MONITORING AND EVALUATION SYSTEM TO ENHANCE SERVICE DELIVERY IN KWAZULU – NATAL DEPARTMENT OF HUMAN SETTLEMENTS

Submitted by Musawenkosi Mbuso Dube

210554847

A dissertation submitted in partial fulfilment of the requirements for the degree of Masters of Public Administration

School of Management, Information Technology and Governance
College of Law and Management Studies

Supervisor: Dr BR Qwabe

2018
DECLARATION

I Musawenkosi Mbuso Dube declare that:

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

iii. This dissertation does not contain other person’s data, pictures, graphs or other information, unless specially acknowledged as being sourced from other persons.

iv. This dissertation does not contain other person’s writing, unless specifically acknowledged as being sourced from other researchers. Where other written sources have been quoted:
   a) Their words have been re-written but the general information attributed to them has been properly reference;
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Signature: _____________________       Date: ___________________
DEDICATION

First and foremost, this dissertation is dedicated to my lovely wife, Futhi, and my four children, Noxolo, Lulama, Zethembiso and Zenzo. Without you, and your support and patience, Masters in Public Administration would not have been possible. Second, to my late father, Wilfred. While I am feeling a sense of overjoy about my completion of the Masters in Public Administration, it is sad that I cannot celebrate this achievement with you. To my late sister and brother, Thembisile Ntokozo respectively, I wish you were here to celebrate with me my achievement. Third, to my mother, Emma you have been a source of inspiration in my life. Without you, I could not have succeeded. Your encouragement has inspired me to push even harder during difficult times. Last, but not least, to the entire Dube family thank you for your encouragements.
ACKNOWLEDGEMENTS

First and foremost, I should thank the Almighty, who has bestowed the strength to undertake this journey of writing this dissertation, and kept me throughout until I finished my masters. I should also thank my supervisor, Dr Qwabe for providing the intellectual direction and guidance in my endeavour to complete my studies. Thanks for being patient and for your helping hand when circumstances were against me. Without your support I could not have finished this dissertation. Your professional advice has helped me in preparation and final presentation of this research project.

My sincere appreciation and gratitude goes to the Head of Department, Greta Apelgren-Narkedien and my director Mr Mbonane, respectively for allowing me to conduct this research in the department; and the officials from Department of Human Settlements for showing their interest to participate in the study.
ABSTRACT

**Background:** The monitoring and evaluation (M&E) system is regarded as one of the tools that assists in improving service delivery and good governance within an organisation. However, the M&E system within public service has not been sufficiently researched and given the attention that it deserves.

**Objectives:** This study investigated how the M&E system can assist in improving service delivery and good governance within the Department of Human Settlements (DoHS). The focus was on investigating the strategies, principles, procedures and best practices when implementing the M&E system within DoHS.

**Methodology:** The qualitative research design was used through a case study strategy, which was driven by the conceptual framework that encouraged the adoption of the M&E system within the DoHS. The study site was the DoHS in KwaZulu-Natal where government officials consisting of 13 Assistant Directors, 14 Deputy Directors and 10 Directors were interviewed. Data were analysed through a combination of content, matrix, and thematic analyses.

**Findings and analysis:** The findings show that, while most of the officials within the department understand that there is an M&E system, the majority of the officials within the department are ill-informed in terms of how the system operates. The study findings further show that the impact of the M&E system is very minimal in terms of advancing service delivery and good governance.

**Recommendations:** In its final analysis, the study recommends that information sessions and workshops within the department must be conducted in order to promote the awareness about the role and contribution of the M&E system in the department. The study further recommends that the implementation of M&E system should be perceived as a support system deemed necessary to improve service and good governance in the public sector in general, and in the DoHS in particular.

Keys words: monitoring and evaluation system, service delivery, and good governance.
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<tr>
<td>AG</td>
<td>Auditor-General</td>
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<tr>
<td>ANC</td>
<td>African National Congress</td>
</tr>
<tr>
<td>BRICS</td>
<td>Brazil, Russia, India, China, and South Africa</td>
</tr>
<tr>
<td>CDC</td>
<td>Center for Disease Control and Prevention</td>
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<tr>
<td>CIBFA</td>
<td>Centre for Research and Innovation in Biodiversity and drugs Discovery</td>
</tr>
<tr>
<td>CIRT</td>
<td>Center for Innovation in Research Teaching</td>
</tr>
<tr>
<td>COGTA</td>
<td>Department of Cooperation Governance and Traditional Affairs</td>
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<tr>
<td>DoE</td>
<td>Department of Education</td>
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<td>DoHS</td>
<td>Department of Human Settlements</td>
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<td>DPME</td>
<td>Department of Performance Monitoring and Evaluation</td>
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<tr>
<td>DPSA</td>
<td>Department of Public Service and Administration</td>
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<tr>
<td>EEDBS</td>
<td>Enhanced Extended Discount Benefit Scheme</td>
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<td>GDPRD</td>
<td>Global Donor platform for Rural Development</td>
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<td>GWMES</td>
<td>Government- Wide Monitoring and Evaluation System</td>
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<td>IMF</td>
<td>International Monitory Fund</td>
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<td>MANCO</td>
<td>Management Committee</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>MTEC</td>
<td>Medium Term Expenditure Committee</td>
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<td>MTEF</td>
<td>Medium Term Expenditure Framework</td>
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<td>NDP</td>
<td>National Development Plan</td>
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<tr>
<td>NGO</td>
<td>Non-Government Organisation</td>
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<td>NPC</td>
<td>National Planning Commission</td>
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<td>NPO</td>
<td>Non- Profit Organisation</td>
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<td>NRF</td>
<td>National Result Framework</td>
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<tr>
<td>NSG</td>
<td>National School of Government</td>
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<tr>
<td>NTFMPPI</td>
<td>National Treasury Framework for Managing Programme Performance Information</td>
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<tr>
<td>OECD</td>
<td>Organisation for Economic Cooperation and Development</td>
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<tr>
<td>OHCHR</td>
<td>The Office of the United Nations High Commissioner for Human Rights</td>
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<tr>
<td>Abbreviation</td>
<td>Full Form</td>
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<tr>
<td>OPP</td>
<td>Outline Perspective Plan</td>
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<tr>
<td>PGDP</td>
<td>Provincial Growth and Development Programme</td>
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<tr>
<td>PSC</td>
<td>Public Service Commission</td>
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<td>PSM</td>
<td>Public Sector Management</td>
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<td>POWM&amp;E</td>
<td>Premier’s Office in Province-Wide M&amp;E</td>
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<tr>
<td>RDP</td>
<td>Reconstruction and Development Programme</td>
</tr>
<tr>
<td>RSA</td>
<td>Republic of South Africa</td>
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<td>SA</td>
<td>South Africa</td>
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<td>SALGA</td>
<td>South African Local Government Association</td>
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<td>SCM</td>
<td>Supply Chain Management</td>
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<td>SONA</td>
<td>State of the Nation Address</td>
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<td>ToC</td>
<td>Theory of Change</td>
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<tr>
<td>UK</td>
<td>United Kingdom</td>
</tr>
<tr>
<td>UNDP</td>
<td>United Nations Development Programme</td>
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<tr>
<td>UNESCO</td>
<td>United Nations Educational Scientific Cultural Organisations</td>
</tr>
<tr>
<td>USA</td>
<td>United States of America</td>
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<tr>
<td>WHO</td>
<td>World Health Organisation</td>
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CHAPTER 1
INTRODUCTION AND CONTEXT

1.1 Chapter Introduction

Chapter one of the study offers an outline and summary of the scope of the dissertation. It illuminates the study, research background, research problem, research question, and research objective. The chapter further presents the significance of the study, and preliminary literature review. Subsequently, the chapter discusses the research design method, limitation of the study, and the key terms and definitions. Finally, this chapter describes the overall outline of the dissertation, before concluding with a short summary and inventory of chapters.

1.2 Background of the study

The public service has in recent years adopted the Monitoring and Evaluation (M&E) system to improve good governance and service delivery. Although some sectors of government are yet to adopt this system into its operations, departments, including the Department of Human Settlements and Departments (DoHS), has already adopted the system.

The M&E system is one of the important service delivery improvement tools. The system lays and reinforces the significance of public accountability and transparency within the government departments. Furthermore, the system helps the programme implementers in government to take informed decisions on the following aspects:

- **Programme operations and effective and efficient use of resources:** the M&E system ensures that the allocations of resources including financial (money), human capital (people, knowledge, and skills) and physical resources (technology and equipment) by the departments is improved and not wasted but rather utilised to the benefit of the people.
• **Determine government operations and the extent in which the programme is on track:** the use of M&E system ensures that service delivery targets are monitored by ensuring that identified targets and indicators remain achievable.

• **Review departmental targets:** the M&E system ensures that the set targets are achieved at a specific time and, by so doing, the M&E system process ensures that the services are delivered at the appropriate time. If the targets are not achievable, they must be reviewed.

• **Aligns programme results:** the M&E system assists in achieving the desired results and targets (RSA 2007:5).

From a development context, the above identified aspects provide checks and balances, thus improving organisational productivity.

The interpretation in terms of how the M&E evolved was defined differently by authors. Many scholars, including Gonzalez (2012), Goldman, Ntambuka and Jacobs (2013), and Magaswa and Moodley (2012), have different views regarding the evolution of the M&E system. An important note is that on the one hand the modernist argues that the evolution of the M&E started in the western countries, and on the other hand, the traditionalists argue that the M&E system started in Africa and has existed during the (500 and 2000 BC) Stone Age era. Unfortunately, the literature on a global scale has overlooked the evolution of the system from the Stone Age context (Masuku, Ngenelezi and Ijeoma 2015:8).

In the context of Africa, literature reveals that Egypt is a father and founder of the M&E system in the world. The ancient Egyptians regularly monitored their country’s outputs in grain and livestock production more than 5,000 years ago (Masuku et al. 2015:10). Developed countries, including the Organisation for Co-operation and Development (OECD) followed suit. Today, the OECD and developed countries implement result-based M&E systems (Masuku et al. 2015:10).

South Africa transformed from a race-based closed and secretive Apartheid state, to fully fledged democratic state in April 1994, following its first national democratic elections. The first 20 years of democracy brought about an array of legislative reforms and
democratic processes (Commonwealth Secretariat, 2016:12). For the period 2014-2030, South Africa’s focus is on economic transformation and the implementation of the country’s National Development Plan (NDP), Vision 2030. The NDP is the plan to unite South Africans, by growing the inclusive economy and encouraging state and leaders to work together in solving development challenges including poverty, inequalities, and unemployment. In order to achieve the NDP goals, the M&E system remains pivotal.

Following the 2009 general elections, the government of the African National Congress (ANC) had to address issues of corruption and other governance problems. In 2010, a Department of Performance Monitoring and Evaluation (DPME) was established in the Office of the Presidency (RSA 2007:23). After 2000s there was a growing interest in the M&E system and pressure mounted to introduce a more coherent approach to Government, i.e. Wide Monitoring and Evaluation System (GWMES). In 2005, the Cabinet approved a plan for the development of a GWMES, which was as a ‘system of systems’ in which each department would have a functional monitoring system, out of which the necessary information could be extracted. The policy framework to guide the overarching GWMES was published in 2007 (RSA 2007:5).

As from 1994 to 2014, South Africa was marked by challenges pertaining to service delivery, which resulted in country-wide service delivery protests (Mafolo 2014:8). These protests continued unabated, despite the promulgation of important legislations including the Constitution of the Republic of South Africa of 1996, and Public Finance Management ActNo.1 of 1999 (Mafolo 2014:7). Dlamini (2014:25) concurs with Friedman (2013:10) that, for example, informal settlements residents have been at the forefront of service delivery protests as resident’s demand houses and other basic services.

Public service organisations had faced uncertainty in a constantly changing environment, and are under pressure from the public to provide quality services. The DPME was precisely established to address the issues of service delivery and performance of all the government’s departments. The establishment of the DPME within the Presidency in 2010 was a clear demonstration of the South African government’s commitment to ensure that its performance makes a meaningful impact on the lives of the citizens (Graan and Ukpere, 2012:1).
With the increased demand to evaluate the impact of programmes and policies in the public service (RSA 2010:21), the DPME adopted an approach that is focusing on the improved service delivery through the performance of the M&E system across all spheres and organs of the state. The establishment of DPME in 2010 meant that the government was committed to ensuring that services provided always benefit the public (RSA 2010:21).

DPME’s mandate among other things included:
- Development of indicators;
- Performance monitoring the government priorities;
- Monitoring the performance of individual, national, and provincial departments and municipalities;
- Promote good M&E practices in the government (RSA 2012:421).

Furthermore, the DPME is entrusted with the following responsibilities:
- Implementing the constitutional imperatives for cooperative governance by negotiating the inter-departmental and intergovernmental delivery agreements for the outcomes;
- Increase strategic focus of the government; and
- Making more efficient and effective use of limited resources through more systematic monitoring and evaluation (RSA 2012:431).

These responsibilities seek to ensure that the government departments are always in compliance with performance targets and milestones of their respective departments. In addition, DPME set the guidelines by which all government departments must adhere to, including legislative requirements for good government and service delivery (RSA 2012:43).

Chapter 10 of the South African Constitution of 1996 sets out the basic values and principles that govern public administration in every sphere of government, organs of state, and public enterprises. Some of the values and principles that seek to promote good governance are as follows (RSA 1996:1331):
- The efficient, economic, and effective use of resources is promoted;
• Public administration must be accountable; and
• Transparency, which must be fostered by providing the public with timely, accessible, and accurate information.

In order to achieve the identified values and principles above, the government had to ensure that mechanisms are put in place to deal with the challenges relating to service delivery.

In dealing with the challenges of accountability and transparency, the government of the ANC had to ensure that there were proper control mechanisms that were put in place to enhance service delivery. These measures included the significance of accountability by government departments. From a legislative perspective, government institutions are required to be responsive and adhere to service standards rendered. However, despite these initiatives, service delivery challenges still exist in many communities, thus the need for the M&E system which will, among other things, ensure that managers assess their management practices and performance in order to improve service delivery (RSA 2012:20).

Therefore, the M&E system, as a set of organisational structure, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships, enables national and provincial departments, municipalities, and other institutions, to discharge their M&E responsibilities (RSA 2013:10). In order to achieve this goal, the DPME is required to establish partnerships with other government institutions such as National Treasury, National School of Government (NSG), Department of Public Service and Administration (DPSA) and, Office of the Auditor-General (AG). The DPME, through such partnerships, aims at ensuring that state departments comply with the mandate and the targets that they have set (RSA 2012:21).

1.3 Research problem statement

With the dawn of democracy, there has been expectations from the citizens that the democratic government would bring about economic and social transformation, one that is pro-poor, interventionist, and transformative. Unfortunately, many challenges emerged
which affected service delivery. Naidoo (2012:2) asserts that to deliver on the mandate of the government, the departments require a strong and effective M&E system to improve service delivery and good governance. Graan et al. (2012:11) argue that, developing capacity in the government is an on-going challenge that persists since the number of technically proficient M&E practitioners within the government are not adequate. In view of the identified research problem, this dissertation intends to investigate how the M&E system can be better utilised by all officials in DoHS in KwaZulu-Natal in order to achieve the departments’ strategic targets and outcomes, which is to promote decent human settlement for all, as envisioned by the Constitution of the Republic of South Africa of 1996, and other subsequent and relevant legislation.

1.4. Research questions

Masatu (2012:21) defines the research question as the question, which the research sets out to answer. Masatu (2012:12) further argues that the main challenges regarding implementation of M&E is the lack of coherent plans within the units, non-alignment of programmes and lack of strategic directions for the companies. As such, and linked to the identified research problem statement indicated above, the main research question for this dissertation is as follows:

1. How can the M&E system be implemented in order to improve good governance and service delivery in the DoHS in KwaZulu-Natal?

Linked to the main research question are the following sub-questions:

2. What is the level of understanding of the M&E system compliance within the DoHS in KwaZulu-Natal?
3. How can the M&E system assist in improving good governance in the DoHS in KwaZulu-Natal?
4. Is there any impact after the introduction of the M&E system within the DoHS in KwaZulu-Natal?
5. How can the challenges be addressed in order to improve good governance and service delivery within DoHS in KwaZulu-Natal?
1.5 Research objectives

In view of the research problem, statement stated earlier, the main research objective for these study intents to:

1. To determine whether the M&E system has been implemented in order to improve good governance and service delivery in the DoHS in the Province of KwaZulu-Natal.

Associated with the main research objective, the following are sub-objectives of the study:

2. To understand the level of the M&E system compliance within the DoHS in KwaZulu-Natal;
3. To determine the level at which the M&E system assists in improving good governance in KwaZulu-Natal;
4. To identify whether there has been an impact after the introduction of the M&E system in the DoHS in KwaZulu-Natal; and
5. Examining ways of improving the application of the M&E system in the DoHS in KwaZulu-Natal.

1.6 Significance of the study

As noted earlier, the M&E system seeks to improve the way the departments perform and delivers on their mandates and milestones. Van Nguyen and Ha (2017:1) assert that the M&E provides the inputs for decision-making to keep track of the programmes and projects being delivered, thus promoting the effective and efficient use of government resources (RSA 2007:1).

Although prior studies have been conducted, which highlight the importance of the M&E system in the public sector, there is minimal research conducted that provide the solutions on how best to improve the application of the M&E system within the public services. From the foregoing, the significance of the study thus lies in its design to examine the role that the M&E system can play in advancing and improving service delivery in general, and particularly, within the DoHS in KwaZulu-Natal. The study further sought to
investigate how the government institutions can benefit from the M&E system for improved service delivery and good governance.

1.7 Preliminary literature review

The M&E plays a crucial role in ensuring that good governance and service delivery is better improved in the entire public sector. As such, the reason to why the M&E started has been interpreted differently. In the mediaeval era until recently, South Africa transformed from a race-based closed and secretive Apartheid state to a fully-fledged democratic state in April 1994, following its first national democratic elections. (Commonwealth Secretariat 2016:12). Following the 2009 general elections, the government of the African National Congress (ANC) introduced drastic measures in order to improve service delivery and good governance. In 2010, a Ministry of Performance M&E was established in the Office of the Presidency. Its main mandate is to establish the performance standards for the entire public sector (RSA 2007:23). A detailed literature review for this study is presented in chapter two.

1.8 Research design and methods

The following section provides discussion on the research design and the methods used for this dissertation.

1.8.1 Research design

Explorable (2018:2) defines research design as a research method used extensively by scientists and researchers. Three research designs methods can be used in research. These include qualitative, quantitative, and the mixed-method. From the three methods, the study adopted the qualitative method. This method is discussed in-depth in chapter four.

1.8.2 Research strategy

Jeny (2014:6) defines research strategy as a systematic plan of action that gives directives to the thought and efforts, enabling the researcher to conduct research systematically and
on schedule, in order to produce quality results and detailed reporting. For the purpose of this research study, a single case study research was adopted, which is the DoHS in KZN. This case study strategy contains a variety of units of analysis which include the officials from the DoHS directorates. These directorates represented all the categories of officials that have been selected to participate in this research.

1.8.3 Study site and participants

The study site for this dissertation is the DoHS. The DoHS is one of the government departments within the Province of KwaZulu-Natal (KZN). The officials from DoHS, including the Assistant Directors, Deputy Directors, and Directors, participated in the study.

1.8.4 Target population

Windham (2018:3) defines target population as the group of individuals the researcher select to investigate. The targeted population for the study is 37 comprising of Assistant Directors, Deputy Directors, and Directors.

1.8.5 Sample size

Secure in Future (2014:2) defines sample size as a term used in research for defining the number of subjects included in a sample. The sample size for the study was drawn from the targeted population noted above. Of the target population, 25 Assistant Directors, 20 Deputy Directors, and 15 Directors were selected to participate in the study.

1.8.6 Sampling strategy

Kandace and Landreau (2016:34) define sampling strategy as a plan that ensures that the sample used in research study represents the population from which the sample is drawn. The purposeful sampling, using the non-probability sampling technique, was used to collect data for the study. The officials from DoHS in KZN were selected based on the understanding and their insight regarding the M&E system in the department. Such
understanding assisted in extracting in-depth information, which could be used in improving the M&E system within the DoHS in KZN.

### 1.8.7 Data collection methods

Most, Cradick, Rhodes, Rukenbrod and Laws (2011:12) define data collection as the process of gathering and measuring information on variables of interest in an established systematic manner that enables one to answer the research question. Data was collected using in-depth semi-structured interviews. As indicated above, the interviews were conducted with the selected officials on the basis of their understanding of the M&E system, and those who are at the forefront of service delivery within the department.

### 1.8.8 Data quality control

Christiansen and Bertram (2014:174) assert that in the postpositivist paradigm, data must be factual, or be as close as possible to being factual. Such truth must incorporate among other things like measurability, verifiability, and trustworthiness of data.

### 1.8.9 Data reduction and analysis

On the one hand, Flick (2014:6) defines data analysis as the classification of linguistic material to make statements about the implicit and explicit regarding the structures of material and what is represented. On the other hand, Conseil, Bacon, Piqueras and Shepherd (2016:1) define data reduction as a process which converts raw data into more meaningful data. To analyse data for this particular research study, content and thematic analyses were used. The study was subdivided into various data sets obtained from the participants during the interview process. Brynard et al. (2014:10) note that, raw data must be managed systematically in order to ensure that there are no inconsistencies. Once the data has been completed, an in-depth analysis of data is made. Data analysis is undertaken to determine what needs to be discarded and what ought to be saved. Finally, the literature presented in chapter two was interrogated to analyse data acquired for the study. The data for this study is presented and explained in chapter five of this dissertation.
1.8.10 Ethical consideration

Datt (2016:2) asserts that ethical consideration in research refers to accountability towards the public by protecting the human or subjects used in the study. Conducting research can raise ethical issues, if not properly controlled. This may occur through the harm to participants, data protection, and lack of informed consent. In ensuring that ethical considerations are maintained, the gatekeeper letter was obtained from the Head of Department of DoHS after which the researcher obtained the ethical clearance from the University of KwaZulu-Natal Research Ethics Committee. Moreover, when conducting interviews with the participants, ethical considerations were taken into account by the researcher by explaining to the participants the reason for interviews and the criteria for selecting the respondents. The researcher ensured that the participants were informed of their rights and that they are not forced but they can withdraw at any time. Before starting any interviews, the participants were asked whether they were comfortable to continue with the interviews so that if they felt uncomfortable they could withdraw.

1.9 Limitations of the study

The study was not conducted in the entire Province. Only a sample of officials from the Head Office and District Offices were selected according to their seniority and their relevance to the study. The final recommendations maybe replicated to other departments as a source of reference. Firstly, the researcher relied on his personal limited funds to conduct the entire study. Secondly, the researcher was studying part-time and had other competing responsibilities and engagements. As such, the researcher had to apply for study leave and vacation leave in order to complete the study. Finally, the researcher was not able to visit all the offices within the province because of the financial and time constraints. As a result of the lack sponsorship for the study, the researcher had to rely on his personal financial resources to finance his study activities.

1.10. Key terms and definitions

Key terms and definitions used in the study are shown below in Table 1.1.
Table 1-1 Key terms and definitions.

<table>
<thead>
<tr>
<th>Key Terms</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Monitoring</td>
<td>Monitoring is a regular collection and reporting of information that enables managers to track the progress of programmes and demonstrates results (Rood 2013:2).</td>
</tr>
<tr>
<td>Evaluation</td>
<td>Evaluation is defined as a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions in order to guide decision making by staff, managers, and policy makers (RSA 2007:1). Evaluation may assess relevant efficiency, effectiveness, impact, and sustainability (RSA 2007:1).</td>
</tr>
<tr>
<td>Governance</td>
<td>Governance can be defined as process of decision-making and the process by which decisions are implemented or not implemented (UNESCAP 2016:1). Creative Learning (2016:1) defines good governance, as an approach to government that is committed to creating system founded in justice and peace that protects individual and civil liberties. SDC (2018:1) defines good governance as phenomena that creates an environment that strengthens rule of law and human rights, gender equality, appropriate distribution of power and macro-economic stability.</td>
</tr>
<tr>
<td>Capacity</td>
<td>Capacity is a systematic and integrated approach to develop and continuously improve governmental, organizational, and individual competences and capabilities necessary for achieving safe, secure, and sustainable nuclear power programme(International Atomic Energy Agency 2013:1).</td>
</tr>
<tr>
<td>Accountability</td>
<td>Accountability is defined as a monitoring of important results, interpreting the measurements of those results and initiating action only when it is necessary (Barr 2016:2).</td>
</tr>
</tbody>
</table>

1.11 Chapter inventory

**Chapter One:** presents the introduction and the context of the study.

**Chapter Two:** presents a comprehensive literature review on DoHS in KZN, its definitions as well as the in-depth discussion on the M&E system. The literature study shows the evolution of the M&E system, legislative framework, and importance of the M&E system. The role of the government in promoting the M&E system is also examined in this chapter.

**Chapter Three:** presents the theoretical framework underpinning the study.

**Chapter Four:** presents the research design and methodology for the study.

**Chapter Five:** presents the data collected, and the analysis and discussion thereof.

**Chapter Six:** presents the findings of the study and conclusions drawn from the research. The chapter finally presents recommendations made, the significance of the study, and suggestions for future research.
1.12 Chapter summary

Chapter 1 of this dissertation presented the outline of the research, including the significance of the study, problem statement, objectives, and the research questions. The chapter further presented the limitation of the study, brief discussions of the literature review, and research design and methods. This was subsequently followed by the definition of terms, the inventory of chapters, and lastly, a summary of each of the chapters. Chapter two that deals with the Exploration of Monitoring and Evaluation will be discussed next chapter.
2. 1. Chapter Introduction

This chapter presents a broader conceptual understanding of the notion of M&E as a system. The Logical Model and M&E system, legislative frameworks underpinning the adoption of the M&E system, and the importance of the M&E system, are all discussed in this chapter. Finally, this chapter reviews the role of the government in promoting the M&E system and how the system should be institutionalised.

2.2 Monitoring and evaluation: A Conceptual View

The M&E system within a South African context has not been explored enough to examine the role it can play in improving the quality and standards of service delivery. According to Phillips, Goldman, Gasa, Akhalwaya and Leon (2014:1), with the introduction of the DPME, government sought to improve service delivery through the M&E system, which includes the review of service delivery outcomes and the assessment of the performance by government departments. Rood (2013:2) asserts that the evaluation of government departments involves analytical efforts to answer questions about the performance of programme activities, thus the need for the M&E system.

Gumbi (2010:4) further reasons that monitoring is a value management tool that can be used to improve technology, transfer initiatives by identifying aspects that are working according to plan and yielding positive results, while identifying those initiatives that require mid-course and remedial actions. Monitoring should be carried out in such a way that it builds capacity within departments for internal monitoring.

The Logical Model and M&E is discussed next.

2.3 The Logical Model and M&E

Logical model is arguably one of the most influential theoretical perspectives of public sector reforms in Africa. Rood (2013:7) asserts that the Logical Model roadmap is a tool
that can help improve the M&E system. The Logic Model is a useful tool to be used in introducing future development. The Logical Model explains why a particular strategy is a good solution to the problem at hand. According to the Centre for Diseases Control and Prevention (CDC 2017:5), the Logical Model can assist one to evaluate a program by providing a picture of how a program is intended to work. The Logical Model includes the process and outcome components, as illustrated in Table 2-1 below.

<table>
<thead>
<tr>
<th>Table 2-1: Process and outcome component of the Logical Model</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Process component model (planning elements)</strong></td>
</tr>
<tr>
<td>Inputs(resources)</td>
</tr>
<tr>
<td>Activities (programme events or strategies).</td>
</tr>
<tr>
<td>Output (product activities).</td>
</tr>
<tr>
<td>Outcomes Components of model (Intended effects).</td>
</tr>
<tr>
<td>Short-term outcomes (immediate effects: Weeks-months).</td>
</tr>
<tr>
<td>Intermediate outcomes (Intended effects that occur over the mid-term: months-years).</td>
</tr>
<tr>
<td>Long-term outcomes (Long-term intended effects: years-decades).</td>
</tr>
</tbody>
</table>

Source: CDC (2017:5)

According to Table 2-1, as presented by CDC (2017:5), the goals, process and outcome objectives related to the programme should provide content for the process and outcome components of the Logic Model and vice versa. The Community Tool Box (2017: 4) identifies six typical components of the Logical Model. These components are depicted in Figure 2-1.
Figure 2-1 presents six components of Logical Model. Each of the components is briefly discussed below:

- **Purpose or mission**: what motivates the need for change?
- **Context or conditions**: what is the climate in which change will take place?
- **Inputs, resources, or infrastructure**: what raw materials will be used to conduct the effort or initiative?
- **Activities or interventions**: what will the initiative do with its resources to direct the course of change?
- **Outputs**: what evidence is there that the activities were performed as planned?
- **Effects or results, consequences, outcomes, or impacts**: what kinds of changes came about as a direct or indirect effect of the activities?

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**Figure 2-1: Six Components of Logical Model**

Source: Rood (2013:45).

<table>
<thead>
<tr>
<th>Input or Resource: raw materials used by the programme.</th>
<th>Activities: What the programme does with the resources to direct the course of change</th>
<th>Output: Direct evidence of having performed the activities</th>
<th>Effects or results, consequences outcomes, impacts of having taken action (intended and unintended):</th>
</tr>
</thead>
<tbody>
<tr>
<td>Constraints or Barriers to programme objective</td>
<td></td>
<td></td>
<td>- Sort term</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>- Mid term</td>
</tr>
</tbody>
</table>
The following section presents the M&E system and the legislative framework from a South African context.

2.4 M&E System: A Legislative Framework

The next section presents various legislative framework impacting on the M&E.

2.4.1 The 1996 Constitution of the Republic of South Africa

The policy framework on the M&E can be traced back to the Constitution of the Republic of South Africa of 1996. For example, Chapter 10 of the Constitution sets out the basic values and principles that govern public administration across all spheres of government, organs of state, and public enterprises. These values and principles promote public administrations and good governance. These values and principles include:

- High standards of professional ethics must be promoted and maintained;
- Transparency must be fostered by providing the public with timely, accessible, and accurate information (RSA 1996).

The identified basic values and principles are pillars for the delivery of public services. The Constitution sets the tone for the establishment of the DPME discussed in chapter one; hence the cabinet approved its establishment in 2010. The mandate of the DPME is derived from Section 85(2) (c) of the Constitution, which states that the President exercises executive authority, together with the other members of the Cabinet, by coordinating the functions of state departments and administrations (RSA 1996).

The DPME ensures that it creates the tool to measure performance. Linked to the Logical Model presented earlier, the DPME (2012: 23), among other things, has the following key mandates.

- Coordinate the outcomes approach;
- Develop and implement performance monitoring mechanisms of individual national and provincial government departments and municipalities; and
- Carry out monitoring of frontline service delivery.
Other legislative frameworks are discussed in the subsequent sections.

2.4.2 White Paper on Transforming Public Service, 1997

Batho Pele White Paper of 1997 lays the foundation on which all the government departments should follow in delivering better service to the people. The Department of Public Service and Administration (DPSA 1997:23) notes that, Batho Pele, which means ‘People First’, requires that national and provincial departments develop a Performance Management System (PMS), which includes the setting up of service delivery principles, indicators, and measurement of performance. These principles are (DPSA 1997:2):

- Consultation;
- Service Standards;
- Access;
- Courtesy;
- Information;
- Openness;
- Redress; and
- Value for money.

Further to the above-mentioned principles, KwaZulu-Natal Citizen Charter (2015-2020:11) added three principles which are:

- Encouraging innovation and rewarding;
- Customer impact and leadership; and
- Strategic direction.

These principles aim at ensuring that service delivery within respective departments is improved. With regards to the Batho Pele principles described above, it should be noted that the introduction of a service delivery improvement programme cannot be achieved in isolation from other fundamental management changes within the public service (DPSA1997:5).
2.4.3 National Treasury Framework for Managing Programme Performance on Information, 2007

In order to ensure that the performance and the indicators are aligned accurately within the government institutions, the National Treasury Framework for Managing the Programme Performance Information (NTFMPI) was promulgated in 2007 to:

- Clarify definitions and standards for performance information in support of audits of such information, where appropriate.
- Define roles and responsibilities for managing performance information; and
- Promote accountability and transparency by providing Parliament, provincial legislatures, municipal councils, and the public with timely, accessible, and accurate information (NTFMPI 2007:1).

According to NTFMPI (2007:7), good performance indicators require careful analysis of what is to be measured. Odendaal (2017:2) notes that, the main focus of the National Treasury is to strengthen in-year monitoring of appropriated funds. While there is evidence that the NTFMPI has reduced the unauthorised expenditure in departments and irregular, fruitless, and wasteful expenditure for public institutions, this has had no significant impact. In order to curb the unauthorised expenditure, the National Treasury has developed guidelines that support departments and entities to improve the treatment and disclosure of such expenditure. Chapter 2 of the NTFMPI emphasises the importance of planning, budgeting, and reporting, which describes the relationship between these processes and further puts emphasises on the accountability role of the executive to the relevant elected representative body for the entire process.
Figure 2-2 depicts financial processes including planning, budgeting, and reporting.

Figure 2-2: Planning, budgeting and reporting

Figure 2-2 depicts three processes involved in the improving the efficiency and effectiveness of government financial management. These include planning, budgeting, and reporting. Odendaal (2017:2) asserts that planning, budgeting, and reporting, must play an integral part in ensuring and enforcing public accountability.

The Government Wide-Monitoring and Evaluation System (GWM&ES) seeks to embed the management system, which articulates other internal management systems such as planning, budgeting, and reporting systems, within the public sector organisations. The data and information from source system collected will assist in setting up a support base for the national, provincial, and local government to measure performance. It also intends to facilitate a clear sequence of events based on critical and managerial action in response to the analysis of the relationships between the deployment of inputs and the generation of services delivery outputs, with their associated outcomes and impacts (RSA, 2008:1).

Structurally, and in terms of capacity, the GWM&ES supports an environment that is conducive to development. The end result of such a system promotes and establishes greater accountability and learning, and reflects the performance of the public sector in relation to its contribution towards development within global, regional, national, and provincial contexts (RSA2008:1).

2.4.5 M&E Guidelines for Premiers’ Offices and Good Practice Guide, 2008

As noted in chapter one, the M&E system is a new system in the public service. The majority of the government departments have not embraced this system fully in their day to day operations. Some of the departments are yet to establish their M&E Units. The introduction of the Guidelines for the Premiers’ Office and Good Practice guide have contributed immensely towards the improvement of the application of the M&E system by the government departments in respective Provinces, including KwaZulu-Natal. For example, the attitude of the government departments towards establishing the M&E is changing.

The Premiers’ Offices are responsible for the coordination of the application of the Good Practice Notes (RSA 2008:1). The aim of the Good Practice Notes is to:

- Outline the role of the Premier’s Office in Province-Wide M&E (POWM&E) as part of the implementation of the GWM&E framework;
- Review the development PWM&E practices in the nine provincial governments;
• Identify common challenges confronting premier’s Offices, as well as emerging good practices; and

Provide guidance on future GWM&E Policy Framework implementation (RSA 2008:1).

Overall, Good Practice Notes ensures that there is uniformity in the application of the M&E system within the provinces. The significance of the M&E system is highlighted in the next section.

2.4.6 Guide to Outcomes Approach, 2010

The Guide to Outcomes Approach was designed to ensure that the government is focussed on achieving the expected improvements in the lives of all the South Africans. It clarifies what the government departments expect to achieve, and how it will know whether it has achieved its objectives. This approach helps the government departments to ensure that service delivery impact positively on the lives of citizens. The approach further tracks the progress that government departments are making to achieve performance outcomes, and helps to collect evidence about what worked and what did not, in order to help the government departments to improve planning and implementation of policies on an annual basis (RSA 2010:9). Overall, the application of the Guide to Outcomes Approach ensures that government departments achieve better results and makes it easier for the public to hold the executive to account (Centre for Learning on Evaluation 2012:11).

2.4.7 National Development Plan, Vision 2030

In November 2012, the government adopted the National Development Plan (NDP) for the country. The NDP provides a detailed and long term strategic vision of 2030. The plan defines a desired destination and identifies sectors and their roles towards reaching development goals. In the main, the NDP seeks to eliminate poverty and reduce inequality by 2030.

Linked to the focus of the study, the NDP acknowledges that citizen-based monitoring and participatory M&E approaches provide practical opportunities to build the leadership
culture in society. Furthermore, the M&E practices could be enhanced via improving mechanisms that enable citizens to communicate their grievances and seek redress at the point of delivery (RSA 2011:474).

2.5 Importance of the M&E System

The M&E system is undoubtedly one of the most important tools envisioned to assist government institutions to improve service delivery and good governance in the public service. Since the establishment of the DPME, there has been a vast improvement in the application of the M&E system in the public sector. For example, the focus on linking the resources and the projects have enabled the DoHS in KwaZulu-Natal to change the focus of planning. Such systems will also ensure that the targets and indicators are aligned to the goals in order to ensure that those that do not meet the targets are re-evaluated (RSA 2011:52).

Following the 2009 National Government elections, the government had to confront a number of development pressures including persistent poverty, unemployment, inequality, and widespread service delivery protests at municipal level. These pressures prompted government to prioritise on issues of importance like provision of services, and improve the lives of the people. The M&E was seen as an important mechanism to improve performance (Phillips et.al 2014:394).

Hirsch (2014:17) acknowledges that there are reasons why the M&E system is and will remain important within the public sector, these reasons include:

- **Improving performance**: this aims to provide feedback to programme managers;
- **Evaluation for improving accountability**: emphasis on prudent spending for government institutions;
- **Evaluation for generating knowledge**: increasing knowledge about what works and what does not with regards to a public policy or programme, which allows governments to build an evidence base for future policy development; and
- **Decision-making**: policy makers, planners, and finance departments, need to be able to judge the merit or worth of an intervention.
The United Nations Development Programme (UNDP 2014: 1) stresses that when M&E system is implemented effectively and used correctly, it strengthens the basis for managing results, thereby fostering learning and knowledge generation in the organisation, as well as broader development and evaluation in the community. Relative to M&E, the following key performance concepts which include input, activities, output, outcomes, and impact, are depicted in Figure 2-3 on the next page.

Figure 2-3 Key Performance Concepts
Source: National Treasury (2007:8)

Figure 2-3 outlines the stages involved from the beginning of the planning phase until the results are achieved, and thereafter the assessment of the impact.

Porter and Goldman (2013:2) acknowledge that the M&E system is viewed as a key element in the transformation of the public sector by enhancing good governance, thereby improving societal development envisaged in government’s legislative frameworks discussed earlier. Porter et al. (2013:3) further assert that the institutional design of government’s M&E systems is important. These include capturing, processing, storing, and communicating M&E information. On the other hand, monitoring helps managers and policy makers to understand how to do proper planning.
2.6 M&E System: A Review of Government’s Role

While there are other transversal institutions that are supporting the implementation of the M&E system, including PSC, Treasury, and Auditor General (AG), the government still remains the most important stakeholder in ensuring effective implementation of the M&E system. Agolla and Van Lil (2013:169) state that government plays a key role as the driver and provider of the policy framework within which the public sector must be controlled. The Government’s role determines the demand side through which policies, regulations, standards, pricing, consumer education, taxation, and public procurement, are introduced to stimulate innovation. Essentially, the targets that are set at national level must also be cascaded at provincial and local level (RSA 2012:45).

Vermeulen and Kok (2012:37) note that the way the government intervenes in society in general and its economy in particular, are highly diverse in nature. Such intervention may include regulatory interference by means of policies, by-laws, directives, and guidelines. Similarly, this view is echoed in the NDP (2014:56), by stating that the government must ensure that M&E system plays a strategic role in meeting developmental objectives, including poverty reduction, budget, decision-making, and the project implementation process. Therefore, management needs to develop a strategy and communicate the role of innovation within an organisation.

Agolla et al. (2013:2) confirms that accountability is fundamental in ensuring that power is directed towards the achievement of efficiency, effectiveness, responsiveness, and transparency. These were described as values and principles of public administration envisaged in the South African Constitution of 1996, discussed earlier in this chapter. These values and principles can be achieved through obligation of power-holders to account for or take responsibility for their actions. Mendizabal (2014:1) asserts that it is of the utmost importance that accountability be understood within the context of the public sector reform, which in turn provides a way in which a common commitment to reform is carried out. For example, if officials within DoHS are accountable, then this will in turn increase the confidence of the people, resulting in improved service delivery.
2.7 Chapter Summary

As noted in the chapter introduction, this chapter presented a broader conceptual understanding of the notion of M&E as a system. The Logical Model and M&E system, legislative frameworks underpinning the adoption of the M&E system, and the importance of the M&E system, were presented in this chapter. Lastly, the role of the government in promoting the M&E system and how the system should be institutionalised was also discussed.

Theoretical framework for this study will be discussed in the next chapter.
CHAPTER 3
THEORETICAL FRAMEWORK UNDERPINNING THE STUDY 
OF THE MONITORING AND EVALUATION SYSTEM

3.1 Chapter Introduction

This chapter presents a conceptual understanding and the need for the Theory of Change (ToC) which formed the theoretical foundations for the study. The application and the approach towards the ToC in the public sector are further discussed in the chapter. Finally, the chapter concludes with the summary of the areas that have been highlighted within the chapter.

3.2 Theoretical Perspective of Theory of Change

The study adopted the ToC as the bases of examining the impact of the M&E system towards improving service delivery and good governance within the public service in general, and in the DoHS in KZN. Tang (2016:9) assert that in order for a ToC to be consistent it must have three pillars. Firstly, the ToC must be endogenous, meaning that while institutions are stable but they are subject to change. Secondly, a theory must explain a wide range of cases of institutional change with minimal requirement exogenous mechanism. Lastly, theory must explain the basic facts associated phenomena that seeks to explain. The researcher is of the opinion that the application of the ToC can improve the tenets of good governance including accountability and transparency in the public sector thus its relevance for this particular study.

3.3 The Theory of Change: A Conceptual Understanding.

Khachian, Pazargadie, Manoochehri, and Baghban (2013:308) define the ToC as the inconspicuous transformation of the activities and general structure of a system. Green (2012:25) asserts that, the ToC can be understood by implementing the following categories:
• **Strategic planning:** ToC helps organisations map change processes and its expected outcomes;

• **Monitoring and evaluation:** ToC articulates expected processes and outcomes that can be reviewed over time; and

• **Learning:** ToC helps people to clarify and develop theory behind their organisation or programme.

The above mentioned categories of the ToC are necessary in ensuring that the organisations are better managed and improve their decision-making, including budgeting and other various planning activities.

### 3.4 Why Theory of Change?

Khachian *et al.* (2013:308) asserts that applying the ToC is necessary for organisational improvements. Bours, McGinn and Pringle (2014:3) are in agreement with Khachian *et al.* (2013:308), that ToC is one of the more robust approaches to designing and evaluating of the programmes which is inherently complex, multifaceted, and long-term in scope. The reason being that, it is the methodology for planning, participation and evaluation that is used to promote social change.

Child, Smith and Leewood (2015:14) describe four essential elements in the ToC, namely, vision, strategy, context, and the related key questions as presented in Figure 3-1 below.
Figure 3-1: Elements of Theory of Change
Source: Child et al. (2015:14)

Figure 3-1 depicts four elements of the ToC. These include the vision, strategy, context, and related key questions. The authors assert that organisations should periodically review their vision and strategy in view of the current context in order to facilitate organisational change.

3.5. The Application and Relevance of the Theory of Change in the Public Sector

In the context of good governance perspective, Van der Voet, Groeneveld and Kuipers (2013:19) argue that the ToC is a critical tool that ensures that government departments constantly improve. This in turn, affects the manner in which the top management apply decisions within their respective departments. Van der Voet et al. (2013:19) further argue that if the ToC is applied effectively and efficiently, it can yield positive results not only in the organisation but also to the larger community that they serve, as service delivery will be improved. Similarly, Pasanen and Shaxson (2016:9) highlight that it is essential to think through how you expect change to happen, as these changes illustrates the expected contribution of project inputs towards the achievements of project impact. Figure3-2, illustrates inputs, outputs, outcomes, and the impact as constructs of the ToC.
Figure 3-2: Theory of Change
Source: Morra and Imas (2009:21) and (Global Donor Platform for Rural Development (2015:56)

Figure 3-2 illustrates the process involved in the construct of the ToC. The inputs involve the allocation of resources in the project, which include funding, staff, and equipment. The outputs are tangible products and services produced through the project. The outcomes address the question as to why the project is being delivered. Lastly, the impact involves the changes that results from the outcomes of the policy or programme.

Flowing from Figure 3-2, it can be deduced that the ToC is significant in terms of improving service delivery and good governance within the public service in an ever changing environment and development context. Different authors and theorists including Betras, Duff, and Smith (2016:2) argue that the ToC has a valuable contribution to make in understanding the organisational change, for identifying influential factors that should be the focus of change, and selecting strategies that can be applied. Valters (2015:49) states that the contributions towards the ToC were considered on three basic criteria. Firstly, preference was given to theorists whose work appears to have the foundational influence on the field. Secondly, theorists whose work were explanatory in nature and could, therefore, provide interpretative value for promotion. Lastly, theory developed empirical research in setting a guide for organisational change. After presenting the arguments from the different authors above, the study adopted ToC because this theory
can be used as a tool to improve good governance and service delivery within the public service in general and the DoHS in KZN in particular.

Different writers have come up with different approaches in terms of how the ToC should be applied. Despite such differences, these authors are in agreement that the ToC assists in promoting strategic planning, budgeting, accountability, and transparency (Van der Voet et al. (2013:25). Van der Voet et al. (2013:25-26) further asserts that the structural model of the ToC indicates that direct supervisors may play a central role in the implementation of change in public organisations. Isett, Glied, Sparer, and Brown (2012:66) are of the view that the bottom-up approach is an effective way to implement change in public organisations.

3.6 Chapter summary

This chapter provided a theoretical perspective of the ToC adopted for this study. The conceptual understanding, reasons and relevance for the ToC were presented while the approaches and the application of the ToC in the public sector domain were discussed.
CHAPTER 4
RESEARCH DESIGN AND METHODS

4.1. Chapter Introduction

The chapter presents the research design and methods that was adopted to conduct the study. The research questions and objectives for the study are also highlighted in this chapter. The research design, the purpose of the research, research strategy, target and sampled population, sampling strategy, and description of the sample, are also presented in the chapter. The chapter also presents the location of the study, data collection methods, data analysis, reliability and validity, research schedule, ethical considerations, and limitations of the study.

4.2. What is Research?

Bertram and Christiansen (2014:6) define research as a process of investigating a specific research phenomenon. This process has the following characteristics:

- **It is systematic and controlled:** it is not a haphazard process and not the same as every day or common sense of knowing.
- **It is empirical:** it is a collection of data using empirical methods.
- **It is self-correcting:** procedures and results are open to public scrutiny by fellow experts and professionals.

Brynard, Hanekom and Brynard (2014:1) assert that, research is important because it is closely related to the search for knowledge and the understanding of phenomena being investigated. Similarly, Maree (2012:52) note that research is important because it develops and accumulates the results to answer the research questions and gains a deeper understanding of research problems, while Philominathan and Chinnathambi (2013:4) state that, research is important in scientific and non-scientific fields.
4.3 Research Design

Barbosa, DeMeulder, and Gerrit (2014:3) define research design as a type of academic investigation through which design is explored as a method of inquiry, by the development of a project and also exploring the different materials by which a design is carried out. Creswell (2014:36) believes that researchers must do introspection regarding their role in improving research. They must contribute towards introducing new innovative strategies and approaches towards research. Such strategies will assist in answering questions and how information will be collected and analysed.

First, Creswell (2014:4) argues, for instance and for the purpose of the study, that qualitative research is an approach for exploring and understanding the meaning of individual or groups ascribed to a social or human problem. The process of research involves emerging questions and procedures, data collected in the participant’s setting, and data analysis inductively building from particular to general themes. In addition, qualitative research seeks to answer questions, collect evidence, produce evidence that were not determined in advance and produce findings that are applicable beyond immediate boundaries of the study (Quality Methods Research Overview2013:3).

Boyd (2016:89) asserts that qualitative research involves looking in-depth at of non-numerical data. Starman (2013:30) asserts that qualitative research is characterised by an interpretative paradigm, which emphasises subjective experiences and the meanings they have for an individual. Therefore, the subjective views of the researcher on a particular situation play a vital part in the study results. However, Roller (2016:1) asserts that, the fundamental of qualitative research must guard for the absence of truth, importance of context, importance of meaning, participant-researcher relationship, and flexibility of research design. These elements help guide the researcher to quality outcomes compatible with the creative thinking of the social constructionist.

Secondly, quantitative research design can be adopted in any social research. Babbie (2013:414) defines quantitative as a numeral representation and manipulation of observations for the purpose of describing and explaining the phenomena that those observations reflect. Investopedia (2017:33) asserts that quantitative analysis refers to
economic, business, or financial analysis that aims to understand or predict behavior or events through the use of mathematical measurements and calculations, statistical modeling, and research. Quantitative analysts aim to represent a given reality in terms of a numerical value. Quantitative analysis is employed for a number of reasons, including measurement, performance evaluation or valuation of a financial instrument, and predicting real world situations.

**Thirdly**, a mixed research design can be adopted in research. Creswell (2014:4) notes that mixed research is an approach to an inquiry involving collecting quantitative and qualitative research designs. In same vein, Bian (2015:21) asserts that the mixed research, as a method, focuses on collecting, analysing, and mixing both quantitative and qualitative data in a single study or series of studies. The Food Risk Resource Centre (2016:1) notes that by mixing both quantitative and qualitative data collecting methods, the researcher gains in breadth and depth of understanding and corroboration, while offsetting the weaknesses inherent to using each approach by itself.

Wisdom and Creswell (2013:2) further concur that the mixed method research “refers to an emergent methodology of research that advances the systematic integration, or ‘mixing’, of quantitative and qualitative data within a single investigation or sustained program of inquiry.” The basic premise of this methodology is that such integration permits a more complete and synergistic utilization of data than do separate quantitative and qualitative data collection and analysis. Its central premise is that the use of quantitative and qualitative approaches, in combination, provides a better understanding of research problems than either approach.

For this particular study, the researcher felt that through exploratory qualitative research design, accurate and in-depth data pertaining to the M&E system within the DoHS in KZN would be acquired. Engel and Schutt (2013:18) state that, in exploratory qualitative research, large amounts of unstructured information are normally collected in order to explore a new topic or to be responsive to new concerns by breaking new ground through delving into new problem areas. As such, adopting a qualitative research approach for this study ensured the collection of the in-depth data regarding the compliance and the application of the M&E system within the DoHS in KZN.
4.4 Research Strategy

In ensuring that research questions and research objectives of the study are answered, a case study research strategy was used. According to Yin (2014:16), what makes a case study research distinct from other experimental studies is the investigative aspect in its context. Moreover, Hancock and Algozzine (2011:9) contend that case study represents another type of qualitative research which is determined by a systematic series of steps designed to do a careful analysis of the case. In case study research, a researcher identifies the topic or question(s) of interest; determines appropriate units to represent it and to define what is known based on careful analysis of multiple sources of information about the case. The process of collecting data in case studies may last few hours, or few days, but generally is of short-term duration using carefully constructed measures designed specifically to generate valid and reliable information under the conditional of the study (Hancock et al. 2011:10).

The study adopted a single case study strategy. The DoHS in KZN was selected as the case study for the research. The units of analysis embedded in the case study were the officials in the DoHS in KwaZulu-Natal, in order to ensure that an effective cross examination and understanding of compliance and the application of the M&E system within the DoHS was accomplished.
4.5 Data Collection

The World Health Organisation (WHO 2015:2) defines data collection as the on-going systematic collection, analysis, and interpretation of data necessary for designing, implementing, and evaluating results. Maree (2012: 156) stated that, there are different research methods that can be used to collect data from the sample of the respondents. Each method has its advantages and disadvantages, and some methods are better in some circumstances.

Each of the data collection methods is discussed next.

4.5.1 Interviews

Christiansen and Bertram (2014:80) define interview as a conversation between the researcher and the respondent. Interview questions can on one hand be structured, where the researcher uses an interview schedule as a set of questions in a predetermined order. On the other hand, for unstructured interviews, the researcher may simply introduce the topic or main research questions, then the respondents answer in the way that he or she would like to.

Christiansen et al. (2014:82) identify the following as the prime purpose of the interview:
(a) Check whether a person knows;
(b) What a person likes or dislikes; and
(c) What a person thinks.

Nieuwenhuis (2012:87) argues that the aim of the qualitative interviews is to see the world through the eyes of the participants, and they can be a valuable source of information, provided they are used correctly.

For this study, non-empirical and empirical data collection methods were used. For non-empirical data, the secondary data were collected by reviewing relevant literature on the strategies implemented within DoHS in KZN to contribute towards improving the M&E system and good governance. Following from the review of literature, primary data were
collected through the use of semi-structured interviews with the DoHS officials in the said province, who formed the key informants for the study. Interviews were audio-recorded and documented for analysis purposes.

The interview sessions were between 20 and 30 minutes long. Before the interviews commenced the researcher informed the participants about the procedure to be followed which included recording them and keeping time. Table 4-1 shows the date, duration, and location for the interviews for this study.

Table 4-1: Date, duration, and location of the interviews for the study.

<table>
<thead>
<tr>
<th>Designation or Rank</th>
<th>Respondent code</th>
<th>Date</th>
<th>Duration</th>
<th>Location</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Director</td>
<td>AD</td>
<td>12 August to 22 August 2016</td>
<td>20 minutes</td>
<td>KwaZulu-Natal (Ulundi and Durban)</td>
</tr>
<tr>
<td>Deputy Director</td>
<td>DD</td>
<td>19 September to 29 September 2016</td>
<td>25 minutes</td>
<td>KwaZulu-Natal (Ulundi and Durban)</td>
</tr>
<tr>
<td>Director</td>
<td>D</td>
<td>11 October to 21 October 2016</td>
<td>30 minutes</td>
<td>KwaZulu-Natal KwaZulu-Natal(Durban)</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

Different codes were used to identify the respondents, which will also be used in Chapter five of the study which is the interpretation and analysis of data collected for the study. The study respondents were selected based on the following reasons:

- In ensuring that the research indicated proper representativity, Assistant Directors were selected because of their engagement with the M&E system in their day to day operations, which made them to understand exactly what is happening in their working environment.
- Second, Deputy Directors were selected because they form part of the decision-making and are at the forefront of service delivery within the department.
• Finally, Directors were selected because they are in charge of the directorates within the department, and fully understand how the department conducts its businesses.

Following the semi-structured interviews, the data were first transcribed and thereafter analysed. The data analysis is explained later in this chapter.

4.5.2 Documentary Evidence

Ahmed (2010:25) defines documentary evidence as “any written material other than a record that was not prepared specifically in response to some requests from the investigator. In this study, the researcher used different secondary data sources, such as legislations, government gazettes, and journals. Yarmohammadian, Mohammadi, and Movahedi (2012:52) assert that documentary evidence assists in summarising huge volumes of information so that it can be easy to interrogate the findings. For this particular study, as depicted in Table 4-2 of the next page, documentary evidence was utilised to support the reviewed literature and the empirical findings of the study. In essence, documentary evidence was used in the study in order to improve the credibility of the study.
Table 4-2: Documentary evidence for DoHS in KZN

<table>
<thead>
<tr>
<th>Nature of Disclaimer</th>
<th>Financial Year in which it first arose</th>
<th>Reason for non-compliance</th>
</tr>
</thead>
</table>
| **Material under spending of the budget:** under spending on programme 4(Housing asset management and property management by R8.6 million and R13.50 million.) | 2010/11 | • Slow spending on Enhanced Extended Benefit Scheme (EDDBS).  
• Delays in the procurement procedures. |
| **Irregular spending:** Irregular expenditure of R11.03 million. | 2010/11 | • Non-compliance to Supply Chain Management (SCM) procedures.  
• Appointed contractors not complying with SCM processes. |
| **Unauthorised expenditures:** totalling to R22.09 million. | 2010/11 | • Virement of funds was not possible as the 8% ceiling was exceeded. |
| Planned targets not achieved. | 2010/11 | • Not following performance plans.  
• Business plans on targets not done on time. |
| Non assessment of operational procedures and monitoring mechanism by Internal Audit. | 2010/11 | • Not following performance plans.  
• Business plans on targets not done on time. |
| **Expenditure management:** money not paid within thirty days. | 2009/10 | • No proper controlling mechanisms. |

Source: Annual Report for DoHS for 2013/14
Overall, Table 4-2 shows the nature and extent of non-compliance by the DoHS in applying the proper procedures and guidelines. Between 2009 and 2011, DoHS failed to comply with the requirements of proper financial management envisaged in the legislation, including Public Financial Management Act 1 of 1999. Evidently, the lack of proper control mechanisms revealed that reality and concern, thus irregular and unauthorised expenditure were mostly reported.

For the department to function efficiently and effectively, there must be system in place that will ensure that the good governance and service delivery is not compromised. Failure by the DoHS to apply the policies regarding its programmes means more stringent control is needed to be implemented. As a result, the DoHS in KwaZulu-Natal established the M&E unit in 2013 in order to assist the department in measuring the performance of all the business units or directorates within the department. The main objective of this unit is to ensure that the departmental targets and milestones are measured and monitored constantly and as and when required. The monitoring process is undertaken through the use of the reporting by the business units to the M&E unit on a quarterly basis (Annual Report for DoHS for 2013/14). These reports incorporate various issues which, amongst other things, include the level of compliance by business units, risk assessments, strategic overviews, and workshops. Moreover, such measurements are necessary in ensuring that the department achieves its objectives as outlined in the business plans of the department.

Sampling process is discussed next.

**4.6 Sampling Process**

Polit and Beck (2012:20) define sampling as the process of selecting cases to represent an entire population so that inferences about the population can be made. For Patton (2015:35) there is no definitive rules that exist about sample size in qualitative research. However, sample sizes are typically smaller than those in quantitative studies. Similarly, Mason (2010: 45) asserts that sample sizes of 20 to 30 cases are typical, but a qualitative sample can be even smaller under some circumstances. Table 4-3 presents different types of sampling methods.
<table>
<thead>
<tr>
<th>Types of sampling</th>
<th>Purpose</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intensity sampling.</td>
<td>To provide rich information from a few select cases that manifest the phenomenon intensely but are not extreme cases.</td>
<td>The Interviewing survivors of rape to learn more about how coerced sex affects women’s sexuality.</td>
</tr>
<tr>
<td>Deviant case sampling.</td>
<td>To learn from highly unusual manifestations of the phenomenon in question.</td>
<td>Interviewing men who do not beat their wives in a culture where wife abuse is culturally accepted.</td>
</tr>
<tr>
<td>Stratified purposeful sampling.</td>
<td>To illustrate characteristic of particular subgroups of interest and to facilitate comparisons.</td>
<td>Interviewing different types of service provider (police, social workers, doctors, and clergy) to compare their attitudes towards and treatment of abuse victims.</td>
</tr>
<tr>
<td>Snowball or chain sampling (locate one or two new individuals, and ask them to name other likely informants.)</td>
<td>To facilitate the identification of hard to find cases.</td>
<td>Finding commercial sex workers to interview about the experiences of childhood sexual abuse by getting cases referred through friendship networks.</td>
</tr>
<tr>
<td>Maximum variation sampling (purposely selecting wide range of variation on dimension of interest).</td>
<td>To document variations; can help to identify common patterns that cut across variations.</td>
<td>Researching variations in norms about the acceptability of wife biting by conducting focus groups: young urban women, old urban women, young rural men, old rural men, women who have been abused, women who have not experience abuse.</td>
</tr>
<tr>
<td>Convenience sampling (select whoever is the easiest, closest).</td>
<td>To save time and money and effort. Information collected generally has the very low credibility.</td>
<td>Forming focus groups based on who is available on the day at the local community centre, rather than according to clear criteria.</td>
</tr>
<tr>
<td>Criterion sampling.</td>
<td>To investigate in depth a particular type of case, identity all sources of variations.</td>
<td>Specifically interviewing only, the abused women who have left their partners within last year in order to better understand the variety of factors that spur women to leave.</td>
</tr>
</tbody>
</table>

Source: Nieuwenhuis, 2015:26
Table 4-4 presented different types of sampling methods as to how they are applied. These sampling methods are befitting in different circumstances depending on the research conducted. Based on the table above, the study adopted stratified purposeful sampling as the bases of the research. The main reason for the study to adopt the stratified sampling method is because it allows the researcher to solicit information from different participants and make comparisons in terms of their responses.

4.6.1 Target Population

Polit et al. (2012: 273) define population as an entire aggregation of cases in which a researcher is interested. The target population for a study is the entire set of units for which the survey data are to be used to make inferences. Thus, the target population defines those units for which the findings of the investigation are meant to generalise. Establishing study objectives is the first step in designing a study. Defining the target population should be the second step.

Target populations must be specifically defined, as the definition determines whether sampled cases are eligible or ineligible for the study. The geographic and temporal characteristics of the target population need to be delineated, as well as types of units being included. In some instances, the target population is restricted to exclude population members that are difficult or impossible to interview (Sage 2017:1). The targeted population for this research constituted officials from DoHS in KwaZulu-Natal, including the Assistant Directors, Deputy Directors, and Directors, as noted in the introductory chapter.

4.6.2 Sample Size

Gentles, Charles, Ploeg, and McKibbon (2015:3) define sampling as a process, or technique of selecting a representative part of a population for the purpose of determining parameters or characteristics of the whole population.

Table 4-4 shows the different managerial levels within DoHS in KZN, location, data collection tools, targeted population and sample size for the study.
Table 4-4: Different Managerial Levels within DoHS

<table>
<thead>
<tr>
<th>Designation or Rank</th>
<th>Location</th>
<th>Data collection tools</th>
<th>Targeted population</th>
<th>Sample size</th>
</tr>
</thead>
<tbody>
<tr>
<td>Assistant Director</td>
<td>Durban and Pietermaritzburg (District Offices)</td>
<td>Interviews</td>
<td>25</td>
<td>13</td>
</tr>
<tr>
<td>Deputy Directors</td>
<td>Durban and Pietermaritzburg (District Offices)</td>
<td>Interviews</td>
<td>20</td>
<td>14</td>
</tr>
<tr>
<td>Directors</td>
<td>Durban and Pietermaritzburg (District Offices)</td>
<td>Interviews</td>
<td>15</td>
<td>10</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

Overall, the sample size for this study consisted of 13 Assistant Directors, 14 Deputy Directors and 10 Directors from DoHS in KZN as presented in Table 4-4. The study used purposive sampling technique to select the participants. The reason for selecting the participants identified above was because it was impossible to study the entire population of DoHS. These participants were selected because they have an understanding of what is involved in the department, as noted earlier.

Table 4-3 presented different types of sampling methods as to how they are applied. These sampling methods are befitting in different circumstances depending on the research conducted. Based on the table above, the study adopted stratified purposeful sampling as the bases of the research. Explorable (2018:9) asserts that a probability sampling method is any method of sampling that utilizes the form of random sampling selection. Stratified sampling is a sampling where the researcher divides the entire population into different subgroups or strata, then randomly selects the final subjects proportionally from the different groups. The main reason for the study to adopt the stratified sampling method is because it allows the researcher to solicit information from different participants and make comparisons in terms of their responses.

The next section presents discussion on data quality control.
4.7. Data Quality Control

Radharkrishna, Tobin, Brennan and Thomson (2012:1) state that among the critical components to consider when assessing data for quality are relevance, validity, reliability, objectivity, integrity, completeness, generalizability, and utility. Each of these components is briefly discussed below:

- **Validity**: closeness between the values provided and the true value;
- **Reliability**: is determined by the degree to which measurements are consistent on repeated measurements;
- **Objectivity of data**: means that conclusions are based on statistically sound methods;
- **Integrity**: is concerned with minimising errors through the process of collecting, recording, and analysing data;
- **Generalisability**: is concerned with sound sampling procedures that yield a sample representative of the population on key variables;
- **Completeness**: refers to ways in which missing values that exist in a given data set at hand;
- **Relevance**: refers to the degree to which data are important to users and their needs; and
- **Utility**: includes aspects of timeliness (data collected in a timely manner so that data maintains their relevance to their users), punctuality (release of data), and accessibility (ways in which data are made available to the intended users) (Radharkrishna et al. 2012:1).

According to Radharkrishna et al. (2012:1), these eight data quality control components are essential for operationalising the data quality so that researchers can ensure that their research and evaluation studies are rooted in sound methods.

The significance of trustworthiness in qualitative research is also worth noting. The Universal Teachers (2016:1) notes that the truth value, questions if the investigator has established confidence in the truth of the results for the topics or informants and the
context in which the research was undertaken. Trustworthiness further determines how confident the investigator is with the truth of the findings based on the research design, informants, and context. Truth value is commonly acquired from the discovery of human experiences as they are lived and perceived by informants. Applicability is defined as the degree to which the findings can apply to other contexts and settings or with other groups. In ensuring that the data quality control was maximised, the researcher emphasised the principle of objectivity in the study by applying the principles of trustworthiness, integrity, and reliability. This ensured that there is no biasness in terms of the research that was conducted.

The discussion on data analysis is presented next.

4.8 Data Analysis

Whiting (2017:1) defines data analysis as a method in which data is collected and organised so that one can derive helpful information from it. In other words, data analysis considers what the data is trying to tell us. For example, Sgier (2012:1) asserts that qualitative analysis can be viewed in two aspects. Using thematic analysis, qualitative analysis seeks to identify data patterns. It proceeds through a series of well-defined steps such as category-building; coding, and categories. Secondly, interpretive analysis, including discourse and narrative analysis, look less at what the data say than at what they “do”, and namely, how they construct universes of meaning, or “frames”, by means of often implicit categorisations, the creation of hierarchies and boundaries, attributions of blame and responsibility, and the narrative construction of temporal sequences. Miles, Huberman and Saldana (2014:11) maintain that a major feature in well collected qualitative data is that it focuses in natural occurring, ordinary events, in natural settings. Miles et al. (2014:12) further note that the strength of qualitative data centrally rests on the competence with which their analysis is carried out.

For this particular study, the Nvivo method was used to analyse the data. It ensured the correctness of the results that have been analysed. QSR (2016:3) defines as a place to organise, store, retrieve the data so that the user can work efficiently, save time and back up findings with evidence. This method also helped in organising, when analysing data
through the use of codes, and data reduction, when classifying the respondents after conducting the interviews. This practice assisted in understanding the patterns in which participants responded.

4.8.1 Stages of Interview Data Analysis

There are various stages of data analysis. Data analysis is the process in which raw data is ordered and organised to be used in methods that help to evaluate and explain the predict the future. Cuesta and Kumar (2016:5) defines data analyses as a process which includes statement of the problem, collecting, cleaning of data, normalising data, transforming data, exploratory statistics, exploratory visualisation, predictive modelling, validating your model, visualising and interpreting the result and deploying your solution.

The discussion on stages of data analysis is presented next.

4.8.1.1 Transcription

According to UK Data Archive (2017:1), transcription of data converts audio recordings to text in qualitative research. Data transcription should match the analytic and methodological aims of the research. Whilst transcription is often part of the analysis process, it also enhances the sharing and re-using potential of qualitative research data. Full transcription is recommended for data sharing. Transcripts should, among other things:

- Have a unique identifier, a name or number;
- Have a uniform and consistent layout throughout a research project or data collection; and
- Have a document header or cover sheet with interview or event details such as date, place, interviewer name, and interviewee details.

Gale, Heath, Rashid and Redwood (2013:1) suggest that a good quality audio recording and, ideally, a *verbatim* (word for word) transcription of the interview, is needed and should be applied. For framework method analysis, it is not necessarily important to
include the conventions of dialogue transcriptions, which can be difficult to read because
the content is what is of primary interest. Transcripts should have large margins and
adequate line spacing for later coding and making notes. The process of transcription is a
good opportunity to become immersed in the data and is to be strongly encouraged for
new researchers (Gale et al., 2013:1). For this study, recorded data from direct interviews
were transcribed using manual transcription.

4.8.1.2 Stages of Coding Data

Basit (2010:1) asserts that coding is one of the significant steps taken during the analysis
of data. Through coding, the researcher organises and makes sense of textual data.
Zickmund (2010:8-19) affirms that there are principles of qualitative coding that the
researcher should adhere to. These include:

- Clear on the literature.
- Address the role of the bias.
- Focus on the research question.
- Coding depth.
- Use of the analytic of coding methodology
- Use of analysis.
- Condensing and splitting and
- Coding strategies: thematic.

Through coding, themes were identified and studied in relation to the study, meaning and
challenges assisted in the improvement of the M&E system within the DoHS in KZN.

4.9 Matrix Analyses

Stuckey (2015:15) asserts that the matrix distinguishes four assessment methodologies:
i) Peer review, which provides a judgment based on expert knowledge;
ii) End-user reviews, such as customer satisfaction;
iii) Quantitative indicators, including bibliometric and other types of measures; and
iv) Self-evaluation.
These four methodologies are often combined into a multi-dimensional assessment. Matrices were used in this study to present data, as presented in the next chapter.

### 4.10 Constant Comparison Analysis

Christiansen and Bertram (2014: 116) define data reduction as a process of selecting, focusing, simplifying, abstracting, and transforming the data that appear in the written-up field notes or transcriptions. For this study, data acquired from three levels of management from DoHS were first transcribed and constantly-compared using a coding system.

### 4.11 Ethical Consideration

Babbie (2014:63) states that, anyone involved in social science research needs to be aware of the general agreements shared by researchers about the proper and improper conduct of scientific inquiry. Likewise, Datt (2016:2) argues that, ethical considerations form a major element in a research. The researcher, for example, needs to adhere to and promote the aims of the research by imparting authentic knowledge, truth, and prevention of possible errors. Furthermore, following ethics enables scholars to deal with a collaborative approach towards their study with the assistance of their peers, mentors, and other contributors to the study.

Brynard, *et al.* (2014:96) asserts that all human subjects who are subjected to a research investigation must be informed of any likely occurrences, and their signed consent should be obtained. Significant ethical dilemmas related to confidentiality are raised in the literature. Powell and Fitzgerald (2012:2) argue that, privacy considerations in research include both the need to have a safe, private physical location, in which the research can take place, and ensuring participants’ privacy through anonymity and confidentiality. The researcher has to abide by the principle of confidentiality when conducting research. This ensures that the information between the researcher and the participants are always protected. Moreover, the university emphasises the principle of confidentiality so that trust and the level of professionalism between the participant and the researchers can always be maintained.
In this study, ethical considerations were taken into account by the researcher by explaining to the participants the reason for interviews and the criteria for selecting the respondents. Moreover, the researcher ensured that study participants were made aware of their rights. As such, ethical considerations were maintained throughout the data collection process.

4.12 Limitation of the Study

It is worth noting that, qualitative research has its own limitations. Puhan (2018:3) asserts that, limitations in research can occur as a result of measurements errors, failure to measure important variables, and limited resources that will dictate the scope of your investigation. Heckerman (2018:12) argues that the limitations of the study are the result of the limited resources, which determines how far you go with the research. Several limitations for this study are identified below.

**Firstly**, the DoHS in KZN are just one of the departments within KZN Province. This department has 11 district offices, which are spread throughout the province. The Head Office is in Pietermaritzburg, while the Administration Offices are in Durban and districts offices are spread through the provinces. Consequently, it was not possible to travel to all these offices at once; hence the researcher had to make separate arrangements with each respondent from these offices and the unavailability of the participants in their offices, due to work related commitments, also posed another impeding limitation during the data collection exercise. As a result, data collecting process was affected with excessive delays.

**Secondly**, the researcher had to rely on his salary and savings in order for him to conduct the research. Travelling into various places required him to have more money. Conducting research without financial support was costly for the researcher, therefore, he could not do all of the districts.

**Thirdly**, the knowledge on M&E is vested in participants understanding. As such, if these participants were not interviewed in their natural setting (offices), this would affect the
results of the study. The researcher had to organise the interviews on the dates that would suit the participants, so that the researcher would get the maximum participation.

**Fourthly**, qualitative research interviews require that the researcher be present when interviews are conducted. Failure on the part of the researcher to be present in the interview session would mean that the data would not be trusted, as the researcher would not be monitoring the whole process. The researcher’s presence will ensure that he understands the participants in their natural setting. In order to overcome this limitation, the researcher had to schedule the appropriate times so that all the participants that he needed were available during the interview sessions.

**Fifthly**, another limitation for the study was possible biasness during data analysis as the researcher knew most of the participants within the department. As such, the researcher had to adopt and adhere to data quality control techniques discussed earlier. This ensured that the researcher was not using the prior knowledge he had about the respondents.

4.13. Chapter Summary

This chapter presented the research design and methods adopted for the study. The chapter further described the population, sample, collection, presentation and analysis of data, and the ethical considerations. Finally, the chapter presented the limitations of study. Chapter five will discuss data findings, as well as analyse the data collected for the study.
CHAPTER 5
DATA PRESENTATION, ANALYSIS, AND INTERPRETATION

5.1. Chapter Introduction

Chapter 5 presents the qualitative data collected for the study. The chapter further analyses and discusses the data presented. The literature presented in chapter two is integrated into the analysis of data. This enabled the researcher to draw findings and a conclusion, which are presented in the last chapter of this dissertation.

5.2 Recapitulation of Research Objectives and Research Questions

The main aim of the study was to understand the implementation of the M&E system in order to improve good governance and service delivery in the DoHS in KZN. As such, the study enquiry sought to answer the following questions and the corresponding objectives as presented in Table 5-1.

Table 5-1: Recapitulation of research questions and research objectives.

<table>
<thead>
<tr>
<th>Research objectives is to:</th>
<th>Research questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Understand the level of M&amp;E system compliance within DoHS in KwaZulu-Natal.</td>
<td>What is the level of understanding of the M&amp;E system compliance within DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>To determine the level in which M&amp;E system assists in improving good governance in the DoHS in KwaZulu-Natal.</td>
<td>How can M&amp;E system assist in the improvement of good governance within DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>To identify whether there has been an impact after the introduction of the M&amp;E system in the DoHS in KwaZulu-Natal.</td>
<td>Is there any impact after the introduction of the M&amp;E system within the DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>To examine ways of improving application of the M&amp;E system in the DoHS in KwaZulu-Natal.</td>
<td>What ways can be adopted to improve the M&amp;E system within the DoHS in KwaZulu-Natal?</td>
</tr>
</tbody>
</table>

The next section presents the context from which the study was conducted.
5.3 The Context of Department of Human Settlements

The DoHS in KZN is one of the provincial departments within KZN. This department consists of three regional offices, namely Northern, Inland, and Coastal. Northern region consists of five district offices, namely, Amajuba, uMzinyathi, uThungulu, uMkhanyakude, and Zululand, district offices. The second region is Coastal, which consists of Durban Metro and two district offices, namely iLembe, and uGu. Lastly, the Inland region, which consists of three districts, namely, UMgungundlovu, uThukela, and Sisonke (KZN 2017:1). The distribution of DoHS districts through KZN Province is depicted in Figure 5-1 in the next page.
The regional offices of the DoHS in the KZN were selected to participate in the study. These regional offices are mixed in terms of their geographical location. For example, the Northern region is predominantly rural, Inland region is a mixture of rural and urban, and Coastal region is mostly urban.

Through the comprehensive plan for the development of the integrated sustainable human settlements, the DoHS in KZN is committed in providing the residential property, spatial restricting and sustainable human settlements, social housing programme, informal settlements upgrade programme, institutional reform and capacity building, housing
subsidy and department funding system reforms, and housing and job creation (RSA 2011:45).

The core service for the DoHS in KZN is the provision of houses in the province, and the programmes and projects are based in the regions under Project Management Unit. This unit ensures that low cost housing is built for the people. The organogram for the DoHS is depicted in Figure 5-2.

![DoHS Organogram](image)

**Figure 5-2: DoHS Organogram**

Source: KwaZulu-Natal Department of Human Settlements, 2016

The DoHS in KZN has numerous directorates that are entrusted with the duties of ensuring that the mandate of the departments is realised. The M&E unit is one main directorate that ensures that the targets of the other directorates are realised. This directorate has two Deputy Directors who reports to the Director of the M&E Unit. The Director, in turn, reports to the Chief Director who accounts for all the matters that affects the M&E Unit within the department.
The department’s strategic goals are to improve human settlements services with the expected outcomes of improved services, which includes efficiency, effectiveness, improved sector/stakeholders capacity, improved human settlements outcomes and upgrading of households in informal houses, inter-sectoral approaches, and coordinated project management (KZN 2017:1).

In dealing with the housing challenges that affect people of KZN, the DoHS have developed programmes which address the housing backlog within the province. Such programmes are in line with the 2007 KwaZulu-Natal Elimination and Prevention of Re-emergence of Slums (Act No 6 of 2007). This Act seeks to reduce the informal settlements throughout the province, especially in urban areas. In line with the KZN Provincial Growth and Development Strategy (PGDS), the DoHS in the province seeks to improve the lives of its citizens by addressing any challenges relating to the service delivery and improvement of good governance within the department.

Through a tripartite partnership involving municipalities, developers, and the department, the DoHS in KZN has been in a position to deliver on its mandate of the building of houses in rural areas, and reducing the informal housing in urban areas. The long term goal of the department is to ensure that the majority of the citizens of KZN have access to quality housing. This should conform to the strategic vision and mission of the department. The strategic vision of the DoHS includes ensuring financial viability of the department, provision of skilled resources and economic integration, accelerates the creation of rental housing opportunities, and implements projects that ensure spatial, social, and economic integration.

The strategic mission of DoHS in KZN emphasizes the delivery of suitably located housing opportunities, and security of tenure over the next five years through collaborative partnership, legislative planning processes, and empowerment of woman in construction (KZN 2017:1).
5.4 Interconnection between the Research Question, Research Objectives and the Interview Questions

The study sought to answer the main research question as to “how can the M&E system be implemented in order to improve good governance and service delivery in the DoHS in KwaZulu-Natal”. It was therefore necessary to ensure that the researcher aligned the identified research questions and research objectives with the interview questions as depicted in Table 5-2.
<table>
<thead>
<tr>
<th>Research Questions</th>
<th>Research Objectives</th>
<th>Interview Questions</th>
</tr>
</thead>
</table>
| What is the level of understanding of the M&E system compliance within DoHS in KwaZulu-Natal? | To understand the level of M&E system compliance within DoHS in KwaZulu-Natal. | - What has been the level of M&E System compliance by the business unit within the department?  
- In terms of the reports received from M&E unit, how can you rate the level of adherence of the M&E system within the department?  
- To what extent does M&E system assist business units in improving the application of the M&E system within the department? |
| How can M&E system assist in the improvement of good governance within DoHS in KwaZulu-Natal? | To determine the level in which M&E system assist in improving good governance in KwaZulu-Natal. | - To what extent has M&E System assisted business unit in improving good governance within the department?  
- What changes have been introduced after the introduction of the M&E system? |
| Is there any impact after the introduction of the M&E system within the DoHS in KwaZulu-Natal? | To identify whether there has been an impact after the introduction of M&E system in the DoHS in KwaZulu-Natal. | - From your own assessment, what has been the impact of the M&E System towards improving compliance?  
- Can you explain the state of readiness by the business unit when applying the M&E system? |
| How can the challenges be addressed in order to improve the M&E system within the DoHS in KwaZulu-Natal? | To examine the ways of improving application of M&E system in the DoHS in KwaZulu-Natal. | - What do you think are the main challenges relating to the implementation of the M&E system within the business unit? |

Source: Fieldwork Inquiry, 2016
The ensuing discussion presents the interconnection between the theoretical framework, research objective, and interview questions, as adopted for the study.

5.5 Aligning Theoretical Framework, Research Objective, and Interview Question

This section presents the alignment of the theoretical framework, with the research objective, and interview questions as tabulated in Table 5-3.

Table 5-3: Interconnection between the Theoretical Framework, Research Objectives and the Interview Questions

<table>
<thead>
<tr>
<th>Theory change</th>
<th>Research objective</th>
<th>Interview question</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improvement in decision making</td>
<td>To determine the level at which the M&amp;E system assists in improving good governance.</td>
<td>From your own assessment, what has been the impact of the M&amp;E system towards improving compliance?</td>
</tr>
<tr>
<td>Strategic planning</td>
<td>To determine whether there has been an impact after the introduction of the M&amp;E system in the DoHS.</td>
<td>In line with the national standards set by the DPME, to what extent do you think the guidelines are being applied by business unit in order to achieve the objectives of the department?</td>
</tr>
<tr>
<td>Budgeting</td>
<td>To determine whether the M&amp;E system has been implemented in order to improve good governance.</td>
<td>How can the M&amp;E system be implemented in order to improve good governance?</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

The next section presents the emerging themes from the qualitative data.

5.6 Emerging Themes from the Qualitative Data in relation to Research Objectives and Research of the Emerging Themes of the Study

This section discusses the themes that emerged from the qualitative data. The interaction between the emerging themes with research objectives and research questions is presented in Table 5-4.
<table>
<thead>
<tr>
<th><strong>Emerging theme 1:</strong> Monitoring and evaluation governance</th>
<th><strong>Emerging theme 2:</strong> Business unit compliance levels</th>
<th><strong>Emerging theme 3:</strong> Institutional capacity for proper implementation</th>
<th><strong>Emerging theme 4:</strong> Information management for monitoring and evaluation system</th>
<th><strong>Emerging theme 5:</strong> Process and procedures</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Effective and efficient</td>
<td></td>
<td>1. Effectiveness and efficiency</td>
<td>1. Information management</td>
<td></td>
</tr>
<tr>
<td>2. Administrative strategies</td>
<td>2. Level of compliance</td>
<td>2. Institutionalisation</td>
<td>2. Budget constraints</td>
<td>1. Information management</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
The next section presents the qualitative data of the study.

5.7 Presentation of Qualitative Data

The following section presents the qualitative data collected for the study arranged according to the themes that emerged from the overall analysis of the data. As noted earlier, relevant literature was consulted to interrogate the results.

5.7.1 Monitoring and Evaluation of Good Governance

This section provides an emphasis on the importance of M&E for the governance system within DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted. For good governance to be regarded as visible in any organisation, Human Rights Commission (HRC 2013:5) asserts that, accountability forms the pillar by which participation and responsiveness can be measured. The HRC (2013:5) further asserts that good governance to sustainable human development should emphasise on the principles of accountability, participation, and human rights.

Matrix 5-1 reflects participants’ perceptions on issues of good governance within DoHS.

<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visibility and proper, effective and efficient administrative strategies are some issues of governance that the M&amp;E unit and the whole DoHS should focus on. (DF5; DG5; DH5; DF10; DH3;DA13; DE12; A12; DC11; DB13).</td>
<td>I think there is an impact because as we are a housing department our work is judged by what is on the ground and in order for us to achieve what’s on the ground we need to set targets for ourselves in order to achieve numbers, so I can say that the impact is there in terms of delivering the achievable. (DDB8; DDB7; DDF4; DDL8; DDG12;DDH12; DDK3; DDD12 DDG5;DDI6)</td>
<td>There are a lot of improvements since the introduction of the M&amp;E system because there has been changes in service delivery and performance attitude such as putting people first and properly prioritise stakeholders. Performance attitude has been one change that enhanced good governance within the department (ADD5; ADE5; DM5;ADE6; ADL6; ADF11).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
It was revealed in the study, with the participants responding that good governance within DoHS needs to be given attention and that will improve efficiency and effectiveness within the department. There is a consensus amongst the participants’ responses that, since the introduction of M&E system within the DoHS, there is an improvement in terms of the targets that have been set by business units. Although there are improvements, more still needs to be done. For example, one of the participants indicated that:

*I think there is an impact because as we are department our work is judged by what is on the ground (DDB7, DDB 2016).*

Furthermore, responses from the Directors seemed to be in agreement with the above statement when they remarked that:

*Visibility and proper, effective and efficient administrative strategies are the issues of governance that the M&E unit and the department of DoHS should focus on (DF5, DG5, DF10 2016).*

This response is in agreement with the respondents who stated that:

*I think M&E is an instrument which strives to achieve good governance in a sense that when allocating resources, it must be done in a transparent manner (DF10 2016).*

The responses presented above suggest that governance is an important tool in improving service delivery within the DoHS. The respondent has also added an important aspect of image of the department in terms of how they perform by revealing that:

*The performance and behaviour of the officials seem to be giving them good image because they are prepared to go an extra mile in executing their duties (DB10 2016).*
From the findings presented above, it is affirmed that good governance can be achieved provided that all the officials within the department understand the impact and the contribution of the M&E system within the department. The above argument is supported by the Centre for Research and Innovation in Biodiversity and Drugs Discovery (CIPFA 2013:13) when arguing that, good governance plays a crucial role in ensuring that the level of service delivery is maintained.

The CIPFA (2013:13) further argues that in order to deliver good governance in the public sector, both governing bodies and individuals working for entities must act in the public interest at all times consistent with the requirements of legislation and government policies, avoiding self-interest and, if necessary, act against perceived organisational interest. Peersman, Rogers, Guijt, Hearn, Pasanen and Buffard (2016:11) assert that for an impact to be visible, four elements must be present, namely:

- **Good governance**: legitimate, accountable, and effective ways of obtaining and using public power and resources in the pursuit of widely-accepted social goals;
- **Rule of law**: the exercise of state power using, and guided by, published written standards that embody widely-supported social values, avoid particularism, and enjoy broad-based supported;
- **Transparency**: official business conducted in such a way that substantive and procedural information is available to, and broadly understandable by, people and groups in society, subject to reasonable limits protecting security and privacy; and.
- **Accountability**: procedures are requiring officials and those who seek to influence them to follow established rules defining acceptable processes and outcomes, and to demonstrate that they have followed those procedures.

Such elements are necessary within the DoHS in ensuring that the M&E system is effective, and it benefits the department. Overall, participants indicated that the M&E system is somewhat effective, thus improving good governance in the department; this is appreciated by all officials. The next section presents the second theme of the business unit compliance levels.
5.7.2 Business Unit Compliance Levels

This section provides an illustration on the importance of business unit compliance in the M&E system within the DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted.

Matrix 5-2 summarises respondents’ perceptions on what they thought of business unit compliance within DoHS.
<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>All business units have a high level of compliance and, have demonstrated that through ensuring that most of them timeously submit their monthly or quarterly reports. Compliance is good because one tries to stay on track due to having plans, as well as, having the M&amp;E system just to keep one monitoring if they are doing well. (DA6; DB6; DC6; DH6; DD8).</td>
<td>The level of compliance of the M&amp;E system has been very high. However, officials are of the view that it is easy to comply because they only submit for compliance not because of ensuring proper implementation of the system. We do comply with the M&amp;E system because every month we provide a progress report of the actual work that has been done and those programmes have been presented to MANCO team on a monthly basis. (DDC3; DB6, DDH2; DDB3;DDC3; DDE3).</td>
<td>Business units do comply even though there is no clear direction of proper implementation of the process and policy issues. All business units adhere to the M&amp;E system. This is done through efficient reporting. (ADG3, ADK3, ADL4, ADC6, ADD6, ADG6, DDC3; DDH2; DDI2; DC2, DB11, DDB2, DDL4) DC2; DB11; DDB2; DDL4).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
This was revealed in the study with a consensus amongst the participant’s responses that there is a need for compliance with the M&E system within the DoHS in KZN so that more services can be delivered to the citizens. The study also revealed that compliance should form the cornerstone for service delivery. The compliance ensures that the DoHS in the province of KZN meet its targets and its projections.

In highlighting the responses from the participants, the research data further revealed that compliance should be a core service in the DoHS in KZN as it forms part of the integrated approach by the department. The participants expressed that compliance should be applied across the department so that everyone will understand what is expected. For example, one of the participants indicated that:

*I think compliance is the good because we try to stay on track due to our business plans (DB6, 2016).*

The responses from the other categories like the Deputy Directors seemed to be in agreement.

*The business unit adhere to the system because we forward our business plans to M&E unit every year (DDE3, 2016).*

While there has been compliance by many business units, as noted in the participant’s responses above, however, the study revealed that there are concerns regarding the compliance by some of the business units. For example, one participant commented that:

*I was not aware of such adherence; they recently provided a business unit with performance evaluation forms of the service providers to services (ADA3, 2016).*

From the findings presented above, it can be affirmed that business unit compliance must be understood in the same context by all business plans, in order to be implemented effectively and efficiently by the DoHS.
The views presented above from the findings are also emphasised by Gonzales (2012:45) when arguing that the main aim of compliance data is to understand whether the standard is leading to its sustainability objectives and assuring that institutional operations comply with the set delivery scope and of the standards. Pasanen and Shaxson (2016:11) asserts that for compliance to take place, M&E strategies and plans should underpin the principles of M&E, thereby emphasising five pillars namely, relevance, efficiency, effectiveness, impact, and sustainability.

Although the government focuses on compliance, there are increasing examples in South Africa where the M&E of information is being used to inform policy making and decisions and to improve accountability (Phillips et al. (2014:8). Research findings presented in Matrix 5-2 revealed that there is no consistency in compliance within DoHS in the KZN. The Directors tend to comply more as compared to other levels. Some of the Deputy Directors indicate that within their business units they have to comply with the M&E procedures as it is a requirement, but they do not see any value in doing that. The reason for that is because the M&E system is not assisting the business units in understanding why they should comply with the M&E system. The Assistant Directors also comply, although they do not see any value in complying with the system. Such views tend to stifle the progress in terms of how the M&E system should be applied in the DoHS in KwaZulu. This is an indication that the M&E system within the DoHS is not effectively implemented.

**5.7.3 Institutional Capacity Development for Proper Implementation**

This section provides an emphasis on the importance of the institutional capacity development and engagement in the M&E system within DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted.

Matrix 5-3 summarises respondents’ perceptions on what they thought of institutional capacity within DoHS.
It was revealed in the study with the participants responding that institutional capacity within the DoHS in KZN needs to be addressed in order for the department to deliver on their mandate, which is the building of houses for the citizens of the province of KZN. Institutional capacity plays a vital role in ensuring that the department has enough and qualified manpower to execute the mandates of the department. The research data revealed that institutional capacity should be a departmental priority in order for it to be effective and efficient. The participants expressed that institutional capacity should be one of the department’s pillars.

One interviewee noted that:

*There are many vacancies that need to be filled in order to be effectively and efficiently implement the system* (DG11; DI12, 2016).

Another interviewee stated that:

*The institutionalisation of the system will be of paramount importance* (DDA7; DDK8 (2016).

The findings presented above highlight that institutional capacity must be the core of the DoHS in KZN if they want to deliver on their mandate. Failure of DoHS in the province of KZN to address this challenge can render the department ineffective. The next section presents the information management for the M&E system.
5.7.4 Information Management for Monitoring and Evaluation System

This section provides an emphasis on the importance of information management for M&E system within DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted. Peersman et al. (2016:8) argue that the M&E system requires integrated planning around the purposes, information priorities, underlying values and principles, roles, and responsibilities. The capabilities of different factors contribute to the system, implementation of procedures, and activities and tools.

Matrix 5-4 summarises respondents’ perceptions on what they thought of stakeholder engagement within DoHS.

<table>
<thead>
<tr>
<th>Matrix 5-4: Information Management</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Participants’ Responses</strong></td>
</tr>
<tr>
<td><strong>Directors</strong></td>
</tr>
<tr>
<td>The challenges would be the unavailability of information or insufficient information. When you are doing M&amp;E, everyone wants to look good, so there might be information that is not 100 per cent reliable because nobody wants to look bad when you try to get information. (DB12; DD11; DF12DF13 DB13)</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

The findings of the study revealed from the participant’s responses that information is an important pillar in strengthening the information management and in ensuring that the information that is communicated to the department is correct, accurate, and prompt. The
research data also revealed that information management is crucial as it serve as documentary evidence when such documents are needed by the Auditors during the auditing process.

One interviewee stated that:

*I think one way of improving is to decentralise information that employees will know about it (ADC13, 2016).*

Another interviewee stated that:

*I believe that physical check must be done for the information and the department. Information management is necessary as it serve as the documentary evidence in system (DB13, 2016).*

The findings presented above affirm that the information management is crucial for programmes that the department is undertaking. Matrix 5-4 revealed that information management within the DoHS in KZN needs to be improved. All levels across the spectrum do not show confidence in terms of information management within the department. Aiim (2017:2) argues that organisational structure must be capable of managing information throughout the information cycle, regardless of source or format, including data, paper, documents, electronic documents, audio, and video for delivery through multiple channels, that may include cell phones and web interface. From the data presented, there is clear evidence that there must be improvements in terms of information management because most of the categories identified do not seem to believe that information management within DoHS in KZN is assisting them within the department.

The next section presents the process and the procedure used in in the M&E system within DoHS in KZN.

5.7.5 Processes and Procedures

This section provides an emphasis on the importance of the processes and procedures in the M&E system within DoHS in KZN. The need for better engagement throughout the
department in order for the department to function effectively and efficiently is highlighted.

Matrix 5-5 summarises respondent’s “perceptions on what the respondents” thought of processes and procedures within DoHS in KZN. In the statement above the respondents’ remarked that:
### Matrix 5-5: Processes and Procedures

<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Processes are not clearly defined in terms of information management, which is information collection to reporting. Procedures are also applied in an umbrella form. They collect information, statistics from each department and they analyse the data and then report on that data once it’s been analysed, we then report monthly on our performance plans (DF2; DAI2; DB4; DD4; DC5; DC8).</td>
<td>Budget constraints are also affecting the application of the system and following procedures in terms of ensuring the alignment of business unit spending with the budget plans. The process of M&amp;E system is very unclear and inconsistent as it shows minimal signs of improvement of staff performance. (ADM11; ADG11; ADA8; ADM7; ADG7; ADK6; ADG8; DDL8; DDL9; DDL3; DDB2; DDL4; DDL5)</td>
<td>Reporting processes, meeting targets and the overall rating of business units has been very unclear to most business units. Policy implementation is the issues and its poor application results to poor reporting processes. There is a collection of information for statistical purposes and that data is then analysed and interpreted when it’s reporting time. M&amp;E processes and procedures are not always clearly defined and followed. (ADM11; ADG3; ADK3; ADL4; ADC6; ADD6; ADG6; AG11; ADA8; ADM7; ADG7; ADK6; AD8).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
The findings of the study from the participant’s responses acknowledge that processes and procedures are necessary in setting up the system with the DoHS. Processes and procedures ensure that there is coherency in terms of the programmes that the departments implement in order to render services. The findings further reveal that it is tool that the department should use to strengthen its internal processes.

One of the interviewee noted that:

*It is extremely necessary that the officials drive the process or departmental objectives (DC5, 2016).*

Another interviewee noted that:

*The M&E unit collects and analyse the data and report on that data that has been analysed (DF2, 2016).*

The findings of the study revealed that process and procedures forms the basis for which the department must utilize. The study further showed that for DoHS in KZN needs to have systems in place for its programmes and M&E processes and procedures must be implemented for the entire department. The processes and procedures within the department must be clear and user-friendly. On the contrary, as evident from the data presented, the M&E processes and procedures within DoHS in KZN are not coherent in terms reporting and budgeting. Moreover, there is no synergy in terms of the alignment of the processes and procedures within the department. Such environment can affect the manner in which the DoHS in the province functions and delivers on its mandate.

For the M&E system to be effective and efficient, Anderson (2017:3) asserts that the purpose of creating an internal control system through defining and documenting processes with well-written procedures is to improve compliance system and operational needs to managing risks. This shows that, unless processes and procedures within DoHS in KZN are not given priority around reporting, then budgeting will continue to suffer.
The next section presents the stakeholders engagement for the integrated system application.

The processes and procedures within the department must be clear and user-friendly. However, on the contrary, as evident from the data presented, M&E processes and procedures within DoHS are not coherent in terms reporting and budgeting. Moreover, there is no synergy in terms of the alignment of the processes and procedures within the department. Such environment can affect the manner in which the DoHS functions and deliver on its mandate. Anderson (2017:3) asserts that the purpose of creating an internal control system through defining and documenting processes with well-written procedures is to improve compliance, operational needs to managing risks. This theme shows that unless processes and procedures within DoHS are not given a priority issues around reporting, and budgeting will continue to suffer. The next section presents the stakeholders engagement for the integrated system application.

5.7.6 Stakeholder Engagement for Integrated System Application

This section provides an emphasis on the importance of stakeholder’s engagement in the M&E system within DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted.

Matrix 5-6 summarises respondents’ perceptions on what the respondents thought of stakeholder engagement within DoHS.
This was revealed in the study with the participants responding and acknowledging that stakeholder’s engagement is necessary towards better improving relations within the DoHS in KZN. Stakeholder’s engagement is important as a tool that ensures that successful programmes in the department are achieved. The research data further revealed that effective and efficient stakeholder’s engagement can be achieved through inter proper engagement between the stakeholders, which are the department, developers, and the contractors. The participants expressed that the stakeholder’s engagement can play a crucial role in improving good governance and the service delivery.

Source: Fieldwork Inquiry, 2016
One interviewee asserted that:

\emph{To me the M&E system should be a broader unit in terms of engagement with us (DA3, 2016).}

Another interviewee stated that:

\emph{I think we need to stick to our targets as the department what was originally agreed upon in the strategic planning and our objectives have to be reported (DDH3, 2016).}

The findings presented above affirm that stakeholder’s engagement is the key towards improving the service delivery and good governance with the DoHS in KZN. This can be achieved through strategic engagement of the stakeholders.

Matrix 5-6 summarises respondents’ perceptions on what they thought of stakeholder engagement within DoHS.

The findings identified above confirm the Association for Project Management (APM 2017:2) assertion that engagement and management of stakeholder reports are important ingredients for successful project delivery. This indicates that, for the DoHS in KZN to be effective, the M&E system must be more involved and engaging in nature. All the stakeholders within the department must realise the importance of the system so that every improvement it intends to introduce can be understood by the all the stakeholders. From the department’s perspective, a strategic approach by M&E system must be introduced and be accepted by everyone. Currently, as presented in Matrix 5-6, the majority of the stakeholders are not convinced by the manner in which it assists the department.

The next section presents the M&E reporting.
5.7.7 M&E reporting

This section provides an emphasis on the importance of M&E for reporting in the M&E system within DoHS in KZN. The need for better engagement throughout the department in order for the department to function effectively and efficiently is highlighted.

Matrix 5-7 summarises respondents’ perceptions on what they thought of monitoring and evaluation reporting within DoHS in KZN.
<table>
<thead>
<tr>
<th>Categories</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
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</thead>
<tbody>
<tr>
<td>Reporting processes</td>
<td>There is a QPR which is reported and submitted to the M&amp;E. Furthermore, there are sittings with MANCO to engage on areas of improvement and the overall compliance issue. Monitoring and evaluation reports are submitted monthly or quarterly to DPSA. (DC3;DE2;D13;DF3;DF4;DC7;DE7)</td>
<td>Our unit adheres to the M&amp;E System because all the targets of the unit are being submitted to M&amp;E Unit and is fed through the system for monitoring, either quarterly or yearly. It’s all done in accordance to the targets, some of the targets are quarterly and some are monthly (DDJ3;DDA4;DDB4;DDC4;DDD7)</td>
<td>Business units report monthly and or quarterly. Reporting is done to see if targets of performance plans have been met. (ADH3ADE4; ADN4; ADK5)</td>
</tr>
<tr>
<td>Targets and ratings</td>
<td>The target that has been set is the vacancy rate, to which it has to be 5 per cent or less and we have managed to stay below that, managing to get just about 3 per cent most of the time (DB5;DC4;DF5;DA6;DB6).</td>
<td>Business units set their targets while receiving national targets and then from the targets they do give a report back as to what we have achieved, as to my knowledge M&amp;E is supposed monitor targets and progress, and we submit our targets and our achievements of the targets. (DDB7;DDK4;DDB5;DDF7;DDJ8)</td>
<td>Business units set their own performance and delivery targets, hence they are rated based on their ability to deliver. (ADG3).</td>
</tr>
<tr>
<td>Feedback</td>
<td>We don’t get feedback except maybe at MANCO when you see the presentations prepared (DA4;DB4;DG8;DH8).</td>
<td>I have not received any feedback from the M&amp;E unit, so I would therefore say the level of adherence from M&amp;E is not very good, I do not know why we don’t receive any feedback from M&amp;E. (DDE4;DDA3;DDM3;DDD4;DDE4;DDH4;DDI4;DDJ4;DDE7;DDE8).</td>
<td>There is no feedback or any type of mechanisms to report back with regards to our performance as business units. (ADG4;ADE4).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
It was revealed in the study with the participants responding that reporting is essential in providing the feedback from the departmental clients who are municipalities and the contractors. Feedbacks are essential in ensuring that the DoHS in the province get to know what M&E system entails. The research data revealed that M&E reporting should be used as a norm in improving the standards of interaction in the department. For example, one interviewee indicated that:

*There is Key Performance Agreements (KPA) that has to be achieved and indicates on the technical definitions of those that have to report (DC3, 2016).*

Another interviewee stated that:

*We have an agreement with M&E unit on the reporting structure as well as the reporting format (DB3, 2016).*

While there are participants that seem to be content about the reporting processes within the department, there are those that have indicated the disapproval in the manner in which reporting is performed within the department.

One interviewee stated that:

*Reporting is just to report on the targets by the business unit there is no support from the M&E or guidelines or working guidelines between the two units (ADE4, 2016).*

The findings presented above are the affirmation that M&E reporting is an important ingredient in ensuring that the department succeeds in the implementation of its programme. Uncoordinated reporting cannot assist the department in improving on its good governance and service delivery mandates. For the department to be effective, efficient, and transparent, reporting systems must be improved. The United Nations Educational Scientific and Cultural Organisation (UNESCO 2016:1) argues that, a good M&E system is more than a mere statistical task or an external obligation. For the
M&E system to be effective and efficient, it must be planned properly, managed efficiently and provided with adequate resources, making it sustainable. Unclear reporting procedures and feedback came out as some of the obstacles that contribute to the ineffectiveness of the application and implementation of the M&E system. The UNESCO (2016:1) further argues that the new approach to M&E system has to incorporate (1) the introduction of the well-established system of reporting on programme and initiative, (2) the availability of equality and reliable data, (3) the efficient coordination among all department and stakeholders at all levels, and (4) the availability of reliable measuring toll.

The next section presents the impact of monitoring and evaluation

5.7.8 The Impact of the Monitoring and Evaluation System

This section provides an emphasis on the impact of the M&E in the M&E system within DoHS in KZN. There is a need for the DoHS in the province to check whether there is an impact of the M&E system within the department. This assessment will gauge the impact it has since it was introduced in 2013.

Matrix 5-8 summarises respondents’ perceptions on what they thought of the impact of the monitoring and evaluation within DoHS in KZN.
### Participants’ Responses

<table>
<thead>
<tr>
<th>Categories</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Effective implementation management</td>
<td>Talking about the M&amp;E, the application of the system is one of the very vital programmes that need to be implemented in the department. (DB2; DE2; DH2; DI2; DB3)</td>
<td>Well regarding to the system itself, most people just supply information just for compliance and there are not much follow ups being done after that. (DDF3; DDD4; DDD5; DJ5; DL5)</td>
<td>The M&amp;E System does not write proper guidelines of what needs to be done like requesting reports which makes it difficult at all times to adhere (ADN3; ADG4; ADM6; ADN6; ADB7; ADK7; ADL13).</td>
</tr>
<tr>
<td>System improvement</td>
<td>I don’t think there is anything that we are getting from them in terms of improving the systems. However, the system can be improved in terms of reporting, service attitude and its implementation (DA5; DB5; DB10; DC4; DD4).</td>
<td>The M&amp;E unit must come up with a clear programme of action, that will ensure and improve their visibility to business units, and further innovatively initiate programmes to make the M&amp;E system more user-friendly to its clients and practical (DDD7; DDD5; DDF5; DL5; DDD8; DDF8).</td>
<td>The M&amp;E system needs to be improved in terms of reporting processes and system implementation (AD13; ADM3; ADM4; ADE5; DN5; ADM5; ADM7; AD10).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
Most of the participants in the study are in agreement that since the implementation of the M&E system there has been an improvement. The implementation of the M&E system in the DoHS in KZN is crucial in ensuring that the system of provision of houses is expedited. The research data revealed that the implementation of the M&E system should be the pillar in setting up structures within the department. The participants also expressed that the implementation of the M&E system should be done with an intention to improve governance and service delivery in the department. One of the interviewees stated that:

*My view is that M&E system helps to see and gauge the progress that the department is making towards the achievements of its goals (DB2, 2016).*

Another participant also stated that:

*M & E system has assisted in the improvement in the submission of the reports and that of measuring of our targets (ADM4, 2016).*

The findings revealed that the DoHS in KZN can use the M&E implementation system to standardise the systems within the department. M&E system is at the centre of strengthening the department. Proper development of system within the department can yield positive results and that in turn can assist in improving good governance and service delivery.

Matrix 5-8 tabulates respondents’ sentiments about the effectiveness and the improvement of the system. Most respondents showed their appreciation of the system and some had some challenges to raise which showed that the M&E system cannot be all good or bad. This is an indication that within the DoHS in KZN, the M&E system is not fully embraced by lower level of management as a tool that can improve the service delivery. Such view clearly shows that for a system such as the M&E to be regarded as having an impact it must be understood and accepted by all stakeholders within the department. This sentiment is also shared by APM (2017:2) when he argues that for an M&E system to have an impact four factors are needed; (1) information about the nature of the intervention, such as services provided, who has been served, (2) baseline data and changes over time; (3) information about the context of the intervention, such as other interventions that are co-occurring, (4) external factors and the political, economic,
social, and physical environment; information about observed or potential impacts: existing evidence or strong suggestions that changes may be taking place and; other pertinent information, such as the continued relevance of the intervention, potential impact evaluation questions, and existing data sources.

While there are improvements in the system, there are still implementation challenges and the issue of the departmental competency has been recognised by some respondents. Most of these respondents blame the M&E Unit for not being supportive enough with relevant information and, as a result, other business units’ end up submitting inadequate reports. Over and above the issue of competency; most business units have been in agreement with the opinion that the M&E system has improved the department’s level of performance. Furthermore, some business units have regarded the M&E unit as a measure of performance while others, as shown in Matrix 12, view it as a performance indicator.

As a result of the changes in terms of the M&E system, during the Govan Mbeki Awards in 2016, the DoHS were named the best performing department in the province. This achievement was obtained through concerted efforts by the department in trying to reduce shortage of houses in the province. The result of the award was due to the establishment of the M&E unit, which monitored the performance of the Project Management directorate.

From 2015, M&E unit designed reporting tools for the department. The main reason for such tools, among other things, was to standardise the reporting format for the entire department. Furthermore, it ensures that all the directorates within the department adhere to the set targets and the milestones of DoHS in KZN, while also ensuring that there is uniformity in terms of the reporting format, which was a challenge before the introduction of the M&E Unit. Since the introduction of the M&E system within the department, there has been an increase in the productivity levels within the various directorates.

The next section presents the performance measures and attitude.
5.7.9 Performance Measures and Attitude

This section provides an emphasis on the impact of the performance measures and attitude within DoHS in KZN. Performance and the attitude is crucial pillar in any organisation or the department. Without strong performance and the right attitude, the department would not survive.

Matrix 5-9 summarises respondents’ perceptions on what they view the performance measures and the attitude in the DoHS.
Matrix 5-9: Performance Measures and Attitudes

Participants’ Responses

<table>
<thead>
<tr>
<th>Categories</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Competency</td>
<td>Some departments lack commitment and right attitude. But their performance and behavior seem to be giving a good image to the government because they are prepared to go the extra mile now (DB10; DF12).</td>
<td>Sometimes it takes a while, this means if the unit is due soon and is involved late so will the submission. It takes time for it to respond to the M&amp;E Unit. (DDI3; DDK3; DDL3; DDG7; DDJ7).</td>
<td>If business units don’t do well, the M&amp;E would have to ask why that is so. And underperforming isn’t a very good thing when one knows where they have to be, so it gives Units that drive to do well with their targets (ADK3; ADI5; ADL6; ADN7; ADD11).</td>
</tr>
<tr>
<td>Measure of performance</td>
<td>It is a common practice in all departments that there must be M&amp;E component to ensure that there is an improvement in service delivery and that will basically help improve good governance and service delivery (DE11;DI13).</td>
<td>The M&amp;E system is a tool used to measure the performance for the directorates in the department, in other words, the M&amp;E assists the business unit in meeting targets. (DDD2; DDF2; DDH2; DDJ2; DDK2; DDD4; DDL4).</td>
<td>The M&amp;E system has assisted a lot because that’s where units can check if performance is in line with their planning, as well as the expenditure. (ADH12; ADB11 ADH8; ADN5; ADF5).</td>
</tr>
<tr>
<td>Performance indicators</td>
<td>Annual performance and business plans serve as performance indicators and those reports indicate achievements, improvement areas and reasons for failure (DC3; DC4).</td>
<td>The M&amp;E system is a system that provides indicators which are extracted from the operational plan and being indicated to monitor the performance of the organisation to see whether it achieves the performance and the objective as indicated on the strategy of the department. (DDC2; DDE2; DDA5; DDB5; DDC5).</td>
<td>In order to address the challenges to improve good governance and service delivery the M&amp;E Unit needs to improve their image and they have to do a lot of information session throughout the department or regions or even be user-friendly to their clients. (ADM13; ADM6; ADA6).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

The finding of the study revealed that M&E system can contribute positively towards improving good governance and service delivery. The research data showed that the impact of performance measures and attitude can go a long way in ensuring that proper systems are introduced. The DoHS in KZN can benefit if the performance measures and
attitude for its staff are right. Such a view was shared by one the participants, when they stated that:

Looking at good governance, I think we are getting there because the people have the positive attitude towards the government itself (DB10, 2016).

Another participant stated that:

It is the common practice that each department must have the M&E component to ensure that there is improvement in the service delivery (DE11, 2016).

Hardlife and Zhou (2013:4) argue that M&E systems are management toolkits that enable decision-makers to track progress and demonstrate the impact of a given programme/project. Hardlife et al. (2013:4) further argue that, in the long run M&E toolkits help organisations make decisions on the success, failure, efficiency, and effectiveness of their programmes.

Matrix 5-9 indicates that although the M&E system is in used within DoHS in KZN, there are officials within the department that have not embraced it or feel that M&E system does not assist them in their day to day operations. Issues of competency, measurement of performance and performance indicators are critical in order to ensure that the department has all the ingredients to succeed. If the above mentioned issues are not properly addressed, that can hamper the improvement of good governance within the DoHS.

The next section presents ways to improve the M&E system application.

5.7.10. Ways to improve the Monitoring and Evaluation System Application.

This section provides an emphasis on the ways to improve the M&E system application within the DoHS.

Matrix 5-10 summarises respondents’ perceptions on what they thought of the impact of the monitoring and evaluation within the DoHS in KZN.
### Matrix 5-10: M&E System Application

<table>
<thead>
<tr>
<th>Categories</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
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</thead>
<tbody>
<tr>
<td><strong>Visibility Issues</strong></td>
<td>The M&amp;E unit is not visible enough to for the improvement of the effective implantation of the system. (DE12; DA12).</td>
<td>M&amp;E Unit should be more visible from where they are but they are not visible so we don’t know what they do. (DDM12; DDG12; DDH12; DDK3; DDD12; DDK5; DDA2; DDM3; DDM4).</td>
<td>Firstly, M&amp;E System should be visible, make all units aware of their programmes and also know that before M&amp;E System these were the challenges and this is how far they’ve gone to address the challenges (ADJ13; ADM12 ADN11; ADJ11).</td>
</tr>
<tr>
<td><strong>Accountability and Transparency</strong></td>
<td>M&amp;E System ensures that units remain clear and transparent in terms of service delivery. So, the M&amp;E System is an “overall monitoring tool” to ensure that in the end even the head of the department reports what is true (DC11; DB13; DE5).</td>
<td>There is an impact because as we are a housing department our work is judged by what is on the ground and in order for us to achieve what’s on the ground we need to set targets for ourselves in order to achieve numbers, so I can say that the impact is there in terms of delivering the achievable. (DDB8; DDB7; DDF4; DDL8).</td>
<td>The M&amp;E Unit, like all business unit must ensure high levels of integrity, accountability and transparency as the department is dealing with delivering houses which is a basic need to the community (AD18; ADB8; ADK3; ADK2).</td>
</tr>
<tr>
<td><strong>Performance attitude</strong></td>
<td>Improvements are there and they also triggered and changed performance attitudes of most departments and business units (DB11).</td>
<td>There are a lot of improvements since the introduction of the M&amp;E system because there has been changes in service delivery and performance attitude such as putting people first and properly prioritise stakeholders (DDG5; DDI6; DDH7).</td>
<td>The implementation of the M&amp;E has brought to all government organs an element of improving performance attitude and also allowing employees to set their targets as units. (ADC7; ADN13; ADM13).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

The finding of the study revealed that the M&E system is at the centre of the KZN DoHS’s success. All the systems of the department are dependent in the proper functioning of the M&E system. The application of the M&E system ensures that the good governance and service delivery is achieved. The research data revealed that an improved application of the M&E system, change in performance attitude of the public service and of all business units in the Human Settlement Department, is found to be necessary. For example, one participant stated that:
We don’t have the challenges I our unit as I said before that M&E unit came before that the M&E unit came to the fore (DE12, 2016).

Another participant also stated that:

I would say some of the new thing that has been introduced help in terms of improving performance of the department. (DB11, 2016).

From the findings presented above it is affirmed that the application of the M&E in the DoHS in KZN is the main reason for the department to improve on its way of conducting business. The findings further revealed that new approach by the M&E Unit in collating the information and reporting in the department has improved the manner in which the department operates. The APM (2017:2) argues that good corporate governance must have a clear strategy. In order to maintain good work ethics, the M&E system must introduce the culture of honesty, accountability, and transparency. In that way, the officials within DoHS in KZN can remain honest in their daily operation, and in dealing with the clients.

The next section presents the information management for good governance.

5.7.11 Information Management for Good Governance

This section provides an emphasis on the information management for good governance within the DoHS in KZN. Information management is an important aspect in ensuring that the department is in contact with the other departments.

Matrix 5-11 summarises respondents’ perceptions on their view on the information management for good governance in the DoHS in KZN.
### Matrix 5-11: Information management for good governance

<table>
<thead>
<tr>
<th>Categories</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
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</thead>
<tbody>
<tr>
<td>Information management</td>
<td>Changes that have been seen is the sort of quality of information, because all information whether stats that are actually submitted, they have to be supported by documentation, so I can say that they have improved the quality of information given (DD11; DF12; DF13).</td>
<td>Engage all staff in the process because the information that management and M&amp;E rely on, the data, is not collected by management but it’s collected by junior staff and if they have no understanding then they will give you wrong data. (DDA9; DDM3; DDL8).</td>
<td>Some of the changes that have taken place in the department is the proper management of information (ADL3; ADL5; DB7; ADC9; ADC12).</td>
</tr>
<tr>
<td>Information systems</td>
<td>I believe that a complete overhaul is to be done and a physical check is to be done for the information and systems are present without a doubt. (DB13).</td>
<td>The challenge is when they capture the information on the system because this information is coming from different units which are reporting on different functionaries while the system is not designed to report on different functionaries (DDC12; DDA7; DDK7; DDG8).</td>
<td>There should be innovative management systems, that will be efficient in disseminating information to business units (ADC13; ADA13; ADA12; ADH4).</td>
</tr>
<tr>
<td>Availability of information</td>
<td>The challenges would be the unavailability of information or insufficient information. When you are doing M&amp;E, everyone wants to look good, so there might be information that is not 100 per cent reliable because nobody wants to look bad when you try to get information. (DB12).</td>
<td>So for a normal person you have your reports that go to your directorates, chief directorates and there is one that is called by M&amp;E directly and it creates confusion, it should only be one that is used by all. (DDA8; DDE5).</td>
<td>The unit visibility should focus more on information sharing and management. (ADA5; ADF5; ADH6; ADC12).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

The participants in the study expressed their belief that information management in governance is the key towards getting a better service from the department. The research data further revealed that information management should be prioritised by the department in order to ensure that proper guidelines are put in place. The participants expressed that
by having the good managed information system, the department can improve in its operations. Such view was echoed by one participant, who stated that:

*Changes that have been seen is the quality of information between all information submitted they have to be supported by documentation (DD11, 2016).*

Another participant stated that:

*There are no challenges; the only challenge would be for reporting deadline (DE12, 2016).*

The participants acknowledged during the study that information management for good governance forms the cornerstone of the department’s image. Thus, stating that a better information management ensures the better quality information for the department.

The full implementation of the *Batho Pele* Principles, which means “Putting People First” was also suggested by some respondents. Furthermore, most respondents recommended that the M&E Unit should be more visible, as it is non-visible in the department. If the M&E Unit is visible to other departmental units, then the ultimate level of accountability can be achieved. As a result, the department can achieve its desired compliance levels and a functional governance system.

When respondents were asked about different ways to improve the application of the M&E system, through Matrix 5-11, most respondents pointed out that the department should focus more on improving their information management systems. Respondents furthermore emphasised the importance of proper information systems while ensuring that there is efficient availability of information within the department, and across all business units. Gonzales (2012:45) agrees with this statement by adding that, the aim of compliance data is to check whether operations comply with the standard, while the purpose of M&E data is to understand whether the standard is leading to its sustainability objectives. Assurance is about how an operation complies with the standard’s requirements at one point in time and focuses on immediate changes within the scope of the standard. Equally, M&E system looks at the whole portfolio or landscape and accounts for changes over time.
that might allow for comparisons to be made. That shows the importance of complying with the M&E system by KZN DoHS officials.

The trend of responses that have been discovered show that most respondents share similar sentiments that, M&E system is undoubtedly the most important tool in ensuring that the public service accounts in terms of their decisions that it takes. It also ensures that the targets that the departments have set are indeed maintained. Although the M&E system is still not being utilised and implemented to the fullest by most government departments, there is on-going efforts to ensure that it succeeds.

The next section presents the cross case unit analysis for the study.

5.8 Cross Case Unit Analysis

When the question of business units’ adherence to the M&E system was asked, the majority of the departmental officials agreed that there is compliance of M&E within their business units.

One of the participants stated that:

To a certain degree, there is compliance in our business units when it comes to reporting and following M&E guidelines (DA6, DB6, DH6, and DD8).

Matrix 5-12 shows converging views of office bearers about the adherence to the M&E system by business units and the department as a whole.
Matrix 5-12: The adherence of the M&E System by the business unit within the department

<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
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<tbody>
<tr>
<td>Business units do comply with some extent; however, they are limited by things like implementation process. (DA6;DB6;DC6;DH6;DD8)</td>
<td>The compliance is high because people know that there is a routine process of reporting (DDC3; DDH2; DDB3; DDC3;DDE3)</td>
<td>Business units are very compliant, and with a little support from the M&amp;E and other relevant stakeholders; the system be well implemented (ADG3; ADK3; ADL4; ADC6;ADD6;ADG6)</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

While most business unit’s officials shared the same sentiments about being compliant to the M&E system; in Matrix 5-13, there are still divergent views regarding the extent to which the M&E system assists business units in improving the application of the system within the department.

Matrix 5-13: Extent at which the Monitoring and Evaluation System assist business unit in improving the application of the M&E System within the department

<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>The M&amp;E system does support business units in terms of ensuring accountability, quality in service delivery and also meeting business unit targets. DA10; DB10; DD10).</td>
<td>The M&amp;E system is not supporting daily business unit operations, and it could be because of its poorly implemented or it is not clearly explained to business units. (DDA5;DDH5;DDL4;DDL5).</td>
<td>Yes, to some extent. The process cannot be easily traced and this affects the functionality of the system. So the system does support business units to some extent (ADL5; ADJ5; ADE5; ADC5; ADB5;ADM4; ADM3).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

Most directors were of the view that the system does support business units when it comes to the issues of accountability, quality in service delivery, and also meeting business units’ targets (DA10; DB10; DD10). On the same question, Deputy Directors did not share the same view. Deputy Directors pointed out that poor implementation could be the reason they are not seeing the same thing as their directors. Assistant Directors were neutral to this question, as it seems like they are not sure.

Yes, to some extent. The process cannot be easily traced and this affects the functionality of the system. So the system does support business units to some extent. (ADL5; ADJ5; ADE5; ADC5; ADB5; ADM4; ADM3).
This indicates that there are different views on the implementation and the effectiveness of the system. Through analysis, it is found that Directors may find the system useful and helpful because they are the ones who get the first hand information, while Deputy Directors and Assistant directors may be receiving interpreted or distorted information.

5.9 Triangulation

Yeasmin and Rahman (2012:154) define triangulation as the process of verification that increases the validity by incorporating different views and methods. It refers to the combination of two or more theories, data sources, and methods and investigators in one study of a single phenomenon to converge on a single construct, and be used by qualitative (inquiry) and quantitative (validation) studies.

The triangulation strategy plays a pivotal role in enabling the researcher to analyse, compare, contrast, and draw conclusions and recommendations from the findings of the study. Jamaleddin and Lashkarian (2016:55) argue that, a successful research depends on an appropriate research method. As noted in the research design and methods chapter, this research is qualitative in nature. Therefore, the researcher collected qualitative data by means of interviews to acquire participants’ regarding the research objectives of the study which were first presented in the introductory chapter, and will follow in the last chapter. Moreover, this research is underpinned by ToC as presented in chapter three of this dissertation. The literature review and documentary evidence presented in chapter two and four respectively were also conducted to interrogate and validate the findings of the study. Combined, as depicted in Figure 5-1, this assisted the researcher to triangulate the findings of the study in an eloquent manner. In essence, the triangulation of the findings assisted the researcher to understand the principle behind the implementation of the M&E system, specifically in the public sector within the DoHS in the Province of KZN.
Table 5-1 interrogates whether there is convergence or divergence in terms of the theory, interviews, and documentary evidence of the study. Overall, the findings of the inquiry into the implementation of the M&E system within the public sector indicates that, although there are structures in place for the M&E system to be used, the implementation is not as positive as it should be. With regards to the M&E system; while most business units within the DoHS in KZN showed that there is an improvement the strategic planning, decision-making, and budgeting, still more needs to be done in ensuring that these management functions are properly aligned for better results.

Matrix 5-14: The extent at which the M&E unit engage relevant stakeholders

<table>
<thead>
<tr>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theory</td>
<td>To me the M&amp;E System should be a broader unit in terms of stakeholder engagement, but that is currently not the case. (DA3;DA5;DC4;DC13).</td>
<td>Effective and regular engagement with M&amp;E is a necessity because there many challenges as a result of poor engagement. (DDB12; DDA12; DDM12; DDJ12; DDD3; DDM4; DDA12;DDB12).</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016

Although the majority of the interviewed officials were in agreement that all business units are compliant; it was still a necessity to interrogate the existing documentary evidence to ascertain coherence and consistency. Documentary evidence revealed that the introduction
of M&E system has assisted in ensuring that there is an improvement in the manner in which there are engagements within the department. As depicted in Table 5-5, some participants were in agreement that stakeholder engagement was encouraged in the department, as reflected in the documentary evidence.

<table>
<thead>
<tr>
<th>Research Objective</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>To determine the level in which M&amp;E system assist in improving good governance in DoHS in KwaZulu-Natal.</td>
<td>The level of productivity in terms of engagement with other stakeholders internal and external stakeholders improved DA3;DA5;DC13;DC4</td>
<td>The level of interaction has improved to a certain degree DA3;DA5;DC4;</td>
<td>There is no improvement in terms of the engagements within the department. ADD5; ADD5;ADE5;ADE6</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry 2016

When a question within the business units were asked regarding their understanding of the application of the M&E system was posed; different definitions and understandings were discovered. Some officials were of the view that the M&E system application serves as a measure of performance, since it allows business units to determine their levels of performance through adopting compliant strategies for M&E.

*The M&E system has assisted a lot because that’s where units can check if performance is in line with their planning, as well as the expenditure. (ADH12; ADB11; ADH8; ADN5; ADF5).*
From your assessment, what has been the impact of the M&E system towards improving compliance in the DoHS in KZN?

The M&E system is more of a tool used to measure business unit’s performance. It is used to assist business units in achieving their business plans (DE11; DI13; DDF2; DHH2; DJ2; DDK2; DD4; DDL4; ADH8; ADN5; ADF5).

The M&E system is a system that provides indicators which are extracted from the operational plan and being indicated to monitor the performance of the organisation to see whether it achieves the performance and the objective as indicated on the strategy of the department (DC3; DC4; ADM13; ADM6; ADA6; DDC2; DDE2; DDA5; DDB5; DDC5).

The implementation of the M&E has brought to all government organs an element of improving performance attitude and also allowing employees to set their targets as units (ADC7; ADN13; ADM13).

Additional findings revealed that the application of the M&E system can be seen as a performance indicator which can also stimulate and create better and improved performance attitudes within many government institutions, and within the DoHS.

The study revealed that:

In order to address the challenges to improve good governance and service delivery the M&E Unit needs to improve their image and the M&E Unit have to do information session throughout the department or regions or even be user-friendly to their clients. Furthermore, Improvements are there and they also triggered and changed performance attitudes of most departments and business units (DB11; DB11; ADM13; ADM6; ADA6).

### Table 5-7: Business Unit understanding of the application of the Monitoring and Evaluation system

<table>
<thead>
<tr>
<th>Interview Question</th>
<th>Directors</th>
<th>Deputy Directors</th>
<th>Assistant Directors</th>
</tr>
</thead>
<tbody>
<tr>
<td>To what extent has M&amp;E system assisted business units in improving good governance within the DoHS in KZN?</td>
<td>The decision making, budgeting and planning from various directorates have improved. More results in terms of aligning the business plans and the milestones can be achieved.</td>
<td>M&amp;E system has introduced the level of transparency in terms of how the projects must be measured against the targets to be achieved.</td>
<td>There is a better coordination of what the business plans and the targets.</td>
</tr>
</tbody>
</table>

Source: Fieldwork Inquiry, 2016
The findings of the study when interrogating the literature and documentary evidence show that the application of the M&E system is vital in achieving high levels of performance in the organisation, especially DoHS in KZN. Qualitative data revealed that, for the M&E system to be successful in the public sector, the changes in strategies need to be employed so that service delivery and good governance can be achieved.

5.10 Chapter Summary

This chapter explained and presented the qualitative data collected for the study. The chapter further analysed and discussed data presented. The literature presented in chapter two was interrogated to analyse data. Finally, the triangulation of data enabled the researcher to draw findings, conclusions, and recommendations which are presented in the last chapter.
6.1 Chapter Introduction

Chapter 6 presents the recapitulation of the research objectives and research questions, a summary of dissertation, summary of findings and conclusion. The findings and conclusions are presented and discussed against the study objectives envisioned at the beginning of the research. Subsequently, the chapter presents the theoretical propositions as a new contribution to the field of knowledge, the significance of the study, and the recommendation submitted by the study. The chapter finally identifies areas for possible future research before dissertations is concluded.

6.2 Recapitulation of Research Questions and Objectives

Based on the preliminary review of literature, the lack of the implementation of the M&E system, and the lack of adequate use of the M&E system in the department, constituted the research problem and the main reason for the underlying of this study. This informed the research objectives and research questions of the study. These were presented in chapter one. Table 6-1 presents the recapitulation of the research objectives and research questions.
Table 6-1: Research objectives and research questions

<table>
<thead>
<tr>
<th>Research Objectives</th>
<th>Research Questions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. To determine whether the M&amp;E system has been implemented in order to improve good governance and service delivery in the DoHS in KwaZulu-Natal.</td>
<td>1. How can the M&amp;E system be implemented in order to improve good governance and service delivery in the DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>2. To understand the level of M&amp;E system compliance within DoHS in KwaZulu-Natal.</td>
<td>2. What is the level of understanding of the M&amp;E system compliance within DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>3. To determine the level in which M&amp;E system assists in improving good governance</td>
<td>3. How can M&amp;E system assist in improving compliance in the DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>4. To identify whether there is an impact after the introduction of M&amp;E system in the DoHS in KwaZulu-Natal.</td>
<td>4. Is there any impact after the introduction of the M&amp;E system in the DoHS in KwaZulu-Natal?</td>
</tr>
<tr>
<td>5. To examine ways of improving the application of M&amp;E system in the DoHS in KwaZulu-Natal.</td>
<td>5. What ways can be adopted to improve M&amp;E system in the DoHS in KwaZulu-Natal?</td>
</tr>
</tbody>
</table>

The ensuing section of the chapter presents a summary of each of the chapters of the study.

6.3 Summary of the Chapters

This section will indicate the outcome of each chapter relative to research objectives and research questions depicted in Table 6-1.

**Chapter One**: This chapter offered an outline and the overview of the study. It highlighted that the implementation of the M&E system in the public sector is the fundamental factor in improving service delivery and most importantly good governance. As its research problem statement, this chapter further argued that, despite the need for the government department to introduce and implement the M&E system in the public sector, it appears less likely to be implemented by the government departments in a short term. Through research objective one and research question one, chapter one of the study aimed to assist in setting out the foundations for better implementation of the M&E system in the public sector especially in the province of KZN. Furthermore, through research objective four and research question four, the chapter further aimed to identify whether the implementation of the M&E system in the DoHS in KZN will bring change in the monitoring and evaluation of the milestones for programmes. Lastly, this chapter also
presented the research design and methods adopted to achieve the research objectives and answer the research questions. The research design and methods of the study are further elaborated in details in chapter four of the study.

**Chapter Two:** this chapter presented a conceptual overview of the M&E system. Furthermore, the significance and the role of the M&E system were presented. The relationship between the M&E system and the officials in the department for better implementation of the system was presented. The chapter also highlighted the need to improve the understanding and implementation of the M&E system in the public sector in order to achieve service delivery and good governance for the department.

**Chapter Three:** In chapter three, the ToC which underpinned the study was presented. Furthermore, the relationship between ToC regarding its contribution to budgeting, decision-making, and strategic planning, especially in the public sector was established and elaborated in this chapter. The final analysis of the chapter provided perspective on the role of the ToC.

**Chapter Four:** this chapter presented the purpose of the study, research objectives and research questions, research strategy and research design, as well as methods used to collect primary data. In order to achieve and answer the research objectives and research questions, a single case research strategy was adopted.

**Chapter Five:** the primary data collected for the study was presented, analysed, and discussed in chapter five. The literature presented in chapter two was interrogated to analyse data. Through case unit analysis, the triangulation data enabled the researcher to draw findings and conclusions which are presented in the last chapter.

**Chapter Six:** This last chapter mainly delineates the research findings and conclusions of the study. In terms of the new knowledge, a development strategy regarding the implementation of the M&E in the public sector was adopted. The study is concluded by recommendations for better alignment between the strategies used and the implementation of the M&E system in the public.
6.4 The Main Research Findings and Conclusions

The depth of the literature review, and the qualitative data collected for this study present the need to expedite the process of implementing the M&E system in the DoHS in KZN. This need further presents the entire public sector with the new challenge of repositioning the M&E system at the centre of development needs and enhanced good governance. Linked to the purpose and significance of the study, the M&E system implementation in the South African public sector, cannot be over emphasised. The prevailing M&E implementation challenges within DoHS in the KZN province present the opportunity to adopt a new approach which will strengthen the implementation of the M&E system, not only in the participating Department, but also in the entire South African public sector.

The following section of the chapter presents research findings drawn from the study investigation. The research findings are presented according to the research objectives and research questions envisioned at the beginning of the research study. For each of the findings, specific conclusions are derived, which will thereafter inform the overarching recommendations of the study.

6.4.1 Research Objective One and Research Question One

- **Research Objective One**: To determine whether the M&E system has been implemented in order to improve good governance in the DoHS in KwaZulu-Natal.
- **Research Question One**: How can the M&E system be implemented in order to improve good governance in the DoHS in KwaZulu-Natal?

6.4.1.1 Findings: Provision of Information Sessions

The findings from the qualitative data presented in chapter five reveal that, while there are systems that are in place in the department to drive processes forward, the dissemination of information within the department is a great concern. More intervention is needed in order to improve the information flow within the department.
6.4.1.2 Conclusion

The lack of information flow signifies the need for information sessions and/or workshops within the department. The proposed information sessions and/or workshops will promote employee awareness about the M&E system and its contribution in the department.

6.4.2 Research Objective Two and Research Question Two

- **Research Objective Two**: To understand the level of the M&E system compliance within the DoHS in KwaZulu-Natal.
- **Research Question Two**: What is the level of understanding of the M&E system compliance within the DoHS in KwaZulu-Natal?

6.4.2.1 Findings: The M&E and programmes

- The need to improve the implementation of the M&E system in the South African public sector cannot be over emphasised. In the DoHS in KZN, although there are identified achievements resulting from the use of the M&E system, some employees in the department still do not see the benefit of using the M&E system. For example, business units that are not in the core of the departments like Finance, Subsidy Administration and General Administration, and Auxiliary Services, do not see M&E programmes as beneficial to them. Second, M&E and its programmes are not translated into positive results for these business units.

6.4.2.2 Conclusion

As noted above, currently, some employees do not see the benefit of using the M&E system. As such, the need to improve the implementation of the M&E system suggests that the M&E system within South African public sector needs more attention.

6.4.3 Research Objective Three and Research Question Three

- **Research Objective Three**: To determine the level at which the M&E system assists in improving good governance in the DoHS in KwaZulu-Natal.
• **Research Question Three**: How can the M&E system assist in improving good governance in the DoHS in KwaZulu-Natal?

### 6.4.3.1 Findings: Institutionalisation of the M&E system

Currently, the state of the M&E system suggests that it must be used by the entire government departments within the public sector. The study revealed that although there is an M&E unit within the DoHS in KZN, M&E units do not fully function as it should. The lack of control mechanism is contributory factor in terms of units not performing well. In order to yield positive results, M&E units must ensure that performance in these business units is improved by applying proper control mechanisms.

### 6.4.3.2 Conclusion

The current position regarding the implementation of the M&E system as identified in KZN confirms the need to institutionalise the M&E system (Harvey 2012:12). Hogwood (2016:21) further asserts that institutionalisation of the M&E system is a multi-faceted and fluid phenomenon; it may be expressed in the creation or change of decision-making structures, formal or informal conventions, and modes of communication between decision-makers and stakeholders. Thus, it can be concluded that the implementation of the M&E system can advance effective and efficient management structures required to manage and deliver government programmes.

### 6.4.4 Research Objective Four and Research Question Four

- **Research Objective four**: To identify whether there has been an impact after the introduction of the M&E system in the DoHS in KZN.
- **Research Question four**: Is there any impact after the introduction of the M&E system within the DoHS in KZN?

### 6.4.4.1 Findings: Effective Management Strategy

- Findings from the qualitative data for the study reveal that, while there is an expressed need for the M&E system in the DoHS in KZN, the inadequacy of the
management strategy for the system hampers its effectiveness. This includes the lack of direction and the guidance, thus rendering the system’s ineffectiveness.

6.4.4.2 Conclusion

- From the finding above, it can be deduced that there is an urgent need for new M&E management strategies so that the system can advance service delivery and good governance.

6.4.5 Research Objective Five and Research Question Five

- **Research Objective five**: To examine ways of improving the application of the M&E system in the DoHS in KZN.
- **Research Question five**: How can the challenges be addressed in order to improve good governance and service delivery in KZN?

6.4.5.1 Findings: Reporting processes

Qualitative data for the study reveal that lack of effective and efficient reporting systems affect the manner in which the information is processed. The research further revealed that there is a need to further strengthen the reporting processes as part of the M&E system.

6.4.5.2 Conclusion

The M&E system in the twenty-first century should be able to address issues relating to development and implementation of the M&E system in the entire public sector. In the development context, the implementation of M&E system must be seen a crucial feature in advancing the understanding of the monitoring and evaluation of development targets in the public sector. As such, it may be concluded that, having an efficient and effective reporting process can have a positive impact in improving the reporting system in the public sector.
6.5 Significance of the Study to the body of Knowledge of the M&E system

Equator Network Resource Center (2016:25) asserts that the researcher's purpose is to foresee future problems through pursuit of truth as a "global center of excellence for intellectual creativity", to respond to current social demands, and to contribute to the creation and development of scientific technologies with the aim of realising an affluent society and natural environment for humanity. To this end, researchers must gauge the knowledge and practices or conduct an ongoing research. Such research must answer certain questions such as “Does the study add any value towards knowledge; improve practice, or assist in generating more research. For this particular study and as contribution to the body of knowledge of the M&E system, the findings from the qualitative data highlighted the need for a change from the traditional approach to a more modern approach of implementing the M&E system. In that way, the study advocates a management driven approach in order to assist in the improvement of the M&E system. In relation to this, the next section provides the overarching recommendations of the study.

6.6 Overarching Recommendations of the Dissertation

The following are the recommendations of the study.

6.6.1 Recommendation One

Development of Planning Guidelines (DPG): with the inadequate planning regarding the programmes in the development of the guidelines, the issue of concern is how to respond to the challenge of development in order eliminate social ills in the South African public sector. With such a question in mind, the study recommends a strategy that will assist in ensuring that guidelines are set for the implementation of the M&E system in the public sector. Such a strategy will constantly assess the strengths and weaknesses of the M&E, thus its impact in terms of addressing and achieving the envisaged institutional strategic targets.
6.6.2 Recommendation Two

Adoption of a Comprehensive M&E programmes (CM&EP): the programmes regarding the need for the adoption of the comprehensive plan should be a given a first preference. Such programmes will entail setting up the designing of the M&E programme that will take into account the stakeholders like communities, government departments and the municipalities. Furthermore, these programmes should continually provide the support to the institution regarding the measurements of targets.

6.6.3 Recommendation Three

Mobilisation of the Supporting Structures (MSSM&E) for M&E system: the lack in the development of an effective and efficient supporting structure towards the M&E system in the South African public sector is a cause for concern. This therefore requires proper strategies to be devised in order to ensure that when policies dealing with the M&E system are devised, they should enhance development and contribute towards improving and building a stronger public sector. The mobilisation in developing supporting structures should not ignore the contribution of the other sectors like the academic institutions, private sector, and other key stakeholders.

6.6.4 Recommendation Four

Development of the Working Tool for the M&E system (DWTM&E): the urgency in developing the working tool that will be used throughout the South African public sector to measure performance cannot be over emphasised. There have been some successes in terms of developing the working tool by DPME, however, there are enormous gaps experienced in the implementation of the system in the province, especially in KZN. Emanating from such shortfall, the study recommends the development of the working tool that will adequately address development challenges in the public sector in the twenty-first century and beyond.
6.6.5 Recommendation Five

Improving in the communication strategy (ICS): Communication is one of an important instruments used in any productive working environment. Therefore, the study recommends the development of the communication strategy that will assist employees to better understand the M&E processes and the implementation thereof in the public sector. The proposed communication strategy will, in the main, emphasise the efficiency, effectiveness, and transparency when dealing with M&E related matters and processes in order to realise the twenty-first century development agenda.

6.7 Study Limitation

In summary and as earlier noted, this study specifically targeted the government officials from the DoHS in KwaZulu-Natal only. Study participants were drawn from the department’s officials responsible for implementation of the M&E system including officials from the project management, communication, subsidy administration, and property management.

The researcher encountered a number of challenges which impacted on the progress of the study. First, this included lack of funding. The researcher relied on his personal limited funds to conduct the entire study. Second, the researcher is working full time and had other competing responsibilities and engagements. As such, the researcher had to apply for study leave and vacation leave in order to complete the study. Finally, late securing of the gatekeepers’ letter from the participating department affected the final completion of the study.

6.8 Future research

Undertaking this research has opened many avenues for future research initiatives on the subject. These future research initiatives are presented below:

- While there was a general agreement that the M&E system in DoHS in KZN is in place, however, the implementation of the system remains in question. Therefore,
there is need for future research to assess the implementation of the M&E system in other government institutions with wider participants across the country.

- Upon and following visible improvements on the implementation as an ongoing process in the public sector, researchers should continually engage in inquiries to gauge the extent to which the implementation of the M&E system contributes to sustainable impact of the public sector.

6.9 Summary Chapter

This final chapter of the dissertation first presented the recapitulation of the research objectives and research questions. The chapter further outlined the findings and the deductions from each of the research findings. Linked to the findings and deductions drawn, the chapter outlined overarching research recommendations. Thereafter, the significance of the findings to the body of the M&E system was highlighted in the chapter. Finally, the chapter presented the limitations of the study and the possible areas for future research.
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Dear Respondent

I, Musawenkosi Mbuso Dube a Master of Public Administration student, at the School of Management, IT & Governance, of the University of KwaZulu- Natal. You are invited to participate in a research project entitled:


The aim of this study is to:

- To understand the level of M&E system compliance within DoHS
- To determine the level of in which M&E system can assist in improving good governance
- To identify whether is there an impact after the introduction of M&E system in the DoHS
- To examine ways of improving application of M&E system in the DoHS.

Through your participation, I hope to understand how the M&E system is applied by the Dhows in enhancing good governance and improve service delivery. The results of the survey are intended to contribute to the improvement of good governance and the service delivery within the DoHS.
Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequences. There will be no monetary gain from participating in this survey. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, IT & Governance, and UKZN.

If you have any questions or concerns about completing the interview or about participating in this study, you may contact me or my supervisor at the numbers listed above.

The interview process will take about an hour to complete.

Sincerely

Investigator’s signature__________________________   Date________________
CONSENT

I __________________________ (full names of participant) hereby confirm that I understand the contents of this document and the nature of the research project, and I consent to participating in the research project.

I understand that I am at liberty to withdraw from the project at any time, should I so desire.

I hereby consent /do not consent to have this interview recorded.

☐ I agree to audio recording of the interview
☐ I do not agree to recording of the interview

______________________________  ______________________
SIGNATURE OF PARTICIPANT  DATE
APPENDIX 2

1. What is your role in the current portfolio within your institution?

2. How long have you been in this portfolio?

3. What is your understanding regarding the application of the M&E system within the department?

SECTION C: COMPLIANCE TO THE M&E SYSTEM

4. What is your view regarding the adherence of the M&E system by the business unit within the department?

5. In terms of reports received from M&E unit, how can you rate the level of adherence of M&E system by the business unit?

7. To what extent does M&E system assist business unit in improving the application of the M&E system within the department?

8. What has been the level of M&E system compliance by the business unit within the department?

9. In line with the national standards set by the Department of Performance Monitoring and Evaluation, to what extent do you think the guidelines are being applied by business unit in order to achieve the objectives of the department?

10. From your own assessment, what has been the impact of the M&E system towards improving compliance?

11. Can you explain the state of readiness by the business unit when applying the M&E guidelines within the department?

SECTION D: IMPROVEMENT OF GOOD GOVERNANCE

12. To what extent has M&E system assisted business unit in improving good governance within the department?

13. Can you briefly explain the changes that have been introduced after the introduction of the M&E system within the department?

SECTION E: CHALLENGES

14. What do you think are the main challenges relating to the implementation M&E system within the business unit?

15. How can these challenges be addressed in order to improve good governance and service delivery within the Department of Human Settlements?
17 June 2015

Mr Muswenkos Mbeza Dube 210554847
School of Management, IT and Governance
Westville Campus

Dear Mr Dube

Protocol reference number: HSS/0677/015M
Project title: Remodeling monitoring and evaluation system for enhanced service delivery in KwaZulu-Natal Department of Human Settlements

Full Approval – Expedited Application

In response to your application received on 8 June 2015, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol have been granted FULL APPROVAL.

Any alteration/s to the approved research protocol i.e. Questionnaire/interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number.

PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 5 years.

The ethical clearance certificate is only valid for a period of 3 years from the date of issue. Thereafter Recertification must be applied for on an annual basis.

I take this opportunity of wishing you everything of the best with your study.

Yours faithfully,

Dr Sharmila Naidoo
On behalf of Dr Sheenuka Singh (Chair)
Humanities & Social Sciences Research Ethics Committee

/p/s

Cc Supervisor: Mr BR Owube
Cc Academic Leader Research: Professor Brian McArthur
Cc School Administrator: Ms Angela Pooe