UNIVERSITY OF KWAZULU-NATAL

INYUVESI YAKWAZULU-NATALI

EXPLORING THE IMPLEMENTATION OF THE MONITORING AND EVALUATION SYSTEM IN LOCAL GOVERNMENT: A CASE STUDY OF ETHEKWINI MUNICIPALITY.

by

Phindile Cenderela Nonyane
9304767

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Supervisor: Dr Sybert Mutereko

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DECLARATION

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LIST OF ACRONYMS AND ABBREVIATIONS

ANC African National Congress

BEE Black Economic Empowerment

COGTA Cooperative Governance Traditional Affairs

CREAM Clear Relevant Economic Accurate 'Monitorable'

DCM Deputy City Manager

DEDT Department of Economic Development and Tourism

DLGTA Department of Local Government Traditional Affairs

DPLG Department Provincial Local Government

DPME Department Planning Monitoring and Evaluation

DPSA Department of Public Service and Administration

EXCO Executive Committee

GG Good Governance

GWM&E Government-Wide Monitoring and Evaluation

HIPC Highly Indebted Poor Countries

IDP Integrated Development Plan

IPP Individual Performance Plan

KPI Key Performance Indicator

KZN KwaZulu Natal

LG Local Government

M&E Monitoring and Evaluation

MBS Modified Budget System

MFMA Municipal Financial Management Act

MSA Municipal Systems Act

MTA Mid-Term Amendments

NDP National Development Plan

NKPA National Key Performance Area

NPC National Planning Commission

NPM New Public Management

NPRS National Poverty Reduction Strategy

OECD Organisation for Economic Cooperation and Development

OPA	Old Public Administration
PEAP	Poverty Eradication Action Plan
PM&E	Performance Monitoring and Evaluation
PPBS	Programme Performance Budget System
PSC	Public Service Commission
QA	Quality Assurance
RSA	Republic of South Africa
SA	South Africa
SAMEA	South African Monitoring and Evaluation Association
SDBIP	Service Delivery Budget Implementation
SFA	Strategic Focus Area
SMART	Specific, Measurable, Attainable, Realistic, and Time-bound
ToC	Theory of Change
UK	United Kingdom
UMFEPD	Ugandan Ministry of Finance Economic Planning Development
UNDP	United Nation Development Programme
USA	United States of America
USAID	United States Agency International Development

ABSTRACT

Monitoring and Evaluation (M&E) can play an important role in addressing issues of non-performance in Local Government and assist municipalities to strengthen good governance by ensuring effective accountability and responsibility of officials. There is a growing body of literature that recognises M&E as an effective tool to improve the quality of programmes and project planning. It also serves as an early warning indicator for management. Researchers have not used M&E much for Local Government studies possibly because there has been a struggle with Local Government to implement the M&E system. Although all government departments have included M&E in their processes, there is still a challenge of ensuring effectiveness of the M&E system. The purpose of this study is to explore the implementation of M&E in Local Government, with the specific objective of determining the efficacy of the system in place. Information for this research was gathered using the mixed method approach. Both the qualitative and the quantitative methods of data collection were used in this investigation. This involved the use of a survey questionnaire, in-depth interviews and document reviews in order to obtain the views of the eThekwini Municipal employees on the application of the M&E system and its effectiveness. The study found that after analysis of the results of the survey questionnaire and interviews, there were gaps in the implementation of the M&E system, whilst document reviews established that policies in place are not reviewed and are mostly implemented as drafts. Opinions differed as to whether the M&E system of eThekwini Municipality was effective or not. This view was of concern to respondents judging from the number of service delivery protest at eThekwini and the clean Audit reports the Municipality keeps receiving. There was no proof that the existing M&E at eThekwini Municipality has an influence on the performance of the Municipality. Overall, this study strengthens the idea that the existing monitoring system at eThekwini should be enhanced. Ethekwini Municipality needs to establish an evaluation system that is in compliance with the Government–wide Monitoring and Evaluation (GWM&E) system This dissertation will attempt to provide a deeper insight into the implementation of the evaluation system using the Theory of Change (ToC) and the Logical framework. There are significant alterations to be made to Local Government practise before a full M&E system according to the GWM&E framework can be put in place.

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CHAPTER ONE: OVERVIEW OF THE STUDY

Introduction

Stemming from the *Strategic Plan of 2007 by the National Government (NG)*, the *Department of Planning Monitoring and Evaluation (2015)* mandated the provincial office of *Cooperative Governance and Traditional Affairs (CoGTA)* to coordinate and support Local Government (LG) on the key focus areas of Monitoring and Evaluation (M&E). COGTA (2012) stated that Monitoring and Evaluation are strategic approaches to management that equips employers, employees and related investors of the organisation at various levels to plan regularly, monitor continuously, and periodically measure its performance using a set of tools and techniques. CoGTA's role in LG is to support municipalities to achieve regional efficiencies and economies of scale which are set to facilitate appropriate planning and service delivery *(Department of Provincial and Local Government,* 2004). The task of the municipalities is therefore, to bring Government to the grass root levels, to involve citizens in the political process and to promote Government accountability.

The purpose of this study was to analyse the efficacy of the M&E system in the eThekwini Municipality. The research questions were founded on the nature of M&E in the eThekwini Municipality, on determining if the eThekwini Municipality conducts evaluations of its policy programmes and projects, and on whether the existing M&E system is effective or not. The subject matter for this study is important because it involves a requirement in the *Constitution* to deliver services for the fulfilment of human rights. A survey questionnaire was issued to a selected number of eThekwini Municipal officials who were requested to complete the questionnaire. One-on-one interviews were conducted, an exploration of current policies that govern M&E was conducted. The appropriate implementation of M&E would allow LG to determine the impact of its service delivery. Upon collecting data, using the mixed method approach, questionnaires were checked for completion and data obtained was captured on the computer using a Statistics Package for Social Science (SPSS) software. Information gathered from interviews was interpreted by identifying findings and lessons learned.

1.1 Background of the Study

In 2005, the SA cabinet agreed on an endorsement from the President's office regarding the implementation strategy to improve an M&E system, which would utilise early warning indicators of Government functions and operations. Throughout the initial stages of developing the M&E system, the initiative lost momentum and languished for about 2 years (Thornhill, 2011). As noted by Maloba (2015b), the focus on M&E implementation shifted to defining roles and responsibilities. The shift hampered service delivery, which resulted in public protests over lack of basic service delivery. This became an entrenched part of social behaviour at a time when the presiding Government under the leadership of the African National Congress (ANC) was celebrating its 10 years of democracy (*SAHO*, undated). Abrahams (2015a) alludes to the fact that President J Zuma responded to the citizen's outcry, which was characterised by public protests over failure to deliver basic services after fifteen years of democracy. This view is supported by Friedman (2016: 3) who stated that the President's response was the establishment of a Performance Monitoring and Evaluation (PME) Department which initiated a structure to monitor and advance on government's performance, by measuring routine targets and goals to determine accountability and efficiency in service delivery.

Upon receiving the mandate, municipalities developed their specific M&E Departments which only focused on monitoring (Alexander and Kane-Berman, 2014). The eThekwini Municipality also established its own M&E systems which seek to promote efficiency, effectiveness and an economical way of providing services to its citizens *(eThekwini Municipality PME, 2008)*. EThekwini Municipality is a metropolitan municipality constituted to have an exclusive authority over its jurisdiction to ensure accountability and to provide exclusive service delivery to the citizens of SA. The population of eThekwini Municipality in KwaZulu-Natal (KZN) is 33.7 per cent and 6.6 per cent of SA's total population *(eThekwini Municipality, 2015: 7)*. With a growth in population and slow service delivery combined with maladministration and corruption, the eThekwini Municipality complied with the NG directive and set out an M&E system with five-year targets aligned to the individual performance plans, which are measured annually. The five-year targets lead to the period of office of councillors and plan representatives in the Integrated Development Plan (IDP) *(eThekwini Municipality PME, 2008: 12)*. The PME systems used in eThekwini Municipality seek to ensure efficiency, effectiveness and an economical way of service delivery. Based on the strategic plan of the Municipality, the M&E system at eThekwini seeks to identify obstructions so as to monitor upcoming developments and ensure improved responsibility *(eThekwini Municipality PME, 2013: 15)*.

1.2 Problem Statement

Monitoring and evaluation should serve as an instrument to support municipalities in facilitating and promoting the effectiveness and efficiency of its services by monitoring its projects, policies and programmes and to monitor the impact on services delivered (Motingoe, 2012). Based on the *Constitution of the Republic of South Africa*, the *Municipal Systems Act 32 (2000: Section 11 (13)* a municipality must create a performance management system in order to measure its jurisdictive authority by monitoring and evaluating the impact and efficiency of any service rendered, policies and programmes. In this process, M&E should involve evaluation of its Human Resources (HR) and their impact on its programmes and projects. The role of M&E is extremely important because it gives a municipality the ability to detect early warning indicators and to determine the efficacy of its systems (Naidoo, 2011).

Unfortunately, the M&E system at eThekwini Municipality is characterised by a lack of a municipal evaluation system. More focus is placed on the evaluation of individual performances (Buthelezi, 2016). This is due to lack of professional skills by municipal officials, political interference in HR services and in the procurements systems, lack of accountability and responsibility by municipal officials, periodic elections which lead to a change in operations, lack of a budget to conduct evaluations, lack of suitable teams to conduct evaluations to determine the impact on implemented projects and lack of political will to support the M&E process. As a result, the municipality cannot determine the efficiency of the system in place, which leads to public service delivery protests. However, much of the research on the M&E in Local Government up to now has been descriptive in nature and this fails to address the impact evaluations have on policy programmes and projects. Surprisingly, impact evaluation has not been closely examined particularly in eThekwini municipality. As a result, there is little knowledge about the efficiency and effectiveness of M&E; and there is no clarity on what factors lead to lack of service delivery.

This study sought to investigate the implementation of the Monitoring and Evaluation systems in Local Government using eThekwini Municipality as a case study.

1.3 Research Questions and Objectives

Research Questions

1. How does the eThekwini Municipality implement its M&E system?
2. How effective is the monitoring and evaluation system of eThekwini Municipality?
3. What factors affect the implementation of M&E at the eThekwini Municipality?
4. How does M&E system contribute towards enhancing good governance at eThekwini Municipality?

Research Objectives

1. To determine how eThekwini Municipality is implementing its existing monitoring and evaluation system;
2. To determine the efficacy of M&E in the eThekwini Municipality;
3. To establish the factors that influence the eThekwini Municipality's monitoring and evaluation system; and
4. To analyse the contribution of M&E towards enhancing good governance.

1.4 Significance of the study

This will hopefully assist LG to develop and implement an evaluation system that is lacking in most municipalities. This study should aid the municipalities to identify weaknesses in their operations and it should allow the Municipality leeway to determine the impact of the service they provide to their citizens. In that way, eThekwini Municipality will be able to assess the effectives of its systems, which are used to assess the performance of the organisation and that of its employees. Furthermore, this study will provide eThekwini Municipality with an idea of the systems it needs so that it can cut adrift from those systems that are identified as redundant and not useful for its operations. The Municipality can then salvage those that are useful by identifying them by using the three theories employed in this dissertation.

1.5 Justification of the study

The research questions show gaps in the M&E systems employed in the eThekwini Municipality, which prompted this research. This research will approach selected representatives of the population of eThekwini Municipality in order to gather the necessary data. Due to gaps in the evaluation of projects, this research has also detected non-attainment

of particular service delivery KPI and clean audits with fruitless spending (Christensen et al., 2014). EThekwini has received accolades as the best metropolitan municipality in the country yet anomalies exist, stemming from the literature reviewed in this research that will examine and analyse the application of plans, which are of note and draw up recommendations that should help the Municipality to develop and implement evaluations.

1.6 Limitations of the study

Limitations of this research may involve the availability of participants. James and Murnan (2013) observed that participants may feel that information they disclosed from their participating Units could be compromised, resulting in them withholding information which may have been useful for the research. The research had a sample of eighty participants to complete and return survey questionnaires and had scheduled fifteen interviews. However due to the nature of the research questions, some participants felt that the information required in response to the questions is sensitive in that it might compromise the integrity of their work units. Other participants cancelled appointments at the last minute. As a result, only fifty-one survey questionnaires were returned and eight interviews were conducted.

1.7 Definition of key terms

Monitoring: is a process that provides managers and decision-makers with regular feedback on progress and an early warning indicator that needs to be corrected. Monitoring includes data collection, analysis and the provision of feedback on its inputs, activities, outputs, outcomes and impacts in order to support effective management. Monitoring reports on actual performance against what was initially planned and on what was expected (*The Presidency,* 2007: 18).

Evaluation: is an organised unbiased valuation of a completed or ongoing project, programme or policy comprising the proposal, application and outcomes. The purpose is to determine the significance, accomplishment, efficiency, effectiveness and impact of the project. An evaluation provides information that is useful and which allows room for a combination of lessons to be learned in the decision-making processes of the stakeholders and beneficiaries (Department of Public Service and Administration, 2011: 23).

Monitoring and Evaluation system: is a set of organisational arrangements, management procedures, principles, strategies, plans, indicators, information systems, reporting lines, responsibilities and accountability measures that allow Government Departments and their sub-divisions to carry out their M&E functions efficiently and effectively. These also include organisational values and other empowering factors which will determine whether or not the report from the M&E function impacts positively or negatively on the organisation's decision-making processes and on their record of service delivery (Engela and Ajam, 2010: 13).

Key performance indicator (KPI): is a quantifiable measure which shows where the performance achievement is in relation to the target set. The indicators are used by the municipality and its entity to assess the success in meeting the objectives of the organisation. KPIs are determined in respect of each development priority (Greÿling, 2015: 27).

Key performance Areas (KPAs): are common areas within the organisation that a specific Municipal Department is logically responsible for in terms of the outcomes or outputs of the organisation (Greÿling, 2015: 27).

ToC: is described as an evaluation tool for testing an outcome-based project or programme. ToC is working backwards. It helps map the steps to achieve a goal and to determine whether or not work contributes towards achieving the desired impact (Weiss, 1997: 22).

Logic Framework: is a framework for relating the associations between investments, activities and outcomes, and it make available a mutual method for incorporating planning, implementation, evaluation and reporting (Myrick, 2013: 11).

Impact evaluation: is a tool used in assessing the changes that are attributed to a particular "intervention of intended or unintended project, programme or policy (Chikane, 2014: 28)"

EThekwini Municipality: is a metropolitan municipality in the SA province of KZN. Ethekwini is the biggest city popularly known as Durban, it is the third largest city in the country with over 3 442 398 people. It is popularly branded as Africa's best administered, busiest port and a major junction for tourist due to its warm beaches and climate (e*Thekwini Municipality, 2015: 3)*.

Local Government: is a directorial body of a particular geographic area where councils are elected by those living in that area. A Local Government has control over its specific

geographical region. It can pass taxes and regulations that a National Government would do only on a smaller scale. It cannot enforce laws that will affect a wider area.

Officials: are people or employees contracted to hold public office as representatives of an organisation.

Service Delivery Budget Implementation Plan (SDBIP): This is a management and implementation tool, which collates in-year statistics, such as quarterly service delivery targets, and aligns each service delivery output to the budget of the municipality. This link provides a sound detailed plan of how the municipality will deliver such services and how financial resources will be used (eThekwini Municipality, 2015).

Service delivery protests: is a series of demonstration by the public related to poor service delivery against incompetent municipalities. Most South African protests are often violent in nature.

1.8 The structure of the dissertation

The study consists of six chapters. Chapter 1 presents an introduction to the study and describes the background, problem statement, research questions, objectives, and chapter layout. Chapter 2 conceptualises the Performance Monitoring and Evaluation and discusses the existing literature. This chapter also discusses the theoretical frameworks underpinning the study, which are the *Old Public Administration theory*, *The New Public Management theory* and the *Systems Theory*. Chapter 3 describes the eThekwini Municipality and the South African context of Monitoring and Evaluation. The chapter discusses the relevant legislation covering the implementation of Monitoring and Evaluation in Local Government. It also highlights the issues involved. Chapter 4 discusses the research methodology used in the study. The chapter describes the research design, sampling methods and data collection methods to be employed during the study. The chapter concludes by affirming the ethical considerations that will be taken account of when conducting such a study. Chapter 5 contains the analysis and the interpretation of collated data of the study, using graphs and tables. The final chapter of this study is chapter 6, which provides a summary, recommendations, and the conclusion of the study. The recommendations of this study should be able to assist eThekwini Municipality to re-assess its existing monitoring system and to implement an enhanced monitoring system as

prescribed in the GWM&E framework. EThekwini Municipality can use this study to create an evaluation system through which it should be able to determine the impact of the system on service delivery. This chapter could also assist CoGTA to institute a more simplified evaluation system with an application of the Theory of Change, which all municipalities can apply.

1.9 Chapter Summary

The aim of this chapter was to recall the history of M&E as a necessity in a country like SA. Stemming from the problem statement, this chapter highlighted the problems experienced in local government regarding non-compliance with legislation and lack of accountability by local government officials that leads to poor services delivered to the citizens of the country. The literature reviewed reveals that there is a lack of evaluation as a result of the non-implementation of the full M&E system. Most SA municipalities both district and metro municipalities have successfully implemented the Monitoring system but disregarded the evaluation system which is as important and essential for the operation. Without evaluation, the government will not be able to determine the efficacy of the systems in place. The limitation involved is lack of capacity and professionally skilled employees to carry out the evaluations. There is a lack of skills on how to draw up and carry out evaluation of policy projects and programmes. An intensive training to up-skill staff in this regard could remedy the situation. SA has an association called SAMEA, which was set up to train people on M&E through workshops and conferences. More intense training, like scholarships for M&E staff members, is an urgent requirement, which could lead to M&E practitioners being able to detect lack of accountability by officials, to recognise when there is political interference and to take the necessary steps to avoid this.

CHAPTER TWO: CONCEPTUALISING PERFROMANCE MONITORING AND EVALUATION

Introduction

The first step in understanding the research problem is to recognise that there is no full implementation of the M&E system in Local government, as it is characterised by lack of evaluation. As a result, the municipalities cannot determine the efficacy of the systems in place. Impact evaluations have not been closely examined particularly in the eThekwini Municipality that is unable to determine efficiency and effectiveness of the M&E system in Local government and consequently unable to understand the reason why there are still service delivery protests. This chapter will examine the existing M&E system at eThekwini Municipality and present the Theory of Change tool and the Logical Framework, which are thinking tools, or mind maps, which helps to expresses how outcomes can be attained. This is crucial in implementing the impact evaluation system in order to determine the effectiveness of the systems in place. This chapter will begin by conceptualising M&E. It will then move to the purpose of M&E in Local government. This chapter will then present the experience of M&E in the South African context and the International experience to see how these were applied. This chapter explains the application of the ToC and the Logical Framework arguing the significance of utilisation of the two theories and their importance. Lastly, the chapter explains why both these theories are relevant for this study.

2.1 Monitoring and Evaluation

The existing body of research on performance monitoring and evaluation indicates that there are marked differences in the way researchers understand and conceptualise M&E. Studies over the past decade have provided varying notions on what M&E is. M&E is often not well understood and not well executed. Most institutions claim to have implemented a M&E system whereas in fact the evaluation part of the system is not adhered to (Shapiro, undated: 2). Most government institutions have a M&E system but are unable to determine the efficiency of their service delivery due to this lack of evaluation. In an analysis of measuring results, Kusek and Rist (2004) report that results that are not measured cannot be used to determine if the

institutions are succeeding or failing in delivery of service. In the same vein Blondal (2013) notes in his presentation that if a distinction cannot be drawn between success and failure, then how can success be rewarded and how does one know that they are not rewarding failure? The M&E concept has been split and used separately by most institutions who monitor performance of their organisation and conduct no evaluation of projects or of policy programmes. The monitoring and evaluation terminologies are interdependent and are to be used as such.

There are many dissimilar definitions of monitoring and evaluation, which are used in the literature. As described in the policy on *Government Wide Monitoring and Evaluation* (GWM&E), The *Presidency* (2007) defines monitoring as an ongoing activity that intends to provide executives and key stakeholders with consistent responses and primary warnings regarding lack of progress in the accomplishment of planned outcomes or in the accomplishment of objectives. GWM&E describes evaluation as a time bound application that addresses outcomes and determines the significance and efficiency of the pusuit of a goal and its sustainability. Similarly, Bours (2014) states that organisations require a system to be able to track performance and to determine impact on service delivery. Bours defines monitoring as an ongoing function that intends to provide management and organisational stakeholders with warning indicators where there is lack of performance. It should be able to ensure responsibility and to provide the foundation for valuation. Evaluation is a regular and an objective valuation of a completed project or policy programme and its application with the outcomes aimed at regulating impact and sustainability (Calidoni-Lundberg, Undated). In describing monitoring, Govender and Reddy (2014) define monitoring as a frequent and routine exercise of ensuring effective performance progress of a programme or project to be evaluated. They describe evaluation as a process of analysing results gathered from monitoring or reviewing and from decisions taken to facilitate a programme or project.

Similarly, the *Organisation for Economic Cooperation and Development* (OECD, OECD (2009) as quoted in Nelson (2016) describes monitoring as an ongoing function which utilises an organised method of gathering specified information for indicators to afford management and stakeholders the level of development and accomplishment of objectives allocated with funding. Evaluation is an organised objective valuation of a completed project or programme with the intention to determine significance of efficiency, effectiveness impact of an objective and its sustainability. In the same vein the *United Nations Development Programme (2017)* (UNDP) defines monitoring as an ongoing function that aims to provide management with an

early indication of progress or lack of a programme, project or policy to offer support to an outcome. In contrast with OECD, Bours (2014) and the United Nations Development Programme (2017) describes Evaluations as a selective action that endeavours to measure growth towards an accomplishment of results and not of a completed project/programme. UNDP further argues that evaluation is an activity involving assessment of different factors in response to developing needs for evaluative projects with an effort to achieve an outcome (*United Nations Development Programme,* 2017).

Some writers, for instance, Naidoo (2011: 22) have attempted to conflate the two separate terms by defining M&E as a systematic collection of Data which ranges from accountability and transparency, to organisational learning; depending on the particular purpose of the institution. Similarly, Gopane (2012) found that M&E is an ongoing function that uses a systematic collection to provide stakeholders with an indication of the project progress whereas evaluation is a determination of merit of an assessment of a completed project or programme. Alex (2016: 13) has been able to show M&E as a reliable and efficient form of collecting information during project implementation and progress with the aim of improving the efficiency and effectiveness of projects and policy programmes

 Upon drawing on this concept of M&E, Masuku (2015) has been able to explain the relevance and fulfilment of the system by bringing in the alignment of M&E with the NDP 2030 and compliance with the *Municipal System Act 2000*. The *National Planning Commission (2012)* proclaims that, it is a requirement of National and Provincial Government to warrant Local Government's focus on features of NDP aligned with the municipal essential responsibilities, thus allowing the Municipality's Integrated Development Plan (IDP) procedures to be more effective.

This study is going to use the definition of M&E expressed by GWM&E and defined as an ongoing activity that intends to provide executives and main stakeholders with consistent responses and primary warning indications of lack of progress in the accomplishment of planned outcomes and the accomplishment of goals and objectives. Evaluation is defined as a time-bound implementation that addresses outcomes and determines the significance and efficiency of a goal and its sustainability.

2.2 Purpose of Monitoring and Evaluation

The purpose of monitoring and evaluation must be seen in context of the crisis South African local government is facing regarding demanding service delivery protests caused by inefficient and ineffective systems to determine the impact of service delivery *(National Planning Commission, 2012)*. The formation of the Department of M&E in the presidency was to remedy the difficulties faced in local government, which led to poor governance and lack of evaluation of policy programmes and projects to determine their impact on the delivery of services. According to Dunn (2016) M&E assists an organisation in detecting what is valuable and efficient and what is less valuable and less effective. Dunn further maintains that the M&E system is critical for developing objectives regarding the level at which a programme can be judged based on its success or failure. Most studies in the field of M&E have focused on the purpose of M&E describing it as a systematic tool that provides rigorous evidence for informed decisions taken in commissioned activities that are operative, comprehensive and convenient. Dunn's work on M&E is complemented by Govender and Reddy (2014) who describe the purpose of M&E in LG as a tool that motivates officials by providing them with useful evidence for policy and decision-making. A broader viewpoint on the purpose of M&E was adopted by Motingoe (2012) who states that M&E is a system envisioned to support the process of developing outcomes, this process guides managers towards attaining organisational goals.

It is now well established from a variety of studies that the key function of the M&E system, as expressed by Motingoe (2012), is that it monitors and evaluates the significance of the vision and the mission of the organisational objectives that are being realised at an institutional level. Likewise, Mackay (2007) holds the view that Government objectives in using the M&E system are not solely designed to bring about high-quality evaluation per se. Mackay (2007) argues that the M&E system should reflect as a supply-focused method. The objective of M&E is to accomplish concentrated application of M&E outcomes which occur to warrant the cost-effective system (Mackay, 2007). The M&E system is not solely about actualities, but about developed quality of decision-making. M&E desires to deliver ways to management to distinguish which programme has any apparent impact upon a particular deficiency (Maepa, 2014: 25). Masuku (2015) and Maloba (2015b) are of the opinion that, for the M&E system to function past sheer responsibility and resource provision, a generation of baselines need to be surpassed by venturing into the more challenged territory of clarification (Friedman, 2016: 24). The *Department of Planning Monitoring and Evaluation (2015)* describes M&E as an

instrument set out to reveal how M&E results can be utilised to improve result-based pronouncements and accountability in the community.

Similarly, Bizana et al. (2015) maintains that M&E promotes a culture of learning in an organisation which generates accountability. He further claims that in order to improve the quality of information provided for decision-making, M&E might be used for upholding a practice of acquiring knowledge. His supposition is that the organisation would be more self-reflective when dealing with evaluative information. This is a view supported by Engela and Ajam (2010) who write that accountability and organisational learning results in transformation of an organisation if M&E findings can be used as a learning guide. They assert that M&E provides a societal solution. A broader viewpoint has been adopted by Mbanguzi (2014) who argues that there are dilemmas in M&E, as mentioned above, M&E shares distinctiveness with auditing particularly when it undertakes a responsibility function. He states that the use of M&E is demonstrated in the works of organisational learning processes, in comprehending the policy phase and government decision-making procedures. Mbanguzi's view is supported by Buthelezi (2016) who adds that M&E serves dissimilar determinations every one with different but not equally limited features. She emphasised the roles and responsibilities of M&E representatives; that they need to think further than making reports on M&E and that they should rather consider how they could influence decisions. She argues that M&E officials need to comprehend the political and organisational backgrounds within which they work.

Whilst Naidoo & Maepa focus on accountability and on creating a culture of learning in an organisation, Gopane (2012) is more concerned with setting Key Performance Indicators (KPI) that are results-based in order to monitor the Municipality's performance accordingly and to determine effectiveness of the system to assess performance and to promote compliance. Gopane's concern is supported by the *Public Service Commission (2008: 4)* which emphasises that M&E is about an efficient and effective system of goals that is measurable and outcome-based. Management decision-making in M&E is not meant to replace good management practice but rather to augment and complement the already existing structure by enhancing performance values and ensuring compliance with the legislation *(Public Service Commission*, 2008: 26).

2.3 M&E in a South African context

In 2004, the Republic of South Africa (RSA) instituted a process to design an M&E system across all spheres of government and its departments (Greÿling, 2015: 12). The purpose of the monitoring and evaluation system was to contribute to promoting good governance and to improve on the efficacy of service delivery in the country (Greÿling, 2015: 17). *The RSA constitution (1996) Section 195* mandates all tiers of government to be efficient, effective, accountable and transparent in ensuring the fulfilment of human rights. The essential requirement of all Government institutions is to develop a M&E system to accomplish the constitutional directive (Dlalisa, 2009: 17). The cabinet approved the *Government-Wide Monitoring and Evaluation System (GWM&ES)* in 2005, which the presidency released as a policy framework in 2007. The framework focused on coordinating the stakeholder M&E systems. According to Govender and Reddy (2014), the framework was implemented as a tool of legislation to promote good governance, to report on accountability, to consult on the issue of transparency and to promote efficiency and effectiveness of programmes and projects. The National Evaluation Policy Framework developed along the lines of the GWMES also outlines the M&E plan of the GWMES and timelines (Govender and Reddy, 2014: 7).

Following the 2009 elections, SA was faced with several challenges which included persistent service delivery public protests at municipal level (Cloete, 2009: 9). A study conducted by Maepa (2014) concerning monitoring and evaluation in Gauteng municipalities, found that there are difficulties in coordinating governance and a requirement for PM&E particularly the impact of evaluation. According to Maepa (2014: 11) the three metro municipalities in Gauteng namely, Ekurhuleni, City of Johannesburg and City of Tshwane are the big cities in Gauteng which are densely populated with people migrating into the city to be closer to service delivery. Metropolitan municipalities are afforded large budgets from which they have to design and deliver on big projects to all communities who live in the city and those in urban informal settlements (Maepa, 2014: 16). Maepa adds that there is lack of impact of the facilities delivered to the people of the three cities; in this regard, the municipalities are unable to determine the efficacy of their programmes and projects.

Existing research recognises the vital part played by most government entities in implementing the M&E system. Maloba (2015a) found that the *Department of Economic Development and Tourism (DEDT)* established project from a sub-programme within the KZN DEDT in order to concentrate on the systemic approaches and practices connected to M&E primarily to develop

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tools. The programme was guided by the constitution, the GWM&ES, the Green paper on outcome-based M&E, the National Evaluation Policy and the Public Finance (Maloba, 2015a: 23). The aim of M&E in DEDT was to show-case the examination and the use of result-based monitoring information for management to expand knowledge and outcomes, to adopt a principle of good governance and decision-making and to improve reporting at all levels at an easier and faster pace (Majola, 2014: 6). The DEDT successfully implemented the M&E system collaborating with several departments and project managers (Majola, 2014). The process was geared towards gathering result-based information for decision-making and reliable information which is credible (Majola, 2014: 9). According to Majola (2014), specialist Economists who conduct M&E internally conducts evaluations. Information should be reported on annually and quarterly to ensure that managers of programmes and projects are aware of the status of aspects of these projects. The objectives of evaluation are based on the result-orientated approach of input, output, outcome activity and impact. (Maloba, 2015a).

Although all government departments have included the monitoring and evaluation system in their processes, there are still challenges in local government where there is an absence of an effective M&E system. Mthethwa and Jili (2016) found that at uMfolozi Municipality in Northern KwaZulu-Natal, there is absence of basic services like electricity, water, roads and housing. According to Mthethwa and Jili (2016) uMfolozi is the poorest of the poor municipalities with a youthful population of 71 930. uMfolozi has an urgent need for social amenities and a critical need of a water supply. From their research findings, Mthethwa and Jili (2016) argue that there is a lack of operative M&E generally in Local Government and uMfolozi is trying to deal with this. There is no M&E of programmes and projects, and the municipality does not meet its intended objectives and is unable to determine the efficacy of services they do deliver. The Municipality does not follow up on its implementation processes therefore it cannot determine or realise the impact of its programmes and projects (Mthethwa and Jili, 2016: 108).

2.4 M&E - The International experience.

Government institutions around the world are contending with internal and external burdens for developments in public administration The pressure comes from private sectors, donor organisations parliament and Non-Governmental Organisations (NGO) for them to be

responsive and accountable in developing programmes and projects that ensure efficiency and effectiveness and that are economically viable (*World Bank,* 2017).

Many *Organisations for European Cooperation and Development (OECD)* have result-based M&E systems, which vary in style and operation. Countries like Australia, Canada, and the Netherlands, that are members of OECD have the highest evaluation culture which is driven by strong internal pressures (Kusek and Rist, 2000: 9). These countries have been influential in distributing the evaluation culture to other nation states. Most countries have performance information in their budget documentation. A survey conducted by the OECD (2009) found that a limited number of countries align their performance targets to budgets in order to draw the distinction between outputs and outcomes. In a study of result-based M&E Kusek and Rist (2000) point out that there are challenges of designing and constructing a result-based M&E system in a developing country. An African study by the *World Bank* (2017) found that the key restraints to a successful M&E in developing Sub-Saharan Africa are: lack of global collaboration and coordination, political will slows down progress in socio economic factors and the absence of performance orientation in the public sector rooted in a strong evaluation culture (Senigaglia, 2011: 15).

Many developing countries like Malaysia and Uganda have made progress in introducing M&E regardless of many challenges. Both Malaysia and Uganda have introduced new budgetary processes to make their system transparent, accountable and result-based (Kusek and Rist, 2004). Over and above better public-sector responsibility and an enriched financial system, the Malaysian government initiated a few added changes including: a better financial agreement, quality management, effectiveness in global operations management and nation-wide developmental efforts (Abrahams, 2015a: 37). The Malaysian government has aligned its budget reform with nation-wide building and inclusive competiveness associated with its 2020 vision- a program aimed at making Malaysia a fully developed country by the year 2020 (Najid and Rahman, 2011). Malaysia uses a Modified Budget System (MBS), which highlights outputs and impact of programmes and governmental accomplishments. MBS replaces the *Programme Performance Budgeting System (PPBS)* which only had a minimal link between outputs and Inputs (*World Bank*, 2017).

Uganda has experienced a comprehensive reform and attained macro-economic stabilisation by establishing a *Poverty Eradication Action Plan (PEAP)* responding to a comprehensive

development framework (Lambright, 2011). Uganda is the first country professed to be entitled to benefit from the Highly Indebted Poor Countries (HIPC) methods (Lambright, 2011). Uganda introduced a new measure to allow the budget procedure to be transparent to both internal and external stakeholders, the Ugandan *Ministry of Finance Economic Planning and Development (MFEPD)* introduced output-orientated budgeting which is made more accountable to the public (Manyak and Katono, 2010). The Country is still experiencing problems of comprehending M&E and the *Poverty Eradication Action Plan (PEAP)*, the component of financial monitoring is linked to the inputs, outputs and activities whereas poverty monitoring is built on examining poverty outcomes (Manyak and Katono, 2010). Uganda is tasked with inclining to reducing poverty through the PEAP and *National Poverty Reduction Strategy (NPRS).* In this regard, M&E cannot be remote from decision making that underpins National Development Systems and processes (Hauge, 2001: 11).

One of the detailed examinations of M&E was done by Gopane (2012: 41), he showed that Chile has implemented a remarkable monitoring and evaluation system where the finance ministry ensures proper public sector management. He states that Chile's system is designed and implemented by the finance ministry to use M&E to improve two things, namely: providing a baseline of performance indicators for the coming budget and considering ratifications made by evaluations it has appointed. In his analysis Gopane (2012) identifies the six pillars used by Chile's M&E system which include:

1. A budget examination of all investment projects;

2. Key performance indicators that are outcome-based;

3. A comprehensive management report- An annual report on spending and performance;
4. Evaluations of Government programmes including a rapid review analysis of current information;
5. Impact evaluations – primary data is collected and analysed; and
6. Comprehensive spending reviews in analysing all programme reviews within particular matters related to inefficiency and repetition of programmes and projects.

Similar to Gopane, Maepa (2014) writes that Chile's Ministry of Finance uses M&E to improve its system which SA can learn from by considering the key priorities of Chile's M&E system. In another study, Maepa (2014) investigated M&E in the Unites States of America (USA),

United Kingdom (UK) and Australia. His findings are that, USA uses programme evaluation that appears as separate social science, management and financial projects. Maepa claims that USA encourages its agencies to improve on measures for monitoring and reporting on quality outcomes to enhance credibility. According to Maepa, USA strives to make certain that M&E is an essential competence for public officials and programme managers. This is done in order to implement M&E systems and to advance programme performance. The USA uses Impact evaluations of reports on results, and on quality outcomes of policy programmes and projects. SA has incorporated aspects of this approach in its M&E legislative framework (Maepa, 2014: 119). In the same study, Maepa reports that the UK created performance targets that are contained in the public sector agreements. He further noted that the targets are articulated in terms of the outcomes to be accomplished. He found that departments report openly bi-annually on several evaluations in order to make an input in budgeting for decision-making. The report on performance information for the international assessment tool, which has been in existence for over 15 years, is used for international planning and accountability. The UK uses performance information from the public sector agreements on internal arrangement and accountability, Maepa states that SA has adopted some of the experience in its legislative M&E framework and in the *Green Paper on NPC* (Maepa, 2014: 120).

In his Australian experience, Maepa (2014) writes that evaluation practices are used as a formal strategy to encourage programme managers to utilise evaluations to advance programme performance. This aids in cabinet decision-making by strengthening accountability. He also notes that the centrepiece for the Australian strategy has been evaluation planning. Only major evaluation is included and considered as important for strategic programmes, which influence policy operation and decision-making. Australia uses an evaluation planning system which SA has already adapted for use in its legislative M&E frameworks (Maepa, 2014: 138). The international experience could aid South Africa's Local Government to align its M&E system with the Finance Department. This would ensure proper management of public funds as is the case in Chile. According to Maepa, SA has adopted some of its legislative framework from the USA and Australia yet SA Local Government is still plagued by corruption and fraud encompassed by maladministration.

2.5 The relationship between Monitoring and Evaluation and Good Governance

One of the most significant discussions in Naidoo (2011) on Good Governance (GG) is that there has been an improvement in country-specific policies and systems which speak to the basics of GG through their own M&E system. GG is not an intangible idea, it draws a pathway of showing concern with that which is in the public domain and with that which should be constitutionally motivating. Naidoo further mentions that GG requires the procedure of decision-making and public policy construction that is clear and responsible. GG encompasses the guidelines that generate a sincere, effective and efficient framework for the conduct of public policy *(African Development Bank, 2010: 89)*. Several research articles have established that M&E has achieved greater management accountability and it has promoted GG (Mackay, 2007). Similarly, Sebola et al. (2014) found that GG and M&E are necessary conditions to achieve a sustainable, developed public administration which is efficient and effective. GG is essential for building a democratic society characterised by accountability, transparency, participation, effectiveness and efficiency, equity and inclusiveness in terms of legislation. GG and M&E are relevant and important in decreasing costs by applying an integrated decision-making procedure and generating a flexible and approachable local Government (Shapiro, undated: 3).

The King II Report on corporate Governance and the implications of this report on the sphere of Local Government, inspires all corporations to assume the appropriate values of responsibility, transparency, independence, and accountability (Dekker Cliffe Attorneys, 2002). *The King II report* is applicable to all entities either private or public but in the context of this study its emphasises the *Municipal Financial Management Act No. 56* that deals with promoting access to information which is applicable as a standard requirement for GG and M&E.

In contrast to Maepa & Naidoo, Maloba (2015b) argues that the South African application of GG is planned and accomplished with old ideologies which comprise poor governance measures. In effect, it reinforces disparity that is incompatible with democracy. He further argues that recently, fraud, corruption and maladministration within the public sector in SA gives the impression that the effectiveness and influence of the GG tool is non-existent. However, Dlalisa (2009: 61) adds that an improved alertness by the society to depraved governance stems from the realisation that public officials have certain responsibilities to the citizens of SA. The moral deterioration practised within the public sector needs to be

recognised and eradicated in order to avoid the fiasco of the present public service by ensuring, to whatever extent possible, that the effort of GG cannot be undermined (Alshenqeeti, 2014: 29).

2.6 Theoretical Framework

This study is underpinned by three different theories namely: *The Old Public Administration* (OPA), the *New Public Management (NPM)* and the *Systems Theory*.

2.6.1 The Old Public Administration theory and M&E

The construction of the OPA was first articulated by Weber in the 1920s. It popularised Max Weber's bureaucratic system that was based on hierarchy and meritocracy. Drawing from Weber's system, Schwella (2014) states that the OPA as influenced by Weber's system, viewed an organisation as a type of social relationship that has regulations imposed. The system has selected people with merit in top management positions making decisions followed by a cable of managers and employees who carry out detailed tasks. Instructions come from top management in a manner imitating the military, which was meant to create uniformity and strictness. Rules formed the basis of the organisation instead of people (Mbanguzi, 2014: 33). Weber's model is dependent on rules as a means to an end. A broader perspective on Weber's theories was adopted by Maboloc (2015) who identified Weber's three types of authority namely charismatic authority, traditional authority and rational legal authority which match the brand of leadership that is effective in a modern society. Maboloc further discusses Weber's evolution of bureaucracy as a method of administration. According to Weber, bureaucracy is a superior trained kind of administration which includes efficiency, accuracy, unity and cost effectiveness in Government functioning.

In the same vein, Parsons (2001: 273) adds that Weber's types of authority are pre-eminent in capitalist societies which is the main reason for the advance of bureaucratic organisations. He further maintains that policy-making and policies frame political discourse in modern societies which, according to Weber have become more dominant in legal-rational types of authority. In his interesting analysis of bureaucracy, Parsons (2001: 273) identifies the elements of administration in Weber's model which are hierarchy, rules, specialisation, impersonality, appointed officials and career officials.

However, Weber's model fails to predict the situation of when a lower-ranking employee within these hierarchies may require to interact with senior authority upon announcement of his or her direct superior. Weber's model fails to address ethical personalities as a cause of achievement of an organisations (Samier, 2005: 66). Similarly, Schwella (2014) holds the view that bureaucracy overlooks societal sentiments and aspects that affect an organisation. According to Asaduzzaman and Virtanen (2017) bureaucracy is connected with exertions in making choices and implementing strategies. He adds that bureaucracy poses a test when it comes to the moral conduct of an organisation. In his discussion on bureaucracy Samier (2005) states that Weber insists that his model is a manifestation of ethics since personal capacities are demonstrated.

Despite the stated weaknesses, this study draws on the work of Max Weber to argue that though bureaucracy poses a challenge to ethical conduct in an organisation, it is greater in generating an administration which is efficient, accurate, united and cost effective in government functioning. Weber's emphasis on bureaucracy is particularly beneficial for this study's examination as it permits one to think through accountability, efficiency and effectiveness. To this end, Weber's conceptualisation of bureaucracy is generative for grasping how the approach to the OPA posed as a command under colonial rule that introduced varieties of systems that led to a decline in the quality of government due to political interference. It is here also that Weber's attention to public administration is of value for informing public administration as the point or re-establishing effective development and economic growth.

Several international governments have used the old public administration theory in understanding monitoring and evaluation. A few developing countries have used Weber's bureaucratic theory in ensuring efficiency and effectiveness of running the operations of the government. Countries like Italy, Germany, Indonesia and France are amongst these. This study has selected Indonesia to demonstrate how it used bureaucracy in government and also to determine the successes and failure of the theory (Alvinius, 2012: 4). According to Labolo (2013) Indonesia uses bureaucracy as an instrument of power in its local and central government. Indonesia uses Webber's system to recruit for technical skills, in politics and the daily operation of government institution (Mallory et al., 2017). Indonasia applies the hierarchy system of the top-bottom approach where the hierarchical system is used by authority who would authorise policies which cannot be avoided by those at the bottom (Robinson, 2015: 30).

The strengths of bureaucracy are that the system's programme activities flow from top to bottom forming the output, outcome and impact that leads to satisfaction and dissatisfaction. Bureaucracy stands firm by an association that is impersonal, this is based on segregating duties based on professionalism (Senigaglia, 2011). Bureaucracy represents the duties and functions of Government both at central and local levels and resolves problems (Seibel, 2010).The weaknesses of bureaucracy are that its recruitment processes are unclear (Alexander and Kane-Berman, 2014: 13) at a government level, a few project activities are not progressive, nor have they changed. Staff incumbents are not happily employed in work activities yet they are highly compensated. According to Robinson (2015) The Old Public Administration theory though applied by many developing international countries, portrays its success and failures. In South Africa alone, the application of the theory was seen during the apartheid era where only a minority group of people benefitted from the system (Senigaglia, 2011).

In Indonesia, the proponents of the system are the management in the government system that applied the hierarchical system in conducting and running its operations. The reality is that, although Indonesia used Weber's bureaucracy, it could not completely apply the characteristics of the theory that were effectiveness and efficiency. In the same vein South African Government also failed to apply Webber's theory completely hence there was oppression and segregation in colour, creed and gender and lack of service delivery to the majority group of citizens.

The theory answers the research question that enquires into the efficiency of Monitoring and Evaluation system in Local Government with precise attention at eThekwini Municipality. The efficacy of the Old Public Administration theory is questionable in this case since all characteristics of Weber's Bureaucratic Theory were not completely applied. Making decisions was at the highest possible level of authority; hence, the Weberian arrangement was criticised for failing to live up to its assurances.

2.6.2 New Public Management and M&E

The New Public Management (NPM) is better positioned to produce positive outcomes and efficiency through improved administration of the public budget. In the generic sense, NPM describes a range of characteristics that often contrast with Weber's ideal type of bureaucracy (Senigaglia, 2011: 12). Sanigaglia argues that the types of authority are still Weber's, but that

NPM is not a fundamental shift away from bureaucracy; it is rather shifting focus from organisational structure to organisational culture. One interesting finding by Robinson (2015) is that the NPM offers a yard stick to control bureaucratic conduct and to produce enhanced outcomes. Robinson states that the NPM model arose in response to the boundaries of the OPA in altering the demands of the economic market and in adopting competitive principles of the private sector management. Robinson (2015: 7) identifies key elements of the NPM namely:

- Being considerate to lessons from private-sector management;
- Growth of management that is hands-on in their own right and not as an offshoot of proficiency. Where policy application is structurally dissociated from policy creators, as opposed to administration split;
- Paying attention to innovative leadership within the public service organisations;
- Stressing the importance of input, output, control and evaluation of performance management and audits;
- Focusing on cost management of basic units of public service; and
- The development the utilisation of market competition and agreements as a means of distribution and service delivery within the public service.

Like Robinson, Tomlinson et al. (2013) state that lessons learnt from private sector management should be incorporated as practices into the public sector. He further draws attention to the principle of budgeting as a basis of cost management as identified in the key elements of NPM. Tomlinson et al. (2013) believe that the central theme of NPM has been efficiency more than effectiveness, which is a serious long-term societal problem when addressing accountability. Mingus (2013) argues that the NPM fails to address political queries in an evocative way. He states that the theory looks at public administration from its origins of capitalism and functions from the viewpoint of universal capitalism.

Despite the stated weaknesses, this study draws on the work of the NPM theory to argue that there has been a long-term effective theme in addressing matters of efficiency and accountability. M&E can be a bureaucratic procedure starting from the issue of accountability and efficiency. Weber's emphasis on bureaucracy is particularly suitable for this research's examination as it permits one to reason through how M&E influences the different layers of authority at eThekwini Municipality and the role it plays in enhancing good governance. To this end, the NPM theory's bureaucratic conceptualisation of policymaking and service delivery is generative for grasping how to strengthen the public service delivery by engaging

the citizens in an effort to ensure accountability. It is here also that the NPM's attention to the aspect of bureaucracy is of value for informing a strong criticism of Weber's bureaucratic theory that reporting should be based on outcome-based results as opposed to processes and policy demands.

Most developed economies in most parts of the world used the New Public Administration which was supported by political and technological influence in the 1980's (Eagle, 2005). South Africa used the NPA to reinvent the apartheid regime (Fatemi and Behmanesh, 2012). The public administration in the SA government was tainted by the OPA theory. According to Chipkin and Lipietz (2012) the strengths of the NPA is that it freed the government administration from red tape that was an obstacle to achieving goals. In the NPA South Africa's Department of Trade and Industry sought to revise its policies which were considered priority in the operational functions of the country (Chipkin and Lipietz, 2012). The Black Economic Empowerment (BEE) and the Affirmative Action policies were created. Although interventions were created and implemented in the NPA there was resistance when the NPA came to upgrade the OPA or to reform the contents of OPA (Polidano, 1999). The NPA has some elements of OPA that are prevalent in the service delivery aspect and in the political system. This Theory is useful in answering the research question stating how M&E system contributes towards improving good governance in the eThekwini Municipality. The supporters of this theory are the politicians who have rallied around service delivery through different ministries in the country and who are persistent in their advocacy of good governance.

2.6.3 Systems Theory and M&E

A number of studies have shown that systems consist of different parts from interrelated bodies put together to form one body (Dunn, 2016; Eagle, 2005; Edmonds, 2012). Zhang and Luo (2016) believe that you cannot understand the conduct of the whole component without understanding the behaviour of the different parts that form part of the whole body. They further allude to the fact that most researchers point to the norm of holistic interconnected parts. This view is supported by Chikere and Nwoka (2015) who write that this approach emphasises the association between the arrangements of portions and how they work collectively as a whole, how they are organised and how they interact with each other. While a change of descriptions of systems theory has been proposed, this study will use the definition suggested

by Charlton and Andras (2003) who describe it as a composition of interrelated objects placed together to form a whole object.

Systems theory has many variations of management systems which are the consequences of complexity in human social organisation (Charlton and Andras, 2003: 17). The Systems approach is a way of looking into a problem or a concept to determine how best to aid decision-making (Andras and Charlton, undated: 7). To determine the effect of systems theory *INTRAC (2015)* states that systems are engaged in processing information. Management will only know its performance outcomes directly by comparing their actual status to measures set to improve performance *(INTRAC, 2015)*. eThekwini uses a tolerance scale of target status to determine performance accuracy *(eThekwini Municipality PME, 2013)*. Although systems approach was used mostly in the aerospace industry as far back as 1969, Quade believes that it can contribute significantly to planning and policy formulation by National Government and Local Governments today. This view is supported by Caffrey and Munro (2017) who state that the systems approach makes an exceptional contribution to planning and policy evaluation which is deemed to improve effectiveness of service delivery and to reduce human error.

Unlike Quade, Giudice (2016) argues that the concept of systems theory has been relatively underutilised when theorising about the policy process. He argues that the systems theory approach to public policy has been relatively modest so far. An extensive viewpoint has been approved by Heil (Undated) who further claims that policy process makes relatively little use of the conceptual resources of systems theory such as the behaviour out of interactions between component parts. Most studies on systems theory show how principles of systems theory can effect sections of policy analysis, policy design, guidelines for policy implementation and policy evaluation.

To better understand the mechanism of systems theory and its effect, Eriksen and Stimpson (2013) state that an organisation should run its functions using an open system approach not a closed system approach. Eriksen & Stimpson state that Weber, Tylor and Fayo view an organisation as a closed system. They support an open system approach that is influenced by its settings. Most theorists regard an organisation as an open system that consists of five essential elements namely inputs, activity, outputs, outcomes, and impacts.
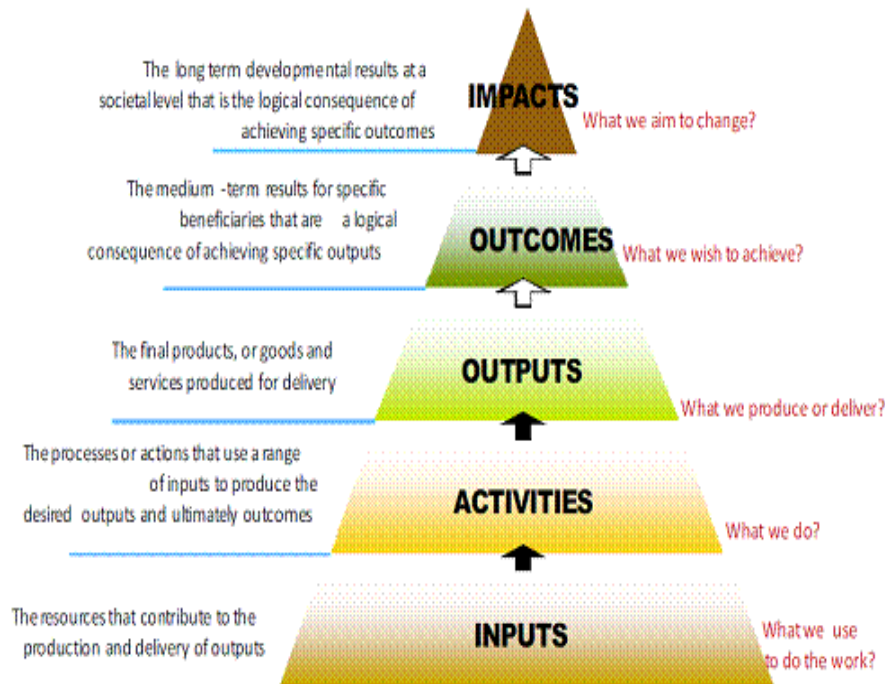
Figure 2. 1: The Performance information Pyramid (Department of Public Service and Administration, 2011: 10)

Based on the M&E framework by GWME, Zhang and Luo (2016) suggest that inputs comprise resources which include people, investments, supervisory services and technical skills which contribute to an organisation as service providers or stakeholders in Local government. Inputs are transformed into outputs through an activity of processing them into outcomes that the organisation aims to achieve. These specific outcomes achieve an impact *(Presidency*, 2012). Chikere and Nwoka (2015) state that impact is also an important part of an open system since it provides facts to the organisation by linking outputs to inputs. Negative impact signals an error to be rectified whilst a positive impact showcases outputs that are progressive (Chikere and Nwoka, 2015). In a study by Bertalaffy in Weihrich (1999), systems were shown to change the way of thinking about organisational management which is seen as an open-ended process. Historically, Bertalanffy (1973) states that organisations are perceived as flexible processes of confronting certain situations.

Unfortunately, systems theory disregards the role of organisational restraints, and this is unlikely to produce sound advice on standardisation of organisational procedures and desirable levels of standardisation (Charlton and Andras, 2003: 12). Charlton & Andras allude to the fact that that Altay (1999) puts the emphasis on the need to reduce complexity and to increase

standardisation of operations so that organisational structures complexity can neither be a negative nor a positive feature of management. Generally, Management theories are troubled by inherent problems related to their preferred view point of analysis, this imposes a selection of organisational values (Hayajneh, 2010: 2) .Parsons et al. (2013) argue that the system is not linear, not in equilibrium, not completely random, often not well behaved and not necessarily more efficient. Bertalanfy advocated the open system approach to a managerial system that can be used to ensure effectiveness and efficiency in the M&E system in order to assess policies and to implement systems. The open system approach is useful for this study's investigation as it permits one to think through the M&E systems employed at eThekwini Municipality. To this end, Bertalaffy's conceptualisation of the systems theory is generative for grasping how the M&E system will operate when the assessment of the organisational performance and its policy is conducted on an open system approach. It is here also that Bertalaffy's attention to open system is of value for informing the complexity systems' approach to policy implementation.

This theory has been used in Local Government. The system's theory has been applied in setting KPI's that are outcome-based and in conducting evaluations to determine the impact of service delivery and the policy programmes. The department of Cooperative Governance and Traditional Affairs (COGTA) is the steward of PME that mandates all municipalities to report on result-based indicators. The strengths of the system are that any negative errors are signalled. The system however disregards organisational limits. The organisational structure can be either negative or positive due to inherent problems. The proponents of this system are COGTA and the Municipalities.

2.7 Evaluation

The concept of evaluation was first articulated by Carol Weis in 1972 and popularised by Parsons (2001) who describes evaluation as a system envisioned for decision-making, to investigate difficulties defined by decision-makers other than researchers. She further describes evaluations as being judgemental in character and embedded in policy setting. Parsons examines evaluations in analysing techniques that measure performance and uses experiments to evaluate policy and programmes. Many evaluators have described the definition as an assessment of accomplished projects, policy and programme designs, its applications and outcomes. For the purpose of this research, the definition of evaluation by *Department of*

Public Service and Administration (2011) will be used. This is described as an organised objective assessment of a completed or ongoing project, programme or policy comprising its proposal, application and outcomes. The purpose is to determine the significance and accomplishment of the efficiency, effectiveness and impact. An evaluation makes available data that is useful and allows room for a combination of lessons learned in the decision-making processes of the stakeholders and beneficiaries. Parsons (2001) uses the policy cycle to relate evaluative information and evaluation analysis. First, he uses problem definition to define the size and distribution of the problem, and then he forecasts the need to define target areas and groups.

2.7.1 Types of Evaluation

Before determining the type of evaluation to use, it is significant to determine the purpose of evaluation and the policy programme and projects activity and then identify the type of evaluation to apply (Shapiro, undated). There are different types of evaluation that are instrumental in showing the benefits of a programme (Zhang and Luo, 2016). Calidoni-Lundberg (Undated) stipulates seven types of evaluation namely: 1. Formative evaluation, which is used at the conceptualisation phase in order to identify potential areas of concern, 2. Process evaluation. 3. Outcome evaluation, 4. Economic evaluation, these three are applied at the implementation phase since these types measures the ability to meet a target and to suggest improvement for efficiency, 5. Impact evaluation, 6. Summative evaluation, 7. Goal based evaluation are applied at the end of a project, they provide perception in to a project progress and highlights potential improvement for upcoming projects. Many social science researchers use two or three types of evaluation as a guide in conducting evaluation (Hlatshwayo and Govender, 2015) . The formative, process and Summative evaluation is the most popular type of evaluation. Zhang and Luo (2016) identify the three types based on the objectives and the priority of a project.

Similarly, September (2015) states that a formative evaluation starts early in a project to assess the origin of a project and is able to identify gaps. During the process evaluation, September states that a project is monitored to ensure that it is implemented; there are similarities between the formative and the process evaluation since they both focus on the effectiveness of a project. The summative evaluations are the final stages of assessment of a project and the achievement

of a goal, this helps management and stakeholders involved in a project to decide on future projects like the current (Bours, 2014).

In identifying different types of evaluation Dunn (2016) describes the difference between Formative and Summative evaluation. Dunn maintains that a formative evaluation takes its course from the implementation of a policy, project and programme. He claims that this involves the investigation of the point to which the programme or policy is being implemented. Parsons (2001) refers to formative evaluation as an approach of managing and administering a programme to provide feedback in improving implementation. He points out that information from formative evaluation is utilised to correct policy and to service delivery errors. On the other hand, Dunn (2016) describes summative evaluation as looking to measure how a policy or a programme has affected difficulties to which it was addressed. Summative evaluations measure an impact by conducting an experiment in such a way that results before and after the intervention can be compared.

2.7.2 Impact Evaluation

Recently, researchers have shown an increased interest in Impact evaluation. A considerable volume of literature has grown up around the theme of impact of services provided. Impact evaluation or impact analysis is generally known as an effort to map the effects of projects, policies and programmes. . The OECD (2009) defines this as an assessment of how intended or unintended evaluated interventions affect the outcomes. In the same vein, Hellstrom and Hellstrom (2017) defined impact evaluation as determining the magnitude to which a directed activity affects the state of some phenomenon and determining why the effects were as minor or as major as they turned out to be. Impact evaluation is described by Myrick (2013) as a theory-based activity which involves establishing a ToC and a logic intervention or a Logical framework in order to describe the causes and effect leading to desired outcomes. To better understand the mechanism of impact evaluation and its effects Weiss (1997) suggests that impact evaluation measures the positive and the negative effect of a policy, programme and project, it also measures the intended effect and the unintended effect. Impact evaluation always includes the analysis of what causes the effect.

A number of techniques have been advanced to plan an impact evaluation process. This study has employed the steps of impact evaluation as proposed by (Focus, 2015b)

Planning an Impact evaluation process

It is significant to evaluate the impact of a policy, programme and project before going ahead with the evaluation. The questions an evaluator should look out for are:

1. Is the impact evaluation the best way to answer questions about the policy, programme and project?
2. What are the key evaluation questions?
3. What is the ToC?
4. How to choose and procure the evaluation team?
5. Who will be involved in making decisions about evaluation and how will the evaluation be managed?

Impact evaluation - the best way to answer policy, programme and project questions.

There should be a clear way of how the findings of the evaluation will be used and by whom. Given the timing, will the findings be credible and relevant?

Timing of an impact evaluation is important

If an evaluation is done too early, it might not provide the picture of the anticipated evaluation; and if it is done too, late it will miss the timing of informed decision. Once the knowledge of how to use the findings is acquired and, once enough timing and resources to make evaluation well is obtained, then a decision on *the purpose of evaluation* can be either for:

Table 2. 1: Formative purpose or summative purpose (Governemnt, 2014)

Formative purpose	Summative purpose
Is the purpose of policy, programme or project to re-orient or improve evaluation	Is the goal to continue or discontinue replicate or scale up the policy, programme or project

The key impact evaluation questions.

Impact evaluation will generally answer three questions:

Descriptive   : What happened? What was the context? What was done by intervention? What change occurred?

Causal   : What produced these changes?

Evaluative   : What was the value of these changes? What was the overall merit or value of the policy, programme or project?

Each type of question can be answered through different research designs and data collection methods. To answer descriptive questions, the data collection methods to be used are: questionnaire, observation and measurement. For causal questions, the research design to be used is the one that addresses attributions, which changes were observed after they were caused by interventions. In addition, contributions, which are interventions partially, caused contributing to changes. The design can be experimental, quasi-experimental and non-experimental. The method to answer evaluative questions is to identify standards against which to judge the evaluation results and to decide how well the programme performed overall. The results can also be indicative of the value of a programme which most evaluators deem as a better option (focus, 2015a).

2.7.3 Evaluation of policy programmes and projects

(Schneider et al., 1992) cited in Osborne (2007), defines programme and project evaluation as a logical examination of the significance of a programme applying the worth of a programme or project to determine the value of it. Similarly, the *International Federetion of Red Cross (2011)* describes Evaluation as an assessment of an accomplished project or programme or policy design in its application and outcomes; the purpose is to regulate the significance and accomplishment of the objective and the impact thereof. Although extensive research has been carried out on evaluation systems, Dunn (2016) addressed the nature of evaluation in policy analysis where he defines monitoring as primarily an effort to regulate the value or utility of a policy programme which can only be evaluated after action has been taken. In the same vein, September (2015) argues that programme and project evaluation involves an ongoing monitoring of a programme's outcome and impact. The product of the application of a policy programme becomes then both an end and the means of evaluating the worth of the programme. According to Osborne (2007) the significance of evaluations is seen in the results demonstrated, he argues that what gets measured gets done. If you cannot see victory, you cannot reward it lest you reward failure. Results demonstrated can win public success (Osborne, 2007).

2.8 Theory of Change

Historically, Theory of Change (ToC) has been described as an evaluation tool for testing and explaining the mechanism utilised to reach an outcome-based programme or project (Weiss,

1997). Similarly, O'Flynn (2015) found that ToC first appeared in the 1990s, its purpose at the time was to address difficulties most evaluators faced when trying to assess impact on their policy programmes and projects. Most studies in the field of evaluations have shown that ToC plays a critical role in evaluation (Connell and Kubisch, 1998).

ToC is defined as a tool designed specifically to develop indicators and targets demonstrating a logical process of how results lead to impact (Ntoyanto, 2017: 27). In the same vein Mayne (2015a) defines ToC as a process that adds to an impact on outcome based policy programme and projects. He further states that ToC explains how a programme or project is expected to bring about anticipated change. Governemnt (2014) defines ToC as a process that illuminates research questions and helps recognise what should be evaluated. Similarly, Rogers (2014) looks at ToC as an impact evaluation of how to understand activities that produce results that contribute to achieving intended impacts. A broader perspective of defining ToC was adopted by Harris (Undated) who states that ToC is basically about working backwards. He gives a broad description of how and why desired change is expected to happen by focusing on mapping out what change does and how this leads to desired goals being achieved. This therefore means that ToC is evaluation of a programme or project by first determining its outcome and the work toward the resolute target, in that was one can regulate a turnaround strategy and see the efficacy of the programme or project.

ToC should be applied at the inception stage of a programme or project, one can look at ToC as tear of risk assessment when ToC is applied during the design stage, it refines the planning and implementation of an invention (Green, 2013: 12). Connell and Kubisch (1998) found that this happens because stakeholders have an opportunity to specify anticipated outcomes.

ToC classifies what is to be measured, implemented and what goals are intended to be achieved. The outcomes thereof guide the investigator on when to and how to measure those elements. ToC can strengthen objectives of a policy or programme in terms of upholding the relationship amongst stakeholders (Chen, 2015: 44). Connell and Kubisch (1998) found that ToC promotes accountability and clarifies trails in projects. Similarly, O'Flynn (2015) found that the more Specific Measureable Attainable Realistic and Time bound (SMART) ToC is, the more accountable and valid the structure will be.

2.8.1 ToC process

The initial step to take in the ToC process is to identify the situation that needs change and to identify the problem, the stakeholder and beneficiaries and then to identify the impact by defining the outcomes. ToC unlike Logic framework works backwards. It is about a theory of creating a change (Harris, Undated). It is important to know the social problem so that it can be linked to the mission and the vision of the organisation in addressing the problem. More intermediary goals will be required in order to create strategic plans, set aside time, ensure availability of human resources and tools to get work done (Mayne, 2015b). The figure below depicts how the question usually asked as to how the results are going to be achieved with the gap between activities and results.
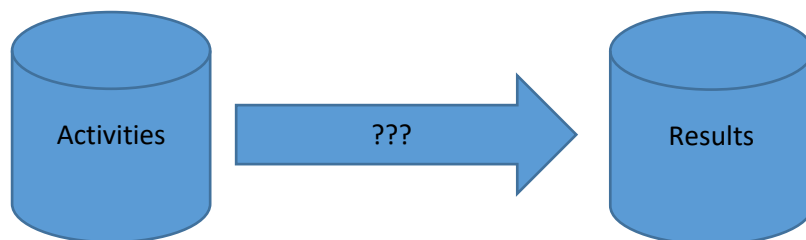
Figure 2. 2 : Basic Theory of Change (Tolmie, 2014).

It is important to articulate the assumptions or steps to be performed between the activity and the result. This can be done by identifying the why and how. It is important to know what the result you wish to achieve are (Tolmie: 2014). According to O'Flynn (2015). In developing ToC, goals and results are crucial for this process. The goals have to be SMART in order to have results that are outcome-based. Below is a diagram showing the four basic steps of ToC.

GOALS

Activities

RESULTS

SMART

- What are we trying to achieve

- What do we need in order to achieve results

Results

Activities and strategies

Context

Assumptions

- What is the environment we work in that affects our activitu

- what has to be true for our activities that leads to results
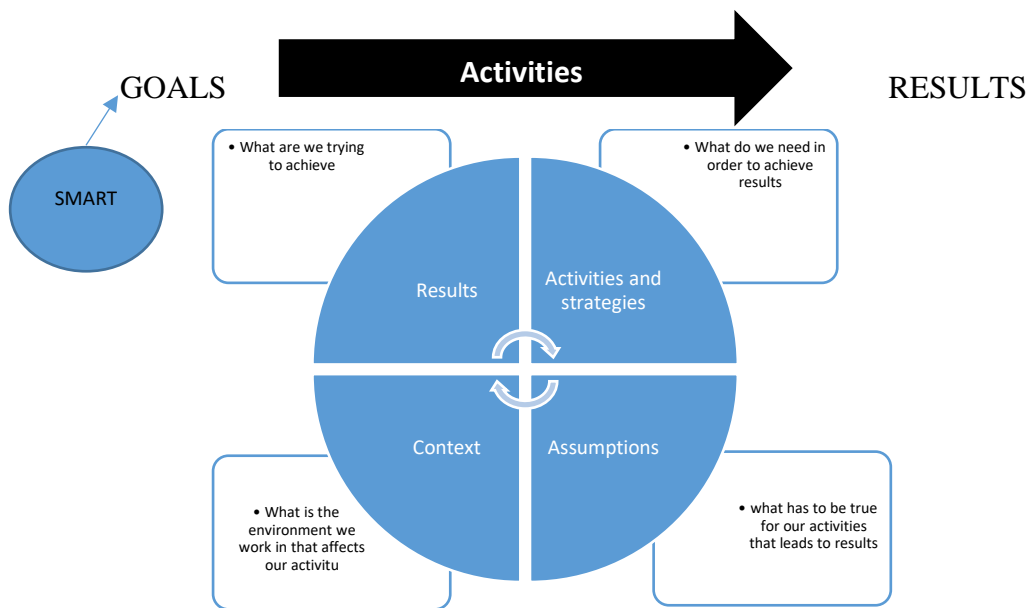
Figure 2. 3: Basic Theory of Change (Tolmie, 2014)

According to Vogel (2012), the first step indicates the importance of organisations to plan activities through strategies and to know what resources and tools are needed to achieve the set goals. Secondly, the assumptions that have to be defined are those that will result in achieving the set goals, Vogel (2012) argues that it is therefore important to have assumptions that are realistic and true which will lead to the results. Thirdly, in understanding the context of the activities, it is important to know the environment in which work is performed which affects the activity. This in turn provides results that are impact-based (Vogel, 2012: 16).

Similar to O'Flynn, De Silva et al. (2014) broadly portray seven steps of building a ToC and converts the theory into a Logic framework on the seventh step. They use the seven steps to design and evaluation strategy by grouping the indicators into one that can be collected using qualitative or quantitative methods to decide on the most appropriate analysis into a single evaluation.

Step 1: Situation analysis; Identifying the need, target, opportunity and analyse the economic context and political standing;

Step 2: Clarifying the Programme goal; analysing goals to determine whether to increase or improve standards of operation or to deviate from the existing process;

Step 3: Design the programme; planning, draw a project plan, determine costs of training participants on how to use tools;

Step 4: Map the casual pathways; connecting the product to the goal, focusing on the risks and applying preventative measures;

Step 5: Assumptions; what is the predetermined goal; the goal must be outcome-based. I.e. people live in clean houses;

Step 6: designing SMART goals, indicators set have to be qualitative or quantitative in approach; and

Step 7: The ToC can then be converted into a Logic framework wherein it will be used as an analytical tool (Funnell and Rogers, 2011).

This Theory is been used by the *South African Monitoring and Evaluation Agency (SAMEA)* which was set up to provide skills and training to South African Municipalities on evaluations. Though the theory has been set up with a number of trainings and workshops provided countrywide, there is still a gap in evaluations of Programmes and Projects, out of the 278 municipalities in the Country; Cape Town Municipality is the only Metro that has successfully implemented ToC under the guidance of SAMEA and application of the *King III report*.

2.8.2 The relevance of ToC for this study

Toc has been hailed as an approach for planning, monitoring and evaluation. It is an approach, which M&E specialist can use to interpret the complex nature of change and processes to which development interventions seek to contribute. ToC allows focus on long-term impacts rather than short-term results (Prinsen and Nijhof, 2015.). Applying a ToC to a programme completion can help assess the continuing future relevance and effectiveness of the programme which can, in turn, contribute to change (Gooding, 2018: 9). ToC helps Local Government and can also help eThekwini Municipality to enhance its existing systems to determine what works and under what circumstances it works.

2.9 Logical Framework

According to Sartorius (1991), Logical framework was originally established by the *United States Agency for International Development (USAID)* as an evaluation instrument to aid in increasing responsibility to senate. It was primarily a project design tool for need assessment and defining problems (Sartorius, 1991: 139). Sharpe (2011) defines logical Framework as a

model used to assess analytical tools that used to plan, monitor and evaluate projects using the input, activities, output, outcome and impact. Logic framework is defined as a tool used by management to improve on its planning and project evaluation (Middleton, 2005:3). The logic framework uses the five components also used in ToC that include Inputs, Outputs, Activities, Outcomes and Impact. Dearden (2005) argues that there has been an ongoing debate about the difference between a Logical Framework and ToC, the outcome to the debate was that there is actually no difference, both ToC and Logical framework use the five components of performance information known as the Input, Activity, Output, outcome and impact.

Both the ToC and the Logical framework describe how a programme leads to results; the main idea of the two concepts is to determine impact of a policy programme and project. In her view of logical framework O'Flynn (2015) found that logic framework has the influence to interconnect the critical foundations of a difficult project. According to Ntoyanto (2017), logical framework guides M&E activities by making its progress tracking easily accessible. This method is utilised to breakdown down a programme into logical mechanisms to simplify evaluation (Ntoyanto, 2017: 30).

Logic framework is used as an instrument to maintain project design and management as it follows the hierarchy of result-based planning and focuses on all project planning foundations (O'Flynn, 2015). This study provides a full detailed Logical framework as presented by (Hobson et al., 2014). The example used in the figure 4 is a situational problem of people needing houses:
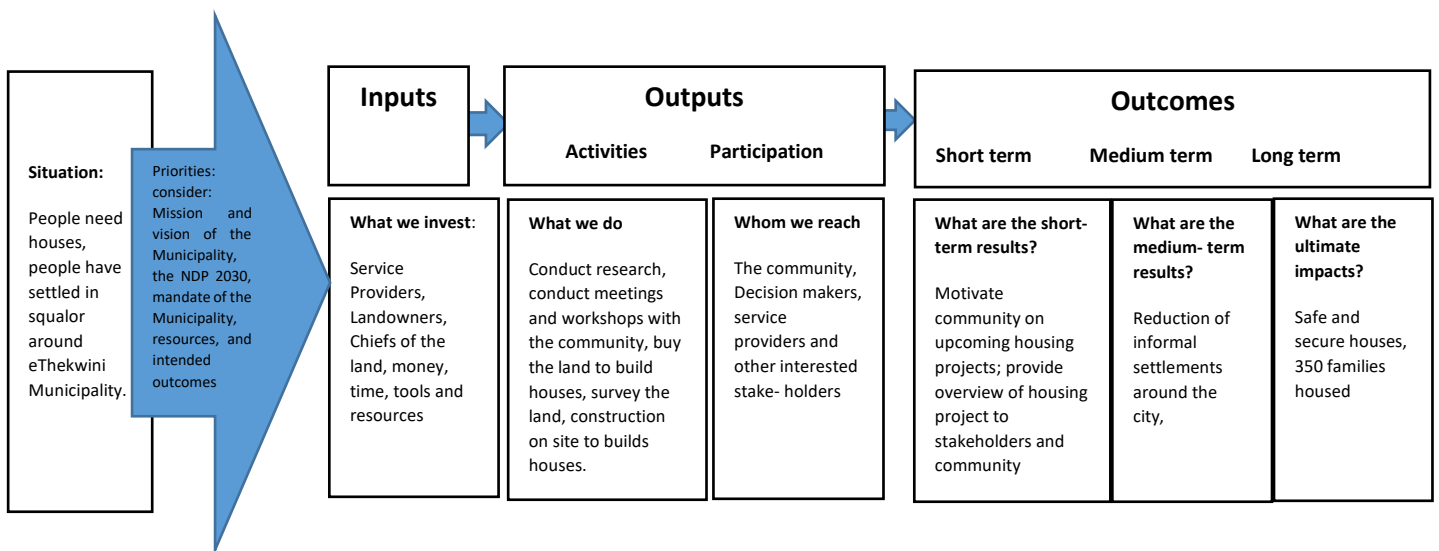
Figure 2. 4: **Logic framework of people needing housing (Cook, Undated)**

The logic model or framework starts by describing the relationship between the input, outputs and outcomes. The Logical chain connects the programme to accomplish the ultimate impact. Under inputs, the monitoring practitioner needs to know what they invest in a programme, in output, the practitioners have to do activities and know whom they aim to reach out to. The practitioner needs to achieve short-term results, medium term and long-term results. In determining how the activities lead to desired outcomes, it is important to employ the series of 'if –then' which will automatically create outcomes of the programme.

| We invest on… | We can provide... | The community… | There will be… | They will get… | They will move… |

Figure 2. 5: The "if-then" of creating outcomes (Cook, Undated)

The common problem is that activities and strategies do not often lead to desires outcomes, it is important to check the 'if-then' statements and ensure that they make sense and lead to outcomes you want to achieve. A logic model needs to be tested using the SMART principle.

The limitations of a logic model are that it represents intentions in a logical sequence of a chain of events:

- Focuses on expected outcomes;
- Challenges of causal attribution- may influence the process and outcomes; and
- It does not address: Are we doing the right thing, like the evaluation system would do. (Hobson et al., 2014).

2.9.1 The relevance of Logical Framework for this study

The Log-frame helps to demonstrate programme components, aids in identifying outcomes, inputs and activities in the programme. The Logic model depicts the relationship between activities and outcomes. A Logic model is a framework for describing the relationships between activities and results, it provides a common approach for integrating planning, implementation, evaluation and reporting (INTRAC, 2015). This framework is relevant for this study because it assists managers to monitor their planned objectives and using it encourages discipline and clear specific thinking about the aims of the policy programme and project.

2.10 Application of Theory of Change and Logical Framework in M&E

The reason why this study brings in the Theory of Change (ToC) and the Logical Framework (Log Frame) is because both the tools focus on the strategic managerial challenges. Programmes can gain effectiveness through capacity to adjust instead of holding on to initial planned actions (Rogers, 2014: 25). There has been a debate about the ToC versus the Log Frame, according to Prinsen and Nijhof (2015.), the reality is there is no difference between the two, both serve the same purpose of describing how the programme leads to results. A ToC digs deeper into the showing of a map leading to change and why these elements lead to change. It also allows room to provide evidence or assumptions of the change. The Logical framework zooms in on a specific path way that a programme is dealing with to create an orderly structure (Auriancombe.C.J, 2011: 11). This makes it easier for stakeholders to monitor programme implementation. Both the tools complement each other. The logical framework appears to be closely linked to ToC. Rogers (2014) found that the logic framework helps to design a result-based system in order to achieve the purpose of a project. In the same vein Kigali (2014) notes that the logic framework helps to answer the question of whether or not the programme objectives are being achieved. It is therefore imperative for the programme planner to understand how and why projects will or will not work

2.11 The relevance of the use of both ToC and Logical Framework

Both the ToC and Log-frame are important to use on a policy programme and project evaluation. According to INTRAC (2015), a Log-frame is the most extensive and collective way of presentation which monitors and reviews projects during implementation. A Log-frame is or can be used through the management process to track the policy programme and project progress. Whilst ToC is less uniform, it has crucial mechanisms for mapping out processes leading to change. For this study, the researcher deems it necessary to use both the theories of evaluation since they complement each other. For instance, they both help in planning and understanding various aspects of involvement in a comprehensive way, both the approaches are used to monitor and evaluate a policy programme and project development. The Log Frame goes deeper into details than the ToC as the Log frame makes available a measure to each activity using a measureable indicator, which assists the researcher in the planning process. In a way, a Log Frame integrates itself into ToC since the ToC is much easier in describing

intervention in a pictorial way. Though a ToC is more popular amongst researchers, Logical framework complements it.

2.12 Chapter Summary

This chapter sought to conceptualise M&E by drawing on the definitions from the existing body of research. It drew on different definitions in order to find a common understanding of the M&E concept. The major aspect of this chapter involved the theoretical frameworks wherein three different theories were considered together to show how SA and the world advanced from the old administration theory to the new and systems theory. The most significant aspect of this chapter is the types of evaluation that show the distinctions in evaluations which provides a guide on what type of evaluation can be conducted for policy, programme and project. The limitation with this chapter is that in comparing SA with the international experience in M&E, there is a lot regarding the M&E system that SA can learn from international experience. As a developing country, there are some aspect of systems that SA needs to take note of, like ensuring that policies and legislation are complied with and accountability and responsibility is taken seriously. Proper implementation of the M&E at all local government levels to ensure effectiveness and continuity is crucial. A deeper understanding and application of the evaluation system should be given priory; local government should consider an application of the ToC and the Logical Framework for evaluation system in order to determine the efficacy of the systems in place.

CHAPTER THREE – MONITORING AND EVALUATION THE ETHEKWINI MUNICIPALITY AND THE SOUTH AFRICAN CONTEXT

Introduction

Having conceptualised M&E in Chapter two which brought in the significance of evaluation and the need for municipalities to establish a system in order to determine the effectiveness of their existing systems. This chapter seeks to discuss the history of M&E in South Africa (SA), then move on to discuss the experience of M&E in South African Local Government. This Chapter will further discuss the policy and legal frameworks of M&E in SA and cover the establishing legislation that governs M&E. After discussing M&E in South African Local Government the chapter will focus on the process in the eThekwini Municipality by highlighting the standard operating procedures and challenges faced by eThekwini Municipality in the implementation of M&E and, lastly, it will attempt to set Key Performance Indicators.

3.1 The history of M&E in SA

Post 1994, when the African National Congress (ANC) took over office as the governing political party, it made great strides in developing a strong local government system which set out to advance basic services in rural and township areas (Reddy, 2016). What was envisioned was the building of proper houses for the marginalised South Africans and the provision of access to clean water, electricity and achieving a general registration in primary schools (Chipkin and Lipietz, 2012). In 1994, South Africa experienced a hasty population growth of more than 49 million from 10 million (*World Bank,* 2017: 3). Reddy (2015) points out that service delivery progress has been slow since 1994 up until 2009 when the then newly appointed President Jacob Gedleihlekisa Zuma took over office. Reddy highlights that there was already an uproar by the citizens of South Africa over disappointment in the level of provision of basic services after 15 years of democratic governance. President J G Zuma stressed the necessity to advance in the delivery of services during his presidential campaigns (Friedman, 2016: 3). President Zuma established a performance monitoring and evaluation

office, which established a structure to monitor the administration's performance by measuring performance targets and objectives to determine accountability and efficiency in service delivery (Friedman, 2016: 3).

In the year 2005, the cabinet approved a Government-Wide Monitoring and Evaluation System (GWM&ES) which the presidency acknowledged as a policy framework in 2007. The framework focused on coordinating the stakeholder M&E systems. According to Govender and Reddy (2014), the framework was implemented as a tool of legislation to promote good governance, reports on accountability, consultations for transparency and to ensure efficiency and effectiveness of programmes and projects. The *National Evaluation Policy Framework* developed along the lines of GWM&ES also endorses the M&E plan of the GWMES and timelines (Govender and Reddy, 2014: 7). The Constitution of the Republic of South Africa (RSA) permitted the design of a M&E system throughout all spheres of government and its departments (Greÿling, 2015: 12).

The purpose of the monitoring and evaluation system was to promote good governance and advance on the efficacy of delivery of services in the country (Greÿling, 2015: 17). According to Abrahams (2015b: 7), presently, all government sectors have created their specific M&E units. Abrahams states that there are constitutional forms like the Public Service Commission and the DPSA with an obligation to monitor and evaluate the government's service delivery performance. The *South African Monitoring and Evaluation Association (SAMEA)* attracts practitioners on M&E at biennial conferences to review growth of M&E in SA and reflect on the existing environment of M&E in the republic. One criticism of much of the literature on developmental states is that expressed by Wotela (2016) that there has been and old argument to determine if South Africa should be categorised as a development state or not. In view of its national development objectives stemming from the democratic dispensation, one can agree that indeed South Africa is a Development States (Wotela, 2016: 12). As prescribed in the Public Service Commission (2008: 8), SA's strength portrayed in promoting growth and development deems it to be a development state. The Public Service Commission (PSC) considers that the Constitution offers a foundation on which South Africans, given the determination to do so, can generate an improved life for themselves (Mofolo et al., 2013: 11).

3.2 Experiences of M&E in South African Local Government

SA has two hundred and seventy eight municipalities divided into three classes: metropolitan municipalities, local and district municipalities (Alexander and Kane-Berman, 2014: 5). SA has eight metropolitan municipalities, two hundred and twenty-two that are local municipalities and forty-four district municipalities. The *Constitution of RSA* grants the metropolitan municipalities' power over their areas of jurisdiction (*Constitution of RSA, 1996*). *The Municipal System Act 2000* requires all municipalities to approve a policy framework on performance management aligned to their IDP with performance targets which will be monitored and reviewed *(Municipal Systems Act 32, 2000)*. This system is designed to enable municipalities to advance and implement their priorities and objectives contained in their IDP. The NDP has informed result-based evidence based on policy development which was incorporated into M&E as a complex command of administration wherein policies and programmes are monitored and evaluated to measure effectiveness and correctness (Alex, 2016). A major aspect of this approach is seen in Blondal (2013) when he points out that it can be used to determine accountability and responsibility of officials and civil servants (Blondal, 2013).

Key aspects in M&E investigated by Mtshali (2015) in his research in the Department of Health Services introduced a concept of programme development and evaluation in SA, which was initially applicable to the white minority population only. This led to slow development of evaluation in SA. According to Mtshali (2015), SA's desire was to be closely linked to the Millennium Developmental Goals to satisfy the needs of the citizens. The MDG were drawn up in the form of targets that were actions to be taken by the 189 nations. Emphasis was placed on organisational development, as cited in Gopane (2012). He states that national treasury stresses efficiency, economy and effectiveness in organisational development. The DPSA mandates local government to ensure advancement and transformation in service delivery (Gopane, 2012).

A study conducted by Maepa (2014) on monitoring and evaluation of municipalities in Gauteng, found that there are difficulties in coordinating governance and the requirement for M&E particularly when it comes to evaluation. According to Maepa (2014: 11) the three metropolitan municipalities in Gauteng namely, Tshwane, Johannesburg and Ekurhuleni, are the big cities in Gauteng which are densely populated with people migrating into the city to be closer to service delivery. Metropolitan municipalities are afforded large budgets from which

they have to design and deliver on big projects to all communities who live in the city and those in urban informal settlements (Maepa, 2014: 16). Maepa adds that there is lack of impact of the facilities delivered to the people of the three cities; in this regard, the municipalities are unable to determine the efficacy of their programmes and projects.

Existing research recognises the critical part played by most government departments in implementing the M&E system. Maloba (2015a) found that the Department of Economic Development and Tourism (DEDT) established a project from a sub-programme within the KZN DEDT in order to concentrate on the system approaches and practices connected to M&E primarily to develop tools. The programme was guided by *the GWM&E, Green paper on outcome-based M&E*, *National Evaluation Policy* and *Public Finance* (Maloba, 2015a: 23). The aim of M&E in DEDT was to show-case the examination and the use of result-based monitoring information for management to expand knowledge and outcomes, substitute a principle of good governance and decision-making and to improve reporting at all levels in an easier and faster pace (Majola, 2014: 6). The DEDT successfully implemented the M&E system collaborating with several departments and project managers (Majola, 2014). The process was geared towards gathering the evidence-base and result-based information for decision-making and reliable information which is credible (Majola, 2014: 9). According to Majola (2014) specialist Economists who conducted M&E internally conducted the evaluations. Information was reported upon annually and quarterly to ensure that managers of programmes and projects are aware of the status of the project. The objectives of evaluation are based on the results-orientated approach of input, output, outcome activity and impact. (Maloba, 2015a).

The presiding administration in government has delivered services to the people of the republic but not to the public satisfaction, hence the outcry and public protest over service delivery. South African Local Government is to comply with legislation set under a watchful eye of the institutions established in the presidency among others are the PCS, the NPC and MSA 32 of 2000. Alexandra & Kane-Berman discuss the need for compliance to legislation and establishment of M&E in municipalities. Blondal's view on accountability is similar to Alexandra & Kane-Berman, the *Constitution* requires that all stakeholders and servant of the public should be accountable and responsible for the services they are assigned to carry out. An example of a municipality which lacks M&E system, is the uMsunduzi Municipality according to Mtshali, the Municipality also lacks a monitoring and evaluation system, which

according to Maepa is meant to assess the performance of the organisation in determining the Impact of the systems in place.

3.3 Policy and legal frameworks of M&E

The *Constitution of RSA (1996)* defines the role, mandate and the function of the states to ensure result-based outcomes. The *Constitution of RSA (1996: Section 197)* states that "within public administration there is a public service for the republic, which must function and be structured in terms of national legislation and which must loyally execute the lawful policies of the government. The *constitution* also comments in *Section 195 (1)* that South Africa's public administration should be administered by principles of efficiency, effectiveness and economic use of resources and the promotion of good governance.

This section will be discussing legislation that governs the Monitoring and Evaluation Sector in government spheres. Firstly, this section will indicate what the *Constitution* prescribes to Local government in relation to Performance Management, then it will move on to discuss the *Government-Wide Monitoring and Evaluation system,* the *Public Service Commission*, the *Municipal System Act of 2000*, the *Batho-Pele white paper*, and the *National Development Plan 2030*, Lastly it will discuss a recent *circular 88* from the national treasury's Monitoring and Evaluation Department on rationalisation planning and reporting requirements.

3.3.1 *The Constitution of RSA*: Local Government

The *Constitution of RSA (1996)* serves as an instrument to transform the South African public as it is the ultimate law of the country. This section emphasises the role the *Constitution* plays in local government. "*Chapter 7 of the Constitution of RSA (1996: Section 151-164)* describes the functions, roles and responsibilities of local government. *Section 152 (1) (a)* states that municipalities must provide a democratic and responsible government for their citizens. Abrahams (2015c) alluded in his study about the review of monitoring and evaluation in South Africa that municipalities are encouraged to promote development, which will encourage citizens to participate in the developmental strategies envisioned by their municipalities. The *Constitution of RSA (1996) section 151* asserts that local government should administer on its own initiative and on local government matters subject to national and provincial legislation and injunctions in the *Constitution*. In the same vein Madumo (2015) alludes to the fact that it

is important for the objectives enshrined in the constitution to be achieved by all municipalities who should be receiving support from the communities they serve. Madumo (2015) states in his study that it is a prerogative of all municipalities to establish a performance monitoring and evaluation unit to ensure accountability, efficiency, and the economic and effective way of systems being implemented to deliver services to ensure fulfilment of human rights.

3.3.2 *Government-Wide Monitoring and Evaluation System*

The Government-Wide Monitoring and Evaluation System (GWM&E) was the first initiative drawn for managers on monitoring and evaluation. The purpose of the GWM&E system is to focus on outcomes-based results regarding policy, programmes and projects (Engela and Ajam, 2010). Research shows that the concept of M&E is globally used and its importance is progressively established. Factors affecting M&E that are being identified in the GWM&E System are: Government has to take heed of initiatives by creating policies that guide implementation and finance. Human capabilities must be deployed as required and lastly public participation advances impact and makes findings acceptable (Engela and Ajam, 2010). According to (Maepa, 2014) , the GWM&E intervenes to remedy the imbalances the department had with regard to M&E. This view is supported by Mtshali (2015) who writes that GWM&E provides National treasury with a report that will allow it to judge whether human and financial resources are being used adequately or not.

The *Pubic Service Commision (2008)* asserts that the presidency requires data on performance of stakeholders in implementing the agenda of determining impact of long-term poverty alleviation. The intention of GWM&E is to play a role in improving governance and in developing usefulness of public sector organisations and institutions. September argues that GWM&E gathers information from variety of foundations and present it. GWM&E creates an overall picture of National, Provincial and Local Government to collate and analyse data from organisational sources and to submit this to the GWM&E via IT (Majola, 2014: 7). Departments are to report on the impact of research that each of their programmes carry out at least every 5 years in line with the MTSF (Majola, 2014: 7). The GWM&E assesses the departments under the following criteria: Value for money which is managed at national treasury, human resources managed by DPSA, early warning indicators managed by DPSA, public administration managed by PSC, service delivery and quality assessment by DPLG, and

the system for monitoring the performance of provincial and local governments managed by DPSA (Engela and Ajam, 2010).

3.3.3 Public Service Commission (PSC)

In 2007, the PSC pronounced its opinion regarding public service reports in a developmental state (*Public Service Commission, 2008: 2)*. This view is supported by the *Centerfor Publicimpact.org (2016)* who write that South Africa is steadfastly determined to pursue a context of building a developmental state. South Africa is determined to create a better life for its people hence the *Constitution* captures the collective will of the citizens of the country (Wotela, 2017). According to (Abrahams, 2015c) the PSC abides by the prescripts of Consti*tution of RSA* (1996) *Section 195* seeks to promote the beliefs and ideologies governing the organisation. In order to appreciate the objectives of PSC the *Public Service Commission (2008)* identifies the following aims: the PSC monitors and evaluates the organisation's performance and can further recommend the improvement in public service, the PSC also reminds Parliament of the beliefs and ideologies governing the organisation. Based on these functions the PSC spearheads M&E.

3.3.4 The Municipal Systems Act 32 (2000)

The *Municipal Systems Act 32 (2000) section 35 (1)* recommends that the IDP should guide and inform all planning, development and decisions in relation to management and development of the municipality. An analysis of the application the *MSA 2000* as outlined by Mviko (2015) is that many organisations including private, Non-governmental institution, use the MSA 2000 Strategic Planning Guide to create their vision and mission as a guide for decision-making and as a guide to resource allocation and to strengthening their priorities. Van der Waldt (2014) highlights the development and adoption of KPI's, targets and community participation in the setting of KPI in chapter three of the *MSA 2000*. This view is supported in Buthelezi about setting SMART key performance indicators that are results-based. Similarly, Blondal (2013) found that *Section 42 of the MSA 2000* prescribes that municipalities should establish suitable ways in which communities will be involved in development and reviewing of performance targets for the municipalities.

3.3.5 Batho-Pele Principles White-paper

The objective of the Batho-Pele principles is to put people first. This notion is supported by Mofolo et al. (2013) who writes that the objective of Batho-pele is to put people at the core of planning the delivery of services. Mofolo states that Batho-Pele builds and improves the image of service delivery. The *Department of Public Service and Administration (1997)* states that the public service is not a privilege but a legitimate expectation for the people. Therefore, it is a prerogative of government to make sure that there is efficient service delivery to the public (*Department of Public Service and Administration, 1997)*. This is reinforced in th*e Constitution of RSA (1996)* that public Administration should abide by a number of values including: upholding and promoting a high standard of service delivery, provide services objectively and justifiably, utilise services efficiently, economically and effectively, and display openness and transparency and accountability. *The White Paper on Batho-pele* identifies 8 principles for transforming service delivery expressed as: Consultation; Service Standards; Access; Courtesy; Information; Openness and transparency; Redress and value for Money (Department of Public Service and Administration, 1997). The DPSA working together with the PSC uses Batho-Pele Principles as a monitoring tool for service delivery. As arranged in the White paper, the Department of Public Service and Administration (1997) has the potential found in the Monitoring and Evaluation tool to ensure major changes by providing early warning indications and improvements to assist challenges faced.

The principle of service standards states that the citizens must be afforded information on the excellence of public services they will obtain so that they are prepared and know what to expect *(Presidency,* 1998). The *Pubic Service Commision (2008)* uses the *Annual Report* to assess the point to which a department should use openness and transparency in their operations. According to Reddy (2015) many departments use openness to assess their department's taxes and have them evaluated. A satisfaction of 90 per cent of programmes has been achieved. This has allowed accountability and accomplishments of targets set (Reddy, 2015). Similar to Reddy, Ntoyanto (2017) also shows a finding of promotion of access to information which promotes accountability of public officials and good governance as envisioned in the monitoring and evaluation context. The *Constitution of RSA (1996)* indicates that decision-making should be transparent in order to report on any irregularities.

3.3.6 *National Development Plan 2030*

The aim of the *National Development plan* is to eliminate poverty and to reduce discrimination by the year 2030. South Africa has made great strides in this attempt at a democratic dispensation *(National Planning Commission 2030, 2010: 24)*. According to Naidoo (Undated) the *National Planning Commission* was authorized by the then President J G Zuma in 2010 to draw a vision and national development plan. The *Commission* set out the short-comings and gaps experienced in South Africa since 1994 (Naidoo, Undated). Nine challenges were drawn, among others closer to monitoring and evaluation call for attention is Public services are uneven and often of poor quality (Sibanda et al., 2013). Commenting on the NDP 2030 Majola (2014) maintains that the NDP 2030 is to be integrated with existing policies and processes already in place for Government priorities. In the same vein Hlatshwayo and Govender (2015) write that the integration of the NDP 2030 plan with other policies in place will allow systems to be monitored easily. This view is supported by Joja (2016) who writes that the implementation of the NDP 2030 plan is a shared responsibility which allows interaction with departments to assess progress and to identify blockages. As preserved in the *National Planning Commission (2014)* the work in this plan is linked to *Outcome 12 of the Medium Term Strategic Framework (MTSF)*.

The MTSF focussed on priorities for nation building namely: Creating descent jobs; sustainable lively hoods; education; health; development; food security and the fight against crime and corruption *(National Planning Commission, 2014)*. According to Mofolo et al. (2013) from these priorities, twelve priority outcomes were projected and adopted by the cabinet. Among the twelve outcomes, priority outcome number 12 directed to municipalities required an efficient, effective and development-focused public service and an empowered, inclusive citizenship. According to Chabane (2010) the outcomes have their linked measurable outputs except outcome 12 which has seven measurable outputs designated as 1. Service delivery quality and access; two. Human resources management and development; three. Business processes, systems, decision rights and accountability management; 4.Corruption tackled effectively; five. Nation building and developing a national identity; six. Enhancing public participation; seven. Enhancing uniform service standards for all. The purpose for these are to ensure tighter accountability with firm consequences and to ensure a continuous developmental growth for the country (Molepo, 2012).

3.3.7 *Municipal Financial Management Act (MFMA): Circular 88*

Recently, the National Treasury released circular 88 of the *Municipal Financial Management Act (MFMA)* on Rationalisation, planning and reporting. The circular was released on 30 November 2017 to be implemented by all metro municipalities. *Circular 88* is to be read and implement alongside with *Circular 13 of the MFMA*. The aim of *Circular 88* is to align and support the planning and reporting instrument for a prescribed set of municipal performance indicators(*Circular 88, 2017*) . The MSA and the MFMA require alignment between planning and reporting instruments such as the IDP, the SDBIP and the *Annual Report* (Engela and Ajam, 2010). *Circular 88* aims to clarify matters by prescribing municipal performance indicators for metropolitan municipalities in providing guidance in reporting and linking the IDP, the SDBIP and the performance part of the AR This MFMA circular has conceptual benefits for all Municipalities (*Circular 88, 2017).*

Circular 88 therefore consolidates the municipal reporting documents into one financial document. All metro municipalities are to utilise a common reporting template. The *Service Delivery Budget and Implementation Plan* comprises programmes, projects and sub-projects with allocated financial resources for all projects. A vote number linked to the National treasury system called the *Municipal Standard Costing Operation Accounts (MSCOA)* is used to monitor and evaluate allocation and utilisation of funds allocated to programmes and projects.

3.4 Issues of M&E in SA Local Government

M&E is a concept that has not been well understood, nor has it been fully embraced in the working sector let alone the government sector. According to Naidoo (2012: 110) the present situation in the South African government is that there are many M&E employees sitting at high levels with lack of knowledge and experience in M&E. Some lack competency skills to carry out the tasks (Naidoo, 2012). This slows down service delivery and opens loopholes for fraud and corruption and eventually public protests. This portion of the chapter will look at the political interference and lack of capacity in M&E in local government.

3.4.1 Political Interference

Monitoring and evaluation is becoming progressively more important in the business sector and in government institutions internationally. According to ML*E (2014)* Political interference hampers effectiveness of service delivery and hinders the monitoring and evaluation system process. Similarly, Dlamini (2017) writes that political interference in monitoring and evaluation make service delivery vulnerable and susceptible to fraud and corruption. This is supported in Legorreta (2015) who claims that projects and programmes are usually attached to political symbols rather than to social and economic benefits. A study conducted by Waithera and Wanyoike (2015: 385) in Kenya, reports that political interference has been experienced in youth programmes and funded projects. Waithera & Wanyoike's study about the effect of project monitoring and evaluation of youth-funded agribusiness projects, surveyed 63 per cent of the youth in Nyaguthi and Ogygi who felt that there is political interference in their projects and programmes whilst 37 per cent responded that there is none. South Africa is faced with political interference, which hinders service delivery and results into negative impact on service delivery.

This affects monitoring and evaluation's purpose to regulate the efficacy of the systems in place. A study conducted by Dlamini (2017) on Intra political infighting versus service delivery alludes to instances of corruption that impacted negatively on the effect of good governance and eventually led to terminating a political official's employment contracts. Several municipalities were placed under administration due to lack of performance and non-fulfilment of the obligations mandated by the *Constitution of RSA (1996: Section 139)*. The *Constitution* explains placing a municipality under administration when a municipality fails to fulfil their executive responsibility in terms of the legislation. An administrator will be appointed to oversee the day-to-day running of that Municipality. According to Dlamini (2017) uMsunduzi Municipality was placed under administration due to miss-appropriation of funds and interference in policy and projects of the Municipality which lead to the mayor of the municipality being recalled. According to Singh (2015) 8 Municipalities have been place under administration due to political interferences which hinders service delivery which in turn affects the monitoring and evaluation system which is thought to draw on the effectiveness of service delivery.

There is political interference in the government working environment in all sectorial departments. To mention a few they are: Human Resources, Supply Chain, Finance,

infrastructure and also M&E. Political interference in M&E hinders service delivery and dents good governance in the Department. EThekwini Municipality continues to receive clean audits and unqualified audits yet there are quantified problems of fruitless expenditure highlighted by the auditor general. The 2013/2014 financial year had material findings, where the Municipality had incurred material losses relating to water and electricity. The monitoring system has been contravened by awarding contracts to persons who are related to employees of the municipalities, the MFMA (2004: Section 112 (j)) and the supply chain management policy no.44 which stated that persons who are employees of the municipality should disclose business interest of their family members have with the municipality. A number of municipal members still did not disclose or are delaying to disclose this information. The monitoring of this is challenging as it involves rebuke, but it affects and deters efficiency of systems in place.

3.4.2 Lack of capacity in M&E in Local Government

Challenges of incapacity in M&E is nation-wide, Mthethwa and Jili (2016) reported that the Department of Local Government and Traditional Affairs (DLGTA) in Gauteng found that there is a shortage of skills in the M&E arena which leads to the system not being implemented of not being implemented correctly. According to Mthethwa and Jili (2016), DLGTA is the reason why there is no proper implementation of M&E due to the Department not seeing itself as a coordinating body of Municipal M&E. Mthethwa & Jili argue that DLGTA determinations in assisting municipalities were minimal in Gauteng province. According to Gorgens and Kusek (2009) the skills gap issue should be at the heart of M&E. They argue that focusing on the human skills capacity will result in a quality M&E system. Human capacity is a fundamental prerequisite in establishing the M&E system (Gorgens and Kusek, 2009). Herewith are the individual competency requirements:

- Professional practice with the ability to apply professional standards of evaluation;

- Observance of ethics, integrity and honesty in conducting evaluations with the understanding and knowledge-based evaluation;

- Understanding of qualitative and quantitative research methods in order to develop evaluation designs;

- Ability to structure evaluation questions in order to collect data; An ability to analyse and interpret data in order to assess validity and reliability of data;

- Ability to compile evaluation reports so as to develop recommendations from evaluation reports;

- Ability to supervise others involved in evaluations so as to be able to train those involved in evaluation practices; and

- Ability to provide data to intended users of evaluation reports in order to manage evaluation reports (Stevahn et al., 2005).

3.5 The Process of M&E in eThekwini Municipality

EThekwini Municipality has an *Organisational Performance Monitoring framework* in place, which it uses to monitor the performance of the organisation (eThekwini Municipality, 2016). According to the *eThekwini Municipality (2016)*,the system in place is designed to track development in achieving the objectives of the municipal strategic plan in the eThekwini's IDP. EThekwini has implemented a performance monitoring cycle, which is aimed at ensuring that the strategic direction of the Municipality is informed by national and provincial perquisites.

Figure 3. 1: The Performance Monitoring and Evaluation Cycle (eThekwini Municipality, 2016: 23)

The planning phase involves stakeholder engagements to identify the community needs that are to be included in the IDP,KPI's are created and programmes established after community

participation they are then approved by council (e*Thekwini OPME Unit, 2016)*. Targets and KPI's are monitored quarterly as an ongoing process. In order to determine why there is underperformance, KPI, targets are reviewed in order to determine usefulness, reliability and compliance to legislation *(eThekwini OPME Unit, 2016)*. Any amendments to be effected on KPIs and targets are done during the Mid-term process.

Performance feedback is done periodically to management, Audit committee council, National and provincial treasury and CoGTA. Lastly, in order to verify that the key elements are accurate, the results of performance are audited by the Municipal Internal Audit. The eThekwini Municipality (2016: 19)uses the following tools to "monitor performance of the municipality: The scorecard to feed back on the organisational performance of the Municipality, which provides reporting on the KPI, aligned to the Strategic focus areas and NKPA". The SDBIP, which is a financial reporting document entailing the programmes, projects and sub projects aligned to the KPI's in the Scorecard, the SDBIP, has financial allocation of each plan for all programmes and projects. The Individual performance plan is used to monitor the performance of an individual responsible for plans with KPIs aligned to the programmes and projects in the Scorecard and SDBIP. The Annual report used to provide feedback on the complete performance of the Municipality to National and Provincial Government (*eThekwini OPME Unit, 2016)*.

3.5.1 Standard Operating Procedure of eThekwini Municipalities performance monitoring.

The KPI owners on the eThekwini performance monitoring live system capture quarterly performance statistics *(eThekwini OPME Unit, 2016)*. Below is the SDBIP process flow and reporting. The Scorecard and the Service Delivery Budget and Implementation Plan Process Flow of eThekwini Municipality. The capture is done over ten days at the end of every quarter. The PME unit assesses the capture and reminds users to capture if they have not done so. PME will then report to EXCO on the SDBIP only when the report is required five days before the EXCO sits. The SDBIP is signed by the City Manager and the plan owners for each of their plans. The Scorecard is sent to internal Audit to verify information on the Scorecard to ensure completeness and accuracy of the document and validity of the status reported. Internal Audit will refer the Scorecard to the DCM forum for discussion and resolution of queries prior to submission to the Audit committee. During the MTA the OPM team liaises with relevant plan

representatives and the Plan owners to make changes on their SDBIP, Scorecard KPI, targets and their Programmes' Projects and targets (*eThekwini OPME Unit, 2016*).The OPM assesses the capture of amendments to determine accuracy of amendments. The amended SDBIP and Scorecard is send to the Quality Assurance section for verification, who will send the findings to the OPM team for the attention of plan representatives and Plan owners who are to effect changes before the documents is sent to the Executive Committee (EXCO).The scorecard is sent to Internal audit who will verify data and ensure completeness *(eThekwini OPME Unit, 2016)*. Internal Audit compares the previous quarter's results to the current results to check if quarterly targets do not exceed annual targets and to ensure that reasons for variance are appropriate (*eThekwini OPME Unit, 2016)*. Internal Audit reverts to OPM who will feed back to plan owners to correct the report (*eThekwini OPME Unit, 2016)*. The Scorecard and the SDBIP for the New Year is accepted by the Mayor, which is done 28 days before the endorsement of the IDP.

3.5.2 Challenges at eThekwini Municipality in reporting

The main Challenges at eThekwini municipality are that the process timelines are not co-ordinated with the IDP and the Budget (*eThekwini OPME Unit, 2016*). According to the report done on the Standard operating procedures, eThekwini OPME Unit (2016) argue that deadlines are not adhered to. There is also frequent changes requested by stakeholders, which cannot be implemented until the MTA period which is in the second quarter (e*Thekwini OPME Unit, 2016)*. There are also several and often conflicting/ duplicated data requests from spheres of government. Reports received from CoGTA usually have duplicated information of requirements that are specific to districts which are sent to eThekwini Metro to report on (eThekwini *OPME* Unit, 2016) .User understanding of business processes are not in line with the legislated requirement. There is also a misappropriation of legislation and Inadequate/ lack of portfolio of evidence. Departments report on achieved targets with no evidence to support their status reporting (*eThekwini OPME Unit, 2016)*.

3.5.3 Setting Key Performance Indicators

A recent study by Van der Waldt (2014: 8) provides a comprehensive analysis of the setting of measurable Key Performance Indicators. He argues that this is done by relating the Clear;

Relevant; Economic; Adequate; Able to be Monitored; (CREAM) criteria for setting goals and the Specific; Measurable; Attainable; Realistic; Time-bound (SMART) principle in setting targets (Bours, 2014: 3). This view is supported by Buthelezi (2016) who states that the key priorities and objectives in setting measurable and outcome-based KPIs are found in setting targets that adhere to the SMART principle. Where measureable tools do not exist, it is prudent that KPIs be set up to measure the design and implementation of such a system. It is now well-established that the measurement tool of a KPI is implemented from measuring output that can then be included in the service delivery plan of a Municipality (Buthelezi, 2016: 39).

Attention to setting measurable KPIs was drawn by Kusek and Rist (2004: 166) who advise the setting up of KPIs by using the CREAM criteria in order to set a results-base and outcome gaols. If the criteria are applied, the KPI tends to be useful. A KPI set in application of the CREAM criteria provides sufficient basis to assess performance hence it should be adequate. Usually CREAM indicators are qualitative in nature. A broader perspective has been adopted by the *National Treasury (2010)* that uses the SMART principle mainly on the quantitative side of a KPI which looks at measurability of set targets i.e. the number, percentage, decimal, mean etc. The outcome is usually a number. In the review of KPI*, eThekwini Municipality PME (2013)* brings in the key performance information concepts that are considered when indicators are set which includes the input, output, activity and impact. According to *Health Information and Quality Authority (2013)* the result-based project provides a component of a successful project in developing an indicator that tracks the performance information to assess whether the KPI is implementable as planed or not. Without information of input, output, activity, outcome and impact, it may be impossible to determine the efficacy of a KPI.

3.6 Chapter Summary

This chapter set out to determine how well managers of M&E comprehend the concept of M&E. The aim of this study was also to show existing gaps in M&E in local government. There has been existing loopholes in the M&E systems set in departments, which are so prevalent to the extent that service delivery is affected. The essence of this chapter was to assess the extent to which local government is implementing the M&E systems and how well it is implemented. The section on setting KPI and targets that are result-based highlights the strategic way of setting KPI that is outcome-based, that is clear, measurable and easily evaluated. Although the

study has successfully demonstrated that there is lack of an evaluation system in local government, it has certain limitations in terms of application of the Theory of Change and the Logical framework on assessment of organisational performance. A number of municipalities do not have the evaluation system to assess their policy programmes and projects. This makes it difficult for the organisation to assess its organisational performance in order to see if they are providing services to the people as mandated and legislated.

CHAPTER FOUR: RESEARCH METHODOLOGY

Introduction

The intention of this chapter is to present the research design that was used to gather and scrutinise data in this dissertation. This chapter is prearranged as follows. Firstly, this chapter discusses the research paradigm that was used in the study, then moves on to discuss the methodology used in the study. Next, the sampling strategies are discussed. The study briefly discusses the data collection methods that were used to collect data. Lastly, the chapter concludes by providing an explanation of the ethical consideration for the study.

4.1 The Research paradigm

It is a norm that every researcher has to use a paradigm (Chilisa and Kawulich, 2012: 51). For the researcher to be able to consider how to go about investigating and understanding the research question/s, a paradigm has to be identified. As discussed earlier, historically, the word paradigm was used by Kuhn in 1962 who described it as a guideline to conduct research acceptable to researchers. Kuhn further stated that the word paradigm is a derivative of the word *paradeigma* meaning design. Years later, Guba (1990) stated that a research paradigm is used to determine an appropriate way to scrutinise the anomalies and find solutions, On the other hand, du Plooy Cilliers et al. (2014) refers to paradigms as research traditions or world-views. This study employed a pragmatic paradigm. Pragmatism is a deconstructive paradigm that back-ups the utilisation of mixed methods in research. According to Teddlie and Tashakkori (2009) pragmatism focuses on what works as the truth concerning the research questions under investigation. Pragmatism preserves that procedural extensiveness that gives the liberty to align methods and select the best instrument for responding to research questions. Pragmatism claims that information rises from activities and circumstances Teddlie & Tashakkori quoted in (Brieley, 2017: 16).

Pragmatism

This study is underpinned by the pragmatic paradigm, which employs both the qualitative and the quantitative methods of research. du Plooy Cilliers et al. (2014) define pragmatism as a study that intends to find a solution to problems through the application of qualitative and quantitative methods. In their recent research, du Plooy Cilliers et al. (2014) established that pragmatic research does not merely use the Mixed Method approach, but identifies specific methods in a complementary way to devise responses and solutions to set problems. Pragmatism is relevant to this study because it is more likely to provide for collaboration. For this intended study, pragmatism emphasised the shared meaning of the M&E system and joint action. In other words, pragmatism determined the extent to which mutual understanding and working together to achieve a common goal set at a national level. This study deals with Monitoring and Evaluation of Systems in Local Government and places specific focus on the eThekwini Municipality. The following philosophical assumptions were discussed using the pragmatic paradigm:

The Ontology of the Pragmatic paradigm

Ontology as defined by Bryman and Bell (2014) as a study of reality, which refers to belief and knowledge. Similarly, (du Plooy Cilliers et al., 2014: 26) found that ontology refers to the nature of reality whereby researchers are to explain how they know what is real. Saunders et al. (2009) states that ontology is about people's perception of things and the way their belief influences reality. Ontology is usually applied under objectivism, constructivism and pragmatism, it allows sharing of knowledge which would capture the conceptual structure of the area in question and associate terms with concepts (O'Gorman and MacIntosh, 2014). The ontology of a pragmatic approach is that reality is constantly deliberated and interpreted in light of its practicality and in an unpredictable or changeable situation. According to the pragmatic approach, the best methodology that can be used to acquire knowledge is the mixed method design. The tools to be used to acquire knowledge according to pragmatism is questionnaires, interviews, focus groups, measurements and scaling. The reality in M&E is regarded as something that is not static, it is constantly being re-interpreted and its use has always changed. The ontology of pragmatism is applicable to this study as per an illustration of Shannon-Baker (2016: 320) who claims that the pragmatism is outcome-based. This study used methodology

of mixed method and the method of acquiring information that was used is a questionnaire, document reviews and interviews.

The Epistemology of the pragmatic paradigm

Epistemology is defined as a study of knowledge. Maepa (2014) contends that, generally, epistemology is a study that deals with the nature of knowledge and the different ways of knowing. In describing epistemology Saunders et al. (2009) define it as a philosophical assumption that seeks to speak to the facts of what is seen as acceptable knowledge. Further Saunders et al., state that epistemology is a study by scientists who would perform a rigorous testing of information for it to be declared as a fact. Pragmatist epistemology suggests that information researched can be used from numerous angles and reflect differing interests suitable for the research being selected because it is considered the best method of solving the problem. This study used a system that solves problems in terms of finding out how M&E is undertaken. The study needs to understand the nature of M&E and the different ways M&E gives effect to efficacy in service delivery and in enhancement of good governance.

Axiology of the pragmatic paradigm

Axiology is defined as the role of ethics in research that gives an insight into what is appreciated within a tradition. du Plooy-Cillers et al.'s view is supported by O'Gorman and MacIntosh (2014) who write that axiology allows researchers to use their opinions and discretion regarding information gathered as opposed to eliminating information that hasn't been diagnosed. In the same vein Bryman and Bell (2014) are of the view that personal belief can influence the research. The axiology of the pragmatism suggests the approach to be used to acquire knowledge. According to the axiology of pragmatism, the mixed method research design is the methodology to be used. The method of collecting information is through questionnaires, interviews, focus groups, measurements and scaling. The study used the mixed method research to collect information and collected information using the questionnaire, interviews and document reviews. The study reported on the views and judgement of the respondents as they were presented and the opinions of the respondents were recorded without any manipulation. Responses acquired from interviewees also added value in providing

recommendations for municipalities to re-assess their M&E systems and re-develop where necessary. Good governance can also be enhanced.

4.2 The methodology

This study employed a mixed method that utilised both the qualitative and the qualitative methods of data collection as described below. This study used the mixed methods to collect and analyse data defined by Creswell (2017) as a method that focuses on collecting, analysing and mixing both qualitative and quantitative methods of research in a single study or a succession of studies. Mixed method has been selected for this study because both the qualitative and quantitative methods of collecting data has been utilised where quantitatively participants have completed a questionnaire and qualitatively interviews were conducted. The main reason for this study to use the mixed method was based on the dissimilar traditions involved with varying underlying resolutions. It suggested the opportunity of merging abilities of both qualitative and quantitative research to counter-act the limitations of each method (Johnson and Onwuegbuzie, 2004: 18) In combining both the methods, Creswell (2014) states that this helps to reduce personal biases. The Mixed approach can offset weaknesses by allowing a researcher to use a wide range of tools to collect data. Mixed methods combines inductive and deductive thinking and reasoning (Denzin, 2010).

4.2.1 The qualitative method

The qualitative method includes interviews with open-ended questions, data observation, focus group observation, audio-visual data, text and image analysis, theme and pattern analysis (Creswell, 2017). This study used interview guides, face-to-face interviews, telephone interviews, recordings on tape and written notes were utilised. This was done to allow the participant to express opinions that could contribute to a reconstruction of knowledge. Eight (8) participants were interviewed, taking approximately forty minutes for each interview. Consequently, document evaluation is one of the qualitative information collection methods that this research employed. An analysis of documents such as frameworks, policies, codes of conduct and other related legal documents was undertaken. The eThekwini Municipality's M&E policy documents was examined. There are many benefits of using qualitative method in a research. According to Rahman (2017), using a qualitative research approach produces

detailed portrayal of participants, for instance, the opinions, feelings and experiences which are interpreted in actions. In the same vein Corbin and Strauss (2015) admits that qualitative research method assists the researcher to discover the participant's inner experience and to understand how meanings are shaped through culture. This study used the qualitative method incorporated in a mixed method especially for conducting interviews; the researcher was able to have a direct observation when interacting with participants. The qualitative method allowed participants freedom to determine what is consistent for them.

4.2.2 The quantitative method

A quantitative research method is described by Mannering and Bhat (2014)as a methodical examination of phenomenon by collecting data and executing it statistically or mathematically. Similarly Rahman (2017) describes quantitative research method as a method that collates data from current and potential participants using sampling methods, online surveys and questionnaires, where-in results can be shown in a numerical form. In the same vein Johnson and Onwuegbuzie (2004) claim that quantitative research method is about numbers and figures, it is utilised to measure opinions and defined variables. The quantitative method of data collection was employed for the purposes of this study when data was collected from officials using survey questionnaires. Officials from the following selected Units participated in the survey questionnaires: Performance Monitoring and Evaluations Unit, Internal Audit Unit, Good Governance cluster and Policy Office. The advantage of using a quantitative method in research is that the findings are likely to be generalised to a larger population (Corbin and Strauss, 2015) For this study, utilising the quantitative method was less time consuming. For statistical data analysis, this study used a statistical data analysis software called Statistical Package for Social Science (SPSS) version 25

4.3 Research design

A definition of research design by Christensen et al. (2014) is defined as a "strategic agenda that aids as a connection between research questions and the carrying out of the research". James and Murnan (2013) describe research design as an idea for selecting research sites, subject matter and data collection processes in order to respond to research questions. Similar to Terre Blanche *et al,*, James and Murnan (2013) write that research design serves as a guide

which the researcher needs to follow when conducting research, Terre Blanche et al. (2007: 34) state that research design provides an arrangement and circumstances for data collection and data analysis which in turn affects the relevance of the study. There are different types of research designs to mention a few namely: explanatory, descriptive, exploratory and grounded theory. This study has used the descriptive method which is defined by Cameron (2011) as a method good for describing surveys and case studies which encompasses much of the government research like the population census. This study used the descriptive method to comment on data gathered in order to identify gaps in the M&E system. In employing the descriptive method, the researcher was able to have a clearer image of what the M&E system status is at eThekwini Municipality. In describing the system, the researcher was able to scrutinise data using both the qualitative and quantitative methodology of data analysis.

4.4 Research site

The research site for this study was at eThekwini Municipality in the Province of Kwa-Zulu Natal in Durban in the east of South Africa as depicted in the map below:
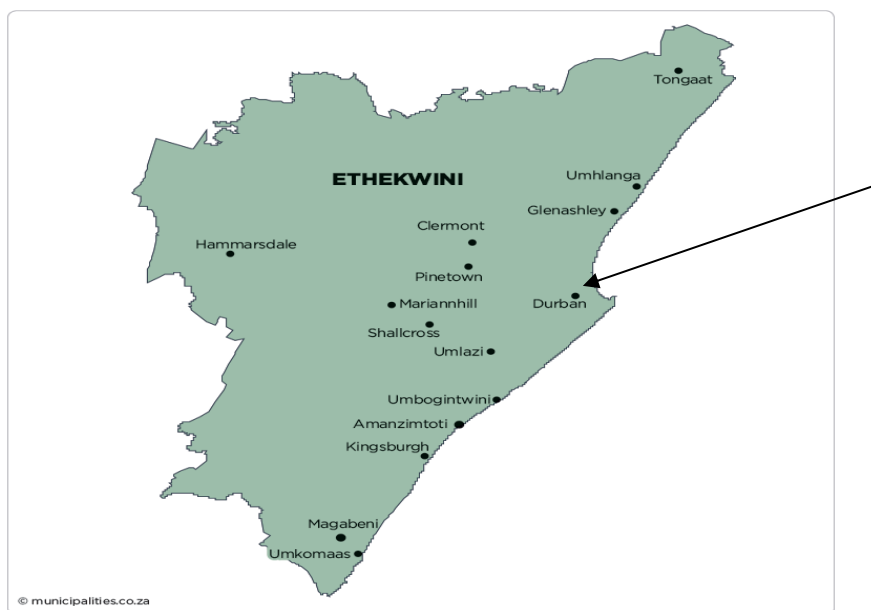
Figure 4. 1: eThekwini Municipality Map (Municipalities maps: Undated)

4.5 Target Population

A target population is a group of people or cases within a population which the researcher wants to generalise (Puhan, 2013). Wiid and Diggines (2010) defines a target population as

everything and everyone selected to be part of the population. This viewpoint is supported by Maloba (2015a) who writes that for every research, the researcher should clearly define the group of people or cases he or she intends to study. The target population for this study comprised two Units, one cluster and the policy office. These were selected at eThekwini Municipality. The two units were Performance Monitoring and Evaluation Unit (PM&E) which has a staff capacity of fifty-two (52) employees, Internal Audit (IA) has one hundred and seventy seven (177) employees, the Good Governance (GG) cluster has twelve employees (12) and the Policy Office has eight (8) employees. The total staff capacity for the selected participating units was two hundred and forty-nine (249) as seen on table 4.1

4.6 Sampling strategies and sample size

Sampling strategy is a plan set to ensure that the sample selected for the study represents the population one intends to study (Nowak et al., 2006). In order for this study to be able to generalise its findings, there are two types of sampling strategies that all researchers apply in their studies in order to determine the capacity to generalise findings. The two types of sampling strategy are probability sampling and non-probability sampling. du Plooy Cilliers et al. (2014) explains probability sampling as a sample where an element in the population has an equal opportunity to be added in the sample, whilst he refers to non-probability as a sampling where it is impossible to gain access to the population. In the same vein Gutterman (2015) states that, with probability sampling, one gains access to the elements in the population where all elements have an equal opportunity to participate in the study or to be selected. Unlike with non-probability he argues that it is subjective and the researcher cannot generalise the findings. This view is supported by Creswell (2017) who writes that non-probability sampling elements are selected randomly to make up a sample, the results cannot be generalised to the larger population. However, Tashakkori and Teddlie (2015) argue that although non-probability is subjective, it uses different descriptions to generalise its findings to a bigger population in an exploratory study. Non-probability sampling uses different approaches in its sampling such as: Snow ball sampling, quota sampling, accidental sampling, convenience sampling purposive sampling volunteering sampling and simple random sampling (du Plooy Cilliers et al., 2014).

This study employed non-probability sampling where convenience sampling and purposive sampling were applied. The convenience sampling as described by Neuman (2006) is a method where elements are drawn from an available group which is easily accessible. Neuman further

describes purposive sampling as a sampling that is subjective to judgement. Most researchers use it as random purpose sampling. This study used both purposive and convenience approaches. In application of the purposive sampling, the researcher purposefully selected the participating Units based on the knowledge of the study and the population the researcher had easy access to. The following participating Units were selected: Performance Monitoring and Evaluation Unit, Internal Audit Unit, Policy Office and Good Governance Cluster. Convenience sampling was used to select twenty-five (25) members from Performance Monitoring and Evaluation Unit, twenty-one members from (21) Internal Audit Unit, five (5) members from Good Governance cluster and twelve (12) members from the Policy Office. Regarding the data collection method that was used, from Performance Monitoring and Evaluation Unit two (2) managers were interviewed and two (2) completed and returned questionnaires, two (2) officers were interviewed and twenty-one (21) completed and returned questionnaires. From Internal Audit Unit, twenty-one (21) participants completed and retuned the questionnaires. From Good Governance Cluster one (1) senior official was interviewed and four (4) staff officials completed and returned the interviews. From the Policy office, three (3) policy analysts were interviewed and five (5) policy analysts completed and returned the questionnaires. The overall number of paricipants in the study was fifty-nine (59) members, that is fifty-one (51) questionnaire participants and eight interview participants.Participants were selected from the permanent staff members in the organograms.

Table 4. 1: Table of sample and data collection methods

eThekwini Municipality Unit	Staff capacity	Designation	Data collection method		Sample size
			Interviews	Questionnaires	
Performance Monitoring and Evaluations Unit	52	Managers	2	2	**4**
		Officers / Advisors	2	19	**21**
Internal Audit Unit	177	Auditors and Practitioners	0	21	**21**
Good Governance	12	Senior officials	1	0	**1**
		Staff officials	0	4	**4**
Policy office	8	Policy analysts	3	5	**8**
Total	**249**		**8**	**51**	**59**
Grand Total	**249**				**59**

4.7 Data collection methods and tools.

4.7.1 n-depth interviews

The in-depth interview method is described by du Plooy Cilliers et al. (2014) as a qualitative data collection method in which a researcher asks the respondent questions and records responses. Edwards and Holland (2013) state that interviews can be either structured, unstructured or semi-structured. Bryman and Bell (2014) supports this and extended the comment to point out that structured interviews are utilised mainly in quantitative research where survey questionnaires are used. Similarly, semi-structured and unstructured interviews are used in a qualitative method of research where the interview is flexible and follows no specific structure. Eight structured, semi-structured and unstructured forms of interview were chosen to be used for this study with the selected participating Units. Firstly, the structured interviews were carried out where respondents were given copies of surveys with a list of structured questions written out in a particular format. Semi- structured questions were also used since they open up a more collaborative interchange between the interviewer and the interviewee (Dainton and Zelley, 2017: 13). In-depth interviews were suitable for managers and geographically dispersed participants who would not feel free to speak in a group (Keyton, 2011: 58). For this study, the most popular form of interview which is the face-to-face interview was used to solicit information that was considered as sensitive, in turn making it easier for the respondent to be more open and to clarify issues (O'Gorman and MacIntosh, 2014). In addition to Keyton's advocation of face-to-face interviews, Creswell (2014) also holds the view that face-to-face interviews are advantageous in that the researcher is able to read body language and detect gestures during the interview process.

For the purposes of this study, face-to-face interviews were conducted with a selection of officials from the four units. The interviewees signed consent forms. These forms guarantee to safeguard the identity of the interviewees and not to disclose the source of the information. The selection of the face-to-face interviews allowed observation of body language that might provide a different insight into what was literally transcribed. Interviews allowed participants to express their opinions, which resulted in a reconstruction of knowledge hence the use of both qualitative and quantitative methods in the interviews. An interview guide, a tape recording and notes were utilised in the process of the interviews. Eight (8) participants were interviewed comprising of managers, senior officials and officers also known as advisors. From *Performance Monitoring and Evaluation Unit*, four (4) interviews were conducted, two (2)

with managers and two (2) with officers/Advisors. Three (3) other interviews were scheduled and conducted with senior policy officials from Units dealing with service delivery. From the *Good Governance Cluster*, one (1) interview was conducted with a senior official. Each interview took approximately 40 minutes of scheduled time.

4.7.2 Documents reviews and Archives

Document reviews and review of the historical documents in archives is described by Mogalakwe (2006) who writes that archived documents reviewed in research are an artefact which is inscribed by individuals and kept on record for information. He further states that documents in archives are not only stored for research but for historical insight. There are two types of document reviews in research which are: primary documents and secondary material (du Plooy Cilliers et al., 2014: 192). Primary documents are documents that have been compiled by individuals who experienced the incidents first hand, whilst secondary documents are those that are written in a second or third person narrative from individuals who record the information from those who were eye witnesses (du Plooy Cilliers et al., 2014: 192). For this study, an analysis of documents such as legal documents, frameworks, codes of conduct and legislation was conducted. The *eThekwini Municipality's M&E framework* was analysed to determine compliance and to the *GWM&E framework*. The 2016/2017 and the 2017/2018 Financial Year *eThekwini Municipal Annual Report*, the *2015/2016 and the 2016/2017 Auditor General Report,* The *MSA 2000* was also looked at to determine compliance, the *Housing Policy document* and the *Community Participation Policy document* were analysed to determine draft implementation.

4.7.3 Survey

A Survey is a form of questionnaire used for collecting data from a selected group of people with the population being selected for inclusion (Creswell, 2009: 34). The questionnaire utilised in this study consisted of two sections. Section A collected information about the participants' work profile. Section B had five sub-sections. Sub-section B1 collected biographical information. Sub-section B2 to subsection B5 required information about Monitoring and evaluation, policy implementation and good governance. The questionnaire provided a numeric response and a 5-point Likert Scale measurement. Fifty-one (51) people

were surveyed for this study. Survey questionnaires were distributed to the four participating Units. Twenty-one (21) questionnaires were distributed to the Performance Monitoring and Evaluation Unit, another Twenty-one (21) questionnaires were distributed to the Internal audit unit, four (4) questionnaires were distributed to the Good Governance cluster and five (5) were distributed to Policy office. The survey questionnaire exercise was self-administered. A date was set for the collection of the Fifty-one (51) completed questionnaires.

4.8 Data Quality Control

Data quality control is a process that verifies that data is gathered from relevant sources and that it is valid information (du Plooy Cilliers et al., 2014). du Plooy-Cilliers et al., further define data quality control as a process of ensuring that data collected is accurate and worthy to be applied in the study. Data collected should be scrutinised to ensure its reliability and trustworthiness. A broader perspective has been adopted from Creswell and Zhang (2009) who state that qualitative research does not use statistics as evidence, instead it utilises different criteria to define trustworthiness and credibility of the research results. Trustworthiness was established besides credibility that refers to the correctness of interpreted data provided by participants. Credibility increases when the researcher spends time with participants in order to gain more understanding and a better insight into the information obtained. Trustworthiness was seen as a principal term used for validity and reliability which means dependability and genuineness of the data received for analysis.

Commenting on reliability and validity, Wagner et al. (2012) state that a researcher is dependent on the assessment of the information to determine the reliability and validity of the findings. Validity and reliability do not carry the same meaning in qualitative research as they do in quantitative research. In qualitative research, validity has its strengths whereby the accuracy of findings and credibility is highly recommended (Creswell, 2009: 252) . This study ensured validity and reliability of information in order to evaluate the quality of the tools used in data collection. This study ensured (to whatever extent this is practicably possible) that the reliability and validity of tools used to gather information were credible for the study. Monitoring and evaluation uses policy documentation, which is legislated and requires compliance with the National government regulations. The proper definition of processes in collecting data was conveyed to participants before they filled in the consent documents Full

information of the study was clarified to participants and their importance in the whole process was emphasised. "Trustworthiness and credibility of the study was enhanced by ensuring that information received is recorded and secured. The information will be stored in the University of KwaZulu-Natal Westville Campus archives within the School of Law and Governance.

4.9 Measurement

Measurement is an analysis used to test assumptions in order to measure what Krueger and Neuman (2006) define as a transfer of numbers to objects. This view is supported by Ali and Bhaskar (2016) who write that measurement is a process of planning empirical phenomena using numbers. In the same vein Wagner et al. (2012: 74) write that measurement is a method of transferring numbers to an incident. He maintains that numbers in research analysis are assigned to humans that turns out to be difficult to observe. Wagner et al. (2012) further describe measurement-using variables that differentiate the formats of measuring phenomena.

Wagner et al. (2012) mention four types of scales namely: The nominal scale that simply labels objects in any measurement process i.e. attaching a number to an object. E.g. boy =one girl =two. In an Ordinal scale, numbers are utilised to place elements in an organised way with no knowledge of the differences between the elements. An Interval scale is a scale where similar objects represent similar differences; the differences are meaningful but cannot be justified. Lastly, there is the ratio scale; it uses measures such as volume, time, length and width. This study employed a Likert scale. A Likert scale is a scale used to determine the overall score using the final average score (Joshi et al. (2015). A Likert scale is defined as a scale to convert quantitative value to qualitative value in order to define the numerical examination of information. This is a number ascribed to responses on a survey in order to evaluate a finding. The Likert scale has largely been used by researchers during surveys (Joshi et al., 2015: 8). In this study a 5 point Likert scale was used where respondents were asked questions and rated their responses between 1 to 5, where 1 = completely disagree 2 = disagree. Three= no opinion 4= agree, five = completely agree. This study used selective tools for gathering data in a mixed method approach, which involved interviews; document reviews archival research and survey questionnaires. Survey questionnaires were used to determine comprehension of the M&E system in the eThekwini Municipality and to establish if M&E officials are complying with legislation as mandated by National Government or not.

4.10 Data analysis

4.10.1 Qualitative data analysis

According to Creswell (2017) qualitative data exploration is a long and tedious process of placing information into order which contains profound analysis of raw data where explanation and comprehensive illustrations are effected. This study is going to follow the 8 steps of qualitative data analysis by du Plooy Cilliers et al. (2014: 235) as quoted in Zhang and Luo (2016) the steps being:

1) *Preparing data*: it is important to note that all data collected was taken into consideration, data collected from interviews and surverys was organised and converted into meaningful data.

2) The researcher decided how to break the data down into portions. The researcher also decided what individual wording or symbols are to be used in the coding.

3) Developing categories and a coding scheme or conceptual framework: grouping related coding units, naming the codes and placing them in categories sufficient in number to accommodate all the data.

4) Testing coding schemes and samples of text: At this stage, all doubts and problems about coding were sorted out.

5) Coding all texts: an analysis of data, taking down notes and highlighting relevant sections with symbols were conducted. Taking down notes enabled the researcher to understand the information better.

6) Accessing coding consistency*:* Consistent rechecking of coding was done.

7) Drawing conclusions from the coded data*:* reconstruction from analysis was observed where written information was reiterated for better understanding and relevance.

8) Reporting on methods and findings: this is a process of reporting on the method and the process applied in coding.

The thematic content analysis was used which allowed this study to identify patterns that are important and thought provoking. This analysis interpreted and made sense out of data collected.

4.10.2 Quantitative Data analysis

Quantitative data analysis includes dissimilar arrangements of numerical investigation which would provide validity and significance to information collected (Terre Blanche et al., 2007: 53). Quantitative data analysis utilises, amongst others, numerical analysis and experimental analysis. O'Gorman and MacIntosh (2014) also agree that quantitative data analysis is a method of collecting data by means of a structured form of a questionnaire that produces data suitable to create tables, charts or graphical presentations. In his analysis of research methodology and design Vosloo (2014) maintains that quantitative data analysis is about discovering evidence that would either support or discard the hypothesis created. Analysis conducted in the early stages is vital for a study. This study looked into information collected using questionnaires, data were examined and analysed to establish the impact of the research.

4.11 Ethical Considerations

According to Bryman and Bell (2014: 28) ethical considerations can be recognised as one of the significant parts of research as a dissertation without ethical considerations is ruined. Some of the deliberations outlined by Bryman and Bell (2014) which this study adhered to were the following:

➢ Research participants were not subject to harm in any way;
➢ Member's self-worth and esteem was set as a priority;
➢ A full agreement was attained from participants before interviews and survey exercise; and
➢ Protection of privacy and secrecy was ensured.

These considerations were applied throughout the research during the data collection and analysis processes.

This document is going to use codes as depicted in Table 4.2. Codes are an artificial way referencing usually utilised in qualitative analysis to hide the identity of participants of the study.

Table 4. 2: Description of codes

Units	Code	Description
Performance Monitoring and Evaluation Unit	KFMEEM	Interviewee at management level
	MNMEQP	Interviewee at management level
	TMMEOP	Interviewee at officer/ advisory level
	TGMEIP	Interviewee at officer/ advisory level
Policy Office	DTEPPE	Interviewee at management level
	APHRPA	Interviewee at management level
	XMSPSM	Interviewee at senior management level
Good Governance Cluster	NGGGPE	Interviewee at senior Management level

4.12 Informed Consent

An informed consent form is a document signed by both the participants in the research and the researcher. The document contains important research information such as a declaration of risks and benefits allowing the participant to make an informed decision regarding participation. "The participant is also allowed to withdraw from the exercise at any time for any reason. This process is legal and is also an ethical standard which all researchers should abide by (Bryman and Bell, 2014: 29). The rights of the eThekwini Municipality staff members to be interviewed were protected by signing consent forms with the interviewer. The consent form for participants also ensured anonymity.

4.13 Gate keepers Letter

A gate keeper refers to access into an organisation, the organisation has the right to be aware of and be given the right to grant or decline permission to a researcher to conduct research in their domain *(UKZN*., 2016). For this study, a gatekeeper's letter was acquired from the eThekwini Municipality to conduct research on the organisational performance monitoring and evaluations system. Incumbents in senior management positions and middle management positions were interviewed in order to compile data as supporting information for the dissertation.

4.13.1 Anonymity and researcher's responsibility

Anonymity of the research participants means removing participants' names by using codes. Information about the participant's age, place of work, designation and the geographical area can easily make the participant identifiable (Maloba, 2015a: 17). As a researcher, care was taken to ensure that the participant remains anonymous and that the level of anonymity is not

over-emphasised. The responsibility of the researcher was to set appointments with participants in advance. The results of the research will be made available to the institution upon completion of the study. Confidential and sensitive information is kept aside separately in a secure holding, as declared in the consent documents.

4.14 Chapter Summary

The purpose of this chapter was to show the logical assumptions supporting this study. The purpose of this study was to investigate the research strategies and the realistic methods the implementation of M&E in Local government applied in the current system of local government, particularly in the eThekwini Municipality. The important aspect of this research is the research approach selected for this study, which is the mixed method, where data was collected using both the qualitative and the quantitative method. Although the findings were based on a small group of participants purposefully selected, the findings were generalised to the municipality. A number of limitations have been considered. Firstly, availability of respondents and them not fully trusting that the researcher would honour the assurance of anonymity. Political interference could also hinder the study wherein participants felt that they may be intimidated should it be made known that they disclosed information meant for in-house knowledge in the study.

CHAPTER FIVE: DATA PRESENTATION AND ANALYSIS

Introduction

The purpose of this study was to explore the implementation of the monitoring and evaluation system in Local Government using eThekwini Municipality as a case study. A mixed method research approach was used to collect data for this study. In-depth face-to-face interviews were conducted and survey questionnaires were administered to four selected participating divisions of eThekwini Municipality, namely: (1) The Performance Monitoring and Evaluation Unit (2) The Internal Audit Unit (3) The Policy Offices and (4) The Good Governance cluster. The study initially had 95 participants, 80 participants were to have completed the survey questionnaire and 15 were to have participated in interviews. Due to fear of coercion, some participants felt that their responses to the research questions are sensitive for their work and requested to pull-out from the study. Some participants reneged on fully completing the questionnaires and on participating in the interviews. The study ended up conducting 8 interviews and received 51 completed survey questionnaires. This did not hamper the study, as the available participants were sufficient in number to fulfill the required percentage of the sample size.

Firstly, this chapter is going to report on the biographical information of the participants by using graphs, charts and tables. This chapter will also present responses based on the four broad research questions presented to the respondents in the survey questionnaire and in the interviews. This chapter will provide an analysis of the understanding and experience of M&E by employees of eThekwini Municipality. This chapter will also discuss the findings of the study as informed by chapter 2 about conceptualising performance monitoring and evaluation.

5.1 Biographical Information

This section makes available the biographical information of the Unit participants in the study. The section provides the participant's Years of service in their Units, gender, designation and qualifications. The cross-tabulation below shows the biographical figures for 51 participants from the four units who completed the survey questionnaire.

Highlighted in yellow are missing numbers of participants who reneged from disclosing required information on the questionnaires. 48 qualifications of Managers, supervisors and clerks in the 4 Units were declared. 3 participants did not disclose their qualifications. Out of 51 participants, only 37 disclosed their designation whilst 14 refused to do so. The total number of years incumbents spent in their units is 49 with 2 refusing to disclose this information.

Table 5. 1: Biographical cross-tabulation of data from the four Departments

		Cross tabulation					
		Department/ Unit					
		Performance M&E	Internal Audit	Good Governance	Policy Offices	Total	Total Percentage
Gender	Male	4	9	1	3	17	33.3%
	Female	17	12	3	2	34	66.7%
Total		21	21	4	5	51	
Qualifications	Certificate	1	0	0	0	1	2.0%
	Diploma	5	3	2	1	11	21.6%
	Degree	9	15	0	3	27	52.9%
	Honours Degree	2	1	2	1	6	11.8%
	Master's Degree	3	0	0	0	3	5.9%
Total		20	19	4	5	48	
Designation	Manager	3	4	1	0	8	15.7%
	Supervisor	8	5	0	1	14	27.5%
	Clerk	3	2	1	3	9	17.6%
	General Assistant	2	1	2	1	6	11.8%
Total		16	12	4	5	37	
Number of years the department		21	21	4	5	49	96.%
Total %		41.2%	41.2%	7.8%	9.8%	96%	

Table 5.1 reveals that there is a higher number of females than males in the four units. The table also show that there are more supervisors than clerks and managers. Regarding qualifications, there 3 masters degrees in the performance monitoring and evaluation unit with 15 honours degrees in internal audit unit. The Internal audit has the highest number of staff members who have the greatest number of years of service in the unit.

5.1.1. Gender

The researcher needed to determine which gender is dominant within the four participating Units. The figure below shows that there are more females than males within the four Units.
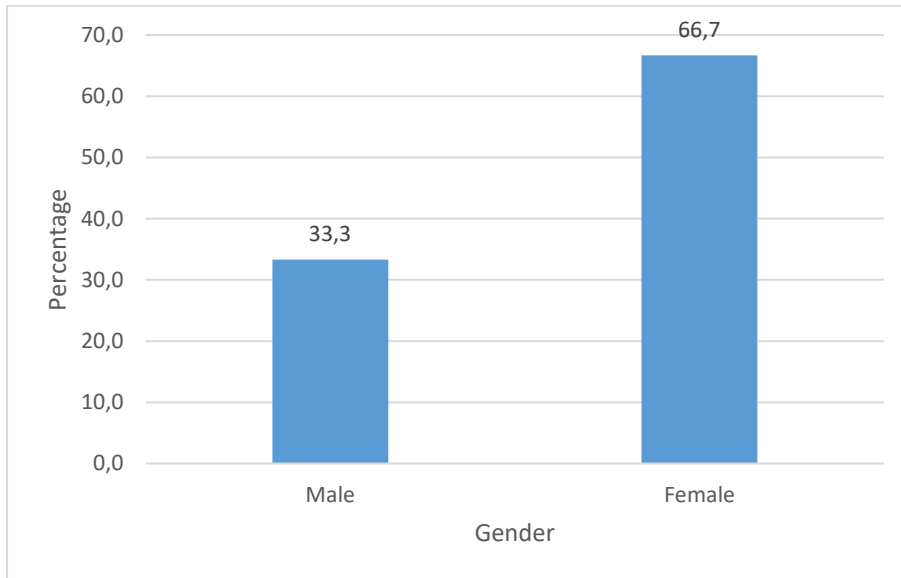
Figure 5. 1: Gender percentage in the four units

The figure reveals that there is a higher percentage of participating females, at 66.7 per cent, which is higher than the males at 33.3 per cent. The high percentage of women in the local government is accounted for due to the effects of the *Employment Equity Act of 1998 No.55*, which states its purpose of achieving equity in the work place, by encouraging fair employment treatment and implementing affirmative action. There has been a lesser percentage of women in the work place before the democratic dispensation hence the current increase in women in the working environment.

5.1.2 Designation

The researcher needed to determine where decisions are made in terms of monitoring and conducting of evaluations and to determine if there is capacity to carry out those tasks.
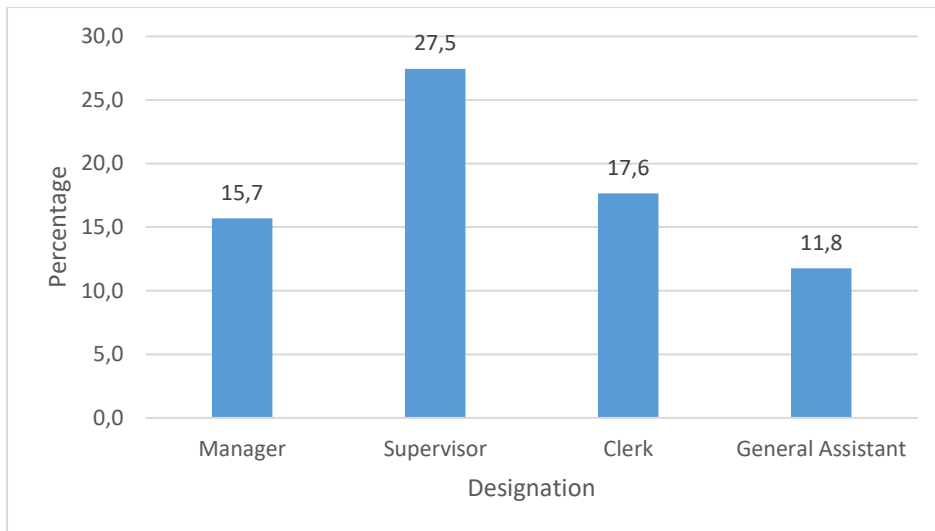
Figure 5. 2: Designations of incumbents in the four units

The figure above shows that there are more supervisors than clerks. 17.6 per cent of incumbents as clerks is a smaller number for people who are supposed to do the actual fieldwork as compared to the 27.5 per cent of supervisors who are mostly in the office. The four units require fieldwork, there is however diminished capacity for it. There is also a lower percentage of managers at 15.7 per cent and general assistants at 11.8 per cent.

5.1.3. Qualifications

The researcher needed to establish the academic background of the participating employees. This information also allows the researcher to determine if qualifications in place are relevant for these sectors.
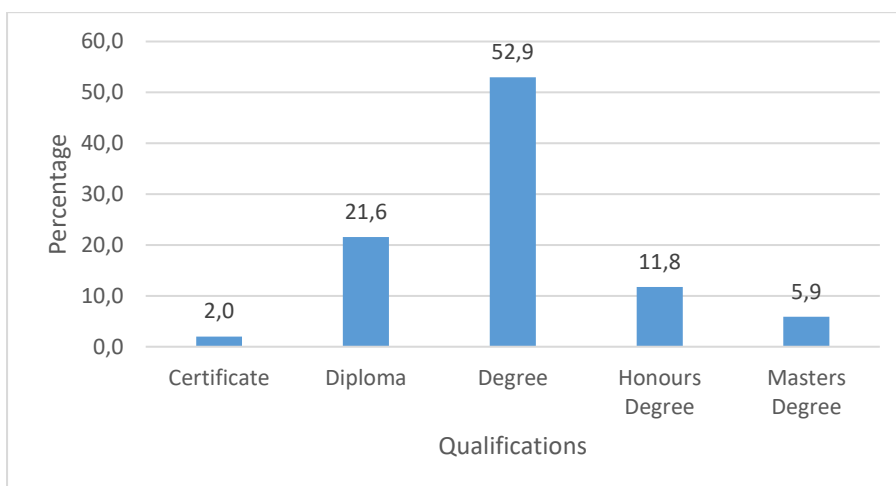
Figure 5. 3: Qualifications of the four selected units

There is a lower percentage of higher degrees than other qualifications. The 5.9 per cent of master's degrees are possessed mostly by supervisors rather than managers. Most managers have an honors degree, (11.8%). This also includes supervisors. The highest percentage of a qualification is for a degree, at 52 per cent and 21.6 per cent for diplomas, mostly possessed by clerks. The lesser percentage (2%) reflects certificated personnel, possessed by general assistants.

5.1.4. The years of service

Information about the working life span and experience of participants is important for this study. Longevity in organisations is viewed as an advantage to shape strategies and is an important source of institutional knowledge. Acquiring the number of years that participants spend in an organisation gives the researcher information on the old and the new ways of operation.
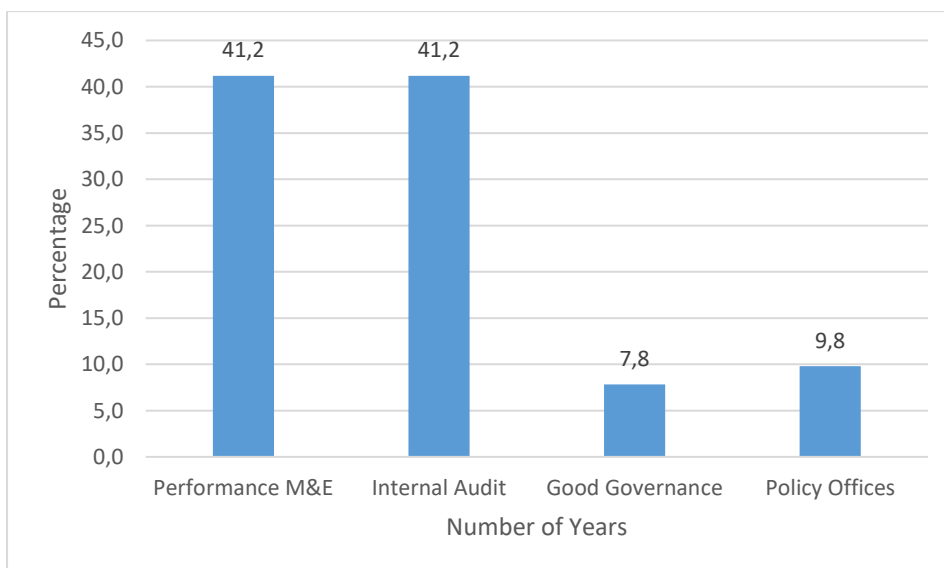
Figure 5. 4: Number of years in a Unit/Department

The Performance Monitoring and Evaluation Unit and the Internal Audit Units are those with the longest life span of employees at 41.2 per cent. Followed by the selected Policy Sections with 9.8 per cent and good Governance with the least percentage at 7.8 per cent.

5.2 The implementation of the monitoring and evaluation system at eThekwini Municipality

In line with the implementation of M&E system in local government, the first research question sought to understand how the existing M&E system is been implemented at eThekwini Municipality. Three sub-themes were identified regarding this to which all participants in the survey questionnaire and interview were asked to comment. The three sub-themes referred to were (1) Current implementation of the M&E system at eThekwini Municipality (2) Circulars introduced by National Treasury to Metropolitan Municipalities (3) Review and evaluation of policies of eThekwini Municipality

5.2.1. Current implementation of the M&E system at eThekwini Municipality

The implementation of the M&E system at eThekwini Municipality refers to the existing system the eThekwini Municipality has. The participants were asked in an interview and in the questionnaire about the current implementation of the M&E system of eThekwini Municipality. Do they see it as being fully implemented as per the *Government Wide Monitoring and Evaluation framework?* The themes identified in these responses are shown in Figure 5.5 below, which are responses from the questionnaire.
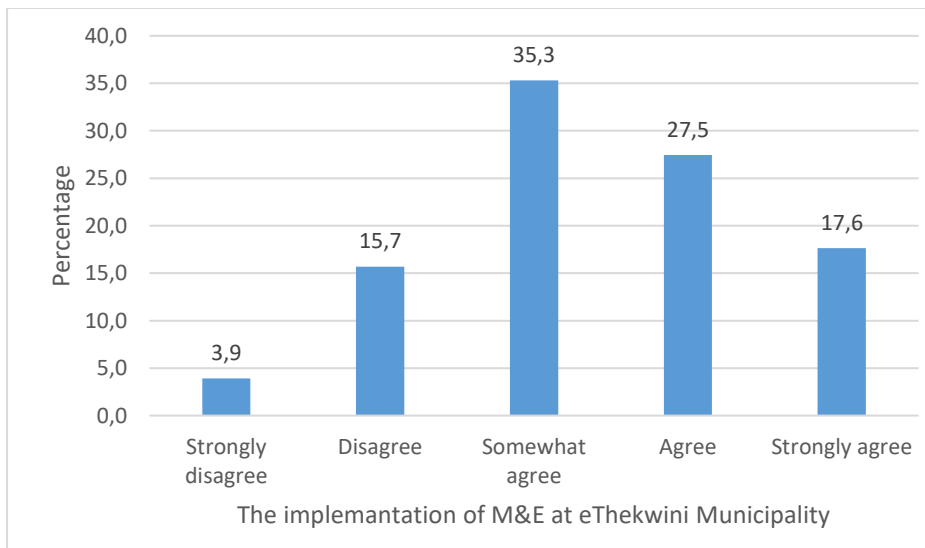
Figure 5. 5: Implementation of M&E at eThekwini Municipality.

Figure 5.5 reveals that a large number of respondents replied with a 'somewhat agree' option which amounted to 35.3 per cent not being sure if the M&E system is fully implemented, followed by 27.5 per cent representing those who agree that the system is fully implemented. In addition, 17.6 per cent strongly agree that there is a full implementation of the system as per the GWME framework. 15.7 per cent disagree and the lowest percentage is 3.9 per cent representing respondents who strongly disagree. This is what the researcher had anticipated as referred to in Chapter 3 of the study about the implementation of the M&E system in Local government. There is a tussle with the implementation of the M&E system between the Performance Monitoring and Evaluation Unit with a number of municipalities. Two of the interviewees who responded as follows also confirmed data provided by the participant on the questionnaire concerning the implementation of the M&E system in the eThekwini Municipality:

> *M&E as a legislated framework is not implemented seriously in our Municipality. It is done on a piecemeal and job reaction arising from a lot of challenges and circumstances. EThekwini is not fully compliant to the GWM&E framework yet we receive clean audits. (APHRPA)*

> *We have not implemented the system at all, what we are doing here is reporting on organisational targets. We are doing a desktop monitoring. We are not monitoring neither are we evaluating. We claim to have the monitoring system in place but still there is a lot lacking with the monitoring system itself. So, the M&E system is not fully implemented it exists by name. (XMSPSM)*

Interestingly this correlation is related to the full implementation of the M&E system. A common view amongst interviewees was that eThekwini Municipality is not fully compliant to the GWM&E framework. One concern raised regarding M&E implementation was the fact that eThekwini municipality is not reporting on the performance of the Municipality rather reporting on the achievement or non-achievement of targets set for the Municipality. A comparison of the two respondents revealed that eThekwini has not implemented the M&E system at all. Taken together, these results show that there is a need for a full implementation of M&E as per the GWM&E framework.

5.2.2. Circulars introduced by National Treasury to Metropolitan Municipalities

Like other metro municipalities, eThekwini also abides by legislation set by *National Treasury, CoGTA, DPME* and *Statistics SA* in consultation with the Auditor General. National Treasury

set out a *Circular 88* for metropolitan municipalities to report their performance information. *Circular 88* came in to remedy a concern, which arose from metropolitan municipalities about too many indicators they are required to report on. The municipalities complained that that some of the indicators are not strategic. In an interview with the participants regarding the introduction of circulars by National treasury on performance reporting, the responses were as follows:

> *Circular 88 in particular is a useful tool used by metro municipalities. It is a bit complicated especially having to move from what we are used to do. EThekwini reported on the Scorecard and SDBIP, we are required to report the Circular 88 for Organisational performance. It is challenging [to] do something new. We are at an infant stage, slowly but surely, we will get there. Like many other circulars that were introduced to us, we were able to implement for our operations. We will get used to it. (MNMEQP, TMMEOP)*

The most striking result to emerge from this data is that, both the respondents are aware of the many tools for performance reporting introduced to the municipalities, the challenges faced in applying the tools mostly introduced is a form of circulars, and the determination of eventually succeeding in using the tools. Overall, this result indicates that, though achieving the intended goal of compliance to the *National Treasury Circular 88*, the processes are complicated but a desired goal should eventually be achieved.

5.2.3 Review and evaluation of policies at eThekwini Municipality

Most eThekwini Municipality units have their own policy section that creates their own policies, which are submitted to a set committee to review and ensure that the municipality format for policies is applied. The participants responded as follows when they were asked about reviewing and evaluation of policies at the Municipality:

> *A committee did exist at some stage through which a number of policies are looked at and interpreted. The committee ceased to operate when the leader resigned from council. It has been over 2 years now and we have not reviewed any policy to review. The departments review and evaluate their own policy which is done haphazardly during the amendment period and at a time when evidence for performance assessment draws near. (XMSPSM, DTEPPE)*

> *The eThekwini policy implementation is not taken seriously, officials at eThekwini are more for compliance just to tick a box and not realizing that it is more about just ticking a box, but we are here to provide a service to the people of eThekwini. (APHRPA, NGGGPE)*

A number of issues were raised by these respondents regarding policy review and evaluation. A variety of perspectives were expressed about eThekwini Municipality policies, their implementation, review evaluation and the all-of-a-sudden silence of the policy committee. The participants as a whole demonstrated that although policies are not reviewed, they are effective and most are implemented on drafts. A comparison of the two respondents revealed that policy programmes are not taken seriously in the eThekwini Municipality. Together these results provide important insights into policy evaluation.

5.3 The effectiveness of the monitoring and evaluation system of eThekwini Municipality

In line with the *Municipal Systems Act 32 of 200 Section 38,* which requires all municipalities to manage its activities in an effective and efficient manner, the second research question in this study sought to determine effectiveness of the M&E system in the eThekwini Municipality. Four sub-themes were identified regarding this, to which respondents were interview participants and questionnaire respondents. The Four sub-themes referred to were: (1) Qualifications of M&E sector in the eThekwini Municipality (2) Evaluation for Impact of service delivery (3) SMART Key Performance Indicators for effective service delivery (4) Policies implemented on drafts in the eThekwini Municipality.

5.3.1 Qualifications of M&E sector at eThekwini Municipality

Challenges of ineffectiveness and lack of skill in M&E sector is a nationwide concern. Participants were asked in both interview and questionnaire if their qualifications add value to the effectiveness of service delivery in their departments. The responses are shown in Figure 5.6.
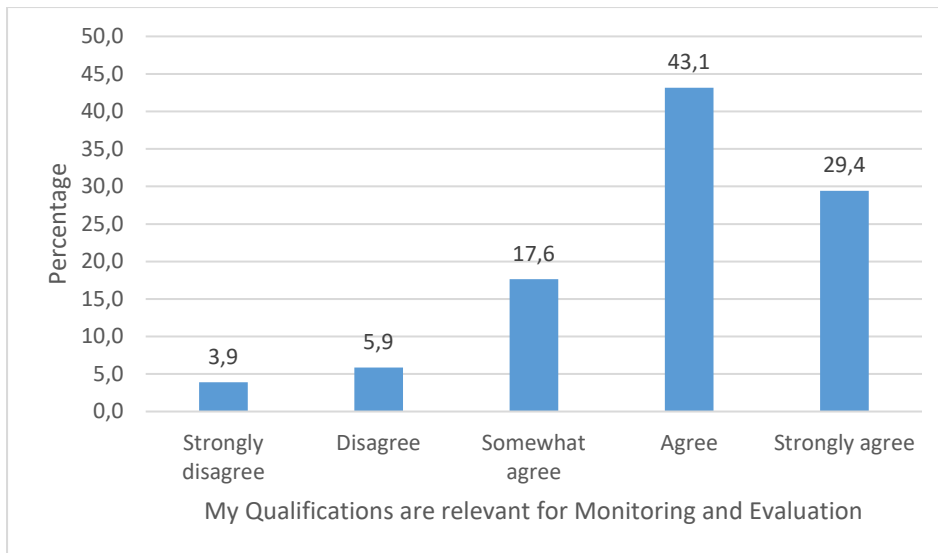
Figure 5. 6: my qualifications are relevant qualifications for M&E

Figure 5.6 reveals that a 43.1 per cent majority of respondents agree that their qualifications are relevant and add value to the activities they perform in M&E, whilst 29.4 per cent strongly agreeing that their qualifications are relevant. 5.9 per cent disagree that their qualifications are relevant to M&E and that they do not add value. 3.9 per cent strongly disagree they possess relevant qualifications that add value to the activities in M&E. Either the respondents agree or disagree most respondents believe that their qualifications are relevant to M&E. In interviews conducted, the respondents highlighted the following:

> *M&E could be scarce skill. It is difficult to recruit people with the talent or expertise to conduct evaluation or even review policies. I have no idea what the problem is, I have tested the market but still I think we need to change our strategy and look at the need. (APHRPA)*

> *Employees we have now do not have an M&E background they come here to learn and it becomes difficult for the unit as well because we have to train staff before they can do the actual Job. (TMMEOP)*

> *I for one do not believe much in qualifications. I think it is a matter of proper training of people. I do not think people would be employees in the Municipality without meeting essential requirements. Even the municipal work place skills plan does not meet the requirement and the skills gaps. People are sent to do Excel, Word training, well those are the requirements for the electronic documents that we are using. We can live without those documents. PME deals with technical tasks. From time to time requirements change as endorsed by National Treasury, right now we have been introduced to circular 88 our team has never taken training on it. Proper training is*

needed. People need to be better equipped because the environment change from time to time. Reporting change from time to time. (TMMEOP)

The single most striking observation to emerge from the data comparison was that while (APHRPA) indicated a lack of M&E skill, (TMMEOP) states that she is not a firm believer in qualifications, she would rather have people trained to carry out duties. A comparison of the two respondents revealed that there is a need for relevant skills in M&E. The participants, demonstrated that lack of proper qualifications in the field of M&E, affects the effectiveness of the system. These results suggest that there is a need for the Department of M&E to recruit incumbents with relevant skills and qualifications to perform the M&E functions.

5.3.2 Evaluation of Impact on service delivery

Evaluations plays an important role in service delivery. Impact on services provided is crucial to determine how effective the systems the Municipality utilises are to ensure enjoyment of human rights. A question was asked to both the questionnaire respondents and the interview respondents if the Municipality is able to determine the impact of service delivery without the evaluation system in place. The questionnaire participants responded as follows in figure 5.7.
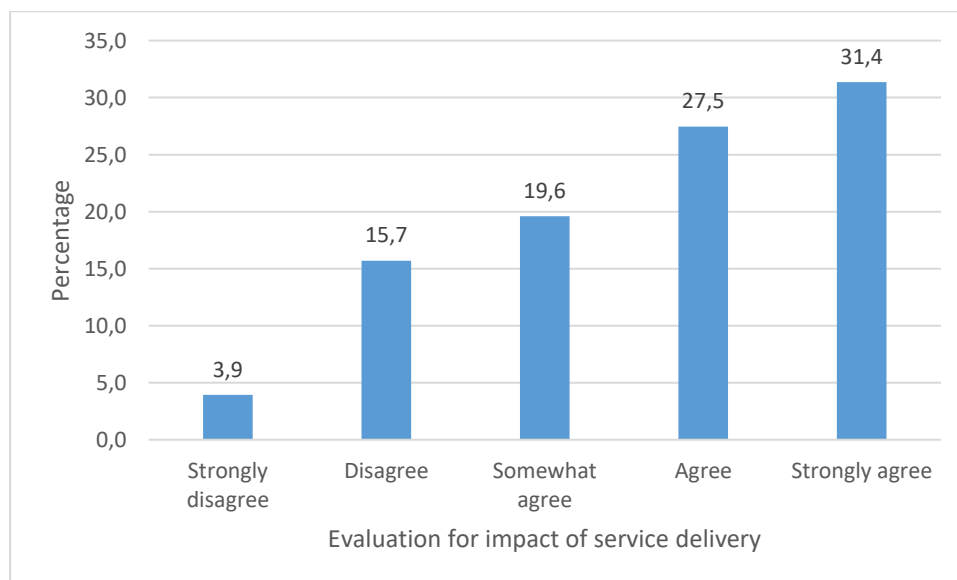

Figure 5. 7: Evaluation for impact of service delivery

Figure 5.7 reveals that 31.4 per cent of respondents strongly agree that eThekwini Municipality, regardless of the evaluation system, is still able to determine the impact of delivery of services.

This is closely followed by 27.5 per cent who agree. Other respondents who somewhat agreed comprised 19 per cent while. 15,7 per cent disagree that the Municipality is able to determine impact of service delivery, followed by 3.9 per cent who strongly disagree on the Municipality being able to determine the impact of service deliver. Participants who were asked the same question in an interview responded as follows:

> *The system that each unit used to evaluate its service was useful at some stage but not anymore. Concerning policy, we received quite a few policies which people did write-ups and we would review it to see if it followed all those rules before it went to the Executive Council to be adopted not anymore. (DTEPPE)*

> *There is no evaluation at all, the system we have I give it a 4/10, I would say it is below average we are neither here nor there The M&E system is not at all effective, I give it a 4/10, I would say it is below average we are neither here nor there (APHRPA)*

> *I do not think the system is effective in the sense that looking at the individual performance, we are less interested in the Impact of what we are doing. (XMSPSM)*

> *I don't think it is effective at all, people see it as a burden that they are just pushed to report and not actually do the work on the ground honestly I think it is a matter of mind set because I believe evaluation system is needed (NGGGPA)*

> *I do not think that our M&E is effective. We want to take a boast and say we have done something because we have reviewed a policy. That is the only time we see the effectiveness of our system. (XMSPSM)*

A number of issues were raised by these respondents on the evaluation system of eThekwini Municipality. One divergent and often conflicting with the other views was that other respondents believe that there is an evaluation system in place but that it is not effective. A different opinion was that eThekwini Municipality has no evaluation system in place at all. The participants as a whole demonstrated that the evaluation system exists but that it is not effective. Even the majority of those who responded on a survey questionnaire to this item felt that regardless of the evaluation system, eThekwini Municipality is still able to determine impact of services provided. A comparison of the respondent's views revealed that officials are not interested in determining the impact of the system in place. Taken together, these results suggest that there is a need to review and evaluate the policies. These results may suggest that though there is an M&E system in place, it is not effective, care should be taken to ensure a full implementation of the evaluation system in order to determine the impact of the services provided and the effectiveness of the existing systems.

5.3.3 SMART Key Performance Indicators for effective service delivery

This sub-theme seeks to understand if the Key Performance Indicators (KPI) that are set on the Individual Performance plans are aligned to the Service delivery KPIs on the SDBIP which is a strategic document of performance for eThekwini Municipality. In an interview, two of the participants responded as follows:

> *The KPI on the IPP are not measurable nor are they effective for service delivery, if they were effective, we would not be having so much service delivery protests. If you ask officials why we are still having these problems, they will tell you "we have done what we are supposed to do" People are not giving themselves enough time to relook and determine the impact of the outcome of their projects. (NGGGPE)*

> *I worked on a project 3 years ago where I had to look at the SDBIP I realised that a number of KPIs are not aligned to the IPPs (XMSPSM)*

The view of IPP's alignment to service delivery KPIs was echoed by management who feel that there is misalignment of IPP in the SDBIP, which leads to non-delivery of services due to officials not being responsible for KPIs. Comparing the two results, it can be seen that there is a gap with setting of KPIs and aligning them to outcome indicators. Together these results provide important insights into re-aligning the KPIs on the IPPs to those on the SDBIP. An application of the Logical framework in setting outcome base indicators would aid in leveraging accountability for service delivery.

5.3.4 Policies implemented on drafts at eThekwini Municipality

This sub-theme is based on a question that most policies in government organisations are implemented on drafts, the research sought to determine if eThekwini municipality's policies are effective regardless of them being implements as draft documents. Questionnaire responses are shown on figure 5.8.
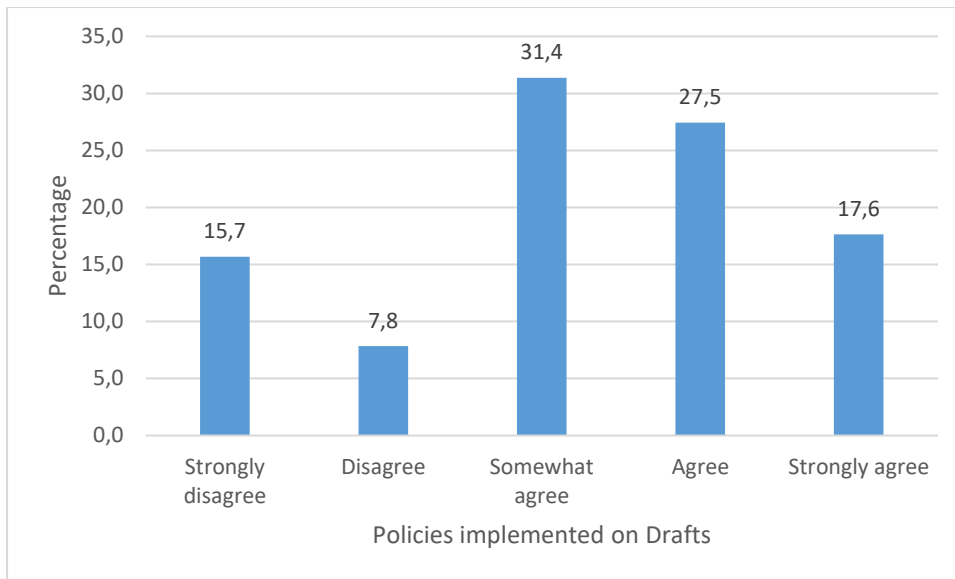
Figure 5. 8: Policies implemented on drafts

Figure 5.8 reveals that 31.4 per cent of participants somewhat agree that plans are implemented on drafts, followed by 27.5 per cent who agree that policies are implemented on drafts. 17.6 per cent strongly agree that policies are implemented on drafts. 15.7 per cent of participants strongly disagree that policies are implemented on drafts; this is followed by 7.8 per cent who disagree that policies are implemented on drafts. In an interview with some of the participants, they responded as follows:

> *Most policies are implemented on drafts, like for example the Housing policy, the policy on indigent registers. Most of these policies were reviewed by the policy committee but are still on draft yet they are implemented. (DTEPPE, XMSPSM)*
>
> *I am not sure if this has to do with lack of skills of lack of knowledge of how to and when policies have to be implemented, but, yes, most of our policies are implemented on drafts. We need to have people who know what steps to take after a policy is been drawn and consulted. A policy has to go through approval stages and then be implemented. (APHRPA)*

Over half of those surveyed somewhat agree that policies are implemented on drafts. One respondent argued that policies like the housing policy on the indigent register has been on a draft policy and still is been implemented. This view was echoed by another respondent who stated that there could be a lack of skills and knowledge in the knowhow of policy. A comparison of the two respondents revealed that there are policies that are implement, which may not have been reviewed. An informant echoed the view that though policies are

implemented on drafts, they are effective. In summary, these results show that there is a gap in the implementation of policies in the eThekwini Municipality.

5.4 Factor affecting M&E at eThekwini Municipality

In line with Chapter 3 of the study, *M&E in South African context* the third research question seeks to determine what factors affect M&E in the eThekwini Municipality and Local government at large. Four sub-themes were identified regarding this to which all participants in the survey questionnaire and interview were asked to comment. The four sub-themes referred to were (1) Political interference in the M&E system (2) Historical factors affecting the current M&E (3) Lack of skills affecting M&E (4) Working in silos.

5.4.1 Political interference in the M&E system

Political interference exists in most government sector departments. This has been more evident in Supply Chain Departments, Human resources, Monitoring and evaluation and Policy sections. Questionnaire responses are shown on Figure 5.9.
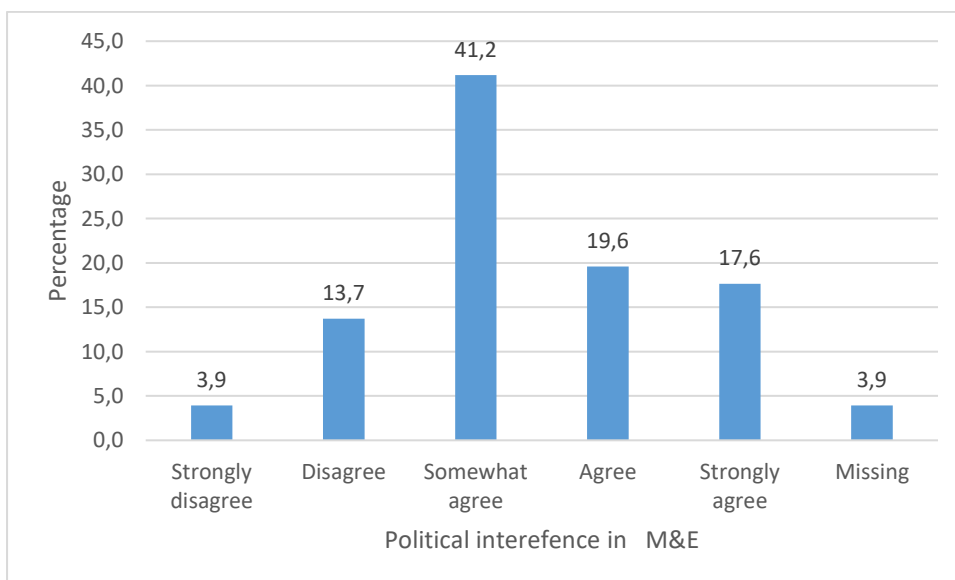

Figure 5. 9: Political interference in M&E

Figure 5.9 reveals that a 41.2 per cent majority of participants somewhat agree that there is political interference in the M&E systems of the Municipality. A lesser percentage (19.6%)

agrees that there is political interference followed by 17.6 per cent who strongly agree that there is political interference. There is also 3.9 per cent that would not want to disclose their view on political interference at eThekwini. A lesser number at 13.7 per cent disagree that there is political interference followed by 3.9 per cent that strongly disagrees on political interference in the eThekwini Municipality. In an interview with participants on factors affecting M&E system, they responded as follows:

> *There is definitely political interference, especially on things that seem to follow more political or economic social line. Even though economically there are ways to do certain things and go through channels to recommend for development to happen in a certain pace, one is caught up in the middle of issues with politicians who want things to be done their way regardless of what the policy says in terms of economic development (DTEPPE)*

> *There is definitely political interference especially when addressing certain problems in a community and official are redirected to a certain group of people, this hampers processes set and project plans due to political officials interfering in our matters. (XMSPSM)*

> *Leadership clashes is a factor wherein DCM who are mainly politicians, underscore Heads of department on their assessments. This happens if they do not like you. Political interference is very rife here. Especially with appointments. (APHRPA)*

> *There is a little bit of political interference and limited resources to fully make the M&E system effective. (MNMEQP)*

> *As much as I would like to comment on this question, I would rather pass and not say anything. (TGMEIP)*

A number of factors affecting the M&E system in the eThekwini Municipality were raised with this political interference as the crux of the issue. Interestingly, political interference was observed to be the main factor not only in the eThekwini Municipality, but in Local Government. In response to the question of political interference, most of those surveyed indicated that there is some degree of political interference in the systems. A small percentage of respondents refrained from answering the question. There were negative comments about political interference especially in addressing community problems. Officials were redirected to perform duties for a certain group instead of following what is on their plan. One interview respondent cautiously stated that there is a little political interference in M&E system. A comparison of these responses revealed that there is political interference across all Government entities. Taken together, these results suggest that there is an association between

politics and administration; however, a line should be drawn where politics should not interfere in administration processes.

5.4.2 Historical factors affecting the current M &E system

Every organisation has its own history that shapes its activities and destiny. When a question was asked in the questionnaire if historical factors affect the current M&E system most participants responded as shown in Figure 5.10
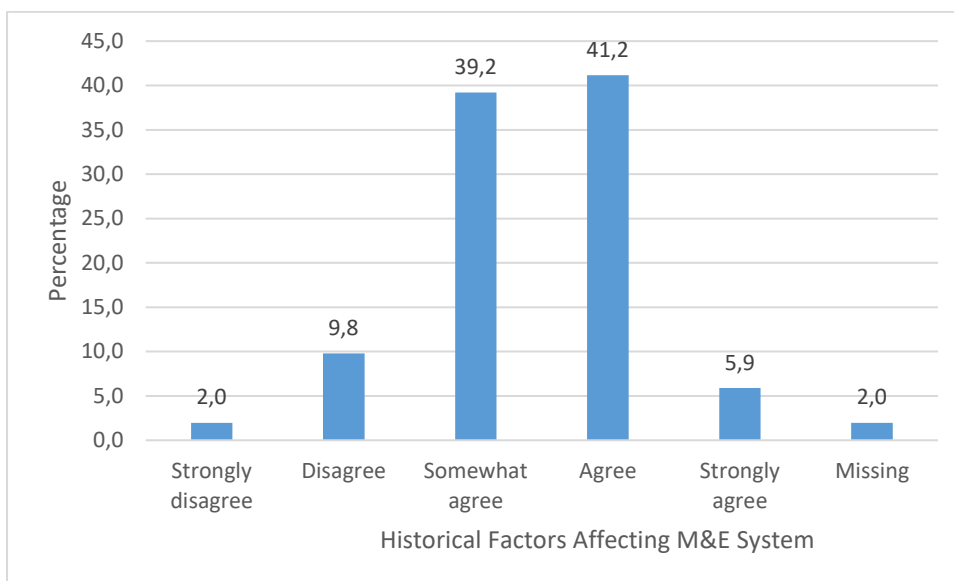
Figure 5. 10: Historical factors affecting M&E system

Figure 5.10 reveals that 41.2 per cent of participants agree that historical factors affect the current M&E system, this is followed by 39.2 per cent who somewhat agree that historical elements do affect the M&E system. 5.9 per cent strongly agree that historical factors affect the M&E system. There is however, 9.8 per cent who disagree with 2 per cent who strongly disagree that historical elements affect the M&E system. 2% abstained from responding to the question. In an interview, a participant responded as follows to the question:

> *I am fairly new in this organization and I have realised that people still want to hold on to the old way of doing things. They would tell you this is how we used to do it. I think people are afraid of change we need transformation.*

Over half of those who responded to the survey questionnaire, reported that historical factors do affect the M&E system; people are afraid of change. This view was echoed by another

informant who reported that coming into the organisation, he realised that people are still holding on to the old way of doing things. This comment shows that people do not like transformation. This result suggests that there should be consistent training on systems and a need for extensive research to improve operations to better service delivery.

5.4.3 Lack of skill affecting M&E

In line with Chapter 3 on lack of capacity in M&E in Local Government, this sub-theme sought to determine if the current skills in the selected departments that deal with M&E, Policy and internal Audit do believe that they possess relevant qualifications to carry out duties assigned to them. Figure 5.11 shows how questionnaire participants responded.
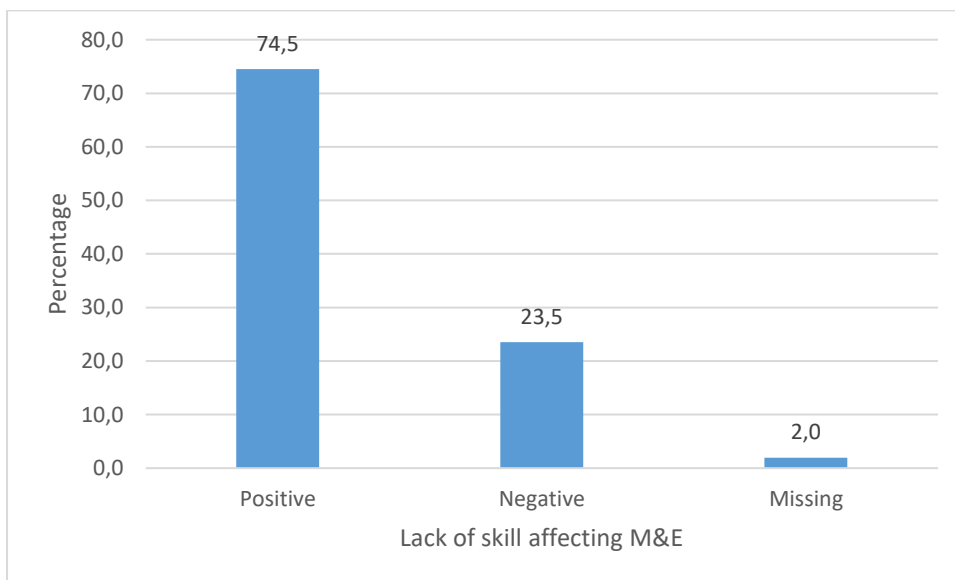
Figure 5. 11: Lack of skill affecting M&E

Figure 5.11 reveals that 74.5 per cent of participants are positive that their qualifications and skills that they possess are relevant to their work and this affects service delivery, whilst 23.5 per cent fell that their qualifications do not affect service delivery, they are against the claim that lack of skills affect the M&E system in their work place. 2 per cent abstained from responding to the question. In an interview regarding lack of skills, this is how one of the participants responded.

> *Performance M&E unit was started by people from Audit so, it has people with audit background. I have also realised that there are people with Human resources Diplomas, Office Technology Diplomas and Public Administration which I feel those*

people with those qualifications are displaced in terms of career. Most of the staff in PME do not have interest in what they are doing. Most staff members came in as trainees and were retained. Generally having these qualifications that are not M&E relevant is crippling the performance of the organisation. We need to have people with relevant qualifications like Social science so that they will be able to gather evidence when doing evaluations. We do not have capacity here. M&E is a new component and we need to start with people who have relevant qualifications and skill. (KFMEEM)

A majority of respondents to the survey questionnaire agreed that their qualifications are relevant for their jobs and the offices they operate in. one participant in an interview commented that the existing qualifications in the M&E office in the eThekwini Municipality are misplaced. Comparing the two results, it can be seen that there is lack of understanding of what the actual are qualifications required for M&E. "Taken together these results provide important insight into the recruiting of candidates with relevant skills for M&E and provide training and assisted educations by up-skilling the existing incumbents with relevant skills necessary for their operations.

5.4.4 Working in Silos

Working in silos is a factor that many organisations are experiencing and this affects the activity of an organisations. Silos mentality is an organisational philosophy of not wanting to share information about an operation. A sub-theme was asked in the interviews and these were some of the responses:

There are personality clashes that constrain policy development and research which affect M&E, also lack of support from the leadership because they themselves don't understand the value and importance of team work and business partnership. People are more confident in working on their own and doing what they feel suits the organisation. (APHRPA)

That also has an effect it is not even a silo thing because the big committees will tell you that this is what you are required to do for us to be able to continue with our processes. Other than just sit in the office and not being able to follow up on their requirements, so it is not a silo mentality that also does contribute is lack of service delivery but is something that people do not want take responsibility for (TMMEOP)

We have a lot of silos mentality and silo practices, which is part of the problem in all departments. So, there need to be more interaction more feedback from all departments we must not sit on our own [and] write policies, we need to involve others in order for them to make a contribution [in]to policy. (DTEPPE)

The most surprising aspect of the data is in the correlation of the two interview responses. They are interesting because the silos mentality is not only felt in government but also in the private sector. One interviewee argued that silos mentality is part of the problem in all departments. A comparison of the two respondents revealed that though there working in silos is evident, it is a problem which lacks management intervention. Overall, these results indicate that people prefer to work on their own. This is not in line with the expectation of M&E and it is deviating from the norm of imparting knowledge and skills to enhance service delivery.

5.5 Good Governance and Monitoring and Evaluation

In line with legislative framework that underpin governance in municipalities, eThekwini Municipality prides itself on being fully compliant with the tenets of Good Governance. A fourth question was asked to both questionnaire respondents and interviewees about how M&E system contributes towards enhancing good governance. Three sub-themes were identified regarding this to which participants were asked to comment. "The three sub-themes are (1) eThekwini adheres to Good Governance (2) Accountability and responsibility of eThekwini officials (3) eThekwini Municipality's clean audits.

5.5.1 Ethekwini adheres to Good Governance

Over the years, eThekwini Municipality has prided itself on its adhering to Good Governance despite irregularities highlighted in the media. The participants were asked if they feel that eThekwini adheres to Good Governance, their responses are shown on figure 5.12.
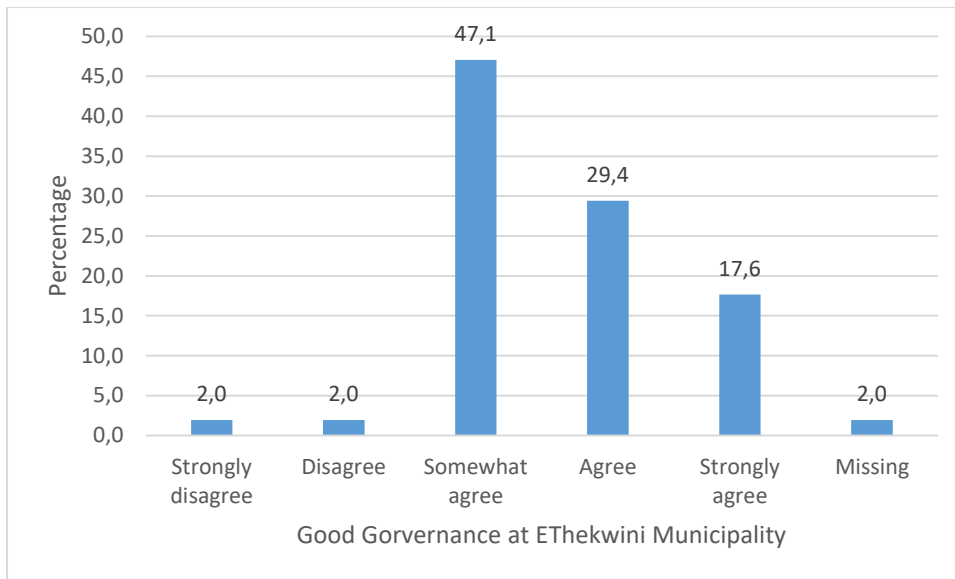
Figure 5. 12: Good Governance at eThekwini Municipality

Figure 5.12 reveals that a majority of 47.1 per cent of respondents somewhat agree that eThekwini Municipality does adhere to good governance whilst 29.4 per cent agrees that the municipality does adhere to good governance with 17.6 per cent strongly agreeing that good governance is observed at eThekwini Municipality. There is however, 2 per cent of participants who disagree and strongly disagree that good governance is obeyed. Another 2 per cent abstained from disclosing their opinion on the matter. Upon asking a question on the same sub-theme at an interview, other interviewees responded as follows:

> *To a certain extent, eThekwini does adhere to good governance. Ethekwini creates an annual report, which narrates its principles, eThekwini is able to presents itself to the Auditor general on financial status and we are present our compliance issued to Auditors. Therefore, we somewhat adhere to good governance. (KFMEEM)*

> *Honestly there are some officials who are passionate about what they are doing and have led the city to be driven by good governance and good practice. They have done that with a guidance of the King III report. Nonetheless, there are those who do not understand the competency and how to put things together to protect the integrity and the legacy of the Municipality a few understand good governance, and a few don't. This then leads to nil contribution to adherence to good governance which leaves a door wide open to corruption. (APHRPA)*

There were contrasting views about good governance, Over half of those surveyed reported that they somewhat agree that eThekwini Municipality adheres to good governance but there was a sense of struggle amongst interviewees in responding to the question of whether

eThekwini Municipality adheres to good governance or not. One participant commented that there are some officials who are passionate and accountable, but a majority of senior officials are not loyal and do not adhere to good governance hence corruption within the eThekwini Municipality. Another interviewee alluded to the notion that there is adherence to a certain extent, which means there are loopholes in adhering to good governance. These results suggest that though eThekwini Municipality has congratulated itself on adhering to good governance, there is a high percentage of respondents who doubt the validity of this claim. Taken together this norm of non-compliance to good governance affects the effectiveness of the system in place.

5.5.2 Accountability and Responsibility of eThekwini Municipality officials

Accountability and responsibility are key components of good governance which are meant to shape economic growth, alleviate poverty and maintain law and order. The fourth research question sought to determine if eThekwini officials are accountable and responsible for the failure of programmes and projects implementation. This sub-theme was asked to both questionnaire and interview participants. Figure 5.13 show the responses of questionnaire participants.
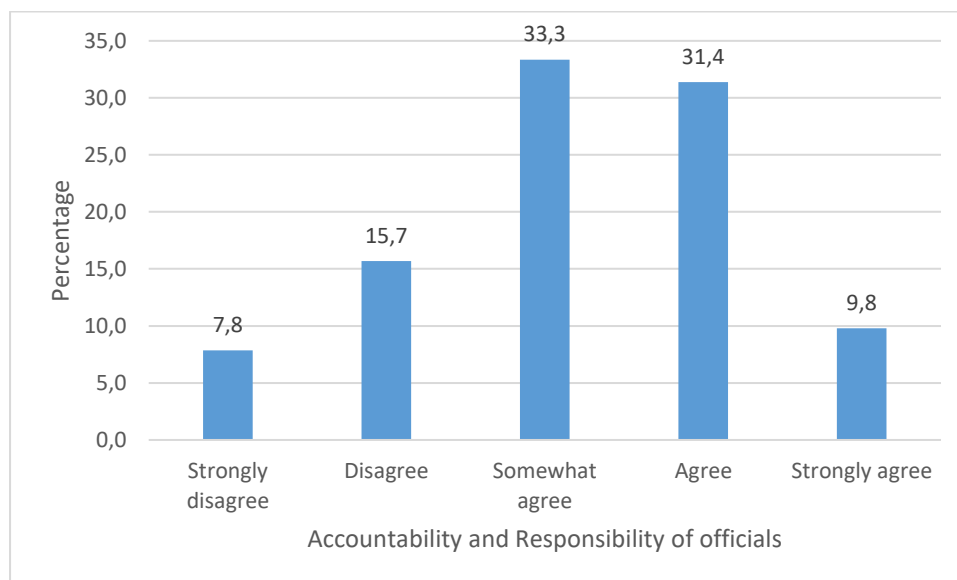

Figure 5. 13: Accountability and Responsibility of officials

Figure 5.13 shows that 33.3 per cent of the respondents agree that in the eThekwini Municipality officials are somewhat accountable and responsible to successes and failures of programmes and project implementation. This is followed by 31.4 per cent who agree that eThekwini Municipality officials are accountable and 9.8 per cent strongly agree that accountability and responsibility are fully practiced at the eThekwini Municipality. There are however, 15.7 per cent who disagree that eThekwini Municipality officials are responsible with 7.8 per cent who strongly disagree that eThekwini officials should be held accountable and responsible for the failure of programmes and projects implementation. In an interview with participants, the interviewees responded as follows:

> *Good governance is not taken seriously, as it is supposed to be. This was never covered with the youth policy, yet it is crucial. We have seen and identified a problem among the youth and we are supposed to address it. This is supposed to start at governance. A policy can be drawn and be implemented but still there would be no accountability on matters that affect systems of service delivery. (XMSPSM)*

> *Officials do not want to take responsibility nor are they accountable for non-performance. The only thing they do is blame everything to other but themselves. I think our policies need to be revisited and see what we can change. (DTEPPE)*

> *Unfortunately, there is no accountability and responsibly amongst officials. There is also an element of fear of offending those above should you take up responsibility on failure of a project. Policy office is guided by terms of the actual implementation of a programme or project. Policy office can guide a department on the implementation process and provide support and should implementation fail, officials are not willing to take responsibility rather they put a blame at the policy office who were merely there to provide guidance and support. (APHRPA)*

> *For me accountability starts with the actual planning and the development of the KPIs in the IPPs. If people do IPP that are measurable, you are able to go back to them and say do you think you have delivered on such a KPI. The question one would ask is "who in this municipality was disciplined for non-performance? Yet there are service delivery protests. (NGGGPE)*

> *We are not accountable; we have our strategic business review what usually happens. We enjoy playing blame games, when people are not achieving their targets they blame SCM that there were delays in the SCM process or there were delays in the architectural processes, but when we meet as the entire management of the city with all the blames you would find that it was with the officials. It usually never is with SCM. Processes are followed accordingly BEC and SCM would say take this back it does not meet our requirements and they would stay for a long time without going back to SCM and they would blame SCM. So, people do not want to take responsibility where they are supposed to (TMMEOP)*

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A number of issues were raised by interview respondents regarding accountability and responsibility of eThekwini Municipal officials. The correlation between accountability and responsibility is interesting because the interview respondents agree that there is lack of accountability and responsibility amongst officials especially when a project fails. One respondent said that officials play a blame game on failed projects. In line with the expectation of the M&E system, officials should use the guidance of the *King III report* to practice accountability. Deviation from accountability and responsibility affects efficiency of operations. In summary, these results show that it is a requirement of all municipalities to show accountability and effectiveness of systems to deliver services.

5.5.3 M&E enhances Good Governance

In line with supporting a better service delivery achievement, there has been improvement of specific policies which speaks to basic good governance through M&E. Figure 5.5.3 shows the questionnaire responses by participants
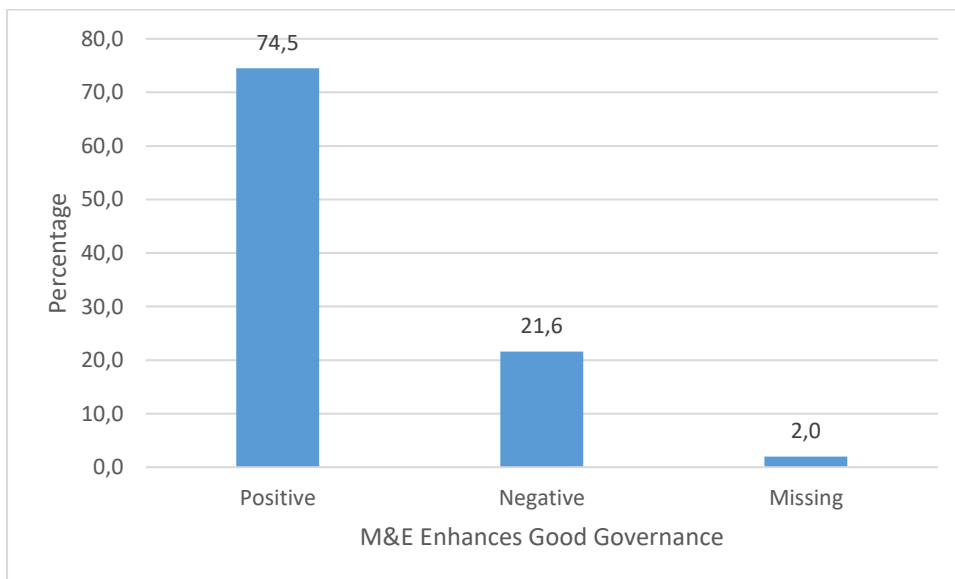
Figure 5. 14: M&E enhances Good Governance

Figure 5.14 reveals that an overwhelming 74.5 per cent of participants are positive that "M&E enhances Good Governance" whilst 21.6 per cent do not believe that M&E enhances good governance. 2 per cent abstained from responding to the question. In an interview with participants, this is how some of them responded:

Regarding Good Governance, Monitoring and Evaluation, there is lack of understanding of what M&E is. People may find it difficult to marry the two concepts. (DTEPPE)

I have realised that there is lack of understanding of Monitoring and Evaluation, in fact, eThekwini has not started doing Monitoring and Evaluation. Yes M&E does enhance Good Governance, but I am not seeing it here (NGGGPE)

Ethekwini Municipality is doing M&E reporting we are doing a desktop review of performance reporting we know that M&E does enhance Good Governance but with eThekwini that cannot be determined because the system is neither here nor there. (KFMEEM)

The majority of respondents to the survey questionnaire cited a positive response on the understanding that M&E enhances good governance. The interview respondents were asked to indicate if they understand and know that M&E enhances good governance There are correlating responses with this question, one respondent said that she is aware that M&E enhances good governance but with eThekwini it cannot not be determined if the employees of the Municipality know that the two concepts are related. One interviewee responded that there is no understanding what M&E is, marrying good governance to M&E may be difficult. A comparison of these responses revealed that there is still lack of knowledge regarding M&E. Taken together; these results suggest that there is an association between M&E and good governance. Lack of understanding of the two concepts dissipates the focus of efficiency on municipal operations and affects the M&E system.

5.6 Discussion

This section focused on discussing the results of the study. The discussion was based on the four broad research questions informed by the theoretical framework in chapter 2.

5.6.1 The implementation of the monitoring and evaluation system in the eThekwini Municipality

The first research questions sought to understand how the eThekwini Municipality has implemented its M&E system. The findings in this study indicates that the M&E system is not fully implemented. The interesting finding was demonstrated by a high percentage of the selected participants of the eThekwini Municipal staff members who showed a wavering response by somewhat agreeing that the M&E system is implemented. There is a struggle in

implementing the M&E system in a number of municipalities in Local Government. The finding by Maepa (2015) states that there are challenges in municipalities in implementing the full performance monitoring and evaluation system. This finding is also consistent with that of Mthethwa & Jili (2016) who argue that there is lack of operative M&E generally in local government. Ethekwini Municipality claims to have successfully implemented the monitoring system but 15.7% questionnaire respondents disagree. The eThekwini Municipality has been successful in setting up the process of reporting on the performance targets of the municipality having used the organisational Scorecard and the SDBIP to provide feedback on organisational performance by reporting on KPI's aligned to the SFA of the municipality and the NKPA (eThekwini OPME Unit 2016). The operating procedure of eThekwini Municipality is mainly about reporting on monitoring of KPI targets of programmes and projects and nothing about evaluating organisational programmes, policy and projects.

These finding are in line with the System Theory supported by Caffrey & Munro (2017) who state that the systems theory method makes an exceptional input to planning and policy evaluation, which is believed to improve effectiveness of service delivery and to reduce human mistakes. Most theorist regard organisations as institutions that use an open systems theory, which consists of the five elements namely; the input, activity, outputs, outcome and impact which is applicable to the GWME framework. Municipalities are mandated to contribute to providing services to the people and to ensure impact of services provided. Bertalanfy (1973) advocates that the open system theory can be used to ensure effectiveness and efficiency in the M&E system in order to assess policies and to implement systems. Though the Department of CoGTA is a steward of PME that mandates all municipalities to report on result-based indicators, there is still a tussle in understanding the M&E system by other municipalities, hence a wavering response of somewhat agreeing on the implementation of M&E system at eThekwini Municipality

5.6.2 The effectiveness of the monitoring and evaluation system in the eThekwini Municipality

The objective of the second research question was to determine the effectiveness of the M&E system in the eThekwini Municipality. This study found that there are fundamental issues that affect the effectiveness and efficiency of the M&E system in the eThekwini Municipality. The study raised sub-themes which are the basic requirements for driving an effective M&E system.

The findings of this research question were that, there is a lack of relevant qualifications in the M&E sector, a lack of impact evaluation in the Municipality, that policies are not evaluated and individual KPIs are not aligned to the organisational KPIs. It appears that a high 43 per cent of the questionnaire participants agree that they possess the relevant qualifications for the work they are appointed to carry out. Surprisingly, however, in an interview with managers, it was revealed that most of the staff members in these units, possess qualifications that are not relevant to their duties. Another interesting finding was that, questionnaire participants strongly agree that impact evaluation is conducted by the Municipality. It was interesting to note the conflicting response by management who stated that there is no impact evaluation system in the eThekwini Municipality. Managers responded that reviews on policies and programmes are not effective as most units conduct such reviews or evaluations towards the assessment period which paints a good picture operation yet it is not a true reflection. The study also found that although policies are implemented on the basis of drafts, participants claim that they are effective. Another interesting finding is the misalignment of SDBIP KPI's to the Individual Performance Plans KPI's. Although very little was found in literature about setting KPI's in the literature that this study reviewed, Kusek & Rist (2004: 166) gave consideration to setting KPIs using the Cream Criteria and the SMART principle to ensure that KPI's are implemented on measurable outputs. As revealed in an interview, the KPIs on the IPP and the SDBIP are not outcomes-based and are not measurable.

These findings are in line with Bertalanfy (1973) who advocates the open system approach to a managerial system to ensure effectiveness and efficiency in the M&E system. Systems Theory is used for setting KPI's that are outcome-based. The systems theory is effective in setting KPIs that are outcome based and in conducting evaluations to determine impact of service delivery. The assumptions in line with this study are that this theory contributes significantly to planning and policy formulation by National and Local Government and that it would improve effectiveness of service delivery and reduce human error. The three theories combined specify the prevalence and the importance of efficiency and effectiveness of service delivery. An application of the ToC and the Logical framework are effective in setting up an evaluation system through which the Municipality can determine the impact of the system in place.

5.6.3 Factors affecting M&E in the eThekwini Municipality

The Third question in this research sought to find out what the factors are which affect the M&E system of eThekwini Municipality. This study found that there are various factors that affect the effectiveness and the of M&E. consistent with literature, this research found participants reported that there is a high rate of political interference in the systems of eThekwini Municipality which hinders implementation and effectiveness of systems. These finding accord well with the literature which shows that South Africa's Local government is faced with political interference which hampers service delivery and results in an undesirable impact on service delivery. According to Dlamini (2017) political interference impedes the M&E's purpose to regulate the efficacy of the systems in place. The findings also indicated that historical factors negatively affect the M&E system of eThekwini Municipality.

A high percentage of participants in the questionnaire agree that historical factors affect the M&E system, people are scared of change. There are new technologies invented to ensure effectiveness and efficiency of service delivery is accessed. There is however resistance to change by the civil servants who want to hold on to the old ways of doing things. Working in silos is another factor that this study found negatively affects M&E. Managers who were interviewed in the four selected participating units indicated that staff member are not renowned for sharing information hence they prefer to work in silos. Silo mentality is prevalent in big organisations and mostly in government sectors. Services are hindered by that kind of mentality. Another finding was lack of skill. The second research question about effectiveness of the system indicated that participants claimed to possess relevant qualifications to carry out their duties. The third questions however indicate a different view in responding to lack of skill as a negative factor in the M&E system. A high percentage of respondents agree that there is lack of skill in M&E, hence management shares the sentiments that skills and qualifications are misplaced in their units. This finding is in keeping with Mthethwa & Jili (2016) who reported that the *Department of Local Government and Traditional Affairs (DLGTA)* in Gauteng found that there is a scarcity of skills in the M&E sector, which amounts to systems not being implemented accordingly. This present finding confirms Gorgens & Kusek's (2009) view that skills gaps matter and that they should be regarded as a core issue of M&E implementation. They believe that focusing on human skills capacity would result in a quality M&E system. Gorgens & Kusek (2009) suggested competency requirements for M&E which are detailed in the literature review in chapter 3. The results shows that the respondents deem

Political interference, Historical factors and lack of skills as the main factors hampering the M&E system. This study's literature shows that there is a lack of competent skills and a high level of political interference which opens up a doorway for corruption and fraud and ultimately service delivery protests. These findings are in line with the systems theory by Bertalanfy (1973). The System Theory is best used to determine how best the system works in providing decision-making in order to improve on an organisation's performance and to avoid political interference in municipal operations. Systems Theory engages in processing information for management which reflects performance outcomes and this is then available to management and to relevant stakeholders who are able to compare performance measures. The systems theory can also aid in redressing the negative influence of historical practice and the tendency to work in silos. The principles of systems theory can remedy the fear of transformation. The guidelines for impact evaluation are useful recommendations which will allow Local Government municipalities to operate and utilise when the assessment of organisational performance and policy is conducted on a systems theory approach.

5.6.4 Good Governance and Monitoring and Evaluation

The fourth research question sought to understand how M&E contributes towards enhancing Good Governance in the eThekwini Municipality. One interesting finding in this regard is that all employees and employers of the municipality needs to play a role in enhancing good governance. A high number of participants showed a wavering response of somewhat agreeing that eThekwini Municipality adheres to good governance. An interesting response was provided by management who were interviewed, stating that there are some individuals who portray a good character of integrity who are determined to serve with accountability and responsibility. The findings of this study also revealed that good governance is not taken seriously in eThekwini Municipality, Some officials will not take responsibility to avoid being held accountable for failure of projects; yet the *King II Report* as quoted by Dekker Cliffe Attorneys (2002) states that, the suggestions of the King II report should encourage all organisations to adopt principles of responsibility, accountability and transparency. However, Maloba (2015b) in consistency with the findings in this study argues that South African Local Government applied good governance but managed it with old ideologies that led to poor governance which reinforced inequality which threatens democracy.

The interesting findings of this study are in line with the *New Public Management theory* which unlike the *Old Public Administration*, shifts focus from organisational structure to organisational culture. It offers a yardstick to control bureaucratic conduct and produces enhanced outcomes. The New Public Management Theory's central theme is efficiency and more effectiveness in terms of addressing societal problems and issues of accountability. The assumptions in line with the study are that although this theory has some elements of OPA which are prevalent in-service delivery and in the political system, it frees governments from red tape which was an obstacle to achieving goals. This theory helps in addressing issues that contribute to good governance.

A summary of research questions, emergent themes and the literature is presented in Matrix 5.1.

Matrix 5.1: Summary of the research question, emergent themes and the literature.

Research Question	Emergent Theme's	Interaction with Literature	Sources
The implementation of the monitoring and evaluation system at eThekwini Municipality	o Current implementation of the M&E system in the eThekwini Municipality o Circulars introduced by National Treasury to Metropolitan Municipalities o - Review and evaluation of policies in the eThekwini Municipality	-There is a struggle in implementing the M&E system in a number of municipalities in South Africa The open system theory is conducive for big organisations to ensure effectiveness and efficiency -There is lack of operative M&E generally in Local Government -Policies are reviewed haphazardly towards the end of the financial year Impact of policy should emanate as the effect of the intervention which should be concluded in observing sustainability of evaluation of the policy, programme and project	-Maepa (2015) - Bertalanfy (1973) -Mthethwa & Jili (2016) -Mayne (2015a)
The effectiveness of the monitoring and evaluation system of eThekwini Municipality	o Qualifications of M&E sector at eThekwini Municipality o Evaluation for Impact of service delivery o SMART Key Performance Indicators for effective service delivery o Policies implemented on drafts in the eThekwini Municipality	-Existing qualification in M&E are not relevant thus most qualifications are misplaced - The Individual KPI aligned to the SDBIP KPIs are not SMART -Most policies in eThekwini are implemented on drafts but they are effective	-Bertalanfy (1973) -Kusek & Rist (2004) -Van der Waldt (2014)
Factors affecting M&E at eThekwini Municipality	o Political interference in the M&E system o Historical factors affecting the current M &E system o Lack of skill affecting M&E o - Working in Silos	-There is a high rate of political interference at eThekwini municipality, but one cannot be vocal about it. - People are resistant to change thus the efficacy of the system is hampered. -There is lack of skills in M&E, which affects service delivery. Most management incumbents do not have skills to run operations in the fields they are employed in. -Staff member are not renowned for sharing information, there is a silos mentality in big organisations and the same is true for the eThekwini Municipality	-Dlamini (2017) -Signh (2015) -Gorgens & Kusek (2009) -Maepa (2015)
Good Governance and Monitoring and Evaluation	o Ethekwini adheres to Good Governance o Accountability and Responsibility of eThekwini officials o - M&E enhances Good Governance	-Ethekwini Municipality claims to adhere to Good Governance yet there are protests by the public on corruption affecting service delivery -Though there are some individual employees in the Ethekwini Municipality who portray good values of integrity, accountability, in general, responsibility is lacking in the eThekwini Municipality. -There is lack of knowledge of what constitutes M&E, making the alignment of the two concepts a challenge.	-Naidoo (2011) -Sebola et al., (2014) -Dekker Cliffe Attorneys (2002) -*King report II*

5.7Chapter Summary

The purpose of this chapter was to present the findings by analysing and discussing data gathered in this study. The study found that M&E is not fully implemented in Local Government as per the GWM&E framework. Ethekwini Municipality lacks the evaluation system which is meant to determine the Impact of services that the Municipality is providing, eThekwini Municipality also lacks capacity to carry out the M&E activities. Nevertheless eThekwini Municipality is reported to be doing well and has been receiving clean audit reports form the Auditor General regardless of systems that are not in place.

CHAPTER SIX: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

Introduction

This chapter sets out to reiterate the research objectives and research questions, recall the order of the dissertation chapters, and summarise the findings and the main results and conclusions of the study that are set out against the study's objectives that were declared at the outset. Later this chapter will present the theoretical intentions as a new contribution to the field, the significance of the study; and the primary recommendations arising from this study. The chapter finally identifies areas for possible future research.

6.1 Recapitulation of Research Objectives and Research Questions

Gaps identified in the M&E system of Local Government, showed that there is a tussle in the implementation of the M&E system, which affects the efficacy of service delivery. The preliminary literature revealed challenges faced in various municipalities. As such, research questions and objectives were formulated. These were presented in chapter one of this study. Table 6.1 provides the recapitulation of the research objectives and research questions.

Table 6. 1: Research objective and Research questions

	Research Objectives	Research Questions
1	To determine how eThekwini Municipality has implemented its existing monitoring and evaluation system	How has the eThekwini Municipality implemented the M&E system?
2	To determine the efficacy of the monitoring and evaluation in eThekwini Municipality	How effective is the monitoring and evaluation system in the eThekwini Municipality?
3	To establish what influences the eThekwini Municipality's monitoring and evaluation system	What factors affect the monitoring and evaluation system in the eThekwini Municipality?
4	To analyse the contribution of monitoring and evaluation towards enhancing good governance	How does monitoring and evaluation system contribute towards enhancing good governance in the eThekwini Municipality?

6.2 Summary of Chapters

This section presents the outcome of each chapter related to research objectives and research questions presented in table 6.1.

Chapter One: This chapter is an overview of the study, which provides the historical background of the establishment of the Performance Monitoring and Evaluation by President JG Zuma in response to the South African's outcry on lack of service delivery by Local Government. The study's research problem statement showed that there are gaps in the Local Government M&E system characterised by among other things lack of skills, accountability by officials and political interference. Through research objective three and the research question three, chapter one aimed to establish, what the factors are that influence M&E. Furthermore, research objective two and research question two aimed to determine the effectiveness of the M&E system in the eThekwini Municipality.

Chapter Two: This chapter presented a conceptual understanding of monitoring and evaluation and discussed definitions of these terms. Due to many dissimilar definitions, the study decided to use the definition expressed by GWM&E. Furthermore, the study examined the M&E experience according to both the South African context and the international experience. Chapter two also mentions different types of evaluation.

In achieving the second research objective, and question, chapter two shows the importance of setting KPIs using the CREAM criteria and the SMART Principle. In effect, chapter two contributed to achieving the research objective four by conceptualising the relationship between good governance and monitoring and evaluation. Chapter two also captured the three theoretical frameworks: the theory of change, and the logic framework, which are fundamental in addressing difficulties faced in evaluation.

Chapter Three: This chapter presents M&E in a South African context with specific reference to the eThekwini Municipality. Chapter three provides a very brief history of SA post-1994 and the establishment of the M&E office under President JG Zuma with the aim of promoting good governance and efficient service delivery. The contribution to research objective one and

research question one are achieved in this chapter by conceptualising the implementation of M&E and the experience of M&E in a South African Local Government context. This chapter furthermore highlighted the fundamental legislation that governs M&E starting with the *Constitution of RSA 1996*, which speaks about the effectiveness, efficiency and economic use of resources in order to promote good governance. In capturing the research objective three and the research, question three, chapter three mentions two important factors that affect M&E, which are political interference and lack of capacity. Lastly, the chapter traces the process of M&E in the eThekwini Municipality that uses tools initiated by National Treasury to report on the performance of the organisation and its standard operating procedures. Like other municipalities, eThekwini Municipality also has challenges they face during reporting. EThekwini Municipality also has established its own quality assurance section, which is instrumental in ensuring that KPIs are aligned with the SDBIP and Individual Performance Plans that adhere to the SMART principles and the CREAM criteria.

Chapter Four: In order to achieve the research objectives and answer the research question in this study, a mixed method research approach was effected. The research design was executed through a case study underpinned by philosophical assumptions using the pragmatic paradigm of ontology, epistemology and axiology. In this chapter, the researcher shows the site where the research was conducted. The research further describes the target population, the sampling size, and the data collection methods and declares the data analysis method to be implemented in the study. Lastly, this chapter deals with the ethical considerations, the gatekeeper's letter, safety, privacy, confidentiality, and anonymity of participants in the study.

Chapter five: This chapter reflected on the achievement of all research objectives and research questions one, two, three and four. For example, Section 5.1 shows that biographical information of participants of the survey questionnaires in a cross tabulation for all selected participating units. Sections 5.2 to 5.6 bear directly on all the four-research objective and questions. The findings in this chapter are discussed by aligning them with the literature of the study. The research objective one and the research question one are depicted in figure 5.2 which shows a high percentage of participants who are 'somewhat agreeing' that eThekwini Municipality has implemented its M&E fully. In achieving a response for research objective

two and research question two the study found that that there are fundamental issues that affect the effectiveness and efficiency of the M&E system in the eThekwini Municipality which were raised as a sub-theme. Qualifications in place are said to be irrelevant or misplaced in yet a high percentage of incumbents believe that they possess relevant qualifications to carry out their duties. The most obvious finding of this chapter is the response of the research objective three and the research question three about factors that affect M&E system, political interference and lack of skills are the key factors that impede the progress of systems in local government. The study has also shown that good governance, monitoring and evaluation are not well comprehended. This was in response to the fourth research objective and fourth research question. Accountability is still not taken seriously at eThekwini Municipality, managers who were interviewed stated that some officials do take responsibility for what they are doing and many do not, hence good governance is not generally adhered to.

Chapter Six: This last chapter outlines the main research findings and conclusions of the study. In terms of theoretical framework, the study used three theories that underpin public administration which led to the theoretical propositions. The theories are: the old public administration theory, the new public management theory and the systems theory. The recommendations of the study are concluded with the pragmatic recommendation for better alignment of the evaluation system and the monitoring system which is lacking in Local Government.

6.3 Main Research Findings and Conclusions

The insights gained from this study may be of assistance to South African Local Government in repositioning the M&E system to make it the centre for development. This will require equipping officials in the M&E environment with relevant skills needed to carry out monitoring and evaluation activities. Aligned to the purpose and significance of the study, municipalities will be able to determine the efficacy of the systems in place, that are utilised to assess the performance of the organisation and to maintain the M&E environment as a culture of learning, which generates accountability, and enhances desirable behaviour, which should in turn result in transformation of an organisation. With that said, the main motivator of this study was the lack of an effective evaluation system and the struggle to implement a monitoring system in

Local Government which suffers from a lack of relevant skills in M&E and little or no understanding of good governance.

The final section of the chapter presents the research findings. The main research findings are compared to the research objectives and the research questions articulated at the beginning of this study. The sub-themes that emerged in the research, for each finding and the, specific conclusions will thereafter inform the main recommendations of the study. Furthermore, the literature presented in chapter two and three, will contribute to the findings and conclusions.

6.3.1 Research Objective One and Research Question One

- **Research Objective One:** To determine how the eThekwini Municipality has implemented its existing monitoring and evaluation system.
- **Research Question One:** How has the eThekwini Municipality implemented the M&E system?

Finding: Implementation of the monitoring and evaluation system in the eThekwini Municipality.

The findings in chapter five on the survey questionnaire indicated a wavering response of participants who somewhat agree on a full implementation of the M&E system in the eThekwini Municipality. In general therefore, it seems that there is a struggle in the implementing of the M&E system as per the GWM&E framework. The findings of this study indicate that the eThekwini Municipality has been successful in utilising a monitoring tool to report on the organisational performance to National Treasury. The evidence from this study shows that the eThekwini Municipality has been instrumental in the application of the Scorecard and the SDBIP to report on the KPI targets aligned to its strategic focus area. On the other hand, in interviews conducted with managers and supervisors in the selected four participating Units, the respondents revealed that the M&E system is not fully implemented.

Conclusion

The evidence from this study shows that the eThekwini Municipality has not yet implemented the evaluation system. The existing monitoring system only reports on the KPI targets. The findings will be of interest to Local Government to make certain to implement an evaluation system to be able to determine the efficacy of the systems in place and to regulate the impact on service delivery. The findings suggest that in general there is a need to re-visit the implementation of the monitoring system in local Government. This dissertation has hopefully provided a deeper insight into the application of the Theory of Change (ToC) which will assist municipalities to map out processes to achieve a goal and to determine whether or not work contributes towards achieving the desired impact. Complete ToC articulates assumptions about the process through which change will occur. The findings reported here, shed new light on the application of the evaluation system which will assist the municipalities to assess its accomplishment of projects, programmes and policy. The key priority should therefore be to plan for the application of impact evaluation which is lacking in municipalities. What is not needed is a cross-national study involving the CoGTA. Municipalities should institute training for the implementation of the ToC, evaluation system and for Impact evaluation to ensure full implementation of the M&E system in compliance with the GWM&E framework.

6.3.2 Research Objective Two and Research Question Two

- **Research Objective Two:** To determine the efficacy of M&E in the eThekwini Municipality

- **Research Question Two:** How effective is the monitoring and evaluation system in the eThekwini Municipality?

Findings: The effectiveness of the M&E system at eThekwini Municipality

The findings to this question contributes to the understanding that, although the evaluation system is an effective tool to accomplish efficient service delivery, most South African municipalities are struggling to implement the evaluation system as recognised by the GWM&E framework. A question was raised in the interviews and in the survey questionnaires regarding the effectiveness of the M&E system in the eThekwini Municipality. A conclusive response was that the eThekwini Municipality's M&E system is not effective. The interview participants raised a concern about misplaced qualifications in the M&E Department. Kusek & Rist (20014:159) commented on the struggle of lack of skills in M&E and this study found

that most senior officials do not possess higher education qualifications. Junior staff members possess higher degrees than their managers. The contribution of this study has been to confirm that officials, who are supposed to lead a way, are less equipped academically for the M&E undertaking. The second major finding was that the Municipality does not determine the effectiveness of its policies in place. This experiment confirmed the reason why most policies are implemented on the basis of drafts. The research has also shown that there is misalignment of Individual KPI on the IPP to those on the SDBIP which impacts negatively on the effectiveness of the system. The study suggests that, in general, there is inefficiency in the M&E system.

Conclusion

The findings reported here shed new light on lack of understanding of the monitoring system by the officials reporting on organisational performance. More broadly, this research indicated that the lack skilled professionals in the execution of M&E impacts negatively on the effectiveness the systems in place. This finding will be of interest to Local Government that is urged to recruit personnel with the relevant skills for the execution of M&E. Although the study focuses on the effectiveness of the M&E system, the findings may well have a bearing on the evaluation of policies and on whether these are effective of not. It was made clear in an interview that Departments conduct their own evaluations on policies and these are mostly reviewed towards their assessment dates. According to the participants, they are unable to determine if their policies are effective or not. The information from this study can be used to develop targeted interventions aimed at achieving organisational objectives. An appropriate application of a monitoring system which displays how efficiently a programme is performing, would policies help to guide the of Local Government. For instance, the monitoring system illustrates how efficiently inputs were used in producing outputs. Based on the findings of inefficient M&E system, this study suggests that the application of a monitoring system which has the capability of confirming the effectiveness and efficiency of ways of utilising resources would be a huge advantage. The monitoring system has an active focus on outcomes. The result-based monitoring would ensure that outputs are tracked and their contribution to outcomes are measured by assessing change.

6.3.3 Research Objective Three and Research Question Three

- **Research Objective Three: To** establish what influences the eThekwini Municipality's monitoring and evaluation system
- **Research Question Three:** What factors affect the monitoring and evaluation system of the eThekwini Municipality?

Findings: Factor affecting M&E in the eThekwini Municipality

The study revealed that municipalities are authorised to ensure the well-being of all citizens of South Africa within their jurisdiction. There are however, obstacles that hinder the progress and efficiencies of systems in place. The study established that there are negative factors that influence the M&E system. The key factors are political interference, lack of skills, historical factors and the working in silos mentality. The plight of responding to a question of whether there is political interference in the eThekwini Municipality or not, got a number of respondents abstaining from responding to the question lest they were victimised by those who did not hold a similar view. This study has identified that political interference is the key influence in the effectiveness of the monitoring and evaluation system and other systems of the municipality. The other finding was that there is lack of skills in the M&E sector which is a nation-wide problem. There is also fear of transformation that is aggravated by senior officials being resistant to change. People still want to hold on to the old ways of doing things hence the historical factors influence the systems negatively. On the other hand, the silos mentality contributes as a factor affecting the M&E system. Most Local Governments have departments that are interlinked on processes but would not want to be co-joined. This could be based on historical factors that the department have never worked together based on policy, but this is also regarded as a silo mentality.

Conclusion

In general, therefore is seems that party political influences impact negatively on the stability and effectiveness of government. Political interference is mentioned as a key problem in a number of Local Government municipalities. The eThekwini Municipality has political party officials who subvert procedures set by municipal officials. Policy implementers have party officials re-directing their implementation processes to suit their political needs. More broadly

the research also needed to determine if the most senior officials are open to change or not. People still want to hold on to the old ways of doing things, it is crucial to know that change is inevitable, resistance to it restrains the organisation's growth. This information can be used to develop targeted interventions aimed at addressing silo mentality which has become costly for the government. Officials are reluctant to share information, departments opt to outsource information from consultants who come in at a price taxing to the organisation. Information shared amongst officials adds value and saves costs for the organisation. Based on the findings there are factors that negatively influence the M&E system. The study suggests that an application of the GWM&E framework guiding principle would serve a purpose in addressing factors that impede the M&E system.

6.3.4 Research Objective Four and Research Question Four

- **Research Objective Four:** To analyse the contribution of M&E towards enhancing good governance
- **Research Question Four:** How does the monitoring and evaluation system contribute towards enhancing good governance?

Findings: The contribution of M&E towards enhancing good governance.

In this investigation, the aim of this research objective was to assess how the M&E system contributes to enhancing good governance. This study has shown that eThekwini Municipality prides itself on its adherence to good governance yet stemming from the research problem statement in chapter one, there is lack of accountability and responsibility by municipal officials. This finding is supported by a wavering high percentage of questionnaire participants who somewhat agree that eThekwini Municipality adheres to good governance. There is an underlying fact that the majority of participants in the study do not know that M&E and good governance are interlinked. The study also found that an average number of questionnaire participants somewhat agree that eThekwini officials practice accountability and take responsibility on projects that failed along the way. One of the major findings was that most official's KPIs on their IPP's are not aligned to the SDBIP hence the hindrance of efficient service delivery.

Conclusion

The contribution of M&E towards enhancing good governance allows assessment of organisational performance to improve performance outputs, outcomes and impacts of systems and service delivery. Taken together these findings suggests that the application of a monitoring system can assist the organisation to achieve its objectives by tracking performance. As Maloba (2015) commented in his study, South African Local Government portrays a picture that the effectiveness and influence of the GG tool is non-existent. Local Government is bedevilled with the lack of accountability and responsibility by municipal officials. This study suggests that Good Governance should not be avoided by people who are appointed to serve the citizens of the country. Based on the findings of this study, a detailed monitoring system that displays a strong tendency towards accountability, transparency and public participation to ensure effectiveness should be inculcated into Local Government. This study also suggested an accurate alignment of KPIs to the SDBIP in order to result in base outcomes that are measurable and capable of being monitored.

6.4 Significance of the study to the body of knowledge of Monitoring and Evaluation

The insights gained from this study may be of assistance to Local Government due to the need to examine the implementation of the M&E system in local government. It is therefore important for the researcher to make a judgement about the significance of the study. The contribution of this study has been to confirm the need for organisational performance to add value to and improve service delivery. Given the nature of the implementation of the M&E system in Local Government, this approach will prove useful in expanding our understanding of how M&E improves an organisation's activity. The methods used for the implementation and establishment of the M&E system, may be applied to other district municipalities which will then be able to determine the efficacy of their systems in place. The present study has gone some way towards enhancing understanding of M&E. This will also allow municipalities to ensure that their goals are outcomes-based and they should be able to regulate the impact thereof. From the data collected, research showed that there is a need to determine the impact of services delivered. In that sense the study advocates for an evaluation system which is a necessary tool for local government.

6.5 Overarching Recommendations of the Dissertation

In order to ensure that an appropriate system for M&E is a priority, the findings of this study point to a number of important implications for current and future practice. As echoed in the findings of this research, the six recommendations below are directed towards *Cooperative Governance of Traditional Affairs (CoGTA)* that is responsible for ensuring, amongst other things, that all municipalities perform their functions without compromise by placing South Africa's citizens and their basic apprehensions first; promoting good governance; ensuring transparency; building institutional resilience and administrative capability. The eThekwini Municipality can use the recommendations to create the evaluation system and to enhance its monitoring system already in place.

6.5.1 Recommendation one

This study has gone some way towards enhancing our understanding of how eThekwini Municipality has implemented its Monitoring and Evaluation system. The study found that eThekwini Municipality has been successful in implementing a Monitoring system to report on its organisational performance targets. There are several implications for this research into the implementation of M&E system in Local Government. This study has revealed that there is a struggle in the implementation of M&E system in Local government and also implementation of the M&E system which is not compliant with the GWM&E framework.

The present finding might help to solve the problem experienced not only in the eThekwini Municipality but also at Local Government level regarding the implementation of the M&E system. A full implementation of the M&E system with more emphasis on the application of evaluation is suitable for municipalities to ensure effective operation of services. The approach to evaluation could as detailed in Chapter two be applied. The evaluation approach has a potential to aid an organisation to determine the impact of the system in place. This could eventually lead to being able to determine the effectiveness of service delivery by the municipality. This research offers the potential to solve the difficulty experienced at Local Government level in setting up a full M&E system. This dissertation recommends that management should re-examine their existing M&E system and enhance it to ensure full compliance to the GWM&E framework.

6.5.2 Recommendation two

The study has hopefully brought an understanding of the objective of determining if the eThekwini Municipality's M&E system is effective or not. The study has also revealed through the response of the research question: How effective is the monitoring and evaluation system in the eThekwini Municipality? that the M&E system in the eThekwini Municipality is not effective. The present finding might help to solve the problem of inefficiency. The study found that the current staff incumbent in the M&E unit does not possess relevant qualifications. The findings demonstrated that the qualifications are misplaced. The study also revealed that the municipality does not determine the impact of the services it provides. The municipality has KPIs that are not SMART and that are not aligning with the organisational KPIs. Lastly, the study found that there are policies that are implemented on the strength of drafts and these are never reviewed or are reviewed haphazardly. The study recommends that incumbent's qualifications that are not relevant to M&E be provided with training and skills that will enhance and upgrade their qualification to suit the required competency skills for M&E. The study also recommends that M&E management make use of the ToC as detailed in Chapter two of the study. The ToC provides steps in conducting Impact evaluation in order to determine the efficacy of the systems. A combination of the ToC and the Logical framework would assist managers to be able to use appropriate tools for managerial challenges. The Logical framework would assist management to set SMART KPIs that are outcomes-based and aligned to the organisational KPIs. The study recommends reviews of all policy regardless of it being efficient even when implemented on drafts. Minimal review of policy reduces the impact and efficiency of the policy. The eThekwini Municipal Policy Committee should be revived and they should reassess the need to review and analyse new or existing policies.

6.5.3 Recommendation three

The first step of understanding the objective of establishing what influences the M&E system in the eThekwini Municipality has been revealed from the findings of this study which has highlighted several implications that influence or impedes the efficiency of the M&E system in the eThekwini Municipality and also in the Local Government at large. The study has shown that the lack of professional skills, political interference, working in silos and historical factors, hinders the M&E system. The findings might help to solve the problem of factors that obstruct the M&E system in the eThekwini Municipality and in Local Government. This study therefore

recommends that in order to address the lack of capacity factor, Gorgens & Kusek, (2009) suggestions for a competency requirement for M&E field as describes in chapter three of the study should be adopted. Taken from the findings regarding political interference, the study recommends that municipal officials need to establish a professional platform for addressing matters with politicians. Officials should be able to establish and distinguish between accountability and interference. Political interference dents good governance and affects service delivery. Silos mentality is a common factor in both public and private institutions. The study recommends that departments should have Standard Operating Procedures (SOP) in place. Acquiring service providers for services that could be provided internally is taxing to the organisation.

6.5.4 Recommendation four

In bringing us to the understanding that M&E contributes toward enhancing Good Governance. A research question on how M&E contributes towards enhancing GG was asked. The implications for research into the findings revealed a wavering response by the officials regarding to GG. The present findings might help to solve the GG problems. Most eThekwini officials are not sure if, the eThekwini M&E enhanced GG or not. The study revealed that officials do understand that the two concepts complement each other but they are not sure if eThekwini officials are vulnerable to GG arbitrating on the corruption in the municipality and lack of accountability by municipal officials. The recommendations for these finding therefore are that since lack of accountability and responsibility affects the integrity and the budget of the municipality, a detailed Logical framework and ToC combined should be used as a monitoring and evaluation tool to enhance tracking performance and this will allow officials to give an account of projects planned and allocated to them. The eThekwini Municipality used the SDBIP as a tool to report on the municipality's performance of targets and projects. The SDBIP also has a budget allocated to all projects. More emphasis on ensuring measurability of the KPIs on individual IPPs might help solve the problem of service delivery protests.

6.6. Study Limitations

As it is with any research, there are definite limitations. While the research study may be reproduced across all South African municipalities, and the findings integrated from selected units within the eThekwini Municipality, this research focused on exploring the implementation of M&E in Local Government using the eThekwini Municipality as a case study. The participants were drawn from selected units responsible for monitoring and evaluating the performance of the municipality. The participants were drawn from four selected Units, the Performance Monitoring and Evaluation Unit, Internal Audit Unit, Good Governance Unit and selected Policy offices within the Municipality. The research was explicitly aimed at exploring the implementation of the monitoring and evaluation system at Local Government level.

The scope of the study was limited in terms of availability of participants from the selected Units. The researcher managed to secure interviews with managers and supervisors in the three Units. Since the study was limited to 79 participants, it was not possible to engage all the respondents due to unavailability and abstaining from participation in the study. Some participants provided their reason for pulling out based on fear of coercion; some participants felt that their responses to the research questions would impact negatively on their work. The study ended up conducting 51 survey questionnaires and 8 interviews. This circumstance did not hamper the study, as the available participants were sufficient to fulfill the required percentage of the sample size. In spite of the limitations, the study should certainly add something to our understanding of the M&E system in Local Government.

6.7 Future Research

The activities of this research have opened many avenues for research initiatives as presented below:

- Local Government is struggling in implementing the full monitoring and evaluation system. Therefore, an in-depth research on impact evaluation for metropolitan municipalities should be considered for future research.

- Further research should be done on service delivery to indigent citizens in metropolitan municipalities to ensure that the necessary basic services are provided to poor households.

- Research on challenges faced in local government regarding mismanagement of funds and the high level of corruption which hampers organisational performance requires investigation.

- The unfulfilled promises as impetus to protests, due to government being too slow in providing quality service delivery, Municipalities have a high level of impoverished communities that are involved in service delivery protests every year

- Lack of institutional capacity which leaves municipalities inadequately staffed. Lack of skills and expertise results in service delivery backlogs.

- Research is needed into policy adoption and governance framework creation and implementation for the eThekwini Municipality. This is due to lack of a policy framework for the governance sector in the eThekwini Municipality and draft policy implementation in local government.

6.8 Chapter Summary

This concluding chapter of the dissertation portrayed the summary of all chapters in the study. The chapter first recalled the research objectives and the research questions by showing how the data collection from participants assisted in accomplishing the research objectives and how it answered the defined research questions. The chapter further outlined the main research findings by drawing from each research objective and question and outlined the overarching recommendations which stipulated the ToC for an evaluation system and Logic framework for a monitoring system. Lastly, the chapter highlighted the limitations of the study and the possible areas of future search. This chapter concludes the dissertation.

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List of Appendices

Appendix A   Consent to Participate

I ……………………………………………………………………………. have been informed about the study entitled "Organisational Performance Monitoring and Evaluation System: case study eThekwini Municipality" by Cenderela Phindile Nonyane.
I understand the purpose and procedures of the study.

I have been given an opportunity to ask questions about the study and have had answers to my satisfaction.
I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researchers at phindi.nonyane@durban.gov.za and phindinonyane@yahoo.com Cell : 0723779281 or work 031-3227203; or

Mr. Premiall Mohun,
Humanities & Social Sciences Research Ethics Administration
Research Office, Westville Campus
Govan Mbeki Building
Private Bag X 54001
Durban, 4000
KwaZulu-Natal, SOUTH AFRICA
Tel: 27 31 2604557 - Fax: 27 31 2604609
Email: HSSREC@ukzn.ac.za

_____

Additional consent, where applicable:

I hereby provide consent to:

Audio-record my interview   YES / NO

_____   _____
    Signature of Participant   **Date**

_____   _____
Signature/Date of Witness (as applicable) Signature of Translator (as applicable)

Appendix B   Consent Letter Survey Questionnaire

UNIVERSITY OF KWAZULU NATAL

Researcher: Cenderela Phindile Nonyane (9304767)

Supervisor: Sybert Mutereko PhD.

School of Management, Information Technology and Governance

Dear Respondent,

The information required in this questionnaire is meant to form part of an academic research process titled **Organisational Performance Monitoring and Evaluation System: Case study eThekwini Municipality.** Your Municipality has been chosen as a case study. Through your participation, the researcher will be able to ascertain the feelings of the people and their involvement in the monitoring and evaluation system at eThekwini Municipality.

Kindly note the following in respect of your participation:

a. That your participation in this study is voluntary. You have a choice to participate or not to participate. You may also withdraw your participation at any time you wish without giving any reason.

b. Your participation is highly confidential and anonymous. No one has the right to know of your participation, the information cannot, in anyway, be linked to you; hence, your name is not required for any reason.

c. If you have any doubt, question or concern, you may, please, call on the researcher for explanation or contact the institution above;

d. No incentives or benefit is available to participants and no risk is envisaged.

In light of the foregoing, your honest response to the questions will be highly appreciated. All information given shall be treated with strict confidentiality and will be analysed as aggregated statistics data strictly for academic purpose.

Thank you for your cooperation

…………………………………
Cenderela Phindile Nonyane
0723779281 or 031-3227203

Appendix C   Survey Questionnaire Template

Instructions   : Please note that this exercise is anonymous.
                              Please tick in the appropriate space provided

Department Name   : _____

Name of the section   (tick the relevant box of your Unit with an X)

Internal Audit	PME Unit	Good Governance	Policy Committee

Years of service   : _____

Survey Questionnaire No:

_____

Date

SECTION B

B 1. Biographical information								
1	**Are you:**							
			Male			Female		
2	**What is the highest level of qualification you have completed:**							
	Tvet Collage Certificate	Diploma	Degree	Honours Degree	Master's Degree	Post Honorary Degree PHD		
3	**What is your designation in your Department**							
	Head of Department	Deputy Head	Senior Manager	Manager	Supervisor	Clerk		General Assistant

	Questions	Strongly disagree	Disagree	Somewhat agree	Agree	strongly agree
		1	**2**	**3**	**4**	**5**
4	My qualification/s are relevant and essential to the work I am doing in monitoring and evaluation					
5	The modules/ subjects I have in my qualification/s are relevant to the monitoring and evaluation aspect of my work					
6	I possess necessary and required qualifications to carry evaluation of projects, programmes and policies					

In a scale of 1 to 10, where 1 is strongly disagree and 10 is strongly agree (tick the appropriate box)

7	My education background made it easy for me to understand Monitoring and Evaluation	1	2	3	4	5	6	7	8	9	10

Is there anything you would like to add or elaborate upon regarding the above:

B 2. How has eThekwini municipality implemented Monitoring and Evaluation system?						
No.	Questions	Strongly disagree	Disagree	Somewhat agree	Agree	strongly agree

		1	2	3	4	5
1	eThekwini Municipality has fully implemented the M&E system as per the GWME System					
2	Like many other municipalities eThekwini has only successfully implemented the Monitoring system					
3	Unlike many other municipalities, eThekwini has implemented Evaluation system					
4	The implemented system is effective in determining the efficacy of the services delivered.					

On a scale of 1 to 10, where 1 is strongly disagree and 10 is strongly agree (tick the appropriate box)

5	The Monitoring and Evaluation Management staff have a better understanding and Conceptualisation of M&E	1 2	3 4	5 6	7 8	9 10
6	M&E at eThekwini Municipality is fully implemented	1 2	3 4	5 6	7 8	9 10

Is there anything you would like to add or elaborate upon regarding the above:

B 3 How effective is the Monitoring and Evaluation system of eThekwini Municipality?

No.	Questions	Strongly disagree	Disagree	Somewhat agree	Agree	strongly agree
		1	2	3	4	5
1	I believe the Monitoring system in place adds value to the organisational activity.					
2	I believe that the Evaluation system adds value to impact on service delivery.					
3	EThekwini Municipality conducts evaluation on its programmes, projects and policies.					

4	eThekwini Municipality is able to address gaps of impact on service delivery using its monitoring system									

In a scale of 1 to 10, where 1 is strongly disagree and 10 is strongly agree (tick the appropriate box)

5	All departments that are directly involved in Service delivery conduct their own evaluation of projects and programmes.	1	2	3	4	5	6	7	8	9	10
6	Ethekwini Municipality has complied fully to the GWME system in implementing the evaluation system for the municipality.	1	2	3	4	5	6	7	8	9	10
7	eThekwini Municipality has an effective evaluations system in place	1	2	3	4	5	6	7	8	9	10

Is there anything you would like to add or elaborate upon regarding the above:

B 4 What factors affect Monitoring and Evaluation system of the eThekwini Municipality?

No.	Questions	Strongly disagree	Disagree	Somewhat agree	Agree	strongly agree
		1	**2**	**3**	**4**	**5**
1	The current eThekwini M&E system uses a top down approach					
2	There is political interference in the implementation of M&E					
3	Historical factors affect the implementation of M&E					
4	The Municipality is able to evaluate its projects, policy and programme using the logical framework					

In a scale of 1 to 10, where 1 is strongly disagree and 10 is strongly agree (tick the appropriate box)

5	Management and staff are able to realize the impact and services provided through the effectiveness of the systems in place	1	2	3	4	5	6	7	8	9	10
6	There is a strong political interference in M&E system	1	2	3	4	5	6	7	8	9	10
7	eThekwini Municipality is able to implement the M&E system	1	2	3	4	5	6	7	8	9	10

8	Financial constraints constrain M&E	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
9	A lack of skills impedes M&E	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
10	Political interference impedes M&E	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**

Is there anything you would like to add or elaborate upon regarding the above:

B 5. How does Monitoring and Evaluation system contribute towards enhancing good governance at eThekwini municipality?

No.	Questions	Strongly disagree	Disagree	Somewhat agree	Agree	strongly agree
		1	**2**	**3**	**4**	**5**
1	M&E at eThekwini Municipality enhances Good governance					
2	Good Governance is adhered to in eThekwini Municipality					
3	All Senior Officials at eThekwini are portraying accountability and responsibility in the services they render for the citizens of eThekwini.					
4	I have a better understanding of what Good Governance is.					

In a scale of 1 to 10, where 1 is strongly disagree and 10 is strongly agree (tick the appropriate box)

5	The M&E System adds value in enhancing Good Governance	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
6	I believe the Good Governance adds value to the organisation's integrity and accountability	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
7	Both the Monitoring and Evaluation system and Good Governance are effectively implemented at eThekwini	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**
8	The Auditor General's report reflects positive results about eThekwini's performance hence the clean audits	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**

Is there anything you would like to add or elaborate upon regarding the above:

Appendix D   Interview Questions

INTERVIEW QUESTIONS

1. How is the current monitoring and evaluation system being implemented in eThekwini Municipality?

2. How effective is the monitoring and evaluation system of eThekwini Municipality?

3. What factors affect monitoring and evaluation system of the eThekwini Municipality?

4. How does monitoring and evaluation system contribute towards enhancing good governance?

Appendix E   Ethical Certificate

UNIVERSITY OF ™
KWAZULU-NATAL

INYUVESI
YAKWAZULU-NATALI

12 November 2018

Ms Cenderela Phindile Nonyane (9304767)
School of Management, IT and Governance
Westville Campus

Dear Ms Nonyane,

Protocol Reference Number : HSS/2039/018M
Project title: Exploring the implementation of monitoring and evaluation system in local Government: A case study of eThekwini Municipality

Full Approval – Expedited Application

In response to your application received 31 October 2018 2018, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol has 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

Professor Shenuka Singh (Chair)

/ms

Cc Supervisor: Dr Sybert Mutereko
cc Academic Leader Research: Professor Isabel Martins
cc School Administrators: Ms Angela Pearce

Appendix F   Language Editing Certificate

<div align="center">

ASOKA ENGLISH LANGUAGE EDITING

14 Boundary Rd., Escombe, 4093

CELL NO.: 0836507817

सत्यमेव जयते

DECLARATION

</div>

This is to certify that the FOLLOWING DISSERTATION has been English Language Edited

<div align="center">

EXPLORING THE IMPLEMENTATION OF THE MONITORING AND EVALUATION SYSTEM IN LOCAL GOVERNMENT: A CASE STUDY OF ETHEKWINI MUNICIPALITY

Candidate: Nonyane PC

</div>

DISCLAIMER

Whilst the English language editor has used electronic track changes to facilitate corrections and has inserted comments and queries in a right-hand column, the responsibility for effecting changes in the final, submitted document, remains the responsibility of the client.

Director: Prof. Dennis Schauffer, M.A.(Leeds), PhD, KwaZulu (Natal), TEFL(London), TITC Business English, Emeritus Professor UKZN. Univ. Cambridge Accreditation: IGCSE Drama. Hon. Research Fellow, DUT. Durban University of Technology.