents have responded positively, for example, the statement B16 and B17 shows that the employees understand the KwaZulu-Natal Sharks Board strategic goals and objectives and what is expected of them to improve performance.

Although there is a high level of agreement regarding the impact of the monitoring and evaluation as a tool in KwaZulu-Natal Sharks Board, there is still a need for reinforcement through employee workshops. An ongoing organisational learning programme to promote good governance, enhance accountability, efficiency and effectiveness in the KwaZulu-Natal Sharks Board should be embarked on. The potential exists for a more integrated and effective monitoring and evaluation programme in the KwaZulu-Natal Sharks Board.

Hypothesis Testing

The traditional approach to reporting a result requires a statement of statistical significance. A **p-value** is generated from a **test statistic**. A significant result is indicated with ' $p < 0.05$ '. These values are highlighted with a *.

A second Chi square test was performed to determine whether there was a statistically significant relationship between the variables.

The null hypothesis states that there is no association between the two. The alternate hypothesis indicates that there is an association.

The table summarises the results of the Fisher's Exact Tests (chi square tests). (SEE EXCEL SHEET – Hypothesis Testing).

The p-value between “I believe that to be more effective as a public entity, the monitoring and evaluation process can assist in evaluating its performance and identifying the factors which contribute to its service delivery outcomes” and “What is your age?” is 0.007. This means that there is a significant relationship between the variables highlighted in yellow. That is, the age of the respondent did play a significant role in terms of how respondents viewed the monitoring and evaluation process in assisting in evaluating their performance and identifying the factors which contribute to its service delivery outcomes.

To determine the patterns in the age groups, the researcher looked at the cross-tabulation table that is associated with the p-value.

It is noted that there are high levels of agreement amongst the younger respondents.

All values without an * (or p-values more than 0.05) do not have a significant relationship.

Correlations

Bivariate correlation was also performed on the (ordinal) data. The results are found in the appendix (**see excel sheet: Correlations**).

The results indicate the following patterns.

Positive values indicate a directly proportional relationship between the variables and a negative value indicates an inverse relationship. All significant relationships are indicated by a * or **.

For example, the correlation value between “I am of the opinion that with monitoring and evaluation the quality of my work has greatly improved” and “Monitoring and evaluation has empowered me to manage my performance information efficiently and effectively”, is 0.702. This is a directly related proportionality. Respondents indicate that the better the quality of work, the better the management of performance information, and vice versa.

4.7 CONCLUSION

This chapter of data analysis showed how the KwaZulu-Natal Sharks Board employees understand the importance of the utilisation of monitoring and evaluation as a management tool to enhance or improve performance in the public entity. It has given various perspectives on how other employees are not as embracing of the monitoring and evaluation as a management tool as they should. The following chapter will relook at the research questions and research objectives, elaborate on the conclusion of the study and lastly look at the recommendation of the study.

CHAPTER FIVE

CONCLUSION AND RECOMMENDATIONS

5.1 INTRODUCTION

The study focused on the impact of monitoring and evaluation on improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness in the KwaZulu-Natal Sharks Board public entity. This chapter presents the summary of the study, conclusion and recommendations.

5.2 RESEARCH OBJECTIVES

The objectives of the study were:

- To assess the extent to which employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board;
- To ascertain the extent to which the strategic goals and plans of the entity are understood by the employees of the KwaZulu-Natal Sharks Board;
- To analyse the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board; and
- To explore and draw from the existing best practices of Monitoring and Evaluation systems and therefore propose solutions to the existing and identified problems in the KwaZulu-Natal Sharks Board.

5.3 RESEARCH QUESTIONS

The study attempted to answer the following key questions:

- To what extent do employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board?

- To what extent are the strategic goals and plans of the entity understood by the employees of the KwaZulu-Natal Sharks Board?
- What are the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board, and
- What are the best practices of monitoring and evaluation systems and possible solutions that can be adopted to solve challenges in the KwaZulu-Natal Sharks Board?

5.4 CONCLUSION OF THE STUDY

The research was aimed at determining the impact of monitoring and evaluation on improving public sector performance and enhancing accountability, good governance, efficiency and effectiveness in the KwaZulu-Natal Sharks Board public entity. The researcher was able to achieve this aim by setting two research objectives for the study and four research questions. The answers to the research questions were provided through data collected from KwaZulu-Natal Sharks Board employees using a qualitative research method and questionnaires as a research instrument.

Questionnaires showed that a large number of the respondents at the KwaZulu-Natal Sharks Board support the establishment of a monitoring and evaluation system and believe that it positively impacts and improves performance, and enhances accountability, good governance, efficiency and effectiveness in the entity. The answers to the questionnaires revealed that the monitoring and evaluation system has been implemented in full.

5.4.1 Objective One: To assess the extent to which employees understand the important role of monitoring and evaluation in the KwaZulu-Natal Sharks Board.

The majority of the respondents revealed that there are high levels of agreement which shows that respondents have an understanding of what monitoring and evaluation is and what they need to do so that a positive impact is achieved, which is improved performance

and enhanced accountability, good governance, efficiency and effectiveness within the KwaZulu-Natal Sharks Board.

The KwaZulu-Natal Sharks Board should broadly support evidence-based decision making and monitoring and evaluation data should be used to inform decisions in the different stages of planning and the delivery of the entity's legislated mandate to the public.

An increase in the level of accountability should lead to a significant increase in the level of good governance. Where there is commitment to ensuring accountability, chances for good governance to flourish are high.

5.4.2 Objective Two: To ascertain the extent to which the strategic goals and plans of the entity are understood by the employees of the KwaZulu-Natal Sharks Board.

The majority of the respondents revealed that there is a high level of agreement and this shows that respondents have an understanding of what the strategic goals of the entity are, as per the strategic plan, and how it is linked to the monitoring and evaluation process. It revealed that the respondents understand what they need to do so that a positive impact is achieved, which is improved performance within the KwaZulu-Natal Sharks Board.

The KwaZulu-Natal Sharks Board should ensure that monitoring and evaluation is well located in the planning process. Monitoring and evaluation must facilitate the planning process by producing valid evidence for policy decisions, thereby ensuring greater objectivity and transparency. A stronger co-ordination is needed to ensure that monitoring and evaluation helps to guide the KwaZulu-Natal Sharks Board's actions towards greater effectiveness and promoting good governance.

5.4.3 Objective Three: To analyse the challenges of establishing the monitoring and evaluation system in the KwaZulu-Natal Sharks Board.

The high number of respondents showed that there are no challenges in establishing the monitoring and evaluation system.

The potential exists for a more integrated and effective monitoring and evaluation programme in the KwaZulu-Natal Sharks Board. The KwaZulu-Natal Sharks Board should consider allocating more resources for the monitoring and evaluation function, and ensure recognition and integration of monitoring and evaluation into all levels of management.

5.4.4 Objective Four: To explore and draw from the existing best practices of good monitoring and evaluation systems and therefore propose solutions to the existing and identified problems.

The respondents showed a high level of agreement that the existing best practices of a good monitoring and evaluation system have a positive impact in improving performance and enhancing accountability, good governance, efficiency and effectiveness in the KwaZulu-Natal Sharks Board. The KwaZulu-Natal Sharks Board should consider doing repeat workshops and/or training on monitoring and evaluation and also allocating more resources for the monitoring and evaluation function, as well as ensuring recognition and integration of monitoring and evaluation into all levels of management.

5.5 RECOMMENDATIONS OF THE STUDY

This study was conducted at the KwaZulu-Natal Sharks Board, a public entity under the Provincial Government of KwaZulu-Natal, Department of Economic Development, Tourism and Environmental Affairs, at its headquarters located in Umhlanga Rocks, Durban.

The recommendations of this study are based on the findings and conclusions that have been reached during the discussion.

The summary of the findings indicates that the employees, in terms of the sample of 20 respondents, are in support and agreement of the monitoring and evaluation system as it

positively impacts on improving public sector performance and enhances accountability, good governance, efficiency and effectiveness in the KwaZulu-Natal Sharks Board. Most of the respondents are aware of the system and the best practice of monitoring and evaluation.

As it is evident that there are high levels of agreement amongst the younger respondents, it is recommended that more engagement with older respondents is facilitated so that they get to understand more about the benefits of employing the monitoring and evaluation system. Therefore, an ongoing organisational learning programme in promoting good governance, enhancing accountability, efficiency and effectiveness in the KwaZulu-Natal Sharks Board should be embarked on. The potential exists for a more integrated and effective monitoring and evaluation programme in the KwaZulu-Natal Sharks Board. The Ministry should allocate more resources for the monitoring and evaluation function, and ensure recognition and integration of monitoring and evaluation into all levels of management.

- Recommendation for objective one is that the KwaZulu-Natal Sharks Board should implement measures that will ensure all employees understand and embrace the important role of monitoring and evaluation.
- Recommendation for objective two is to ensure that seminars and/or workshops for strategic planning are undertaken by all employees at all levels.
- Recommendation for objective three is that more evidence-based monitoring and evaluation is recommended for decision making.
- Recommendation for objective four is that the KwaZulu-Natal Sharks Board should consider allocating more resources for the monitoring and evaluation function, and ensure recognition and integration of monitoring and evaluation into all levels of management.

5.6 CONCLUSION

The study on evaluating the impact of monitoring and evaluation on performance in the KwaZulu-Natal Sharks Board discovered that the age of the respondents played a

significant role in terms of how respondents viewed the monitoring and evaluation process, and in evaluating its impact on performance and identifying the factors which contribute to its service delivery outcomes. It was discovered that there are high levels of agreement amongst the younger respondents. Monitoring and evaluation as a management tool should not only be structured to insignificant compliance; but should also support and enhance evidence-based decision making. Monitoring and evaluation must be properly institutionalised, resourced, funded and located so as to mediate policy process, planning and service delivery.

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