

**UNIVERSITY OF KWAZULU-NATAL**

**PROJECT GOVERNANCE THROUGH MONITORING  
AND EVALUATION IN THE DEPARTMENT OF  
ECONOMIC DEVELOPMENT, TOURISM AND  
ENVIRONMENTAL AFFAIRS**

**By**

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## **ABSTRACT**


In recent years, the role of monitoring and evaluation (M&E) in the public sector has been accelerated to become an important performance management tool for departments. Implementing projects are the main service delivery ‘vehicle’ that departments use to achieve the goals and objectives. If the M&E of projects is undertaken adequately, the transparency, accountability and performance of the public sector will be enhanced. Project governance provides a platform for informed project decisions to be reached. Under the project governance framework, M&E may be applied throughout the cycle. This qualitative study examines the relationship between M&E and project governance as a value-added tool in the Department of Economic Development, Tourism and Environmental Affairs.

Data was collected by means of semi-structured face-to-face interviews. The findings highlighted the following issues: there was no alignment of the M&E and project management methodologies; little collaboration between project managers and M&E; lack of communication; silo mentality; no M&E mentorship; lack of reporting and an under-staffed M&E unit. The key recommendations for the study highlighted in the research include the M&E framework must be communicated to all levels of staff; M&E has to be included in the strategic and planning stages of the project management lifecycle; on-going M&E mentoring and coaching, and the M&E unit needs to be capacitated to meet the demands of the department.

## DECLARATION

I, **IRASHA SINGH**, declare that

- The research reported in this dissertation, except where otherwise indicated, is my original research;
- This dissertation has not been submitted for any degree or examination at any other university;
- The dissertation does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons;
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Signature: 

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## **DEDICATION**

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“Be who you are and say what you feel, because those who mind don’t matter and those who matter don’t mind.”- Dr. Seuss

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## **LIST OF ABBREVIATIONS AND ACRONYMS**

APM	Association for Project Management
APP	Annual Performance Plan
ASD	Alternative service delivery
BAS	Basic Accounting System
COPS	Community of practices
DPME	Department of Planning, Monitoring and Evaluation
EDTEA	Department of Economic Development, Tourism and Environmental Affairs
EXCO	Executive Committee
FMPPI	Framework for Programme Performance Information
GOPM	Governance of Project Management
GPRA	Government Performance and Results Act
GWM&E	Government Wide Monitoring and Evaluation
GWMES	Government–Wide Monitoring and Evaluation System
HOD	Head of Department
HSSREC	Human and Social Sciences Research Ethics
KM	Knowledge Management
LED	Local Economic Development
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MPPI	Managing Programme Performance Information
NEP	National Evaluation Plan
NEPF	National Evaluation Policy Framework
OECD	Organisation for Economic Cooperation and Development
PAIA	Promotion of Access to Information Act
PFMA	Public Finance Management Act, 1999
PM&E	Planning, Monitoring and Evaluation
PMBOK	Project Management Body of Knowledge
PMIS	Project Management Information System
PPI	Programme Performance Information
PPP	Public-Private-Partnerships
PSC	Project Steering Committee
PSO	Project Support Office

QPR	Quarterly Performance Reporting
RBME	Results-Based Monitoring and Evaluation
SASQAF	South African Statistical Quality Assessment Framework
Stats SA	Statistics South Africa
UKZN	University of KwaZulu-Natal
UNDP	United Nations Development Programme

## **CHAPTER ONE**

### **INTRODUCTION AND OVERVIEW OF THE STUDY**

#### **1.1 INTRODUCTION**

Monitoring and evaluation (M&E) of performance is viewed as a mechanism to reinforce internal accounting, auditing and supplementary systems; expenditure control; and produce informative reports (United Nations Economic Commission for Africa , 2016: 14). The conventional evaluation systems concentrated on the outputs and overlooked the outcomes and impact of government interventions. The Constitution of the Republic of South Africa 1996 specifies under Section 195, the ethical norms and standards that the public sector must observe to ensure good governance (Constitution, 1996). The aspects mentioned under these guidelines include accountability, transparency, responsiveness, un-biasedness, efficiency and effectiveness. All these characteristics are contributors to the notion of governance and good governance.

M&E is vital to the public sector in South Africa in ensuring service delivery improvement, performance excellence and transformation (Ijeoma, 2014:11). Mouton states that the application of M&E and the results-based approach in the public sector has increased impetus through to the implementation of the Millennium Development Goals (MDGs), which are internationally geared towards alleviating poverty and improving development (Mouton, 2010: 100). The framework is viewed as a management instrument that identifies gaps in the performance of governmental departments and offers a channel for timeous feedback of remedial action, thus improving governance and performance management (Ijeoma, 2014: 11).

Kerzner (2008: 2) defines projects as several sequences of activities, deliverables and tasks that have a definite objective to be accomplished within specifications using human and other resources within a budget. Bekker and Steyn (2009: 218) define project governance as a group of management systems, rules, relationships and structures that offer the framework in which decisions are reached for project planning and implementation to attain the planned business or strategic motivation. In relation to governance and project management principles relating to M&E, this study aims to present a framework within which the most suitable governance practices and trends can be amalgamated into managing projects in the public sector. The statement further elaborated is that M&E does play a substantial role in supporting and transforming project governance.

## 1.2 RESEARCH PROBLEM

The expectations of the public sector are steadfast wanting results to be exhibited. A main expectation of government is to impact positively in the lives of the citizens by delivering quality services and goods that ought to be provided with a value-for-money approach. According to Statistics SA (2017: 1), in the first quarter of 2017, it is evident that South Africa is at the highest rate of unemployment (27.7%) since September 2003. Citizens are concerned with the corruption South Africans are becoming more aware of the country's economic performance, and are especially concerned with job creation and sustainability of the economy.

The conventional evaluation systems focused on outputs and disregarded the outcomes and impacts (Ijeoma, 2014: 14). Outcomes are the intermediate term experiences of the project beneficiaries, and impacts can be seen as the long-term consequences of the project implemented while outputs are the results. For instance, the output of a capacity-building project would be the number of participants capacitated, but the sustainability and challenges experienced by the service providers and beneficiaries are not taken into consideration. In November 2016, Belinda Scott, the KZN MEC of Finance, stated that the amount of R151 million was suspended from EDTEA due to under spending (SA Government, 2016: 1). The under-expenditure was driven by a lack of project management, planning and challenges encountered with procurement processes. The funds forfeited from the department would invariably have an adverse effect on service delivery.

The above reasons for the department's poor performance highlight the multi-various environment in which provincial departments operate. One department's poor performance may have an impact on other departments in the province, and may contribute collectively to poor governance in the province. With the GWMES, the internal M&E unit at EDTEA and an increased budget, the performance level of the department is below par to deliver on its mandate. The lack of legislative compliance, weak project management, poor management skills, lack of capacity and corruption continues to be the key elements for poor performance in the department. The above reasons for the department's level of performance are evident due to a paucity of maintainable M&E systems, which assists to trace performance and take remedial action to improve governance.

### **1.3 AIM OF THE STUDY**

The Government–Wide Monitoring and Evaluation System (GWMES) was envisioned with an integrative system in which all departments would have an efficient monitoring system from which essential information can be extracted, submits (Ijeoma, 2014: 163). The Department of Economic Development, Tourism and Environmental Affairs (EDTEA) have embarked on an initiative of increasing economic growth within the KwaZulu-Natal Province through a number of projects (EDTEA, 2015: 7). In this regard, EDTEA has set up a dedicated M&E unit since April 2006. The main purpose of the unit is to enhance the application of M&E systems and strategies by providing proficiency and support, together with a service hub for related initiatives.

Van der Waldt (2008: 730) asserts that establishing oversight bodies such as project management agencies and comprehensive organizational practices are currently highlighted, which emphasise accountability, and the increasing significance of the need for governance. There is increased pressure on the public sector to enhance performance and undertake strategic opportunities toward a results-orientated service delivery paradigm (Porter and Goldman, 2013: 2). Project governance is hence focused on performance, results, and has significant imperatives for ensuring that strategies are aligned to projects, and that service delivery is thereby enhanced. It also encompasses responsibility and accountability mechanisms in the institutions of public sector guide projects (Van der Waldt, 2008: 730). The study therefore aims to investigate how M&E can enhance project governance in EDTEA.

### **1.4 OBJECTIVES OF THE STUDY**

This study aims to improve M&E through project governance within the EDTEA. In order to understand this objective, the following have been outlined as key goals of the study:

- Determine how the M&E system supports project governance;
- Investigate the effectiveness of EDTEA in using M&E to support an ethos of good project governance;
- Determine the challenges that the M&E unit may encounter in enhancing project governance;
- Assess how the M&E system may achieve its full potential in the EDTEA environment; and

- Recommend the future of the M&E unit as a project governance mechanism in EDTEA.

## **1.5 KEY QUESTIONS TO BE ADDRESSED IN THE STUDY**

The key questions investigated in the study are as follows:

- How does the M&E system support project governance?
- How effective is EDTEA in using M&E to support efforts at promoting good project governance?
- What are the current challenges experienced by EDTEA in relation to project governance?
- How can the M&E system achieve its full potential in the EDTEA environment?
- What are the future prospects that the M&E unit faces in contributing to project governance?

## **1.6 RESEARCH METHODOLOGY**

This research study required empirical evidence to gain an understanding of the participants' views on how M&E of projects enhance project governance. The best alternative to collecting data was to conduct interviews with the sample population. Interviews were documented and recorded with the voluntary consent of participants. The researcher furthermore took hand written notes at the interview. The findings highlighted challenges and future prospects of M&E and project governance.

The target population included the M&E unit, Knowledge Management (KM) unit and one project manager from each of the seven programmes in EDTEA. The complement of staff that where interviewed includes: one Chief Director, five M&E members, two Knowledge Management (KM) members and seven project managers from each programme were the interviewees for this research.

The sampling technique that was used is non-probability. The participants were deemed appropriate for the study given as they were seen to be skilled in the research field investigated. For this research study, purposive sampling will be employed. The intention of this particular study is to target prospective participants employed at EDTEA where M&E forms part of their core activities. This study included project managers, KM and M&E members from the department.

Data collection was completed through the case study method and numerous sources of data was used, maintaining a chain of evidence and creating a case study database. This research study required drew information from consulting various reports (M&E, Performance, Annual Performance Plans, Annual Report, Treasury report, Department of Planning, Monitoring and Evaluation reports, Office of the Premier). All recordings were stored electronically and saved under code names to maintain anonymity of participants. The recordings were transcribed *verbatim* and proof read by an independent party. A database was maintained of all source data consulted. A documented chain of evidence was maintained to add validity to the study.

The method of data collection that was employed in this study is semi-structured interviews with selected participants. The researcher used a set of pre-determined open-ended questions on the interview schedule (Annexure A). This strategy allowed the interview to be guided instead of being restricted. The advantage of using this method is that it enhances the relationship between the researcher and the participants, as they are perceived to be the experts in the field, and they should be allowed adequate time to express their knowledge and experiences freely (Patton, 2015: 439). The relevant questions were grouped in categories as indicated in the questionnaire that will be applied in interviews.

In the research study, information from the case study strategy to documentation consulted, responses from interviews with participants, various reports and archival records were examined. ‘Triangulation’ was used for data quality control in research when multiple sources of data are gathered and examined to ascertain their commonalities to a particular theory (Starman, 2013: 32). Creswell (2014: 201) suggests that if the same answer is provided by different sources to the same question, the data may be considered successfully ‘triangulated’. The research instruments used in the study were in-depth semi-structured interviews. The transcripts were transcribed following the interviews that were done. Transcriptions were also proofread by an independent party to ensure correctness and consistency.

The researcher developed a codebook, pre-tested the codebook, proceeded with coding and verified coded data (Creswell, 2014: 199). It can be said that data from qualitative studies tends to be richer and more detailed than quantitative data (Creswell, 2014: 186). The questions in the interview comprised of open-ended questions, which allowed the participants to provide unrestricted responses and lead the research to pertinent themes.

## **1.7 LIMITATIONS OF THE STUDY**

This research study was restricted to the KZN-EDTEA. The study could be undertaken at a National or Local level of government. The study was also narrowed to specifically examine project governance and M&E of projects. Future studies could also include performance management, programme evaluation initiatives or the maturity of project management in the organisation. A study of this nature could also be undertaken to assess donor funding at an international level.

## **1.8 ETHICAL CONSIDERATIONS OF THE STUDY**

The study subscribed to the University's ethical clearance related to participants and the general public is a concern when conducting qualitative research, asserts Creswell (2013: 56). The concerns include camouflaging the purpose of the research and the use of dishonest procedures, video recording or voice recording the proceedings, comfort level of the participants and misapplying the outcomes of qualitative research (Creswell, 2013: 57). The researcher complied with the consent process as indicated in the University of KwaZulu-Natal (UKZN) Human and Social Sciences Research Ethics (HSSREC) application form for postgraduate studies and research.

The information sheet which includes detailed information in the study was completed and submitted timeously. The declaration of consent wherein the participant confirms that he/she understands the research process, his/her rights, including the right to refuse participation, right to remain anonymous and/or withdraw from the study without any negative consequences was duly completed. Written permission was sought to record the interviews. All permission slips and consent forms were signed and dated. No children were interviewed for this study.

## 1.9 OVERVIEW OF CHAPTERS

### CHAPTER ONE: INTRODUCTION AND OVERVIEW OF THE STUDY

This chapter presents the purpose of the study and outlines the key objectives that will be answered. It further explains the research methodology, research design and presentation of data. Included in this chapter, are the limitations of the study and ethical considerations that the study subscribed to. A brief outline of the chapters is presented in this summary.



### CHAPTER TWO: THEORISING MONITORING AND EVALUATION

This chapter assesses the mechanisms of M&E, at various stages to encourage good governance, using the case study of EDTEA. M&E is described with emphasis on the GWMES. The application of the M&E framework of the department is discussed and presented from a public sector project management perspective. The chapter concludes with the transformation of managing projects in EDTEA, the challenges and a way forward.



### CHAPTER THREE: CONCEPTUAL FRAMEWORK OF MONITORING AND EVALUATION

Chapter Three highlights the various concepts, frameworks and the M&E processes in the department. The discussion includes the legislative obligations, contemporary theories on M&E, and examines M&E within a project governance perspective



### CHAPTER FOUR: RESEARCH METHODOLOGY AND DESIGN

This chapter provides the theoretical framework of the research design and methodology that were utilised to gather data for the study. Semi-structured interviews were administered and data collected was analysed qualitatively.



### CHAPTER FIVE: DATA PRESENTATION, ANALYSIS AND INTERPRETATION

Chapter Five presents results from the previous chapter. The analysis is presented as graphs and tables in support of the conceptual perspectives, research questions and intentions of the study.



### CHAPTER SIX: RECOMMENDATIONS AND CONCLUSIONS

Chapter Six provides the results, recommendations and further areas of research grounded on the findings presented and the results obtained through the study

## **1.10 SUMMARY**

The significance of this research study as a contribution to promoting project governance through M&E in EDTEA is positioned in the field of public administration. While the focus of this research study is on the area of M&E as a value-added tool to project governance and alternate service delivery mechanisms, the research approach was based on the social constructivism scope of enquiry, applying the case study research design.

The intention of the study, together with the research objectives, were highlighted in this chapter. A structured framework of chapters and a summary of the research methodology were also highlighted. This preliminary chapter has highlighted the significance of M&E, a value-added tool to enhance project governance, and its effect in EDTEA as the main theme of study that was investigated. The succeeding chapter provides a foundation to the theoretical contributions to M&E.

## **CHAPTER TWO**

### **THEORETICAL CONTRIBUTIONS TO MONITORING AND EVALUATION**

#### **2.1 INTRODUCTION**

The literature study interrogates the practice and implementation of M&E, and conceptualises M&E systems highlighting the significance and functionality in the government environment. It further discusses the objective of M&E, institutionalisation of M&E systems, the mechanisms of an M&E system and concludes with establishing vital components of the system that will support project governance contextualised within EDTEA.

Globally, governments are pressurised to enhance performance towards achieving targets and producing results, to enhance good governance, accountability and transparency. Presently, there has been a worldwide transformation in the public sector management, compelling governments to be responsible to the stakeholders including the citizens of the country. The main purpose of enforcing M&E is the on-going need for governments to be accountable (Kusek and Rist, 2004: 17). The need for enhanced accountability and the move from traditional implementation-based to evidence-based or RMBE has amplified the importance of M&E.

The Sustainable Development Goals were incorporated into the MDGs which have progressively challenged governments to yield results before the expected deadline in 2030 by United Nation member states. These resolutions include: understanding public demands for enhanced pellucidity of policy designing, the collective influence of experts in policy drafting and administration, the accumulative use of project management in the everyday administration tasks, the shrinking validity of public administrations, causing a decline in the public's faith in the government's ability to spend the public purse prudently, and the increasing pressure to reduce expenditure (Karver, Kenny and Summer, 2012: 13). These trends encourage a shift towards strengthening the efficacy in the public domain.

The public sector developed and adopted performance management systems in an attempt to transform the organizational culture, financial management, human resource management and M&E practices in government organisations (Van der Waldt, 2004: 3). According to Ijeoma (2014: 25), performance measurement emphasises monitoring results and outcome of policies,

investigating the causal links between outcomes and policy implementation, which contributes to introducing evaluation.

The key objective of the study was to clarify the significance and practice of M&E in order to gain a sense into the field of study. In order to achieve this aim, the chapter begins with defining the notions and the purpose of M&E as the foundation of further understanding the key components of M&E systems.

The chapter further describes project management and governance as an essential component of project governance and the main focus of the study. Apart from this, the chapter details components of an M&E system and the institutionalisation of the system.

## **2.2 DEFINING MONITORING**

M&E are ‘disciplines’ that have been defined in many facets by several researchers. The key fundamentals of M&E are described in a variety of definitions. Monitoring is tracking what is being completed so that remedial action can take place if the need arises. Evaluation is mainly concerned with probing whether there is progress made in what was set to be completed at the beginning. Regular evaluation depends on sound monitoring therefore the two notions complement one another, but have variances with regard to methodology and objectives.

The Public Service Commission has adopted the definition of monitoring from The Organisation for Economic Cooperation and Development (OECD), wherein monitoring is expressed as an unbroken purpose that employs systematic collection of data (Public Service Commission (PSC), 2008: 3). The main aim of the data collected on specific indicators is to provide management and other relevant stakeholders’ reassurance of the improvement in the spending allocated funds and the extent of development made (Kettner, Moroney and Martin, 2008) towards planned indicators (Public Service Commission, 2008: 3).

Morra-Imas and Rist (2009: 16) define monitoring as a routinely on-going practice used to assemble information on projects activities, outputs, and deliverables to trace the initiative’s performance. The World Bank Group (2014) concurs with the definition above in that their definition of monitoring includes the constant tracking of activities, inputs and outputs, while

evaluation is about the importance of objectives or efficient use of resources and sustainability of results.

Kettner, Moroney and Martin (2008: 255), citing (Rossi, Lipsey and Freeman, 2004), define monitoring as an assessment of implementation of a programme, which serves the intended beneficiary group. Gosling (2003: 107) describes monitoring as an assessment of a systematic nature that tracks the progress of a programme over a period of time, but adds that monitoring is equally needed to demonstrate the changes taking place, which processes guide the changes and the improvements that can be made to the programme or project. Kusek & Rist (2004: 13), explain that monitoring offers evidence on the progress level of a policy, programme, or project at any point in time in relation to respective indicators and outcomes. Many definitions presented in different sources by various authors firmly concur that monitoring is the non-stop tracking of activities and progress in policies, projects and processes.

### **2.3 DEFINING EVALUATION**

The GWM&ES policy framework (2007: 6) defines evaluation as a time-bound and consistent exercise that seeks to provide reliable and valuable information to enhance and support decision-making by policy-makers and relevant stakeholders. Evaluations may measure impact, relevance, sustainability and effectiveness. This definition complements Randel's (2002: 14) definition of evaluation as a cyclic assessment of the significance and execution of the project.

Abraham (2016: 34) makes reference to the definition from the OECD wherein evaluation is defined as the *“the systematic and objective assessment of an on-going or completed project, programme, or policy, including its design, implementation, and results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability”*. The definition further includes the grouping of activities intended to define the assessment of a project, which involves the definition of applicable standards, the investigation of performance against those pre-determined standards, an assessment of actual versus anticipated results and the identification of knowledge gained (Abrahams, 2016: 34-35).

The United Nations Development Programme (UNDP) (2002: 6) defines evaluation as an exercise of a select nature that attempts to logically and accurately measure progress toward and

attainment of an outcome. This is an exercise that involves assessments of scope and depth conducted in time in reply to developing needs for accruing evaluative knowledge during the effort to attain an outcome. In principle, evaluation exercises survey the outputs that were primarily planned to be achieved, as opposed to what has been achieved and the way in which the achievement was realised, taking into account the value of the intervention (UNDP, 2002: 6-7).

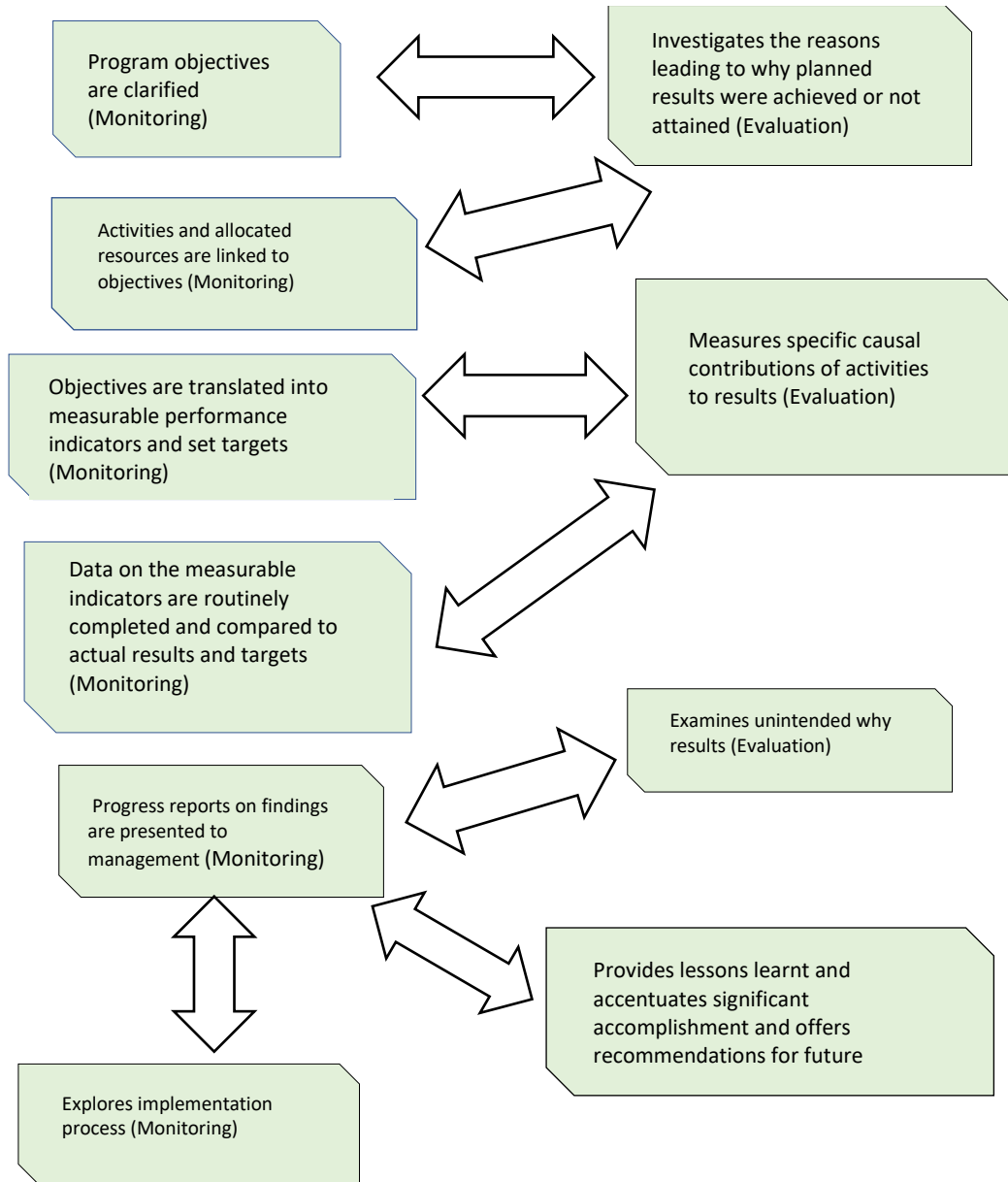
Evaluating trends and challenges may inform the focus of future monitoring activities (Kusek and Rist, 2004: 13). Evaluation is not restrained to be conducted at the end of the programme, and M&E officers should highlight evaluation throughout the project or project lifecycle and not restrict the evaluation at the close out phase (Kusek and Rist, 2004: 13). If results are evaluated toward the close of a programme lacking longitudinal process assessment, the results are probably unsupportive in guiding future interventions due to not identifying what generated the observed outcomes (Wimbush and Watson, 2000: 309). Despite similarities, monitoring and evaluation differs as to which findings at each service delivery level can be credited to a specific project.

## **2.4 MONITORING AND EVALAUTION INTERLINKED**

M&E is a multi-faceted, multi-disciplined and skill-intensive undertaking. The term ‘performance monitoring’ is often used homogenously with performance evaluation, and the latter goes beyond measure. Performance monitoring is the periodic progress measurement of the selected indicators of a project or programme towards a clearly defined short, medium and long-term result (Goldman *et al.*, 2014: 247).

An evaluation system involves a comprehensive study of performance impacts and outcomes are unconstrained to the existing indicators. It complements the monitoring function and answers the “why” and “how” questions.

**Figure 2.1 Complementary relationship of Evaluation on Monitoring**



Source: Adapted from Kusek and Rist, 2004: 14

In monitoring, the activities and allocated resources are linked to objectives whereas program objectives are factors used to evaluate the program. The evaluating process involves investigating the reasons why the intended results were achieved or not achieved. During the evaluation phase activity, specific causal contributions of activities to results are measured by performance indicators and data collected in monitoring. Attaining progress reports during

monitoring contributes to lessons learnt, examines the reasons for unintended results and explores the implementation process of the program.

As indicated in Figure 2.1, evaluation is supported by monitoring, and to illustrate in the context of the study, monitoring systems provide an indicator on the number of jobs created by subsidising co-operatives by departmental initiatives. If the co-operative failed in the first few months since the departure of the department from the initiative, evaluative information is used to clarify this trend by answering the ‘why’, ‘how’ and ‘so what’. The project manager may have to extend the evaluating exercise to other sector co-operative initiatives, as well as private businesses, to gain a wider perception of the reason leading to the breakdown of the co-operative.

Monitoring provides project information at any point in time relative to the respective target, outcomes and evaluation and attempts to address the issue of causality, providing proof of why targets and outcomes are being attained or not realised within the performance management system environment and M&E system environment (Görgens and Kusek, 2009: 32). The practice of M&E can be launched in institutions by developing an M&E system. Previously, traditionally focused M&E systems were contingent on whether M&E processes were being managed in government (Kusek and Rist, 2004: 12). Presently, the RBME has leaned towards the efficiency of M&E practices in government.

Ile, Eresia-Eke & Allen-Ile (2012: 92) believe a commendable M&E system should enhance relationship building between various stakeholders, highlight ownership to ensure that organisation members buy-into the M&E system, be sustained and produce reliable information. An M&E system must possess the capability to advance applicable indicators and to aggregate and report on performance data which is relative to the indicators established and the benchmark information available (Kusek and Rist, 2004: 22). The system must ensure the skills that management has must be appropriate in order to facilitate reaching timely and knowledgeable decisions utilising the M&E information (Kusek and Rist, 2004: 22).

Institutionalising an M&E system in an institution is an extensive method that requires non-stop effort by relevant stakeholders (Kusek and Rist, 2004: 2). The South African public sector has adopted a RBME system to trace government’s performance and strengthen governance (Van der Waldt , 2004: 8). The discipline of M&E has become an important contribution to good governance in most developing countries, including South Africa (Ile, Eresia-Eke and Allen-Ile,

2012: 1). Developing countries in Africa are perceived as being weak and in need of support in respect of capacity for growth and development (Abrahams, Etta and Wotela, 2017: 4).

The expansion of M&E in South Africa has been however hindered by the interdisciplinary nature of M&E (Abrahams, 2016: 33). Government found the task of ascertaining the success of the policies and initiatives implemented, in terms of numbers and quality as in the objective of “improving the quality of life of all” (Naidoo, 2012: 303). Evaluation was restricted within government, with the exception for the Department of Land Affairs and restricted to people who attended conferences externally (Naidoo, 2012: 304). In 1997, it was in this *milieu* that the Public Service Commission rationalised and planned its M&E systems and also became a ‘pioneer’ in the evaluation field (Abrahams, 2016: 36).

National Treasury together with the office of the Auditor-General embarked on an intensive attempt at managing government performance. The PFMA is used to control fiscal management in national and provincial spheres of governments. The main aim is to ensure that governmental revenue, expenditure, assets and liabilities are managed effectively (Van der Waldt, 2004: 67). Currently there is an increasing emphasis on enhancing service delivery which makes collecting non-financial information important in pursuit of greater value for funds spent (Ijeoma, 2014: 16). National Treasury established a Framework for Programme Performance Information (FMPPI) that entailed utilising a results-based management conceptual base with a view to structure departments’ budgets (Goldman *et al.*, 2014: 345). Budget information is usually sought at high-level budget programmes, and focuses on a framework for indicators and reporting (Goldman *et al.*, 2014: 355).

In South Africa, the ruling political party’s desire to deliver on political promises that were interlinked to the international interaction with other developing countries around the MDGs (Holmner, 2011: 140). The MDGs comprised eight goals that responded to some of the main development challenges in the world to be attained by 2015 (Holmner, 2011: 141). In September 2000 during the UN Millennium Summit, MDGs were devised against the backdrop of the actions and targets contained in the Millennium Declaration which was adopted by 189 nations and duly signed by 147 heads of state and governments (Holmner, 2011: 142). The MDGs required continuous monitoring and evaluation systems, which facilitated to stimulate a rising interest in M&E in Africa more especially in Southern Africa (Engela and Ajam, 2010: 41).

In 2005, due to the fragmented nature of M&E in government, the Presidency introduced a GWMES (Engela and Ajam, 2010: 42). The GWMES was envisioned as a ‘*system of systems*’ in which every department would have its individual autonomous functional monitoring system and the required information could be extracted from the system (Ijeoma , 2014: 18). An important point to note was that the existing M&E capacities and programmes inline function departments should be linked, retained, and synchronised within the framework of the GWMES (Engela and Ajam, 2010: 45).

## **2.5 SOUTH AFRICAN LEGISLATION INFORMING GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM**

Prior to the elections of 1994, the newly established governmental institution of South Africa implemented legislation structures that promotes governance, accountability, transparency and effectiveness in the public sector (Ijeoma, 2014: 16). The GWMES seeks to M&E the results of the projects implemented by the government department (Engela and Ajam, 2010: 40). GWM&E is viewed as an M&E mechanism geared to reinforce governance, develop government’s performance and augment governance in South Africa (Presidency, 2007: 5). The Constitution of the Republic of South Africa (1996), the PFMA, the Public Service Amended Act (1999), the Statistics Act (1999), and the Public Audit Act (2004), are key legislation that aim to promote synergy in the public sector and indirectly provides information to the GWMES.

The South African Constitution No. 108 (RSA, 1996) Section 85(1) states that the “executive authority and the President to implement and develop national policy and co-ordinate the functions of state departments and administrators” (RSA, 1996). Under this mandate, the Office of the Presidency established the Department of Performance Monitoring and Evaluation (DPME) in South Africa. The DPME’s mandate is to develop and implement national policies and synchronise the efforts and functions of state departments and administrations (Presidency, 2017: 12).

The Annual Performance Plan (2017/18) also attests to incorporating the political expectations on service delivery under the ambit of DPME’s mandate. The said mandate is underpinned by the need of the Department to review the strategies for planning, monitoring and evaluation. In this regard, the department has to implement a service delivery framework, related business processes to enhance the performance of the public sector in its effort to alleviate poverty,

decrease unemployment and address inequality. At this juncture, it is important to note that the department reviews its monitoring and evaluation strategies to address the identified weaknesses, and the GWMES falls under the full custodianship of the DPME.

The South African public sector has encountered many of challenges when implementing the GWMES. The M&E challenges included the lack of knowledge of what M&E requires, which is a limiting factor to public officials' understanding of their M&E related tasks. The misunderstandings of M&E can result in major challenges that hamper any M&E system from being fully functioning.

## **2.6 PERFORMANCE MONITORING AND EVALUATION IN SOUTH AFRICA**

There is a growing trend in the realisation of the importance and the need for Performance and Evaluation (PM&E) in the South African context. Many countries installing PM&E systems have recognised that the accountability and transparency of their government and private sector organisations will be heightened due to the system (Acevedo, Rivera, Lima & Hwang, 2010: 34).

The expected service delivery of numerous development projects and programmes has been diminishing, in that there is a high level of dissatisfaction from the public due to reduced service delivery levels, which led to deteriorated poverty levels, increased the risk of food insecurity, inferior living standards and poor health and increased crime rate, amongst other challenges (Henri, 2004: 34). Another observation included is that programmes that utilise modern technologies and have sufficient funding seem to perform inadequately. This downturn may be attributed to a lack of PM&Es, which contributes to neglecting managerial function, particularly the failure to realise the value of technology, capital, human resources and management (Stemele, 2009: 15).

There is a shift from an old approach of reporting towards the development of PM&Es and a new results-based approach (DeLay, Massoud, Rugg, Stanecki & Careal, 2006:32). Many organisations emphasise the success of the performance and the programme implementation of their initiatives by examining the circumstances leading to project achievements or failures against the intended results according to undertakings made to the stakeholders (DeLay *et al.*, 2006: 33). With the purpose of measuring results, the focus of PM&E should remain on real, tangible and demonstrable results of the numerous programmes and projects implemented

(Mackay, 2007: 44). Governments and other organisations have to adopt managerial mechanisms directed towards a results-driven approach due to increased public pressure (Acevedo *et al.*, 2010: 35).

The PM&E management problem has been aggravated over the years, and it is presently impacting negatively on the performance of development policies, programmes and projects (Jusoh and Parnell, 2008: 45). It is widely accepted that PM&E aids as a vital management tool, as the level and effective operationalization improves managerial functions (Görgens and Kusek, 2009: 45). The effectiveness and efficiency of PM&E play a critical management role that contributes enormously towards developmental programmes. PM&E is essential to managerial tracking and is not limited to management's achievements and organisations at large. Kusek and Rist (2004: 19) state that PM&E further examines how results are met and that resources utilised are directed in the right path.

The Constitution of the Republic of South Africa (1996) offered democracy and transformative improvement to the system of governance and increased the delegated responsibilities of local and provincial authorities (Dlamini and Migiros, 2016: 378). Decentralisation in authority allowed the public to be more active in decision-making processes, which ensured heightened accountability and efficient government thus influencing the implementation of PM&Es that accommodated the needs of citizens (Brynard, 1998: 32). PM&E enhances government's responsiveness to the community's needs, and reinforces relationships between government and the community at large (Cameron, 1999: 56).

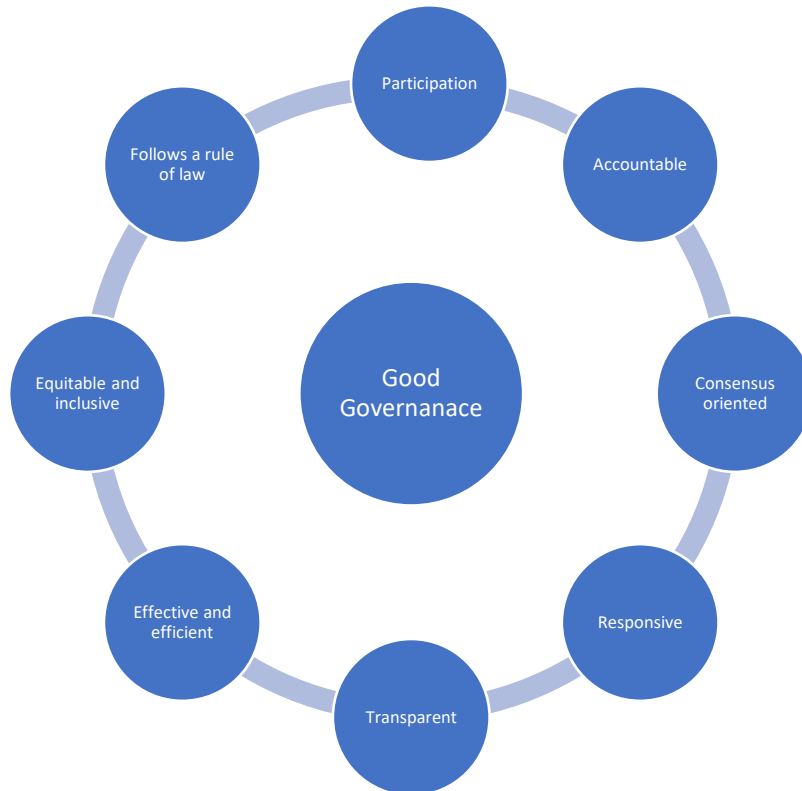
## **2.7 GOVERNANCE, MONITORING AND EVALUATION**

South Africa exists within the global village that is driven toward excellence in governance. Currently governments are anticipated to quantify performance to achieve high standards and deliver an exceptional quality of governance. This has compelled governments to focus on performance across an array of concerns that are based on political and socio-economic extents of society. The ability to accomplish the standards of performance, as recommended in the South African Constitution for public administration depend on sound M&E systems.

The United Nations defines good governance as the decision-making process and the manner in which decisions are implemented (UNESCAP, 2008: 1). Furthermore, the United Nations

suggests that there are eight characteristics of good governance, which are highlighted in the diagram below.

**Figure 2.2: Characteristics of Good Governance**



Source: (UNESCAP, 2008: 2)

Participation is considered a significant aspect of good governance and must be informed and organized. Consensus orientation refers to various actors and viewpoints that may have to be managed strategically and good governance requires mediation of the diverse interests (UNESCAP, 2008: 2). Accountability refers to internal and external actions and the decision-maker which indicates that an organisation is accountable to all stakeholders that will be affected by the organisation's actions and decisions (UNESCAP, 2008: 2). Accountability in the public sector is critical as the impact of decision-making affects the public.

Transparency proposes that decisions undertaken and their implementation are completed in a manner that complies with rules and regulations. This characteristic covers the freedom to information and access to the information to the affected parties by such decisions and their enforcement. In South Africa, the Promotion of Access to Information Act (PAIA), 2000 provide support to section 32 of the Constitution of the Republic of South Africa (1996) (Presidency,

2000). Section 32 provides for “the right of access to information” and reiterates that “everyone has the right of access to any information held by the State and to information held by another person that is required for the exercise or protection of any rights” (RSA, 1996).

Responsiveness refers to the organization responding to stakeholders within a rational timeframe which is aligned to good governance. Batho Pele highlights the need for public officials to be responsive to the needs of citizens. Effectiveness and efficiency in good governance refers to processes and institutions that yield results that address the needs of stakeholders while making the best and prudent use of available resources at their disposal.

Equitability and inclusivity refer to ensuring that every member feels they have a stake in the organization and are involved in decision-making processes. This also suggests that all groups are presented with opportunities to improve their well-being. Following a Rule of Law in good governance entails that fair legal frameworks are enforced fairly. Governance plays an essential role in determining how organizations operate, which is why there has been a proliferation of governance conceptions in varied contexts. From IT governance to e-Governance, from public governance to corporate governance, governance may hold different meanings to different people (Kelly, 2010: 3).

This need for governance excellence arose during a period when the South African Public Service had to transform, from its traditional bureaucracy to one that supports a dynamic developmental state. Good governance is endorsed through the administrative division of government (Mohamed, Pillay and Reddy, 2014: 73). This involves public officials who must have the knowledge to understand the requirements of their position when it comes to executing their duties to provide services. It must not be assumed that officials will naturally assume the specifics of their roles and responsibilities which are desirable from a service delivery perspective to the public. This reasoning gave rise to the Batho Pele Principles which have been established in South Africa, to create a normative yardstick which public officials are anticipated to observe (Goldman *et al.*, 2012: 3).

## 2.8 PROJECT MANAGEMENT IN THE PUBLIC SECTOR

In South Africa, there are key pressures on the public sector for a rehabilitated focus on the issue of service delivery. These stressors are directly the result of the extensive processes of political and socio-economic transformation occurring in South Africa (Van der Waldt, 2007: 242). Crawford and Helm (2009: 73) state that policies or strategy that must be executed to augment effective project management and improve the organisation's ability to attain outcomes, while providing transparency, traceability and accountability. Damoah, Akwei, Odur and Botchie strengthen Van der Waldt's view as they make reference to the crucial role that projects and programs that are aligned to governmental policies plays in national development in Ghana (Damoah, Akwei, Odur and Botchie, 2018: 18). The authors further state that the successful implementation of these projects is central to government performance (Damoah *et al.*, 2018: 18).

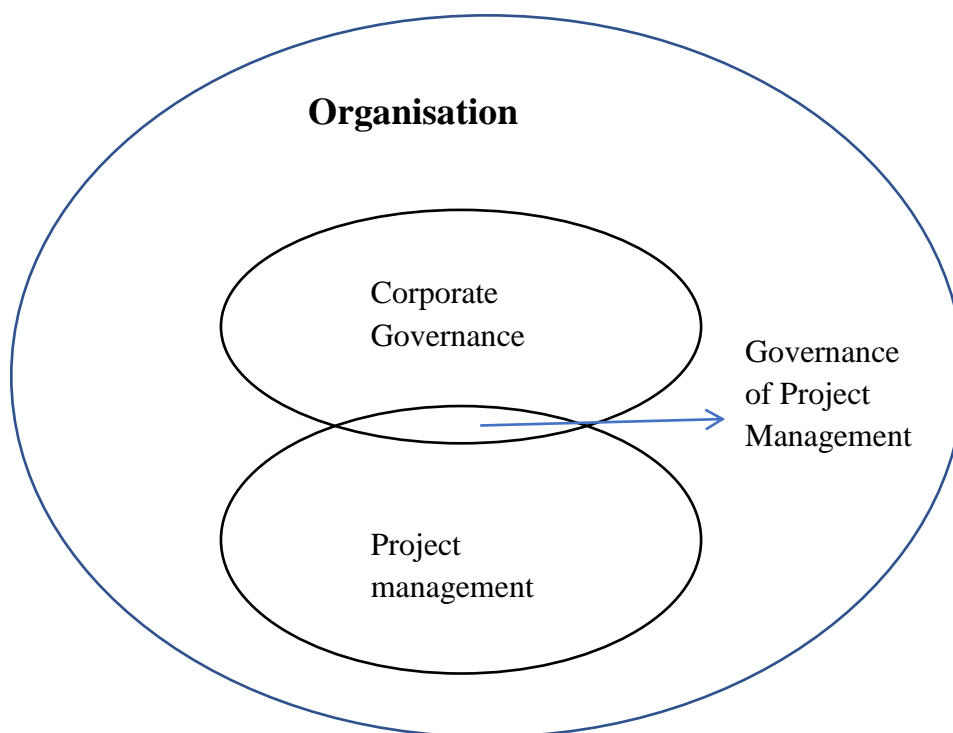
Aligned to global trends, the South African government's aim is to shift to a flexible programme delivery scheme to accommodate decentralised authority (Van der Waldt, 2007: 246). Decentralisation has led to government become client-oriented and encourages innovation in delivering public services. In order to facilitate these service delivery measures, government is directing its efforts to create alternative service delivery (ASD) mechanisms (Van der Waldt, 2007: 247). Van der Waldt (2007: 247) defines ASD as the delivery of public services through provisions other than the traditional departmental structure.

A wide array of approaches of ASD is being used within the public sector, as well as the private sector (Van der Waldt, 2007: 246). The formation of an alternative service delivery approach, like e-Governance, is linked to the want for improved, affordable service, in which instance the design should replicate these goals and facilitate their realization. Maintaining and developing governance and service delivery capability of an organisation through programmes and projects entails investment and the officials accountable for project management implementation are frequently summoned to validate the investment of resources by providing a portfolio of evidence demonstrating the proper implementation of project management (Crawford and Helm, 2009: 73).

The prominence of project management competence in the public sector has been accepted and recognised in governmental projects in various parts of the world (Crawford and Helm, 2009: 74). The need to demonstrate project management competence has been accelerated by the need

for public reassurance and scrutiny of fruitless expenditure. Crawford and Helm (2009: 74) have stated that public-sector governance was centrally focused on procedural governance in the traditional public sector management model. In the new public management model, the significance of project management governance is founded on the discipline of project management is central to the organisation fulfilling their mandate and the assurance that project management and governance requirements support each other (Maharaj, Heli and Van Rensburg, 2006: 23). The key aim of using a project management framework is to intensify organisational value (Dalcher, 2012: 79).

**Figure 2.3: Scope of Governance of Project Management**



Source: Shannon, 2004: 18

As the Figure 2.3 indicates, the correct alignment of the two elements of governance and project management may lead to yield clear benefits to an organisation (Shannon, 2004: 18). Seningen (2005: 2) suggests that requirements for governance will result in an increased awareness in projects and in their enhanced visibility to senior management and governance members. The author also implies that reporting accurate information will ensure that these requirements are satisfied and senior management would not be tolerable of incomplete and inaccurate project information (Seningen, 2005: 2-3).

## 2.9 PROJECT GOVERNANCE

Accountability and power structure bind all organisations (Van der Waldt, 2008: 729). These power and accountability structures are referred to as the “governance” or decision structure of an institution (Van der Waldt, 2008: 730). Organisations with a moderately mature project applications and methodologies, lead to governance mechanisms that are established on a permanent basis (Van der Waldt, 2008: 730). The inclination towards oversight entities such as project support offices and thorough organisational practices, accentuating accountability, indicates the mounting importance of governance (Van der Waldt, 2008: 730). With a reinforced focus on performance, impacts, results, and outcomes, project governance institutes accountability, decision-making structures, and responsibility processes in public organisations to manage projects (Van der Waldt, 2008: 730).

A governance structure implemented in an organization provides a framework to guide and assist managers in decision-making and taking action, and assists to reduce the risk of conflicts and inconsistencies between the numerous means of achieving organisational goals such as procedures and resource allocation (Müller, 2011: 87). At the level of projects governance, is often implemented through defined policies, processes, roles and responsibilities, which set the framework for people’s behaviour, which in turn influences the project (Müller, 2011: 87). A key element of project governance addresses how decisions, rights and accountabilities are disseminated and assigned between the project team and executives (Kelly, 2010: 1).

There are thirteen principles that have been recognised in the Guide for Project Management (2011: 4), which include the following:

- The board has complete accountability for the governance of project management. (The EXCO Committee is tasked with the sole responsibility of approving projects in the department).
- The organisation distinguishes between non-project and project-based activities. (EDTEA has a detailed checklist of what initiatives qualify as projects which clearly excludes operational activities).

- The responsibilities and roles for the governance in the management of projects are well-defined and communicated clearly. (The project management framework offers project managers a structure to contextualise roles and responsibilities).
- Controlled governance provisions, maintained by suitable methods, controls and resources are applied through the project life cycle. (Budget, finance, human resources are applied to projects in a controlled manner through legislation and policies of the department).
- There is a palpably coherent and supporting relationship between the project portfolio and business strategy. (All approved projects in EDTEA have to demonstrate an alignment to the department's mandate).
- There must be an approved project plan containing pertinent project information such as business case, cost, benefits and risk management. Decisions reached at various authorisation points are documented and communicated. (All approved project must submit a project proposal or registration which contains the pertinent project information).
- Members nominated to the delegated bodies of authorisation have adequate representation, competency, resources and authority to enable them to make informed decisions. (EDTEA officials have delegated authority to manage resources of the department as indicated in their performance agreements).
- Project business cases are researched and maintained by relevant and realistic information that provide a reliable foundation for making decisions. (EDTEA take prudent steps to ensure that project business cases are feasible and the information is time-bound and reliable before implementation).
- The board decides when independent inspection of projects is needed and implement such reassurance accordingly. (EXCO exercises the right to appoint an independent evaluator to assess project implementation).
- There is a well-defined criterion for reporting project progress status and progress which includes the escalation of risks and issues to the levels of delegation required by the organisation. (The project progress report must detail implementation dates, progress of deliverables linked to milestones, project issues, project risks and mitigation plans. These progress reports are submitted to the PSO on a quarterly basis).

- The organisation adopts an environment of improvement and open internal transparent access to project management information. (Project information is captured and disseminated to relevant stakeholders from the Project Management Information System (PMIS). The PSO maintains a database of project lessons learnt which is categorised by type of project).
- Project stakeholders are involved at a stage that corresponds with their importance to the organisation. (EDTEA project stakeholders' roles and responsibilities are detailed in the project charter, which details the level of interaction required in the project).
- Projects are closed-off when they are no longer warranted as part of the organisation's mandate. (All projects are closed off at the end of the project wherein project managers submit a project close-out report to the PSO).

These principles as indicated in the Guide for Project Management (2011: 4) are applied to the private sector. EDTEA has incorporated these principles to the project management framework that governs the manner in which departmental projects are undertaken.

### **2.9.1 COMPLETE RESPONSIBILITY OF THE BOARD**

At a senior management level, all projects must be approved by the section General Manager and thereafter the Top Management Project Committee, which is chaired by the Head of Department (HOD). Project proposals must be submitted and scored by the Top Management Project Committee according to the department scoring matrix. The project is scored on the project objectives, project beneficiaries, project implementation area and other pertinent project information. The project based on the information submitted must reach a certain threshold to be approved. Once approved, the project is included in the procurement plan under the unique PMIS number that is generated once the project proposal is submitted to the PSO.

### **2.9.2 PROJECTS AND NON-PROJECT BASED ACTIVITIES**

According to the PFMA, special project expenditure is set aside for projects. Project expenditure is monitored through the Basic Accounting System (BAS). The project is set up as a fund on the system and any funds spent on the project are deducted directly from the project budget. This practice ensures that the project expenditure is separated from departmental

operational expenditure. The project budget is aligned to the extent of the department’s mandate. The department keeps project-based activities and operational activities separate.

### 2.9.3 ROLES AND RESPONSIBILITIES ARE DEFINED

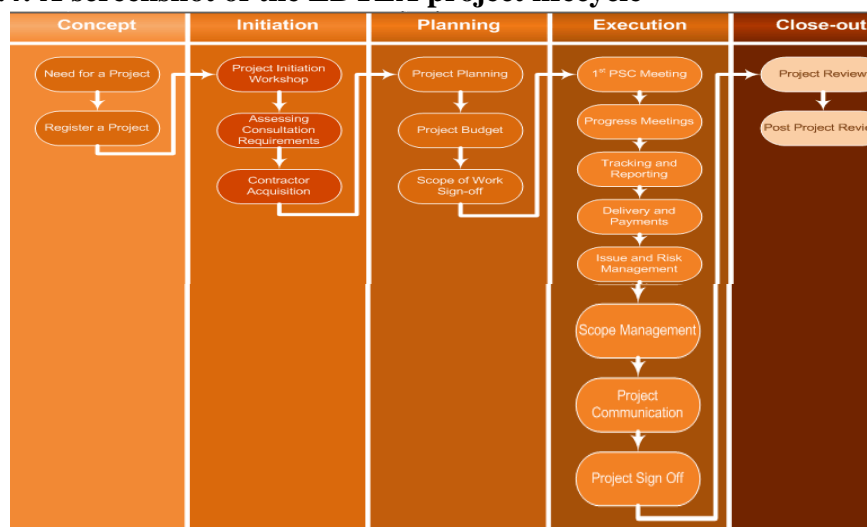
A project charter is compiled and signed by relevant stakeholders. All roles and responsibilities are highlighted. The project charter informs the project teams of roles and responsibilities. The PSO facilitates project charter workshop wherein project stakeholders are invited and the document is compiled.

At the project charter workshops, stakeholders are encouraged to share concerns and challenges. A normal project charter workshop takes a full day session to complete. All discussions are minuted and forms part of proceedings for the project charter. The project charter also highlights timeline, reporting and budget requirements.

### 2.9.4 CONTROLLED GOVERNANCE

The department has a life cycle that was designed specifically for EDTEA projects. At each milestone of the lifecycle, there are highlighted deliverables that project managers must ensure are achieved. If the project suffers any set-back the project managers must inform management of such and, in turn, report to the PSO. The PMIS is the system that houses all project management information. The PSO which falls under the ambit of the Knowledge Management unit are the custodians of the PMIS.

**Figure 2.4: A screenshot of the EDTEA project lifecycle**



Source: PMIS (2018)

The lifecycle provides a guide to the project managers' as well as the stakeholders as to the reporting requirements of the projects. The M&E unit also uses the lifecycle as a guiding compass to guide their activities.

### **2.9.5 BUSINESS STRATEGY AND PROJECT PORTFOLIO**

All projects must be aligned to the department's mandate. That is a prerequisite in terms of approving the project. Projects must be implemented with the aim of contributing to the mandate of the department. Project managers have to research the sustainability and impact of the envisaged projects before compiling the project proposal. The areas that are of immense importance and carry the most points are as follows:

- Alignment to EDTEA strategy, mission and mandate. This alignment ensures that public resources are directed to achieving the outcomes of the department.
- Project beneficiaries (e.g. Women, Black Owned, Disabled). The department has to aim their initiatives at disadvantaged groups so that services reach the right beneficiaries.
- Area of implementation (e.g. Rural). Projects implemented in rural areas are highly favoured because these areas are vulnerable and impoverished.
- Sustainability (durability). Public resources cannot be directed at short term fixes and must indicate a good rate of return on investment.
- Jobs created and skills development. The main mandate of the department is to enhance skills and create jobs to develop the provinces economy. Projects that drive skills development and job creation are preferred.

Project managers must also be in a position to defend their thinking behind their project. At the scoring sessions, project managers must avail themselves for a question and answer session for points of clarity.

### **2.9.6 APPROVED PROJECT PLAN**

The project proposal serves as the guide to the project plan wherein the project objectives, deliverables and milestones are highlighted. Risk and contingency plans are also highlighted. Project planning workshops are facilitated by the PSO at the request of project managers. At these workshops, a scope of work is drafted and once approved, is forward to relevant

stakeholders for signature. The scope of work is a detailed document that highlights the deliverables which are linked to project milestones. A Gantt chart, risk assessment, contingency plan, monitoring plan and evaluation plan are also included.

### 2.9.7 ADEQUATE REPRESENTATION

Each project must have a Project Steering Committee (PSC) established at the beginning of the project. Each member of the PSC is at the level of management which allows the members to make informed decisions. The members of the PSC must possess adequate skills and expertise that complement the project. If a project is launched at a highly technical level, authority may be granted to secure the services of an external expert to be a member of the PSC.

### 2.9.8 PROJECT BUSINESS CASES RESEARCHED

The integrated project delivery framework is crafted for larger scope projects to detail project service delivery schedules (Garland, 2009: 171). Project progress is reported to the PSO on a quarterly basis wherein the project milestone, deliverables, risk management and lessons learned are highlighted. The progress reports also focus on time management, as well as budget control. Project managers have to report all progress reached on the project. This information is captured onto the PMIS which allows management to gain a ‘dash board look’ at the ‘health’ of projects.

**Figure 2.5: Screenshot of the PMIS Dashboard**



Source: PMIS (2018)

The dashboard enables management to gain a quick yet informed view of the performance of the departmental projects.

### **2.9.9 INDEPENDENT INSPECTION**

Planned project deliverables are measured against time, budget and risk. In adverse cases where projects are facing delays and over-budgeting, management has the authority to approve scope change or cancel the project. Management also has the authority to appoint an independent assessor if the need arises. Internal control is approached to gauge the situation and upon the recommendation made, an independent inspection must be authorised. The KZN Treasury as custodians of department public funds has the authority to request an independent inspection.

### **2.9.10 REPORTING PROJECT STATUS**

Project managers are aware of the reporting mechanisms that EDTEA has set down. As indicated earlier in this discussion, project progress reporting requirements are highlighted in the project lifecycle. There are set progress reports that are required by the PSO and M&E unit. For the first three quarters for the financial year a progress report is required.

### **2.9.11 CULTURE OF IMPROVEMENT AND OPEN INTERNAL DISCLOSURE**

EDTEA through the Knowledge Management (KM) unit focuses on innovativeness. Project managers are invited to a community of practice workshop facilitated by KM on a quarterly basis. At this forum, project managers are encouraged to disclose challenges in terms of project management. All discussions at the community of practices (COPs) are documented and uploaded to the PMIS for full access to project managers and other stakeholders.

Another avenue of project management information can be sourced from the PMIS. Project information from the project progress reports are captured on the PMIS and reports can be drawn from the system.

### **2.9.12 INVOLVEMENT OF PROJECT STAKEHOLDERS**

Project stakeholders' roles and responsibilities are highlighted in the project charter. The roles and the level of responsibilities that project stakeholders hold are aligned to the level of authority in terms of rank and level of management in the department.

### **2.9.13 PROJECTS ARE CLOSED-OFF**

When a project is closed off a project close-out report is completed and submitted to the PSO. The PSO captures the information onto the PMIS and documents the lessons learned from the project manager. The lessons learned are compiled into a comprehensive report and disseminated to relevant stakeholders in the department.

In terms of governance, EDTEA has made effort toward enhancing governance. There are gaps that exist due to changes in legislation, political pressure and cost-cutting. Project governance is concerned with the internal control of individual projects, such as the level of flexibility in applying project management techniques, roles and tools (Müller, 2009: 5). The governance of projects is a technique of choosing, co-ordinating and monitoring project such as portfolio or programme management (Williams, Klakegg, Magnussen and Glasspool, 2010: 41). The governance of projects differs from country, project size and type (Müller and Lecoeuvre, 2014: 1347). Governmentality refers to controlling the insights, attitudes, standards and culture to direct projects with the aim of delivering project value (Müller, Pemsel and Shao, 2014: 1310).

One of the main impairments of project success is operative and efficient project governance structure (Badewi, 2015: 4). Governance refers to the establishment of roles, duties and accountabilities amongst project stakeholders is to attain an ethical, interconnected and transparent decision-making process with the common goal of achieving the vision and mission of the organisation (Badewi, 2015: 4).

### **2.10 M&E WITHIN THE KWAZULU-NATAL DEPARTMENT OF ECONOMIC DEVELOPMENT, TOURISM AND ENVIRONMENTAL AFFAIRS**

The M&E sub-programme was established in 2006 under the ambit Economic Planning unit in Department of Economic Development, Tourism and Environmental Affairs (EDTEA) assists in ensuring the effective implementation of policies and projects. This is accomplished by M&E of the outputs, tasks, outcomes and impact of the department's interventions (KZN EDTEA, 2016 : 96).

The M&E system is supported, managed and implemented under the custody of the M&E unit in the department. The main focus of the unit was to develop M&E focused tools, systems, approaches and practices in the department (KZN EDTEA, 2007 : 7). The M&E sub-programme directive is guided by various legislations which include:

- Constitution of the Republic of South Africa, (1996);
- The Public Finance Management, Act 1 (1999 as amended);
- Policy Framework for the Government-Wide Monitoring and Evaluation System (2007);
- Green Paper on Outcomes-Based Performance Monitoring and Evaluation (2009);
- The National Evaluation Policy Framework (2011); and
- Framework on Managing Programme Performance Information (2007).

The M&E section has further created a number of guiding M&E documents, namely, the M&E Framework (2007); Monitoring Strategy (2010); the Evaluation Framework (2012) and the Department of Economic Development and Tourism Annual Performance Plan Verification Framework (2012). These documents highlight M&E processes and practices within the department under the M&E system.

The main objectives of implementing an M&E system within the EDTEA include (KZN EDTEA, 2007 : 6):

- Provide a platform for the analysis of information and utilise evidence-based monitoring information to encourage informed decision-making in management in an attempt to enhance knowledge sharing;
- Encourage capacity building projects and adopt an ethos of enhancing control with M&E information;
- Complement sustained planning and implementation of departmental initiatives through learning based on evidence;
- Provide evidence that supports accountability to executive authorities and public, and
- Streamline reporting channels to encourage access to information for relevant stakeholders.

The Monitoring Strategy was updated in 2010 and provides a framework which sketches the aims, objectives and strategies for monitoring progress of KZN EDTEA strategies, initiatives and policies (KZN EDTEA, 2010: 5). The strategy also guides management to establish whether implementation of projects have met the expectations in meeting planned objectives. In order to increase validity to M&E information, the M&E unit conduct project site visits to authenticate project deliverables as reported by the project manager. As a response to increasing M&E

awareness, the strategy proposes encouraging an ethos of learning and refining performance of the EDTEA programmes (KZN EDTEA, 2010: 5). Finally, the strategy highlights the increased need to encourage informed decision-making at various stages of the project life cycle (KZN EDTEA, 2010: 5).

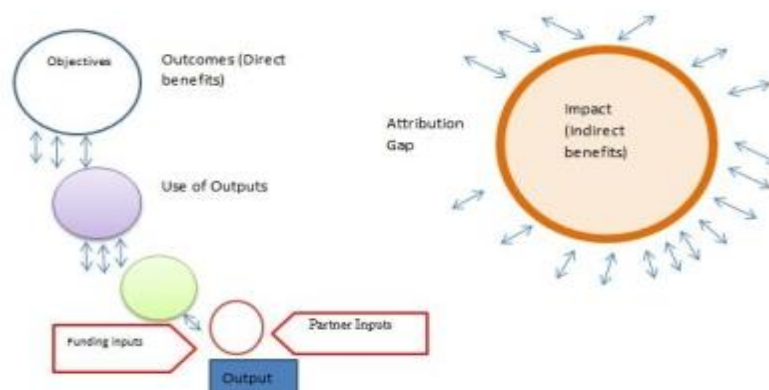
## 2.11 RESULTS-BASED MONITORING SYSTEM IN KZN EDTEA

The M&E approach of KZN EDTEA is founded on the results-oriented approach. The EDTEA M&E Framework embraces a results-based approach, which is a derivative from four important initiatives, highlighted as follows (KZN EDTEA, 2007 : 15):

- The focus of the department’s action uses the strategic goals as a compass to inform interventions;
- The anticipated outcomes which subscribes to the accomplishment of these goals will be specified;
- The department’s processes, programmes and resources will be aligned in support of the expected outcomes, and
- Assessment and monitoring of the department’s performance will be continuous and lessons learnt from previous projects will be instilled into future planning to facilitate improved accountability.

The results-based monitoring system is founded on the interconnected hierarchy model which includes inputs to activities and outputs, leading to outcomes and eventually impacts, as reflected in the diagram below.

**Figure 2.6: Results-based Monitoring**



Source: Deutsche Gesellschaft für Technische Zusammenarbeit, 2004: 4

It is crucial to comprehend that a result-based M&E system is constant work-in-progress and does not necessarily function separately from the existing M&E tools within the department. To enable the sustainability of the process, a considerable amount of effort, time, resources and commitment is required. In 1987, Australia became pioneers in establishing M&E systems (Morra-Imas and Rist, 2009: 53). Cost-cutting policies impelled the Australian government to evaluate results gained from public expenditure thus achieving value for money (Mackay, 2007: 32). In order to facilitate the endorsement of the M&E system, support from cabinet members and key ministers was needed (Mackay, 2007: 32). The M&E champions that were nominated realised the importance of the M&E system and gave their support to the implementation of the system (Mackay, 2007: 33).

As best international practice suggests, an M&E champion must be nominated from each section that would have authority within the organisation to lead the process to enhance the sustainability of the process (Görgens and Kusek, 2009: 41). Outcome-based evaluation is vital as it effectively responds to the present developments of the quality revolution; empowerment of consumers; amplified demands for accountability and the emerging practical evaluation model with the emphasis on heightened functioning (Schalock, 2002: 18).

The main aim of monitoring in the department is to trace the progress departmental initiatives and plot the efficient use of the department's resources (KZN EDTEA, 2010: 12). The monitoring approach of the department encompasses three methods, namely, Process Flow approach; Performance Information Verification approach; and the Project Site Visit approach (KZN EDTEA, 2010: 5).

The Process Flow approach involves defining the planning, reporting and implementing in the project lifecycle and highlights the role of M&E at the various phases of the project (KZN EDTEA, 2010: 6). The Performance Information Verification approach pursues to validate the consistency and entirety of reported performance information alongside the APP of the department, ensuring that the performance indicators and targets subscribe to the SMART criteria. The Project Site Visit approach attempts to address the viability of projects implemented and to ascertain if projects have achieved the pre-empted goals using qualitative and quantitative techniques (KZN EDTEA, 2010: 12).

There are various criteria that determine the selection of projects that are to be monitored by the M&E unit. These include the budget, implementation phase, representativeness, timing, location and strategic goals that the project addresses (KZN EDTEA, 2010: 18). The department's evaluation approach emphasises that evaluations should be relevant and aligned to the strategic aims of the department.

## **2.12 EVALUATION IN KZN EDTEA**

The Evaluation Framework of the department shapes the evaluation processes and approaches and highlights that evaluations contracted by the EDTEA must be transparent, participative, development orientated, ethical and be cost-effective (DNA Economics, 2014: 7). The evaluations should measure efficiency, analyse cost efficiency; determine sustainability and impact of departmental projects. *Ex-ante* evaluations, implementation evaluations, economic evaluations, evaluation synthesis and impact evaluations are the various evaluations undertaken at the department. The type of evaluation that needs to be conducted depends on the nature of the project (DNA Economics, 2014: 10).

An important point to note is that the M&E unit does not have the capacity to evaluate all the project initiatives that are implemented (DNA Economics, 2014: 11). KZN EDTEA project evaluations are nominated through random and non-random sampling. The random sampling approach entails identifying five initiatives that were evaluated annually. The purposive sampling approach requires one M&E system evaluation, one diagnostic evaluation and three projects selected by the M&E practitioners under the M&E unit or programme managers (DNA Economics, 2014: 12).

Schaumberg-Müller (1996: 4) noted that establishing fully functional evaluation systems takes a substantial amount of time and effort. The author alluded to the case study of the United States of America wherein the Government Performance and Results Act (GPRA) and the M&E systems, which took ten years to be fully implemented (Kusek and Rist, 2004: 154). Organisations have to understand that evaluation must not be perceived as control systems but as a tool designed to increase performance and decision-making (Morra-Imas and Rist, 2009: 522).

EDTEA's approach to GWM&E is supported by the RBME approach which ensures that M&E information appraises project planning, budget distribution, reporting and implementation on the department's strategic goals, objectives and performance.

### **2.13 M&E PROCESSES IN EDTEA**

The M&E practice in the department involves several processes and data collection methods to enhance the accuracy, validity and reliability of the information generated. Monitoring information is gathered in the project planning and implementation stages of a project (KZN EDTEA, 2010: 13). The information collected is thereafter disseminated to relevant departmental M&E stakeholders. An important point to heed is that M&E activities are not exclusively conducted by the M&E unit and includes various sub-programmes officials that conduct their own project monitoring activities.

According to the M&E strategy (2010: 14), the policies, interventions and the projects that are implemented ought to be monitored. Monitoring is undertaken each quarter of the financial year and M&E reports are generated on an annual basis. The M&E sub-programme and project managers have a responsibility for monitoring within the department, wherein the project managers are accountable for monitoring the progress of their projects continuously. During project site visits, the M&E unit collaborates with the project managers to monitor the progress of the projects. Projects are monitored by comparing the output and indicators of a financial nature of the project to determine compliance to the APP goals and the performance of the project (KZN EDTEA, 2010: 7).

### **2.14 PROJECT METHODOLOGY IN KZN EDTEA**

During the planning phase of a department project, the M&E sub-programme collaborates with the Project Support Office (PSO) to assist the Executive Committee to make informed-decisions to approving the project implementation. The PSO is under the domain of the Knowledge Management unit in the Economic Planning Programme. The PSO was established in 2010 in EDTEA to achieve the following in the department (KZN EDTEA, 2016 : 123):

- Promote consistency and uniformity in project management by advocating a project management culture;

- Archive project performance data by acting as a clearinghouse for project information;
- Monitor and manage compliance with project management standards and methodology;
- Provide a centralised point of reference for project management practices and reporting by providing best practices, guidelines and an up-to-date fully functional project management information system, and
- Imparting specific skills and knowledge through ongoing training to project managers.

The PSO is actively involved with the project managers throughout the project lifecycle (KZN EDTEA, 2016: 5). The PSO are occasionally invited to assist in developing a project charter with the project manager and other project stakeholders for complex projects. The M&E unit and PSO assist project managers to conceptualise projects that address department's mission, vision and main strategic objectives. At this juncture, project performance indicators are developed which are aligned with the APP to measure the viability of the project (KZN EDTEA, 2007 : 13).

Through the execution phase of the project, the PSO traces the execution of projects by capturing information of the project onto the departmental Project Management Information System (PMIS). The project information is captured from a project proposal (Annexure B) that is populated by the project manager. The project proposal encapsulates important project information which includes project objectives, project deliverable, location, budget, stakeholders, partners and beneficiaries (KZN EDTEA, 2016: 14). Progress reports are requested from project managers to report on project progress. The progress reported is captured onto the PMIS which feeds into a quarterly progress report of strategic projects implemented (KZN EDTEA, 2016: 14). The PSO and M&E unit share a synergistic partnership in terms of information sharing.

M&E practitioners collaborate with the project manager to conduct project sites to observe and monitor the projects' performance (KZN EDTEA, 2010: 6). Members from the unit analyse the information gathered from project site visits and validates the deliverables of the project against the targets indicated in the APP (KZN EDTEA, 2010: 7). The M&E practitioners have created a project assessment tool and a performance verification tool to enhance the process of information collection during site visits. The observations are captured from the site visits on

the project assessment tool or a performance verification instrument to streamline verifying process to the APP targets.

## **2.15 REPORTING IN KZN EDTEA**

The M&E sub-programme is responsible for reporting of monitoring information. The APP Verification, site visit report and EDTEA Monitoring Report are the deliverables of the M&E unit. Reporting is submitted bi-annually by project managers, wherein the M&E unit provide feedback to senior management and project managers on the performance of the project. Senior managers provide the HOD with a performance report for each programme. The performance report is then submitted and presented to the MEC on the performance of the department who in turn, reports to the Office of the Premier (KZN EDTEA, 2010: 19).

The information gathered during the monitoring exercise is used to inform the evaluation reports conducted in the department. Evaluation information is utilized to provide a comprehensive analysis on intended outcomes and to determine the effectiveness, feasibility and viability of implemented evaluations (KZN EDTEA, 2010: 19). According to the Evaluation report (2014: 14), the data collection methods for evaluations include qualitative and quantitative, utilising structured and semi-structured interviews, beneficiary surveys and focus groups.

Evaluation information is vital for informed decision-making by management that mainly addresses the continuation or cancellation of implemented interventions (DNA Economics, 2014: 34). Phillips *et al.* (2014: 400) state that the quarterly progress reports in implementing the priority outcomes received from departments have contributed to defining alternate problem-solving and enhancing implementation. At a national level evaluation reports assist as a basis of information for the President to determine the Performance of cabinet ministers (Goldman *et al.*, 2014: 400).

GWM&E processes in the KZN EDTEA are synchronised to gathering evidence which is supported by the evidence-based policy and M&E. Phillips *et al.* (2014: 399) state that M&E information is used to enhance informed policy-making and decision-making thus encouraging accountability. Presenting collected validated evidence ensures that decision-makers are well informed before reaching decisions which enhances governance. Business governance is business's ability to deliver value through the organisational control (Ahloa, Ruuska, Artto and Kujala, 2014: 1322).

## **2.16 SUMMARY**

Joslin and Müller conducted an empirical study wherein the relationship between project governance and project success was tested (Joslin and Müller, 2016: 613). The conclusion reached was that project governance has minor but significant correlation with project success (Joslin and Müller, 2016: 621). As indicated in this chapter, M&E enhances the accountability and transparency in organisations and contributes to the management of projects.

Project management practices progress swiftly, as public organisations realise the benefits related enhanced service delivery and rendering services within the timeline and within budget. The chapter further highlighted the governance mechanisms currently implemented in EDTEA. It was the purpose of this chapter to examine the ‘discipline’ of monitoring and evaluation, the utilisation of governance mechanisms utilised in government, and the effect on departmental project success. The next chapter provides a backdrop for the theory and application of the conceptual framework for M&E and project governance.

## **CHAPTER THREE**

### **CONCEPTUAL FRAMEWORK OF MONITORING AND EVALUATION**

#### **3.1 INTRODUCTION**

The notion of M&E has grown increasingly popular in the government sector in South Africa. The conceptual framework that is used for this study and the literature as it relates to the field of M&E, is that of project governance. M&E is an influential government management instrument that may be utilised to develop improved techniques for governments to achieve results with limited resources (Kusek and Rist, 2004: xi). In order to ascertain if resources are being utilised efficiently, governments require sufficient feedback through performance management systems to increase transparency and accountability.

M&E in South Africa is founded on the Government Wide Monitoring and Evaluation (GWM&E) framework, the Constitution of the Republic of South Africa, 1996 and various public finance and public sector legislation. These founding documents define the parameters of M&E principles and demarcate M&E standards to be upheld in the public service. On the 23 November 2011, a cohesive framework was launched in the form of the National Evaluation Policy Framework (Presidency, 2011: 1). The main aim of the cohesive framework was to ensure that the state aligns available resources to achieve various goals through M&E.

The principal aim of this chapter is to define the environment of M&E within the South African public sector and highlights the Department of Economic Development, Tourism and Environmental Affairs application of M&E against current legislation, practices and gaps that may exist. A detailed examination is necessary to advance an understanding of the influence M&E has on project governance.

#### **3.2 BACKGROUND AND DEVELOPMENT OF MONITORING AND EVALUATION**

Policies are fundamental instruments for improving governance and service delivery functions in the South African public sector (Ile, Eresia-Eke and Allen-Ile, 2012: 1). According to Rabie (2011: 20), the launch of evaluation practices in the analysis of policies shifted from opinion-based alternatives to evidence-based. Policy-makers are supported by policy M&E to understand the consequences of public strategy on everyday circumstances (Dye, 2014: 321).

M&E is viewed as a vital fragment of the management system of an organisation that incorporates a results-orientated environment (Görgens and Kusek, 2009: 10-11). M&E can be used to identify significant stakeholders and beneficiaries. M&E also contributes to establishing the strategic advantages and challenges of a project or programme. Strategists use M&E to set well-defined goals and objectives of the project and programme (Association for Project Management, 2011: 5). M&E may also be a risk management tool to confirm that there are adequate resources attained for the programme or project initiative to be executed effectively (Raimondo, 2016 : 4).

Project managers apply M&E to monitor inputs, outputs and outcomes using suitable indicators as well as evaluating the cost factor versus value-added benefits of implementation of the project (Garland, 2009: 22). An advantage to M&E is that both qualitative and quantitative approaches may be used to measure the advancement of a project or programme (Görgens and Kusek, 2009: 13). Knowledge management practitioners extend M&E to knowledge platforms by sharing previous learning lessons from former experience and projects to inform prospective projects or programmes (Görgens and Kusek, 2009: 14). M&E accommodates lessons learnt from past projects and previous experiences to change project objectives accordingly (Garland, 2009: 22). As a reporting tool, M&E allows the results-achieved and resources utilised to be documented when implementing the project or programme (Raimondo, 2016 : 3).

It follows then, that M&E can be instituted in organisations by implementing an M&E system. In the past, conventional implementation-focused M&E systems were contingent on how M&E practices were being performed in the public sector (Kusek and Rist, 2004: 12). Presently, the focus has shifted from the results-based M&E towards the efficiency of practising M&E in the public sector (Ijeoma, 2014: 15).

### **3.3 GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM (GWMES)**

As alluded to earlier in the chapter regarding GWM&E, and prior to the 1994 elections, the South African public sector realised the need for Government-Wide Monitoring and Evaluation System (GWMES), as government had to devise an approach to intensify the agenda for enhanced service delivery to sustain the needs of South African citizens. The key policy document for M&E in South Africa is the Policy Framework for the GWMES (Presidency,

2007: 7). This framework provides the aims of the policy framework for the GWMES as follows (Presidency, 2007: 7):

- Better-quality performance analysis and information at programme level in national and provincial departments;
- Enhanced M&E of impact and outcomes throughout government;
- Thematic and sectoral evaluation reporting;
- Value-added M&E assessment of outcomes and impact in provincial departments in relation to Provincial Growth and Development Plans;
- Implementing projects that will contribute in improving M&E performance in establishments across the public service sector, and
- Capacity-building programmes to foster capability for M&E and encourage an ethos of governance and informed decision-making which focuses on M&E findings.

The GWMES intends to provide guidance through the adoption, design, implementation and evaluation phases of a policy or project to ensure service delivery is efficiently addressing the needs of citizens (Presidency, 2007: 5). Reported challenges encountered by the system and the Department of Planning Monitoring and Evaluation (DPME) include insufficient information management systems; deficiency of a culture of coordination; misplaced government focus on activities as opposed to outcomes, and current legal frameworks that encourage the silo approach (Presidency, 2012b: 35).

The National Evaluation Policy Framework (NEPF) highlights that improved performance, accountability, increased knowledge generation and improved decision-making for public service interventions would be enhanced by evaluations (Presidency, 2011: 2). The framework alludes to various results-based evaluations that departments may undertake, namely, impact evaluations, implementation evaluations, design evaluations and economic evaluations (Presidency, 2011: 8). The vision of NEPF envisages that by performing credible evaluations, the public sector would be in a position to better design policies, reduce undesirable outcomes of policies, enhance resource allocation and better allocate budgets (Presidency, 2011: 2). The vision of the NEPF also suggests that the practice by conducting evaluations would enhance the practice of using evidence to enhance performance (Presidency, 2011: 2).

The promotion of transparency, accountability, participation and inclusion are contributing factors to enhancing public governance (Presidency, 2007: 3). The framework further incorporates rights-based, ethical integrity and utilisation as guiding principles for the implementation of M&E at all governmental levels. The framework further states that M&E should be systemically sound at an operational level (Presidency, 2007: 3).

As discussed, it can be deduced that the GWMES seeks to enhance service delivery and governance by using monitoring and evaluation findings to plan and execute government interventions (Ijeoma, 2014: 17). The successful implementation of the GWMES requires the advancement of the various frameworks and effective stakeholder management and engagement. South Africa's methodology to improve government's performance uses the results-based management approach.

### **3.4 RESULTS-BASED MONITORING AND EVALUATION SYSTEMS**

The results-based monitoring and evaluation (RBME) approach is founded on defining strategic goals which provide a guide to place emphasis on areas for remedial action (Presidency, 2007: 22). The RBME approach stipulates anticipated results which add to the attainment of strategic goals (Presidency, 2007: 22). The alignment of programmes, project, policies, resources and processes to achieve desired results and continuous monitoring are contributing factors to the RBME approach. The performance information and using knowledge acquired from past implementation informs forthcoming planning and augment accountability for results are guiding principles in RBME (Presidency, 2007: 22).

In 2011, the Department of Performance Monitoring and Evaluation (DPME) launched the Management Assessment Tool and a report scoring card (Presidency, 2012b: 17). The aim of the tool was to intensify the strategic focus of government and enhance co-operative governance in the public sector. (Presidency, 2012b: 17). The GWMES framework asserts that the M&E system should be incorporated into current management and decision-making systems of government, to make certain that M&E information enhances the planning process, reporting, budget distribution, implementation procedures on public sector strategies (Presidency, 2007: 11).

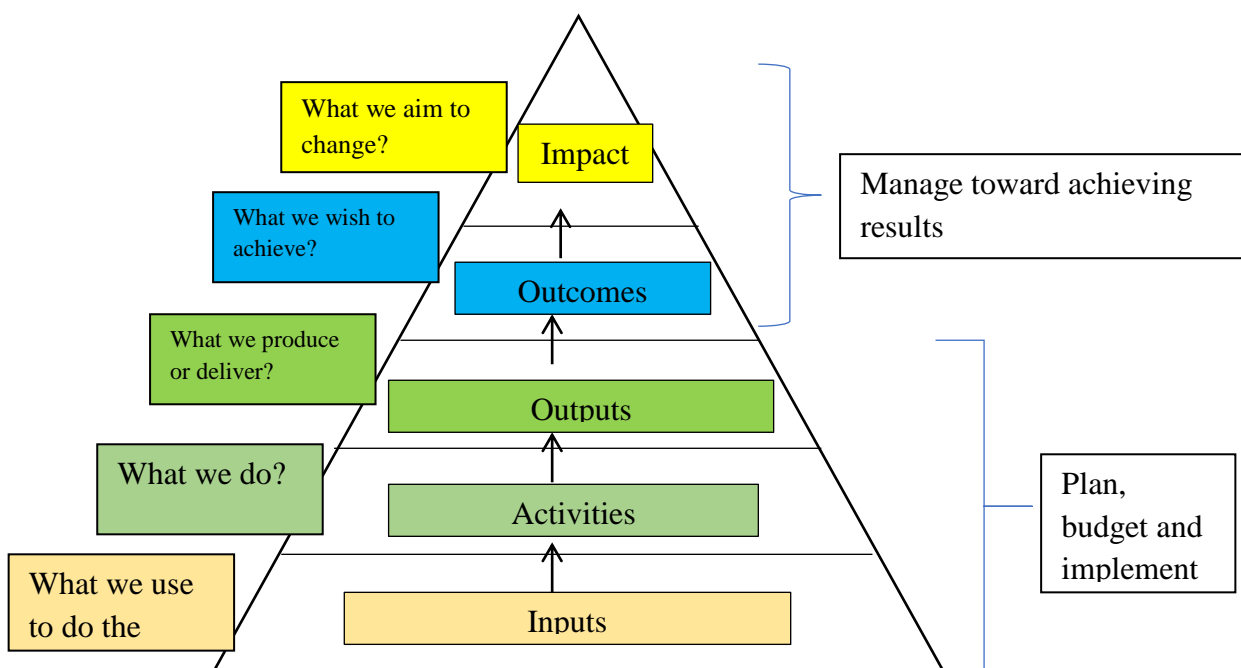
The National Treasury introduced the Programme Performance Information (PPI) Framework, which concentrates on submitted information by governmental departments in the course of

achieving their mandates (National Treasury, 2007: 3). According to the National Treasury (2007: 4), the PPI Framework aims to achieve the following aspects:

- Standards for performance information are defined;
- Regular audits of non-financial information are supported;
- Performance information are managed through enhancing structures, systems and processes;
- Roles and responsibilities involved in performance information are clarified; and
- Accountability to relevant stakeholders and the public are promoted through appropriate, accurate and availability of performance information.

The PPI Framework highlights the key performance management principles which include inputs, activities, outputs, outcomes and impact (National Treasury, 2007: 6). These concepts attempt to establish an organised public sector, and establish the manner in which government employs resources effectively to deliver on its mandate (National Treasury, 2007: 6). In the approach for managing by results, budgets are allocated proportionate to inputs, tasks, deliverables and outcomes while the main aim is to accomplish the outcome and impact (National Treasury, 2007: 6). Figure 3.1 below illustrates the significant relationship between main performance information models in the context of this discussion.

**Figure 3.1: Relationship between the main performance information concepts**



Source: Presidency, 2007: 6

The Green Paper on Improving Government Performance asserts the rationale behind the outcome performance system is to guide policy implementation to ensure that government efforts are adequately addressing the needs of citizens (Presidency, 2009: i). The Framework for Strategic Plans and Annual Performance Plans (APPs) emphasises that governmental sections must align departmental strategic goals to APPs and develop specific, measurable, achievable, relevant and time-bound (SMART) indicators (National Treasury, 2010: 13). This practise encourages concentrated strategies and actions to accomplish envisaged outcomes and impacts and ensures that government performance is measurable (National Treasury, 2010: 13).

In 2013, DPME implemented The Framework for Strengthening Citizen Involvement in Monitoring Government Service Delivery (Presidency, 2013: v). The main aim of the framework is to address the existing gaps in the current monitoring approach of government (Presidency , 2013: v). The approach of the framework is summarised as follows:

- Provide a collective understanding of citizen-based monitoring and stress the importance of citizen-based monitoring to public service delivery;
- Offer guidance in monitoring to public sector departments on strengthening the involvement of the public;
- Provide a collection of concepts and well-defined responsibilities and roles;
- Explore risk identification and mitigation approaches; and
- Develop an action strategy for reinforcement of public-private partnerships for monitoring.

The Office of the Premier's role as indicated in the GWM&E policy document asserts that all national and provincial departments must develop M&E systems that must be incorporated into every department's current decision-making systems (Presidency, 2008: 13). The policy document accentuates that M&E strategies must highlight a capacity building strategy that outlines strategies to increase human capacity (Presidency, 2008: 13). Ideally the plan must involve stakeholders responsible for M&E capacity building (Presidency, 2008: 13-14).

In 2012, the Cabinet approved a National Evaluation Plan (NEP) which was developed by the DPME (Presidency , 2012a: 1). The NEP sets the target of evaluation for the public sector of South Africa and provides a detailed summation on evaluations of present interventions that focus on addressing national concerns (Presidency, 2012a: 1). The NEP provides benchmarks that guide the selection of government interventions that are evaluated (Presidency, 2012a: 2).

Post-evaluations are publicised and the DPME supports and encourages government departments to implement evaluation findings (Presidency, 2012a: 2).

The South African public sector has implemented certain procedures to encourage appropriate M&E practices that produce the anticipated favourable results. Statistics South Africa (Stats SA) is an organ of state that is mainly responsible for the compilation and distribution of official statistics and plays a significant role in the improvement in the quality of data and evaluation (Stats SA, 2008: i). The South African Statistical Quality Assessment Framework (SASQAF) aims to improve pellucidity in data evaluation (Stats SA, 2008: i). The SASQAF framework provides evaluation criteria and verifying statistics submitted by government departments (Stats SA, 2008: 1). SASQAF delineates the data collection processes in accumulating M&E information (Stats SA, 2008: 1). The framework also provides homogeneous processes that mutually aim to encourage a high quality of information throughout the public sector (Presidency, 2007: 9).

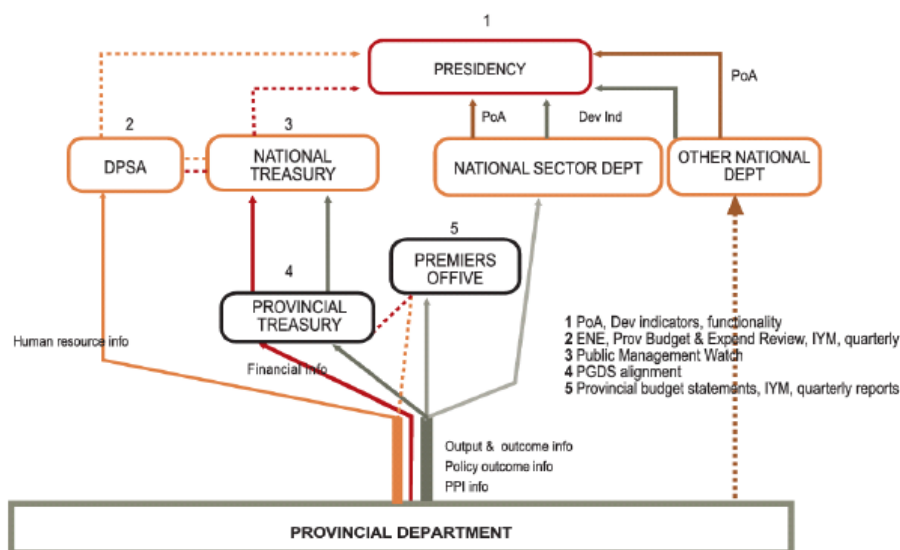
The GWM&E Working Group was launched by the Office of the Presidency to advance M&E practices; enhance information channels and reporting requirements; and advance evaluation practices of the GWMES (Presidency, 2007: 17). To complement the GWM&E Working Group, the M&E Co-ordinating Forum and the Provincial M&E Forum was established to foster the implementation plan of the GWMES at national and provincial levels (Presidency, 2007: 17-18). The Office of the Premier's role in the GWM&E (2008: 8) states that government departments must develop M&E systems that must be in line to the National and Provincial Growth and Development Strategy. Furthermore, M&E approaches will shape how findings will inform strategic and operational planning, budget implementation and annual reporting (Presidency, 2008: 10).

At a national and provincial level, the policy framework for GWMES provides detailed institutional responsibilities and roles in relation to M&E (Presidency, 2007: 19). Best practices indicate that M&E units should be positioned under the ambit of the Office of the Head of Department (HOD), to confirm M&E practices and requests for information are given the necessary attention (Presidency, 2008: 36). Executive authorities are accordingly held answerable for utilising M&E findings for accountability and informed decision-making, as well as accurately reporting on the performance of their respective institutions (Presidency, 2007: 19).

Accounting officers are accountable for the consistency of reporting and quality of M&E. These officers assume responsibility for the dependability and accuracy of the reported M&E

information and must ensure that M&E concerns are addressed immediately. Managers from all levels are accountable for establishing and sustaining the M&E systems. Maintaining the M&E systems involve accumulating, capturing, analysing and verifying M&E information gathered. Finally, M&E units are in charge of ensuring the implementation of M&E strategies in departments by offering guidance and knowledge of M&E functions, capacity building and providing feedback on the M&E strategies (Presidency, 2007: 14). The Premiers' Offices must be in a position to readily access information that is submitted by provincial departments to be in a position to make informed decisions (Presidency, 2008: 10).

**Figure 3.2: Efficient Reporting Chain: Streamline sharing of information**



Source: Presidency, 2008: 19

Streamlined reporting of information is a by-product of information sharing and accentuates the reduced effort in gathering and reporting information with greater effort to analyse the information (Presidency, 2008: 10). The reporting chain of provincial departments with decreased replication of information reported and a growth in the information sharing throughout government departments is illustrated in Figure 3.2 above (Presidency, 2008: 19). The DPME strategy is to simplify systems and the reporting chain to condense duplication in reporting (Goldman, Phillips, Gasa, Akhalwaya and Leon 2014: 404).

### 3.5 GOVERNANCE

Good governance is valuable for stakeholders (Institute of Directors, 2016: 5). An organisation with heightened governance encourages the confidence of the stakeholders and reduces the cost of capital investment (Institute of Directors, 2016: 5). The King IV report (2016: 5-6) also suggests that all-encompassing and incorporated governance that seeks address to sustainability is beneficial for society as a whole and the economy and South Africa.

The King IV (2016: 34-42) report has identified the following principles that lead to improved corporate governance:

- Discipline which relates to senior management portraying commitment to observe universally ethical and proper behaviour (EDTEA senior management that approve projects must support and guidance to project managers throughout the project life cycle);
- Transparency is a put into practice by management and is reflected at the stage at which stakeholders can acquire a true and complete picture of the operations of the organisation to make accurate information readily accessible (Project charters are signed by all stakeholders to ensure that the project plan is communicated with duties, roles, responsibilities and timeframes.);
- Independence refers to the mechanisms that have been implemented to curtail possible conflicts of interest;
- Accountability mechanisms must be in place and effectively permit decision-makers to be responsible for their choices and consequences thereof (EDTEA demonstrates a lack of accountability measures);
- Responsibility must be exercised to allow for corrective actions and mismanagement;
- Fairness in systems must be equalised and take into account all stakeholders that share a common interest in the organisation, and
- Social responsibilities relate to responding to social concerns with a high priority and must be founded on ethical standards.

In addition to the corporate governance principles, the King IV Report further recommends that public sector agencies and enterprises below the Public Finance Management Act, 1999 (PFMA)

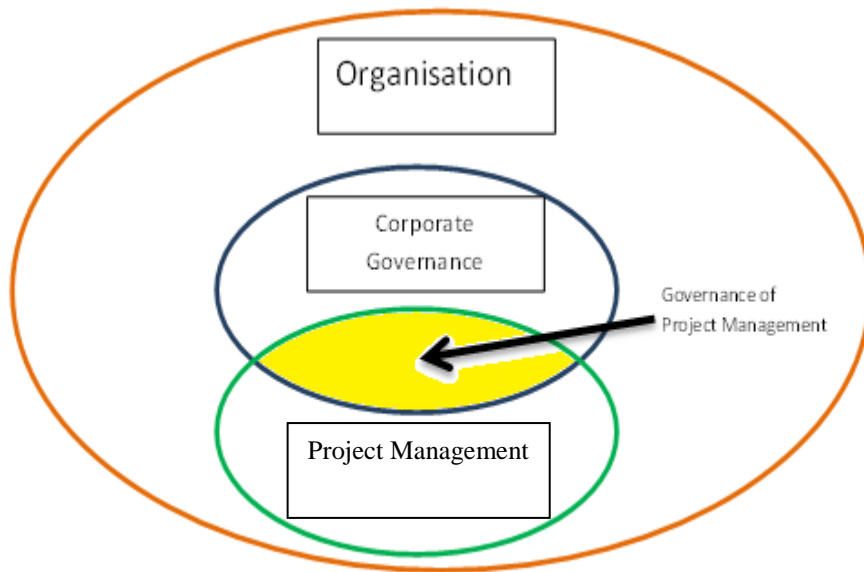
and the Local Government Municipal Finance Management Act, public entities incorporate the Code of Corporate Conduct and Practices. The legislation mentioned in the point above shares common principles of good governance such as accountability, fairness, transparency and responsibility.

### **3.6 PROJECT MANAGEMENT AND GOVERNANCE**

The key driver behind the application of project management in government is geared to improve public sector's proficiency to deliver efficient, effective and high quality service delivery (Van der Waldt, 2011: 250). The Project Management Body of Knowledge (PMBOK) defines the discipline of project management as the implementation of knowledge and techniques toward project activities to meet project requirements (Maharaj, Heil and Van Rensburg, 2006: 21). Project management is achieved through the implementation and amalgamation of the project management practices of initiation, executing, planning, monitoring and controlling, and close-out (Badewi, 2015: 2). Managing a project includes the following activities: ascertaining the project requirements; formulating well-defined and achievable objectives; finding equilibrium with demands for quality, costs, scope, and time; and adjusting specifications, plans, and approach to the anticipation of the relevant stakeholders (Crawford and Helm, 2009: 74).

Project governance refers to the centralised control of the projects in an organisation that produce the value referred to in business governance (Ahloa *et al.*, 2014: 1322). Shannon (2004: 5) stresses the significance of project management governance is based on whether good governance is essential to the organisation, whether the field of project management is significant to the organisation, and therefore whether organisations require the assertion that governance and project management requirements are aligned to sustain each other.

**Figure 3.3: Scope of governance of project management**



Source: Shannon, 2004: 18

As the Figure 3.3 above the two forces of project management and governance can be aligned to create benefits to a business. KZN EDTEA is mandated to drive economic development and radical socio-economic transformation in the province. This mandate is achieved through implementation and development of strategies and projects that are aligned with the broad national and provincial policy imperatives. A project in EDTEA can be defined as a temporary activity that is aligned to the department's mandate with a definite start and expected completion date (KZN EDTEA, 2016: 3).

A project is a one time or unique endeavour and must bring about change with a project customer and in the case of EDTEA the customer are the citizens of KZN. Projects are unique in terms of their deliverables (Maharaj *et al.*, 2006: 20). Projects may have the similar or identical outcomes, but may differ in designs, localities and other elements (Maharaj *et al.*, 2006: 20). According to the Project Management Body of Knowledge (PMBOK, 2004: 10), an additional feature of projects is progressive elaboration. The project's specifications must be coordinated with an appropriate project scope definition (Maharaj *et al.*, 2006: 20).

Raimando (2016:2) states that M&E is expected to improve project performance by providing better evidence as to whether a project has delivered favourably or not and M&E quality information empowers project managers to be more detailed with project design. The degree of

good project management narrates to the extent to which project goals and objectives in the organisation are realised (Ile, Eresia-Eke and Allen-Ile, 2012: 69).

In order to accomplish efficient management of projects, the proper tracking of activities is essential to ensure that the progression of a project is eventually directing the organisation towards accomplishing organisational mandate and goals (Ile, Eresia-Eke and Allen-Ile, 2012: 69). To this end, result-based monitoring and evaluation has become a valuable instrument for ensuring projects deliver the intended developmental benefits that are conceptualised.

According to Grundy and Brown (2002: x), the extension of the project management notion to project management requires the process of overseeing intricate projects by linking business practices and project management strategy to execute the organisation's strategy and to deliver the institution's mandate. There are five stages in the strategic project management process: outlining the project, crafting the project strategy, meticulous planning, implementation and control, and review and learning (Grundy and Brown, 2002: xi). A key concept of strategic project management is observing the strengths and weaknesses of previous projects undertaken in order to construct a platform of learning dedicated to constant improvement into project management (Grundy and Brown, 2002: 52).

Project governance is an important success factor for the delivery of projects and inadequate project governance leads to project failure (Garland, 2009: 2). Adequate project governance permits effective and efficient decision-making suggesting that right people making optimum decisions that accomplish the project objectives and ensure stakeholders are in a position of making informed decisions in a timely manner (Garland, 2009: 2-3). According to Garland (2009: 101), project governance is directed by the following principles:

- Establishing a solitary accountability point in the project for the successful delivery;
- Service delivery ownership defines ownership in the project;
- Ensure separation of stakeholder management and decision-making activities, and
- Encourage separation of project governance and organisational governance structures.

As indicated in the points above project governance reflects the principles with M&E namely accountability and decision-making. M&E processes can be seen as a central role to play in project governance.

The Association for Project Management (APM) created a specific interest group to examine the governance of project management (Maharaj *et al.*, 2006: 23). Subsequently, a guideline to project governance was developed by the APM. In developing the guide, the focus group concentrated on the overlapping between existing governance and project management (Maharaj *et al.*, 2006: 23).

### **3.7 M&E INFLUENCE ON PROJECT GOVERNANCE**

In the public sector, organisational governance is interconnected and co-dependent on general governance, co-operative governance, intergovernmental relations, sustainable governance and agency governance. Görgens and Kusek (2009: 35) further state that M&E systems encourage sound governance by:

- Reinforcing evidence-based policy decisions in allocations of project;
- Support government in policy development and analysis;
- Assist the public sector to manage activities at all levels of implementation, and
- Augment transparency and support accountability relationships.

From the foregoing discussion, it can be said that M&E enhances governance by intensifying stakeholder participation, accountability, transparency and evidence based. According to the Strategic Plan of DPME (2015-2020), the foundation of good governance in the government includes:

- Enhanced governance, increased participation and inclusive decision-making process;
- Significant and on-going accountability and transparency to all stakeholders and concerned interest groups, and
- Amplified responsive, efficient and effective service delivery.

The National Treasury (2007: 3) affirms that M & E should positively influence governance by:

- Encouraging transparency by making all findings and recommendation available to the public;
- The use of state assets and resources are open to public inspection thus enhancing accountability;

- Foster active participation from citizen with focus on the historically marginalised communities, and
- Promote the inclusion of all interests are represented throughout the M&E process.

Since M&E supports all the above components, it may be reasoned that M&E enhances governance and better delivery of services. The Governance of Project Management (GOPM) has identified factors that encourage project success (APM, 2011: 4). Table 2.1 highlights the support for M&E characteristics with commonalities accentuated in the discipline of governance and project governance.

**Table 3.1: M&E System Characteristics, Governance and Project Governance**

CHARACTERISITICS	GOVERNANCE	M&E SYSTEM	PROJECT GOVERNANCE
Participation, community involvement and civic engagement	<ul style="list-style-type: none"> <li>• Indirect or direct citizen participation is critical</li> <li>• Civic engagement must be informed and organized</li> </ul>	<ul style="list-style-type: none"> <li>• Participatory M &amp; E entails engaging the public and stakeholders at all stages of the intervention even after close out</li> </ul>	<ul style="list-style-type: none"> <li>• Project stakeholders are engaged at a stage that corresponds with their importance</li> </ul>
Legality (Rule of law)	<ul style="list-style-type: none"> <li>• Legal frameworks that are enforced fairly and neutrally</li> <li>• Human rights fully protected</li> <li>• An independent judiciary may be required</li> </ul>	<ul style="list-style-type: none"> <li>• Transparency and accountability are promoted</li> <li>• Conforms to regulatory mandates and Constitutional principles</li> <li>• Independent evaluations promoted</li> </ul>	<ul style="list-style-type: none"> <li>• Members with delegated authority have adequate representation, competence, and resources to make informed decisions</li> </ul>
Accountability	<ul style="list-style-type: none"> <li>• Information must be effortlessly accessible, simple and understandable by all affected by the decisions</li> <li>• Decisions undertaken</li> </ul>	<ul style="list-style-type: none"> <li>• Meaningful engagement allows stakeholders to provide input throughout the M&amp;E processes</li> <li>• Roles and duties are</li> </ul>	<ul style="list-style-type: none"> <li>• The roles, responsibilities, and performance criteria for the governance of project</li> </ul>

	must comply with the rules and regulations	clarified to all concerned <ul style="list-style-type: none"> <li>• Participants are accountable for their actions</li> </ul>	management are well defined <ul style="list-style-type: none"> <li>• All projects have an approved plan</li> <li>• Decisions are recorded and communicated.</li> </ul>
Equity	<ul style="list-style-type: none"> <li>• All groups must be given the opportunities to improve their livelihoods or maintain their well-being</li> <li>• Economic growth benefits to be fairly distributed</li> </ul>	<ul style="list-style-type: none"> <li>• Participatory M&amp;E approach takes into consideration the opinions of minorities (inter-relations and interdependencies)</li> </ul>	<ul style="list-style-type: none"> <li>• The board or top management has overall responsibility for the governance of projects to ensure project beneficiaries' needs are highlighted</li> </ul>
Effectiveness	<ul style="list-style-type: none"> <li>• Activities undertaken must produce optimum results that address the needs of society</li> <li>• Resource utilisation must be responsible, optimal and sustainable to the environment</li> </ul>	<ul style="list-style-type: none"> <li>• Effectiveness, efficiency, economical use of resources is included under the pillars of M&amp;E</li> <li>• Inclusivity in M&amp;E also ensures that citizen's needs and the environment are upheld</li> </ul>	<ul style="list-style-type: none"> <li>• Disciplined governance arrangements, supported by appropriate methods and controls, are applied throughout the project lifecycle</li> </ul>

Source: (APM, 2011: 5-6)

As illustrated in the table above, common threads run through the disciplines of M&E, governance and Project Governance. M&E systems generate information that permits government institutions to undertake evidence-based policy assessment and to enhance the governance functions of the institution. Performance information that materialises from M&E activities, enhance the decision-making process in management with regard to budget distribution and future implementation of service delivery initiatives. The M&E findings provide proof to motivate management decisions.

The system enables management to track RBME approaches such as performance contracts; benchmarking to improve and risk management effectiveness and efficiencies in providing good and services to citizens. It can therefore be implied that M&E enhances governance through timely evidence-based decision-making, enhancing a learning culture in the department, and by holding both political and administrative office-bearers more answerable for decisions and actions through better transparent performance management.

### **3.8 SUMMARY**

The chapter provided a background to the GWMES together with various strategic frameworks and legislation. M&E principles, governance, project management were further discussed. Governance and project governance are inter-related and interdependent on the mechanisms of the M&E systems. Governance can be viewed as a prerequisite for enhanced project governance, increased performance management and capacity development. The EDTEA mandate and performance are guided by the various legislations, which are briefly discussed in this chapter. In order for an M&E system to be effective in EDTEA, reporting systems have to be streamlined to facilitate a learning platform and information sharing platforms. EDTEA's strategies and project initiatives must be aligned to National and Provincial strategies to empower all stakeholders to improve departmental performance and project governance. The following chapter presents the case study of this research that was undertaken.

## **CHAPTER FOUR**

### **RESEARCH DESIGN AND METHODOLOGY**

#### **4.1 INTRODUCTION**

According to Bless and Higson-Smith (2000: 11), scientific research may be referred to as the conversion in practice in the relationship amongst actualities and theories. Welman, Kruger and Mitchell (2005: 2) complement the definition above by stating that research is the process which entails attaining technical information through different methods and procedures.

This study focuses on the application of M&E and project governance within EDTEA. This study is beneficial to provincial government as it could enhance project governance through the implementation and practice of M&E as a tool for enhancing service delivery. This chapter delineates the research design, methodology and integrates the focal aims of the study, the sampling methods and data collection techniques. The chapter also clarifies and provides the scope and rationale for the research methods that were utilised within the qualitative paradigm. The research is exploratory and descriptive by nature, which is informed through the qualitative data collection method.

#### **4.2 KEY OBJECTIVES OF THE STUDY**

The main objectives of the research study are highlighted as follows:

- Determine how the M&E system supports project governance;
- Investigate the effectiveness of EDTEA in using M&E to support an ethos of good project governance;
- Determine the challenges that the M&E unit may encounter in enhancing project governance;
- Assess how the M&E system may achieve its full potential in the EDTEA environment, and
- Recommend the future for the M&E unit as a project governance mechanism in EDTEA.

### **4.3 KEY QUESTIONS TO BE ADDRESSED IN THIS RESEARCH**

The following emphasises the primary and secondary research questions which direct the study.

### **4.4 PRIMARY RESEARCH QUESTION**

The research study took into consideration various legislation, processes and arrangements within provincial government, and was guided by the following primary question:

How can the implementation of M&E be used as value-adding project governance within EDTEA?

In order to completely investigate the primary research question, secondary research questions have to be addressed.

### **4.5 SECONDARY RESEARCH QUESTIONS**

The following are the secondary questions which were identified in the study:

- How does the M&E system support project governance?
- How effective is EDTEA in using M&E to support efforts at promoting good project governance?
- What are the current challenges experienced by EDTEA in relation to project governance?
- How can the M&E system achieve its full potential in the EDTEA environment?
- What are the future prospects that the M&E unit faces in contributing to project governance?

### **4.6 RESEARCH DESIGN**

A research design is a procedural plan and strategy of investigation that is designed to acquire answers to research questions or problems (Kumar, 2005: 24). Babbie and Mouton (1998: 74-75) argue that the research design has to be focused on the planned result it aims to achieve. Mouton

(2001: 55) also outlines that the research design may be viewed as a roadmap of the strategy the researcher plans to use for the research. The focal point of the research design is the final product and the rationality of the research (Mouton, 2001: 56).

An empirical study encompasses defining something or a problem to investigate, collecting the pertinent data, analysing and interpreting the results and extracting conclusions based on empirical findings (Yin, 2011: 49). A non-empirical case study refers to cases that do not require primary data and can be based on secondary data (Denscombe, 2003: 22). The research study requires empirical evidence to gain an understanding of participants' views on how monitoring and evaluation could enhance project governance in the department.

Kumar (2005: 8) suggests that research may be classified into three perspectives, which include application of the research study (applied or pure research), objectives in undertaking the research (explanatory, descriptive, correlational or exploratory) and inquiry mode (qualitative or quantitative). The research study may be considered as objective research. According to Terre Blanche, Durheim and Painter (2006: 45), the aim of objective research is to contribute to informed-decision making, real-world issues of problem-solving, decision-making, community development and policy analysis. Objective research may further be categorized as descriptive, explanatory, exploratory and correlation. Exploratory research is conducted to gather insights into a situation, community, phenomenon or individual. The need for an exploratory study could ascend from a lack of information on an innovative area of interest or to get familiar with a condition to articulate a problem or form a hypothesis (Vos, Strydom, Fouche, Delpont, 2012: 95).

The research question in exploratory research begins with “what” and researchers rely on qualitative data, as asserted by Vos *et al.* (2012: 96). Descriptive research and exploratory research are fused in practice, and although there are similarities, there are also differences that must be noted (Laws and Mcleod, 2012: 3). As this research study is of a qualitative nature, the descriptive research may refer to a thorough inspection of phenomena and their deeper meaning, thus leading to profounder description.

The main goal of an exploratory study is to seek a complete insight of a phenomenon or situation (Bless, Higson-Smith and Kagee, 2006: 47). In this study, the concepts of project governance

and M&E were investigated. The case study analysis was considered appropriate for this study due to the exploratory approach (Webb and Auriacombe, 2006: 600). The case study in this research undertaking was KZN-EDTEA. Mouton (2001: 149) augments that a case study approach is applicable as EDTEA in under the provincial domain government. The case study method accommodates the researcher to perform a comprehensive analysis of complex issues or exploratory research (Welman, Kruger and Mitchell, 2005: 25).

#### **4.7 RESEARCH PARADIGMS/WORLDBIEWS**

The philosophical worldview uses the social constructivism approach as it is assumed that individuals seek an understanding of the world that they reside in. According to Creswell, people develop subjective meanings of their experiences which are diverse and multi-faceted, which points the researcher to consider the complexity of views rather thinning meanings into a few themes (Creswell, 2009: 7). The objective of research is to depend as much as possible on the participant's views of the topic being examined (Creswell, 2009: 7)

Vos *et al.* (2012: 7) state that in constructivism the participants become dynamically involved in the research process and may be viewed as partners in the total undertaking. In contrast to positivism wherein the researcher maintains a detached and non-interactive position constructivism involves the participants from start to finish (Creswell, 2009: 25). The relationship between the researcher and the participants may be viewed as open and democratic (Vos *et al.*, 2012: 8).

This philosophical worldview is largely associated with qualitative research designs as qualitative researchers tend to use open-ended questions to enable participants to liberally share their views (Vos *et al.*, 2012: 8). The qualitative research method is essentially inductive, with the researcher generating meaning from the data collected from participants (Creswell, 2009: 26). The goal is of a constructivist researcher is to gain understanding and structuring, as opposed to prediction (Vos *et al.*, 2012: 8).

## **4.8 TYPES OF RESEARCH**

Terre Blanche *et al.* (2006:44) specify that explanatory, exploratory, and descriptive research emphasise the goals and aims of the research. The research study may be categorised as exploratory and descriptive research. Kumar (2005: 10) refers to descriptive research as a systematic description to a situation, difficulty, phenomenon, service or programme. Terre Blanche *et al.* (2006:44) mention that the purpose of that descriptive study is to describe an occurrence through the usage of narrative type descriptions, classifications or measuring relationships. Exploratory research as explained by Kumar (2005: 10), refers to exploring an area where very little or nothing is known. Terre Blanche *et al.* (2006:44) strengthen Kumar's viewpoint in that the authors state that exploratory studies utilises an open, elastic and inductive approach, as the main aim is to establish new insights into a phenomenon. The research study is also a case study type. According to Yin (2014: 11), a case study may be defined as an exploration or comprehensive analysis of a single case or multiple cases over a period of time.

Yin (2011: 17) further states that the criterion for selecting a case for the study is an opportunity to learn and study a phenomenon in its real-world context. As case studies exhibit exploratory and descriptive qualities, the data collection methods utilised are in-depth or qualitative data collection methods such as interviews, documents, observations and archival records (Creswell, 2013: 147). Yin suggests that a researcher that wants to use case study as a strategy should begin with the specified problem statement and design a set of research questions and objectives (Yin, 2014: 19).

EDTEA was selected to participate in the case study, as it constitutes the combination of three different departments in an attempt to accomplish a common mandate of enhancing the economy of KwaZulu-Natal. In the province, the number of poverty-stricken people living in poor rural conditions and the rate of unemployment are increasingly high.

## **4.9 QUALITATIVE RESEARCH INQUIRY**

The research study was composed on qualitative methodology. Qualitative research methods encompass the methodical collection, configuration and interpretation of word-based material taken from word-of-mouth or observations (Malterud, 2001: 483). The qualitative style is supported by Silverman (2010: 8), who positions qualitative research goals to understand and

interpret meanings and intentions that stimulate human action. In qualitative research there is various ways of approaching the same topic which results in an improved understanding of multifaceted phenomena and not in the failure of reliability (Malterud, 2001: 484).

According to De Vos (1998: 242), qualitative researchers intentionally aim to understand reality by uncovering the meanings that people in a specific environment attach to it. Qualitative research is usually used to influence and investigate phenomena actively and provide dense descriptions of phenomena (Terre Blanche, Durrheim and Painter, 2006: 48). Qualitative researchers trust that behaviour is deliberate, intentional and creative and not predicted or may be explained.

#### **4.10 METHODS OF DATA COLLECTION**

Qualitative data collection entails purposively selecting sites and respondents centred on the places and people that can provide understanding of the central phenomenon (Yin, 2011: 120). Information gathered from small number of sites and participants to develop rich detail and understanding are also included in the qualitative data collection (Clark and Creswell, 2010: 251). Qualitative data collection includes collecting words or image data using forms with open-ended, emerging questions to allow participants to generate their own responses (Graham and Thomas, 2008: 119).

The nature of types of qualitative data includes interviews and questionnaires, observations, documents and audio-visual materials (Hekkala, 2007: 55). The case study method considers interviews as a main source of data and data collection technique (Strauss and Corbin , 1990: 52). For this study, the researcher selected interviews and document studying as the method for the data collection.

#### **4.11 INTERVIEWS**

Interviewing is the principal method of data collection in qualitative research (Terre Blanche, Durrheim and Painter, 2006: 248). The research interview is strategically designed for the key purpose of improving and contributing to the body of knowledge (Wengraf, 2004: 3). Interviewing is defined as conversations wherein the respondent is guided by the researcher to an extended discussion surrounding the research topic by following-up on responses that are given by the interviewee during the conversation (Rubin and Rubin, 2005: 4). Creswell suggests that

interviews and observations should commence on the basis that a power inequality exists between the data collector and the interviewee (Creswell, 2013: 137).

A qualitative researcher aims to understand the elements of the case from the respondents' viewpoint as the researcher must remain open, non-threatening and unbiased (Lapan, Quartaroli and Riemer, 2012: 262). Terre Blanche *et al.* (2006: 287) propose that qualitative interviews attempt to gain an understanding of the world from the interviewees' point of view to reveal the meaning of their experiences and to unearth their life experiences prior to scientific expectations. The data collected during interviews allows the researcher to gather detailed personal information provided from participants (Clark and Creswell, 2010: 257). The interview process allows the researcher to have control over the types of information participants provide as the answers are guided by specific questions from the researcher (Clark and Creswell, 2010: 258).

Qualitative interviews are an appropriate tool to gather information in qualitative research design using grounded theory and interviewing can be considered a main approach of data collection in qualitative research (Henning, Van Rensburg and Smit, 2004: 59). Interviewing methods include one-on-one interviews, telephone interviews, email interviews, open-ended questions as part of a questionnaire and focus groups (Denscombe, 2003: 62). The quality and quantity of the information exchanged is dependent on the astuteness and creativity of the interviewer in understanding and managing the relationship (Vos *et al.*, 2012: 342). Kumar (2005: 145) refers to three types of interviews namely unstructured, semi-structured and structured interviews used in qualitative research which are discussed below.

#### **4.11.1 UNSTRUCTURED INTERVIEWS**

Singleton and Straits (2005: 222) state that individual questions are developed spontaneously during the course of an unstructured interview, the discussion may be widespread and the objectives are general. De Vos (1998: 292) refers to unstructured interviews as in-depth interviews. Singleton and Straits (2005: 222) further claim that the interviewer is unrestricted to adapt the interview to make the most of the special knowledge, experience and insights of respondents. The aim of an in-depth interview is not to answer questions, nor is it to test hypotheses or evaluate, but concentrates on gaining an understanding of the interviewees' experiences of other people and the meaning they gain from that experience (De Vos, 1998: 292-293).

In-depth interviews are perceived as lacking objective data but allow the researcher to gain more understanding of the participants' point of view (Cohen, Manion and Morrison , 2011: 253). De Vos *et al.* (2005:293) also advise the researcher to engage in the interview, as this shows the researcher's willingness to understand the interviewees' response to a question in the wider context of the interview as a whole, instead of being objective and detached.

Open-ended questions as part of a questionnaire involves the researcher asking majority open-ended questions as part of a questionnaire that also includes close-ended items (Clark and Creswell, 2010: 258). This type of qualitative interview allows the researcher to collect two types of information (Clark and Creswell, 2010: 258). Quantitative information to support theory or concepts in the literature are gained from responses to close-ended questions and open-ended answers can be used to explore reasons for responses to close-ended inquiries with additional comments (Henning, Van Rensburg and Smit, 2004: 63).

#### **4.11.2 SEMI-STRUCTURED INTERVIEWS**

Semi-structured interviews involve the researcher preparing predetermined questions that are detailed in an interview schedule, and the interview is guided by the schedule and not restricted by it (De Vos, 1998: 296). Thomas (2011: 163) purports that a semi-structured interview allows the researcher freedom to probe and ask the respondents' follow-up questions. A challenge to this type of interview is that the respondent may add pertinent issues if the researcher did not touch on that particular area (Corbin and Strauss, 2015: 39) The researcher must be attentive to the interviewees' responses so that new emerging ideas relating to the phenomenon being studied are explored to the fullest (Patton, 2015: 56).

Semi-structured interviewing one-on-one is a qualitative data collection process that involves the researcher asking questions and records answers per interviewee (Hollway and Jefferson , 2000: 53). Clark *et al.* (2010: 258) state that this process is costly and time-consuming and should be utilised if participants are expressive, share ideas comfortably and are not reluctant to talk. This approach is beneficial if the participants in the sample group are articulate, professional and communicative.

Semi-structured interviews entail numerous main questions that assist to outline the pertinent areas to be explored, but the flexibility of the approach allows both the interviewer and

interviewee to deviate to follow an idea in greater detail. This approach, compared to structured interviews further allows for the unearthing of information that is viewed as important to participants but may not have previously been considered as relevant by the research team.

#### **4.11.3 STRUCTURED INTERVIEWS**

Structured interviews are conducted with a list of pre-determined questions which has a limited span of strength (Thomas, 2011: 163). This line of interviewing may be deemed as rigid and does not allow respondents to fully participate and interact with the researcher (Corbin and Strauss, 2015: 39).

For the purpose of this study, the researcher utilised the semi-structured interviews as the approach acts as a channel to obtain additional information from the participants.

#### **4.12 DOCUMENT STUDY AS AN INFORMATION COLLECTION METHOD**

Document analysis is a valuable tool to systematically analyse and evaluate documentation to examine and interpret data in order to extract meaning, gain knowledge and acquire empirical knowledge (Bowen, 2009: 27). De Vos *et al.* (1998: 317) refer to personal documents, official documents, mass media and archival material as four sources of documents for review and analysis.

Within this research, the document analysis examined a selection of key government policies, strategic plans developed by the department and organisational reports (Annual Performance Plan 2016/17), project proposals, project status reports, documents electronically released by EDTEA detailing the department's interventions. The researcher also included newspaper articles, performance reports, press releases and speeches to supplement the limited literature available.

#### **4.13 POPULATION AND SAMPLE**

Fox and Bayat (2007: 51) refer to population as a complete set of cases from which samples are drawn. The researcher must be clear of the intended population or units of analysis that the

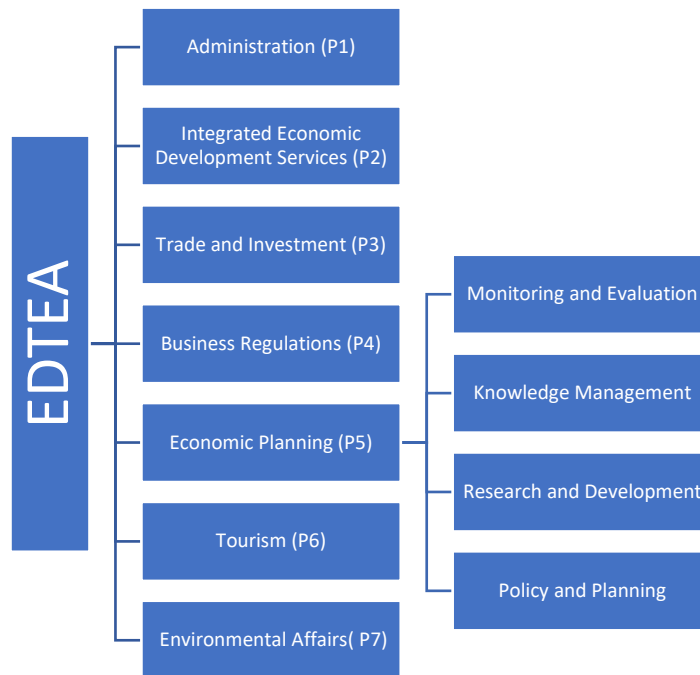
questions in the interview apply to when conducting research (Fox and Bayat, 2007: 51) . An important point to note is that it is impracticable for a researcher to study an entire population therefore, that is why the researcher had to extract a sample or subset of measurements that represent the population that is studied (Goddard and Mellville, 2001: 34-35; De Vos, 1998: 194).

Creswell (2009: 134) states that in a qualitative inquiry there are no steadfast rules for selecting a sample size. The sample size is dependent on the purpose of the inquiry, the information the researcher wants to know, what will be useful, what will have reliability, including what can be completed within available resources and time. Sampling in qualitative research is fairly restricted based on saturation, not representative and size is not statistically ascertained, therefore, qualitative research uses non-probability sampling (Denzin and Lincoln, 2011: 124).

Non-probability sampling is defined as a type of sampling where the selection of elements is not based on the statistical principle of randomness (Terre Blanche, Durrheim and Painter, 2006: 139). Non-probability sampling includes purposive sampling, accidental, quota, dimensional, target, snowball and spatial planning (De Vos, 1998: 201). Purposive sampling involves a sample that encompasses fundamentals that contain the characteristics and representative attributes of the population (Maxwell, 2013: 124).

The sample for the research was drawn from EDTEA, as shown in organogram below.

**Figure 4.1: Organogram of EDTEA**



Source: EDTEA, 2013: 15

The Economic Planning programme consists of four sub-programmes, namely, research and development; monitoring and evaluation, policy and planning and knowledge management. The sample was specifically drawn from the Economic Planning Directorate, as it contained the greatest number of characteristics and representative attributes of the population. The participants from the M&E unit were selected as M&E is a component in their core activities. To further complement the sample of participants, a selection of one project manager from each programme was included in the sample.

#### **4.14 RESEARCH PROCEDURE**

The researcher included two groups of participants. The one group included one project manager from each programme of EDTEA, while the other set of respondents included all employees of the M&E unit and Knowledge Management. The reason for selecting two sets of participants was to enable the researcher to gain an understanding of the effectiveness of the monitoring and being monitored. One semi-structured interview was administered to all participants. After analysing reports on the performance of EDTEA projects for 2016/17, the researcher then developed preliminary questions for the participants based on the current monitoring and

evaluation processes in order to explore the value-added to project management in the department.

The researcher sought permission from the HOD to conduct the research and to interview employees from the department (Annexure C). An email, which included the submission of permission granted from the HOD, requesting an appointment was forwarded to participants. This study subscribed to the University's ethical clearance related to participants, and the general public are a concern when conducting qualitative research asserts Creswell (2013: 56). Written letters of consent were forwarded to prospective interviewees to collect data (Annexure D). As soon as permission was granted, through a gatekeeper's letter, appointments with interviewees were diarised. Face-to-face interviews were conducted with representatives from various programmes in EDTEA.

The interviewees included seven project managers from each programme who deal directly with the monitoring and evaluation unit and are directly involved in the M&E process. The remainder of interviewees included the core members of the M&E unit. This sub-programme is intended to facilitate effective service delivery through the measurement of the department's performance. The objective of the Monitoring and Evaluation sub-programme is to determine the effectiveness and impact of the policies, strategies and projects implemented by the department and provincial government.

The interviews were conducted at the head offices of EDTEA and the interviews were conducted in English. The researcher took notes while conducting the interviews. With the permission and consent of interviewees, a voice recorder was also used to record the proceedings of the interview to enhance thoroughness and completeness. According to Flick (2007: 93), a researcher may not be able to capture the interviewees' responses verbatim during an interview, hence the use of an audio or video recorder is encouraged to enable the researcher to listen to the interview repeatedly during the reporting and analysis stage.

#### **4.15 DATA ANALYSIS**

The data collected in this research study was analysed qualitatively. Qualitative research is considered an on-going process which indicates that data collection, processing, analysis and

reporting are thus interconnected. (Bernard and Ryan, 2010). Data analysis involves the process of documenting of various analyses that were managed by the researcher (Berg, 2009: 53-54). Mouton (2001: 108) purports that the process of data analysis involves critiquing the information obtained in the study into suitable themes, trends and relationships with the purpose of the data collected. Secondary data is information that is not collected by the researcher and is collated by other organizations and bodies (Welman, Kruger and Mitchell, 2005: 149). The secondary data analysis utilised in the study is concerned with departmental reports, governmental publications, articles and books (Welman *et al.*, 2005: 149).

Elo and Kyngä (2008: 107) define content analysis as a technique that may be applied to either qualitative or quantitative data. Content analysis may also be applied in an inductive or deductive way. Both inductive and deductive analysis processes are characterised as three main stages namely: preparation, organizing and reporting (Elo and Kyngä, 2008: 107). In the inductive content analysis, approach the concepts are a derivative from the data. Deductive content analysis is applied when the structure of analysis is functional on the basis of previous knowledge (Elo and Kyngä, 2008: 107). Inductive content analysis is used in circumstances where there are no previous studies dealing with the phenomenon. A deductive approach is useful if the general goal was to test a previous theory in a changed situation or to compare categories at different time periods. This study has been conducted using the inductive content analysis approach.

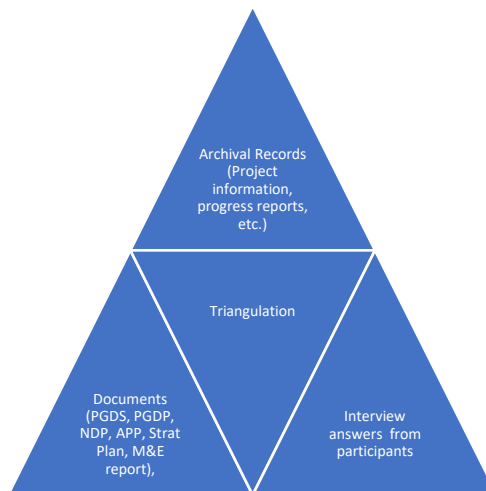
The qualitative data was analysed from the recordings and transcripts of the semi-structured interviews conducted at EDTEA. The analysis involved examining the likely relations that exists between the key themes of the study, namely project governance and M&E. The data collected was explored to determine whether the application of M&E supports project governance within EDTEA. The linkage between project governance and M&E was extracted from the experiences and responses of interviewees. The research identified themes evolving from the qualitative data collected and general conclusions was formulated.

#### 4.16 DATA QUALITY CONTROL

The conventional criteria for good research include internal validity, external validity, reliability and objectivity (Vos *et al.*, 2012: 182). Internal validity and external validity are more applicable to quantitative data (Malhotra, 2004: 269-270). Creditability and authenticity are an alternative to internal validity in qualitative studies (McEwan and McEwan, 2003: 126).

The aim of ensuring the research study is credible is to validate that the inquiry was conducted in such a way as to ensure that the subject has been accurately identified and described (Vos *et al.*, 2012: 182). There should be a connection between research participants' views, researchers, reconstruction and representation of the view and this method can be referred to as 'triangulation' of different methods (Flick, 2007: 37). In this research study, the triangulation method would apply to documentation consulted, responses from interviews with participants and archival records that were examined as illustrated below:

**Figure 4.2: Triangulation strategy to address credibility and transferability**



Source: Adapted from Vos *et al.*, 2012: 442

Vos *et al.* (2012: 442) suggests that the strength of a qualitative study which intends to explore a problem or process is found in the validity. A thorough description presenting the intricacies of variables and interactions is rooted with data resulting from that setting that it cannot be anything but valid (Flick, 2007: 38). This means that within the parameters of EDTEA, population (project managers, management EDTEA) and conceptual framework (M&E), the research could be valid.

Transferability, which is the alternative to external validity, refers to transferring the findings of one research study from a specific situation to another (Henning, Van Rensburg and Smit, 2004: 186). The transfer can be problematic and to counteract this challenge, the researcher must demonstrate how data was collected, the applicability of the conceptual framework and how the analysis was guided by the framework (Vos *et al.*, 2012: 442). Prospective researchers should adequately be aware of the theoretical parameters of the research study and the onus is upon them to decide whether to utilise the research methodology (McEwan and McEwan, 2003: 86) .

#### **4.17 RELIABILITY AND VALIDITY OF THE STUDY**

Reliability of data involves ensuring that there is a reliable capacity of data, while validity is imperative because the goal of the study must be representative of the research study (Welman, Kruger and Mitchell, 2005: 4). Validity involves confirming quality and reliability in the data collected is consistent (Nieuwenhuis, 2007: 37).

The reliability of conceptions, challenges and issues were determined and this was further enhanced by the steadiness in the responses received from respondents during the interviews in the data collection period. The soundness of the data was ascertained and was aligned accurately to the topic being investigated. The data-collection sources that were consulted can be verified. Objectivity was upheld during the recording of data to conserve data integrity and validity.

#### **4.18 LIMITATIONS OF THE STUDY**

This study focused exclusively on EDTEA which excluded the remaining 12 KZN provincial departments. The study is limited to EDTEA and did not include a complete approach to KZN provincial government. Another limitation may include that the findings and recommendation may not be generalised to other department in KZN or other provinces due to the uniqueness of EDTEA.

Although great care was taken in selecting participants that were assumed to have a good grounding of M&E concepts, some respondents had insufficient knowledge concerning M&E. In light of the above, the researcher had to clarify some M&E concepts to a small number of respondents so as to mitigate this challenge. The researcher had met with other challenges whilst the research was being conducted, however these were not to the level of compromising the overall quality of data and information collected.

#### **4.19 ETHICAL CONSIDERATIONS**

Ethics should be involved in every aspect of the research design (Maxwell, 2013: 7). Ethical behaviour is imperative and embraces features of plagiarism and trustworthiness in reporting in the research study (Welman, Kruger and Mitchell, 2005: 181). The researcher maintained objectivity in the process, of recording, collecting and storing data. The confidentiality and anonymity of interviewees was sustained throughout the research process. Within the interviewing process neutrality was upheld during recording and collecting data. The confidentiality of interviewees was maintained during the research process.

Preceding the commencement of the study, as alluded to earlier, the researcher acquired an ethical clearance certificate from the University of KwaZulu-Natal Research Office, which is attached as Annexure E. Each respondent was furnished with a copy of the letter of informed consent, as well as consent received from the HOD of EDTEA. Confidentiality of the interviewees was maintained by not disclosing personal details or confidential information of the department. The research was ethically conducted as participants were treated with respect, fairness, and no harm came to any of the respondents.

#### **4.20 SUMMARY**

This chapter focused on the methodological aspect of the study. The chapter emphasised the key objectives and the primary and secondary questions of study. The researcher explained why the research was aligned to qualitative methods of data collection as the research type was exploratory and descriptive in nature. Exploratory and descriptive research studies frequently utilise qualitative methods of data collection due to their capability to explore phenomena in detail. This leads to the researcher unearthing new topics within the main topic being explored (Vos *et al.*, 2012: 40).

The research instruments selected were the semi-structured interviews and secondary data analysis. The case study EDTEA, allowed for a comprehensive investigation directed at attaining the main aims of this study and providing answers to the primary and secondary questions of the study. Furthermore, Chapter Four underlined the research methodology highlighting the population that was targeted, sample definition, sample size and data quality control.

The focus of the following section, Chapter Five, highlights the presentation and analysis of the data collected.

## **CHAPTER FIVE**

### **RESEARCH FINDINGS, PRESENTATION AND ANALYSIS**

#### **5.1 INTRODUCTION**

The intention of this chapter is to portray the findings of the research conducted from the data collected through semi-structured interviews of respondents at EDTEA and secondary data from various documents reviewed. By using EDTEA as the case study, the objective of this chapter is to connect the data assembled within the existing theory in emphasizing the implementation of the M&E mechanisms and project governance within provincial public sector. The analysis and presentation encompass the understanding and awareness of EDTEA employees in relation to their experiences with M&E and project governance.

Thus, this chapter details the empirical data collected within the limitations of the research case study of EDTEA. The semi-structured interviews were conducted within the department to regulate the status of M&E and project governance. The questions were based on whether or not project governance and M&E mechanisms were being implemented within the department. The analysis of the data collected is presented according to pre-determined themes which embody an all-encompassing theory used to categorise results (Welman, Kruger and Mitchell, 2005: 211). These themes include the following:

- Profile of the respondents;
- Project governance in relation to M&E;
- M&E enhancing effectiveness through project governance;
- M&E system's full potential in the EDTEA environment;
- Challenges experienced in M&E, and
- Project governance model.

#### **5.2 FINDINGS**

This section highlights the descriptive statistics and other relevant findings from the semi-structured interviews with EDTEA employees.

In order to structure the study, background information was sourced from participants and the responses were as follows:

### 5.3 SECTION A: PROFILE OF THE RESPONDENTS

The complete sample included employees of the EDTEA. All the participants are involved with M&E. Number of respondents in the sample was  $n=15$  each with an average of approximately eight years working experience at EDTEA.

**Table 5.1: Background Information of EDTEA Respondents**

Respondent	How many years have you been in the department?	What is your specialisation?	Indicate the number of years in your current position?
1	5	Economist	5
2	16	Finance procurement and Risk Management	16
3	4	Knowledge Management, Information Management	4
4	5	M&E	5
5	4	Monitoring and Evaluation	4
6	12	Research, policy, M&E, Industrial Development	12
7	5	Knowledge Management	5
8	9	Project Management/ Strategic Initiatives	4
9	12	ICT	12
10	10	Tourism Growth and Development Facilitation	6
11	10	Public policy and BBBEE M&E	3

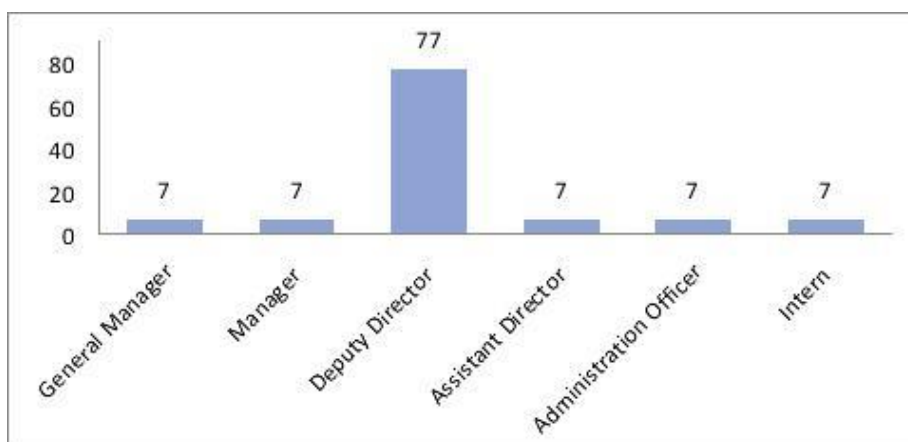
Respondent	How many years have you been in the department?	What is your specialisation?	Indicate the number of years in your current position?
12	10	Coastal Management	10
13	1	Community development	1
14	6	Executive Environment/ Stakeholder Management/	5
15	12	Monitoring and Evaluation	12
	Average = 8.07		Average = 6.93

There was a positive correlation in terms of the number of years working within the department, and respondents' understanding and knowledge relating to M&E in the department. Participants with added work experience in EDTEA demonstrated an enhanced understanding of the M&E practices in the department compared to newer recruits. Mature employees were aware of the reporting mechanisms and the M&E Framework. A direct and positive correlation can be drawn from the number of work experience years an employee has working in the department, versus the adaptability with problem solving, knowledge in effectively and diligently in completion of projects.

### 5.3.1 Composition of sample by position held

The figure below indicates the posts held by the respondents.

**Figure 5.1: Composition of Sample by Position of Incumbents**



The sample included a balanced number of senior management (14%), junior management (14%) and administrators (14%). Majority of the sample (77%) comprised of middle management at the Deputy Director level. This indicates that all of the respondents have been exposed to components of M&E and project management in the department.

#### **5.4 SECTION B: PROJECT GOVERNANCE IN RELATION TO M&E**

The section presents the findings for the respondents' understanding of M&E, the implementation of M&E in EDTEA, knowledge of project governance, the existing project methodology in the department and the integration of M&E methodology and project management methodology.

Each question with their accompanying responses is presented under separate headings.

The response to the question, "What in your opinion is M&E?" the following responses were noted:

*Measuring what you intend to do and what the impact is of that specific project or initiative. You set up a lot of indicators measuring the performance of that specific project or initiative, and then trying to evaluate the intended impact or what you set out to do and what actually occurs.*

The participant responded with key words, performance and indicators, that resonate with the research study.

*M&E is a key strategic tool to assist any organisation to make sure that its achieving their objectives because it measures timeously where they are in terms of implementation of their mandate.*

In Chapter Two, M&E has been referred to as a strategic tool that enhances service delivery (Görgens and Kusek, 2009: 10-11).

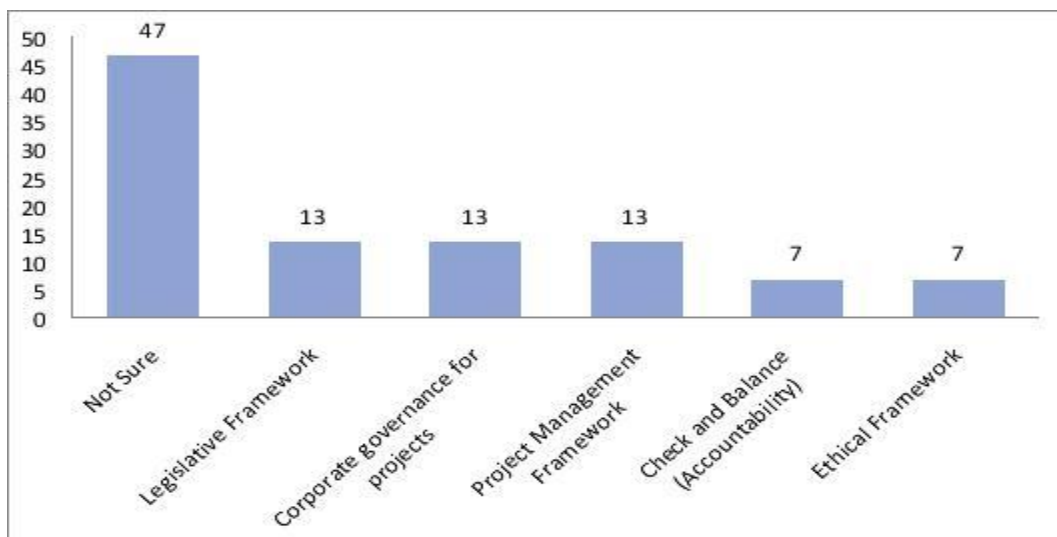
*Tracking progress or lack thereof and deciding whether it's sufficient and if it's not sufficient what interventions or mitigating factor can be put into place. M&E is check and balances in place to ensure that various targets and deliverables and deadlines are met and oversight on the official to ensure service delivery.*

All the respondents demonstrated an understanding of M&E in general, as most participants have been exposed to the M&E principles at some point in their careers. As indicated in Chapter Two, Gorgens and Kusek (2009: 10-11) noted that M&E is a tool of a tactical nature that may be utilised to set well-defined goals and objectives.

### 5.4.1 Understanding of Project Governance

In order to attain the respondents' views on the use of M&E as an effective tool, it was significant to ascertain their understanding of the concept 'project governance'. The table below indicates the responses of the participants' understanding of the concept project governance.

**Figure 5.2: Respondents' understanding of Project Governance**



Bekker and Steyn (2009: 218) define project governance as a set of organisational systems, guidelines and structures that provide the context within which decisions are made for project implementation and development to accomplish the proposed strategic or business motivation. Respondents were unable to articulate a complete definition of project governance but did resonate with some points in the definition of project governance. At last half of the sample (47%) was unclear about the concept and answered that they were not sure.

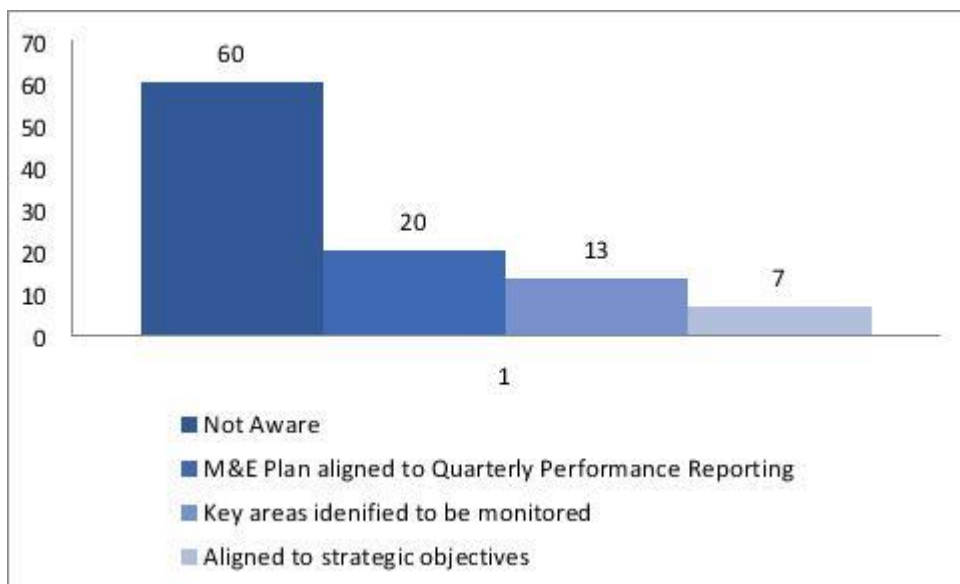
*Project governance is similar to an M&E tool to measure the effectiveness of projects. It is a responsibility for the M&E unit.*

There is limited understanding of project governance as the perception is that it focuses only on accountability and should fall under the ambit of M&E, rather than all the employees in the department.

#### 5.4.2 M&E methodology implemented in EDTEA

Respondents were asked to elaborate on the existing M&E methodology in the department. The graph in Figure 5.3 below provides a synopsis to the responses furnished:

**Figure 5.3: Response to existing M&E methodology in EDTEA**



Many respondents in the sample were unable to elaborate on the existing M&E methodology that is implemented. The response below that was received from an interviewee detailed the current M&E methodology:

*An M&E plan is drafted and tells you in each quarter. For example, in the first quarter we may look at job creation then we contact project managers that deal with job creation projects for further information and set up a briefing session. The briefing session is a form of clarity seeking and the PM enlightens us on it. The documents include memorandum of agreement, memorandum of understanding, service level agreements, project plans and progress reports any correspondence between stakeholders and concept documents.*

Some participants indicated that the M&E unit and the services provided by the unit were not visible in the department. In Chapter Two, best practices indicate that M&E units should be located under the ambit of the Offices of the HOD, to ensure M&E practices and requests for information are given the necessary attention (Presidency, 2008: 36). This placement of the unit may enhance the visibility of the M&E unit.

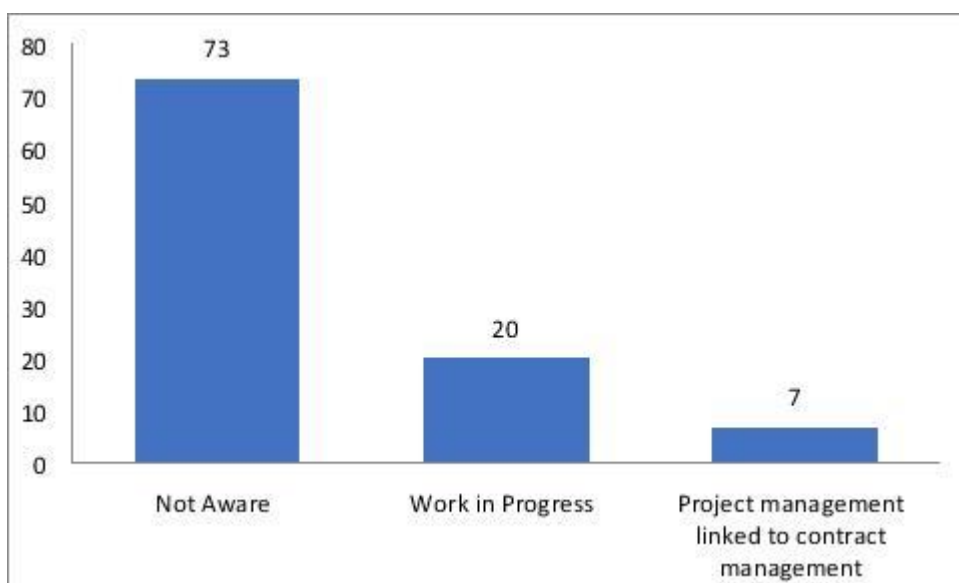
Executive authorities are accordingly held answerable for utilising M&E information for accountability and informed decision-making, as well as accurately reporting on the performance of their institutions or departments (Presidency, 2007: 19). Many interviewees indicated that there is a deficiency of communication from the M&E unit; M&E is not included in strategic planning sessions; there is the lack of an M&E policy; there are no clear lines of reporting; there is a duplication in reporting; M&E is the sole responsibility of project managers; there is no capacity building; there is a silo mentality and the M&E unit is under- staffed.

In Chapter Two, the challenges that were encountered by DPME included deficiency of a culture of coordination; misplaced public sector focus on activities and current legal frameworks that encourage the silo approach (Presidency , 2012b: 35). The responses supplied by participants resonate with the challenges experienced by the DPME.

### 5.4.3 Project management methodology implemented in EDTEA

Figure 5.4 below highlights the responses from participants when they were requested to expand on their knowledge of the project management methodology in EDTEA.

**Figure 5.4: Respondent's knowledge of the project management methodology in EDTEA**



The results provide confirmation that a lack of knowledge of the project management methodology exists in the department. The project management methodology has not been communicated officially to the department. The gap could be attributed to the change in leadership in terms of the new appointment of the Honourable Sihle Zikalala, as MEC of EDTEA. The department had to undergo further transformation when a new HOD, Pumla Ncapayi, was appointed to lead the department. The respondents that stated the project management methodology was a work-in-progress, had in fact heard this through other colleagues, but not officially. The challenge is that issues of a strategic nature are discussed at Execution Committee meetings and the information is not cascaded to lower staff. Additional comments made by respondents included the Project Support Office (PSO) being inefficiently utilised. The PSO was established to be a central point of project management information; however, their role is unclear.

#### **5.4.4 The need for M&E in the department**

Respondents were requested to highlight the need for M&E in the department. There were several common themes that were identified in interviews that are summarised in the table below.

**Table 5.2: Respondents’ view on the need for M&E in EDTEA**

<b>Respondents’ View</b>	<b>Count</b>	<b>%</b>
<b>Identify gaps</b>	14	93
<b>Facilitate planning</b>	14	93
<b>Accountability</b>	14	93
<b>Compliance</b>	14	93
<b>Measure strategies</b>	13	87
<b>Improve service delivery</b>	13	87
<b>Tracking performance</b>	13	87
<b>Transparency</b>	13	87
<b>APP Targets</b>	12	80

<b>Respondents' View</b>	<b>Count</b>	<b>%</b>
<b>Lessons Learnt</b>	12	80
<b>Effective use of resources</b>	12	80
<b>Alignment to national and provincial strategies</b>	12	80
<b>Informed Decision Making</b>	12	80
<b>Right direction in terms of EDTEA mission, vision and objectives</b>	10	67
<b>Improve sustainability</b>	10	67
<b>Evidence based decision making</b>	8	53
<b>Early warning system</b>	7	47
<b>Project funding</b>	7	47
<b>Checks and balances</b>	5	33
<b>Create a learning culture</b>	5	33

It is noted that participants prioritised identifying gaps (93%), facilitating planning (93%), accountability (93%) and compliance (93%) as the main reasons EDTEA requires M&E. The respondents gave second priority to measuring strategies (87%), improving service delivery (87%), tracking performance (87%) and enhancing transparency (87%). Participants were aware of the benefits to implementing M&E effectively. The challenge, however, lies with the correct application of M&E in EDTEA. These responses are aligned to issues discussed in Chapter Two, where M&E was referred to as an effective public management tool that may be used to develop improved techniques for governments to achieve results with limited resources (Kusek and Rist, 2004: xi).

The high response rate for accountability could be attributed to the on-going media reports of service delivery protests and issues of bad governance in the public sector. Another explanation could be the identification of resource constraints through provincial cost-cutting in the provincial government.

In addition to the aspects mentioned above, the respondents offered various strategies that they believed could be beneficial to improving the effectiveness of M&E in EDTEA where staff are

capacitated in M&E with on-going skills development in the emerging trends in M&E. Another point worth considering was that M&E findings and recommendations are not communicated to project managers and no feedback is received from M&E.

#### 5.4.5 Foundation for Project Governance in EDTEA

Interviewees were questioned about elements that serve as a foundation for project governance in EDTEA.

**Table 5.3: Elements that serve as a foundation for project governance**

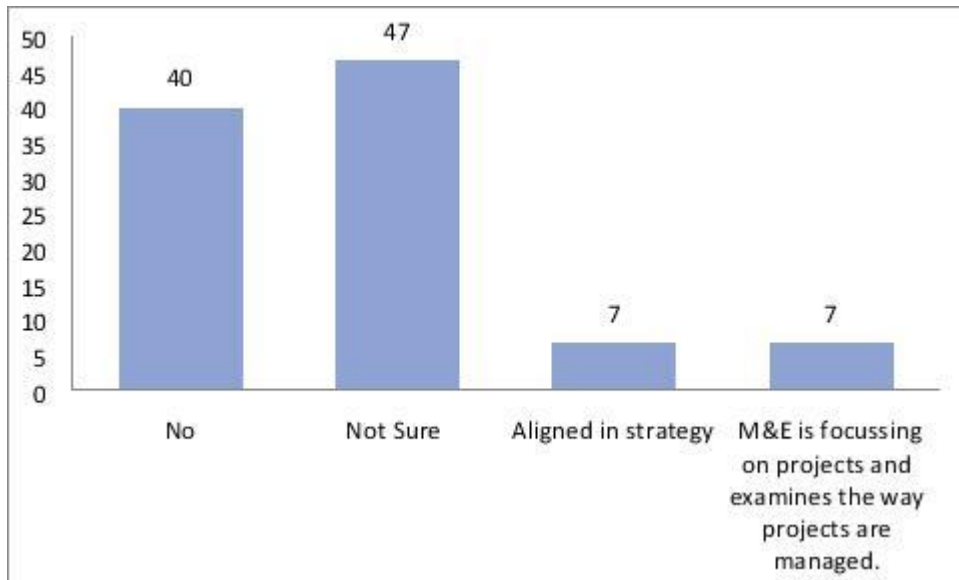
Elements	Count	%
Efficient project management	14	93
M&E	14	93
Proper planning	13	87
Updated management information system	13	87
National Legislation	13	87
Provincial Legislation	13	87
Risk Management	12	80
Contract Management	11	73
Internal Control	10	67
Performance agreement	9	60
Batho Pele	9	60
Correct interpretation and implementation of policies	8	53
Standard Operation Procedures (SOPs)	5	33
Not Sure	1	7

The findings indicate that efficient project management (93%) and M&E (93%) were the most prioritised elements identified by the sample.

### 5.4.6 Integration of Project Management and M&E methodologies

Interviews were requested to explain if they believed that the project management and M&E methodologies were aligned. The responses are summarised in the graph in below.

**Figure 5.0.5: Integration of PM and M&E methodologies**



In addition to the responses mentioned above, the interviewees offered explanations to accompany their answers. The following responses may be noted:

*No not really. Every unit will develop their own M&E framework but not necessarily get the approval by the M&E Programme so there doesn't seem to be the consultative process or when there is I think most people don't know who does what in the M&E unit because there seems to be confusion as to roles and responsibilities.*

As stated in the literature review, the M&E unit must be consultative with the processes and practices to relevant stakeholders. The consultative process increases information sharing to enhance informed decision-making (Kusek and Rist, 2004: 12).

*Not sure of the department, but I will say that it's happening in Local Economic Development (LED), it does work in LED not substantially but to a certain extent. And of course, given the limited resources we are very limited. If resources increase, we can improve extent.*

The above response alludes to the GWM&E policy that accentuates that M&E strategies must highlight a capacity building strategy that outlines strategies to increase human capacity (Presidency, 2008: 13).

*Yes they are, because the M&E is focussing on projects and examines the way projects are managed. The only challenge is capacity and there is room for improvement.*

*No, I don't see the integration. They should be integrated but not sure whether they are. You can't have a project without having an implementation plan or M&E plan because we have to agree on the milestones indicators and how are we going to determine whether the project is bearing fruits.*

DeLay *et al.* (2006: 33) state that the performance and the programme implementation of initiatives by exploring the circumstances that lead to project achievements or failures against the planned results according to undertakings made to the stakeholders.

There was a general accord amongst the participants that the alignment and integration of the M&E methodology and project management methodology may contribute to enhanced service delivery and effective use of resources. In Chapter Two, Garland (2009: 2-3) noted that adequate project governance permits effective and efficient decision-making. This suggests that with the right people making optimum decisions that accomplish the project objectives, stakeholders are in a position of making informed decisions in a timely manner.

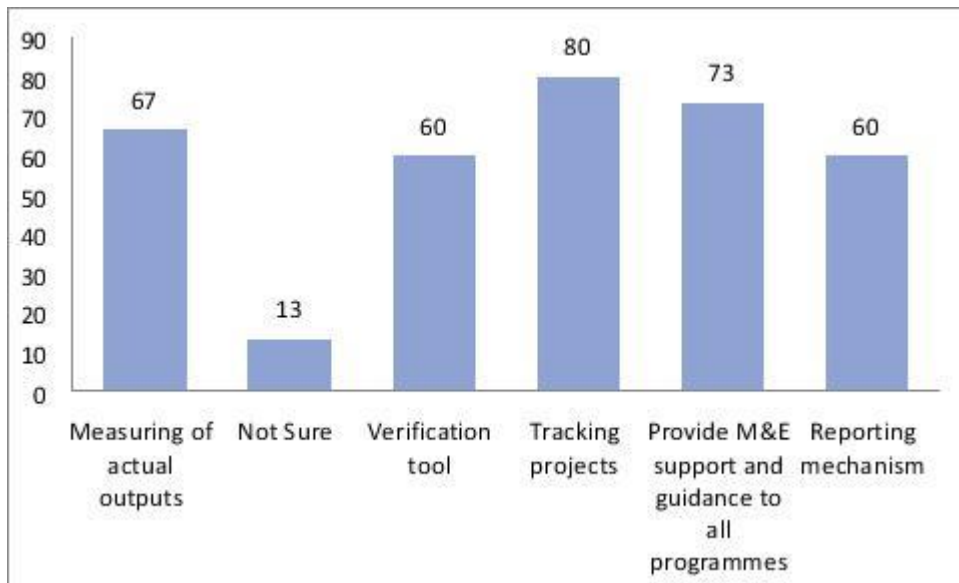
## **5.5 SECTION C: M&E ENHANCING EFFECTIVENESS THROUGH PROJECT GOVERNANCE**

The section presents the findings for the respondents' perception of enhancing the effectiveness of the department through project governance. Respondents were asked about the role of the M&E unit, the manner in which M&E is conducted on EDTEA projects, and their view of M&E as an effective tool to promote project governance.

### **5.5.1 The role of the M&E unit**

The open-ended question was posed to respondents, to provide an understanding of the M&E unit's role in the department. These responses are significant in that they proposed the level of awareness of management to the M&E unit operations.

**Figure 5.6: The role of the M&E unit**

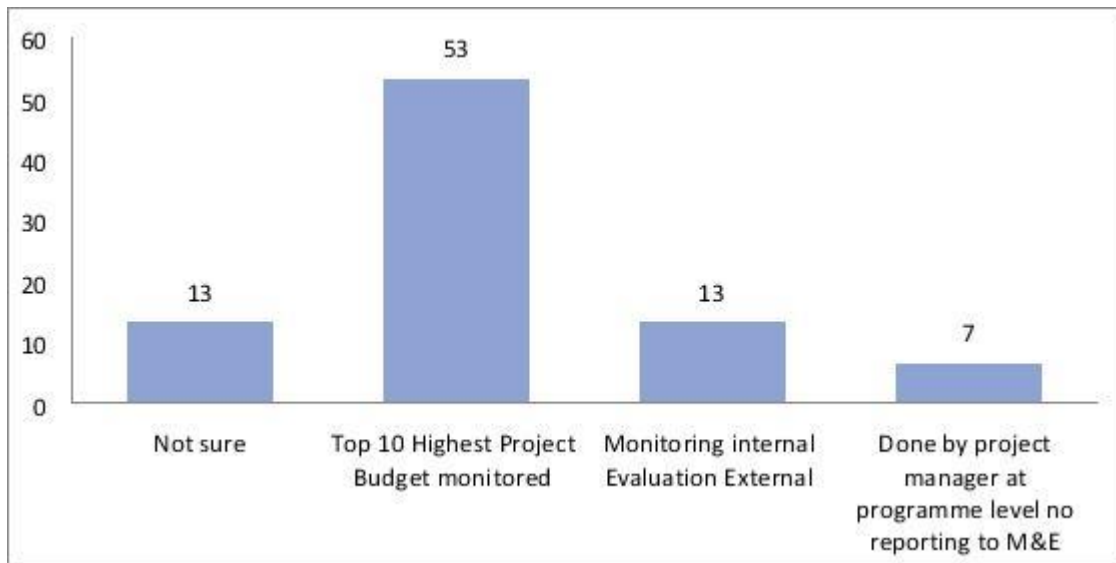


During interviews, the respondents provided diverse evidence as to their understanding of the function of the M&E unit in the department. The results indicate an average of awareness regarding the M&E unit's role in the department. Majority of the respondents have included tracking projects in their response as the main function of the unit.

### **5.5.2 How M&E is conducted on EDTEA projects?**

When interviewees were asked about the manner in which M&E is conducted on departmental projects, their responses covered a variety of themes. Over half of the respondents were aware that the projects with the highest budgets were selected as part of the monitoring sample for the concerned financial year. Most of the respondents were able to elaborate on the process flow of M&E and identified that monitoring is an internal operation and evaluation is an external process. Although 13% of respondents indicated that they did not elaborate on the exact science of monitoring in the department, they did indicate that monitoring was an in-house function, whereas evaluation was outsourced.

**Figure 5.0.7: How M&E is conducted on EDTEA projects?**



These responses corroborate results from previous findings where there is no detailed strategy for M&E capacity building due to human resource restraints within the unit. The M&E Framework (2015/16) was under review and not yet approved due to change of leadership of the department.

### 5.5.3 M&E considered as an effective tool to promote good project governance

Respondents were asked about whether they considered M&E to be an effective tool to promote project governance in the department. The overall feedback from interviewees confirmed the belief that M&E can enhance the project governance in EDTEA.

**Table 5.4: M&E can be an effective tool to promote project governance**

Response	% of sample
Yes	100
Enhances accountability and transparency	87
Alignment of programme strategies policies	80
Clear M&E strategy and framework	73

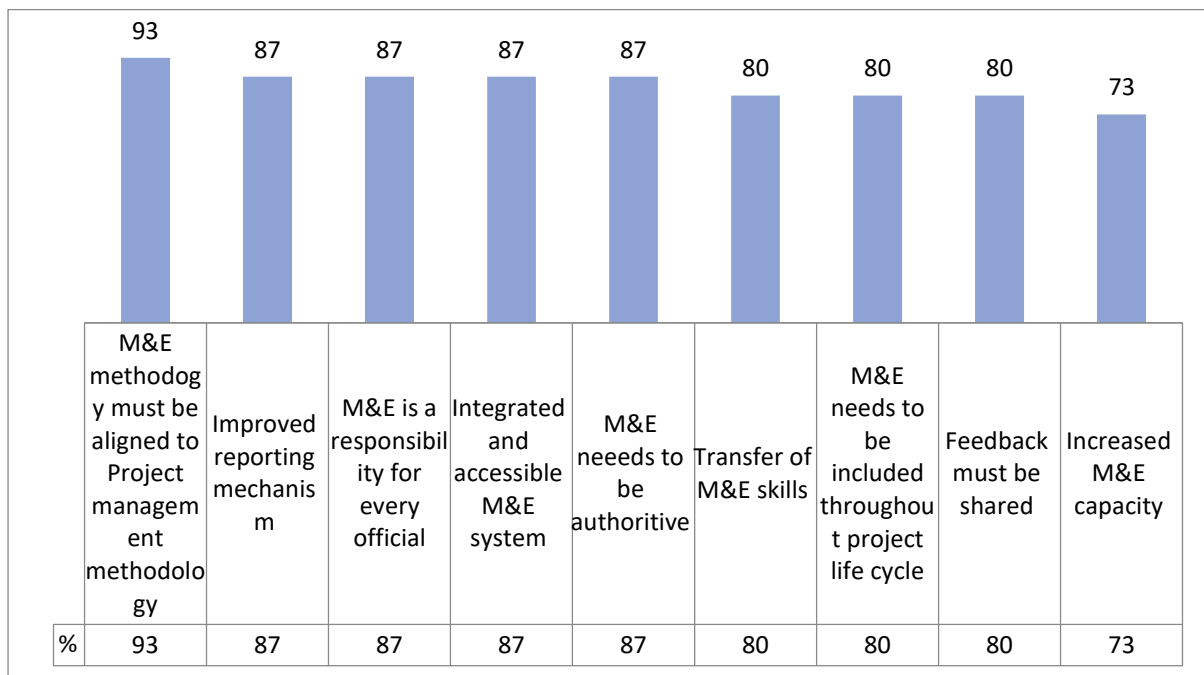
<b>Response</b>	<b>% of sample</b>
M&E can be viewed more as a value adding mechanism to managing projects than a check and balance function.	87
Supports corporate governance	67
Internal control needs to be more active	87
Supports stakeholder management	80
Encourages informed decision-making	80

A strong view of respondents indicated that when the M&E Framework for the department is developed, the focus should be on practicality, alignment with strategic objectives and general applicability. As discussed in Chapter Three, Crawford and Helm (2009: 73) stated that strategy or policies that must be implemented, the means for delivery generally take the form of projects and effective project management is promoted as improving the ability to achieve outcomes while providing traceability, transparency and accountability. The area of enhancing accountability and transparency requires redress in terms of the key objective of encouraging good project governance.

## **5.6 SECTION D: M&E SYSTEM'S FULL POTENTIAL IN THE EDTEA ENVIRONMENT**

An M&E system is deemed to be a critical factor in effective project management, as stated in Chapter Two. As critical role players of the department engaged in M&E activities, it was important to get an understanding of how the respondents viewed the future of M&E in the department. Participants were propositioned to recommend a way forward for improved M&E functioning in the department.

**Figure 5.0.8: Future of M&E in the department**



Respondents commented that M&E's full potential in departments may be through better alignment of the M&E and project management methodologies (93%), improved reporting mechanisms (87%), all officials taking responsibility for M&E (87%) and integrated and accessible M&E systems as the highest recommendations. Presently, the alignment between the project management and M&E methodologies are skewed and the strategies have to be aligned to be optimal. Currently, project managers are of the opinion that there is replication in terms of reporting. Management and project managers believe that the reporting lines should be clear with manageable deadlines.

Currently, the sub-program M&E is located under the Economic Planning programme. A large percentage of respondents believe that the M&E unit should be strategically situated under the HOD's component. It is argued that this give the M&E unit must be placed in strategic and authoritative position. Some participants believe that the M&E unit in EDTEA is responsible for M&E of all projects in the department. M&E is the responsibility of all project managers for their projects. It was suggested that M&E should be visible throughout the project lifecycle (80%) of EDTEA's projects. A small number of respondents were aware of the Quarterly Performance Reporting (QPR) system because accessibility to the system is highly restricted. A considerable number of respondents agreed that having a central M&E system will simplify reporting and enhance the quality of project information.

## **5.7 SECTION E: CHALLENGES EXPERIENCED**

As significant role players that are engaged in M&E activities, it was imperative to get an understanding of the challenges the respondents experienced in the department. Respondents were asked to highlight challenges experienced with M&E and project management.

### **5.7.1 Challenges in M&E**

The challenges affecting M&E were attributed to M&E capacity building, transforming the M&E model, policy and strategy, the function of M&E is viewed as a policing mechanism, not authoritative enough and more resources and budgets has to be directed to M&E activities. Respondents explained the above-mentioned challenges in the following way:

*M&E doesn't feel like part of the work we are doing. Project managers do work in isolation and sometimes when you are given tasks, you really don't know how to proceed since project managers are not part of every workgroup meeting. It would be nice to have an M&E officer assigned to working groups that EDTEA is part of the working group. M&E doesn't participate in action works groups or Project Steering Committees or working for various projects and so on. Budget constraints and no management support also contribute to challenges.*

The responses noted were discussed under Chapter Two wherein the Department of Planning Monitoring and Evaluation (DPME) included insufficient information management systems; deficiency of a culture of co-ordination; misplaced focus on activities rather than outcomes; and current legal frameworks that encourage the silo mentality as main challenges encountered in the public sector (Presidency , 2012b: 35).

### **5.7.2 Challenges in Project Management**

Project management is practised throughout the department. Respondents motivated their responses in the following way:

*Political interference is amongst the main challenges. Project managers set out the project concept that comes from research (Stakeholder engagements at local and district municipalities, also taking into account IDPs and find all gaps. The Bid Adjudication Committee have the same level of committee members of the Bid*

*Specification Committee this seems to be a duplication. Members in these committees are senior people and sometimes their diaries and schedules do not accommodate attendance to these committee meetings sometimes achieving quorum for the committee meeting is difficult.*

The challenges noted in the project management include no access to the Project management information system. PSO is under-utilised and has no authority. Further challenges include political interference from senior political figures that drive their political agenda. Budget constraints further complicate the manner in which projects are managed. The lack of leadership from management contributes to project management.

The EDTEA project lifecycle is inflexible and does not allow room for project managers to deviate from the project lifecycle. Project plans do not include M&E plans for the project and the project managers are not guided as to how the project will be monitored and evaluated. The Supply Chain Management committee members that assess project proposals for approval, on occasion do not have technical experience to make an informed decision.

These views reflect that despite the comprehensive project lifecycle for the management of projects in the department contained in the reviewed literature and conceptual framework, external forces affect the manner in which projects are implemented.

### **5.7.3 An M&E System within Government**

A significant number of respondents highly favoured an M&E system with the public sector. Some points worth noting are as follows:

*Project managers end up reporting on the same aspects of a project to different people all the time which leads to a duplication of work. There isn't a consolidated M&E reporting system, and a central M&E system would save time and reduce work demands and reporting demands. The public sector needs to have well-established public-private-partnerships (PPP). Stakeholder management must be accentuated for the system to be successful. The public sector needs to look into best practices in the private sector.*

Although development starts at a local level, the public sector will have to implement policies and plans that encourage foreign investments at all level of government. Large corporations have become more socially responsible which may be an opportunity for public sector to tap into

private sector resources for funding of community issues/initiatives. Accountability and transparency would be enhanced to promote efficient management and optimal use of governmental resources. Reduce wastage and reduce duplication of efforts (interdepartmental collaboration) must be encouraged.

There were a few respondents that disagreed with the benefits of an M&E system in the public sector.

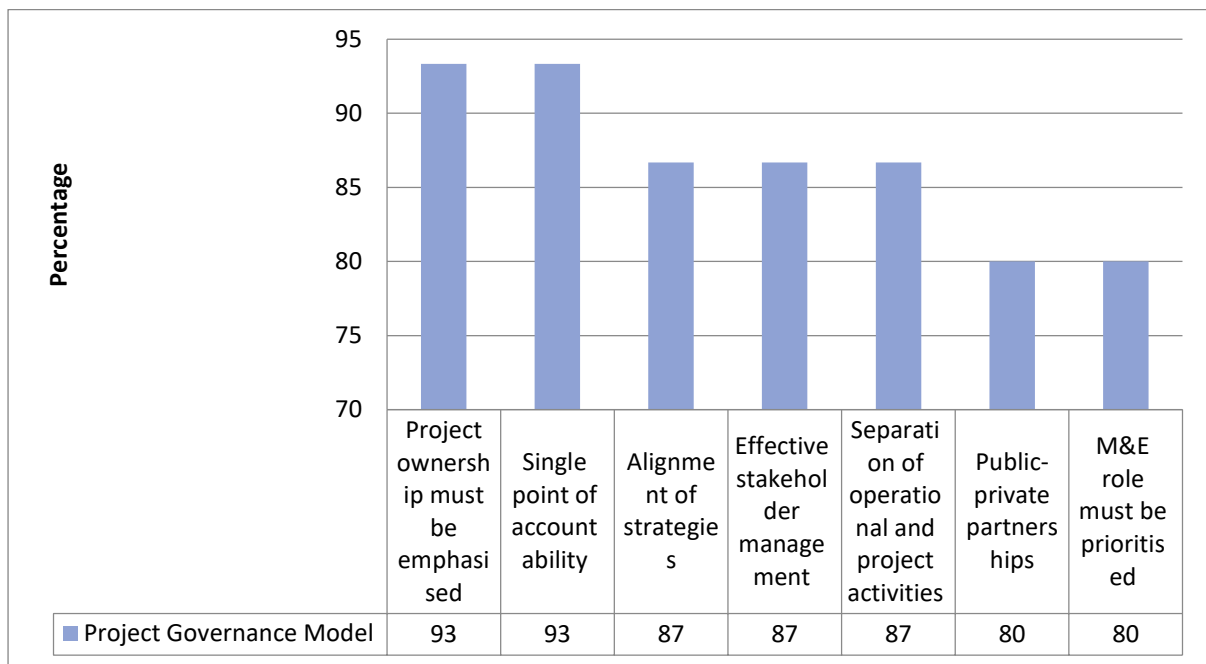
*It won't work because if there is a central system won't work for departmental projects because each department has its own mandate, its own budget, one system may be overloaded. But it may be helpful for interdepartmental projects and collaborations. It's too complex and would create more challenges. If we take M&E at a central point how would the person managing the system understand the mandate of tourism, the understanding of each programme and how they are going to M&E properly. For me it's better if departments do their own M&E and then M&E report to the central system.*

The above responses as aligned to the capability of an M&E system which was scrutinised in Chapter Two, as well as the ability to develop applicable indicators and to gather, aggregate and report accurately on performance data, which is relative to the indicators developed and historic information available (Kusek and Rist, 2004: 22).

## **5.8 SECTION F: A PROJECT GOVERNANCE MODEL**

The section presents the additional comments participants wanted to share with regards to the development and implementation of a project governance model. The researcher grouped the responses into themes to facilitate the analysis.

**Figure 5.9: Project Governance Model**



A large percentage of interviewees suggested that project ownership and a single point of accountability must be prioritised in the model. Presently, the line between project manager and project ownership is skewed. This distinction must be clarified as a way forward. The single point of accountability refers to the current deficiency of accountability that is visible in the department.

Alignment of strategies, effective stakeholder management and separation of operational and project activities were highlighted by respondents. As discussed in the reviewed literature, the alignment of strategies to projects are key to ensure that the department delivers on the mandate. Effective stakeholder management was mentioned in Section E under challenges to both M&E and project management. Respondents were also concerned with the separation of project activities and operational activities, as the current stance of the department is that consultants would no longer be contracted as project implementers.

A significant number of respondents stated that PPP must be stimulated. Respondents believe that PPP projects are more likely to succeed as the private sector may have access to expertise that is deficient in the public sector. The role of M&E must be emphasised in the project governance model. Presently, M&E is marginalised and the full value of M&E has not been fully realised in the department.

### **5.8.1 Document Analysis**

The research reviewed the EDTEA M&E strategy together with the Strategic plan 2013-18 with a focus on M&E project information. The framework was crafted to offer an outline of how project interventions should M&E and measure the overall performance of the department. This information is important to establish if the current M&E practices in the department support project governance.

### **5.8.2 Monitoring and Evaluation in EDTEA**

The Economic Planning programme was established to ensure efficient and effective management of EDTEA programmes through comprehensive planning, analysis, research, and monitoring and evaluation systems (EDTEA, 2013: 55). The M&E Unit aims to contribute towards ensuring effective implementation of economic development strategies, programmes and projects, with a view to improve service delivery (Economic Planning, 2014: 1). This is accomplished through the development of tools, systems and approaches for monitoring and evaluation. It is against this backdrop that the M&E sub-programme (Economic Planning, 2014: 2) has been established with the following key objectives:

- To undertake impact assessment of economic development projects and policies;
- To draw learning and best practices to be disseminated to relevant stakeholders;
- To develop uniform tools, systems and approaches for monitoring and evaluating economic development projects;
- To actively engage and capacitate various stakeholders on research and M&E, and thus improve their skills and knowledge, and
- To facilitate networking, joint learning and sharing of experiences amongst economic development stakeholders.

This sub-programme is intended to facilitate effective service delivery through the measurement of the department's performance (EDTEA, 2015: 40). The objective of the Monitoring and Evaluation sub-programme is to determine the effectiveness and impact of the policies, strategies and projects implemented by the department and provincial government. The EDTEA

Strategic Plan (2013/18) document identified difficulties in conducting monitoring and evaluation that include “poor culture of information documentation and monitoring” (DNA Economics, 2014: 28).

As the M&E sub-programme deals with performance management across the department, it is unsurprising that the indicators used in this sub-programme are seemingly well-defined and for the most part appropriate towards the programmes mandate. There are, however, some gaps in the data available (EDTEA, 2015: 8). Only two indicators have data available for the entire period, while the rest of the data is sporadic amongst the differing years (EDTEA, 2015: 8). The limited data available may not give a true reflection of the actual services delivered by the Department.

### **5.8.3 Submission of Evidence**

The utilisation of M&E information should add to the achievement as identified; challenges are underlined and noted; evidence-based decision-making around resources is expedited, and key stakeholders are involved widely and dependably (Economic Planning, 2014: 4). As per Section 5.3.1 of the PFMA, “The accounting officer of an institution must establish procedures for quarterly reporting to the executive authority to facilitate effective performance monitoring, evaluation and corrective action” (National Treasury, 1999).

The internal auditing report during highlighted that project managers do not submit a portfolio of evidence that to M&E for validation. The non-submission was scored as high risk as the department would not be able to demonstrate the deliverables of the project (EDTEA, 2015: 33). During the review of the Quarter 2 (2015/16) performance report, it was noted that there are instances where a Portfolio of evidence for actual performance reported was not submitted to Monitoring and Evaluation Unit for verification processes (EDTEA, 2015: 33-34). The root cause could be attributed to non-compliance to Performance Information verification processes by some business units, Executive Committee (Exco), which do not discuss Performance Information on a quarterly basis and take decisive action for non-compliance (DNA Economics, 2014: 45).

### **5.8.4 Accountability Cycle**

The main focus of the M&E framework is on the impact and performance of the department. In the EDTEA, progress toward achieving the departmental strategic mandate is measured at the end of each financial period through a system of performance measures against pre-determined targets. Targets are also applied to the public entities that are linked to the EDTEA, and where relevant, are incorporated into the APP.

The M&E function and performance information is vital to the accountability cycle and as shown in the following table.

**Table 5.5: Accountability Cycle**

<b>Accountability cycle</b>	<b>Accountability documents</b>	<b>Performance information</b>
Policy development	<ul style="list-style-type: none"> <li>• Policies</li> </ul>	<ul style="list-style-type: none"> <li>• Identify baseline information informing policy</li> </ul>
Strategic Planning	<ul style="list-style-type: none"> <li>• 5 year Strategic Plans</li> </ul>	<ul style="list-style-type: none"> <li>• Specify high-level performance indicators</li> </ul>
Operational planning	<ul style="list-style-type: none"> <li>• Annual Performance Plans</li> <li>• Budget information</li> <li>• Performance agreements</li> </ul>	<ul style="list-style-type: none"> <li>• Sets measurable objectives, performance indicators, and targets</li> <li>• Indicates available resources</li> <li>• Allocates responsibilities</li> </ul>
In-year reporting	<ul style="list-style-type: none"> <li>• Monthly budget reports</li> <li>• Quarterly performance reports</li> </ul>	<ul style="list-style-type: none"> <li>• Report progress with implementation of plans and budgets</li> </ul>
End-year reporting	<ul style="list-style-type: none"> <li>• Annual reports</li> </ul>	<ul style="list-style-type: none"> <li>• Report on performance against plans and budgets</li> </ul>

Source: (EDTEA, 2013: 8)

This M&E framework is aligned to and complies with the National Treasury Framework for Managing Programme Performance Information (MPPI), and the two frameworks should be applied in conjunction (EDTEA, 2015: 6).

Aligned to standard M&E practice, performance information entails that the performance indicators be objectively verifiable, and that the means of verification should be identified in annual planning.

### 5.8.5 Outline of Roles and Responsibilities and frequency of M&E functions

The Office of the HOD and CEOs of linked public entities apply overall responsibility for the M&E function, and these key sections provide the central point for submission of M&E outputs from the component structures and entities (EDTEA, 2013). In the table below, three broad levels of responsibility are identified, along with the person who carries the responsibility, and what these responsibilities are.

**Table 5.6: Responsibility carriers and responsibilities for M&E in the EDTEA**

WHO	WHAT
Accounting Officers, HOD and CEOs of Public Entities linked to the EDTEA	<ul style="list-style-type: none"> <li>• Accountability for the quality of M&amp;E information and the integrity of the systems</li> <li>• Implementation monitoring against APPs</li> <li>• Ensure that managerial redress in response to M&amp;E findings</li> <li>• Report to Executive Authority on institutional performance</li> </ul>
Programme managers project managers and officials in the EDTEA	<ul style="list-style-type: none"> <li>• Set performance targets</li> <li>• Develop annual monitoring matrices for each project</li> <li>• Share experiences and knowledge</li> <li>• Report M&amp;E findings in quarterly performance reports</li> </ul>
The M&E Unit	<ul style="list-style-type: none"> <li>• Ensure the implementation of M&amp;E framework and strategies by providing expertise and supports as well as acting as a service hub for related initiatives</li> <li>• Provide support for a structured process</li> </ul>

WHO	WHAT
	<ul style="list-style-type: none"> <li>• Procure or access expertise for M&amp;E functions</li> <li>• Establish processes to follow up</li> <li>• Report on M&amp;E framework implementation</li> <li>• Build capacity of the EDTEA</li> </ul>

The M&E Unit provides support to apply the M&E framework and advance the practice of M&E in EDTEA. The M&E Framework is applied evenly to projects and to services. At this point, it is important to note that the service delivery performance indicators for services focuses on standards such as turnaround time for responses, rather than on project outcomes (Project Support Office, 2015/16: 10).

### **5.8.6 Project Management Framework**

The departmental Project Management Framework provides internal staff and managers with the guidelines to manage programmes and projects better. It specifically seeks to standardise the approach, systems and processes for managing projects (Economic Planning, 2011: 5) . The framework outlines basic tenets of project management, highlight critical components of the project management cycle and clarify functions of various stakeholders (Economic Planning, 2011: 5). EDTEA attempts to integrate interrelated operational components to achieve a common purpose and synergize efforts in implementing projects to achieve its strategic goals and objectives (EDTEA, 2015: 25). The framework provides guidelines on all types of projects including those implemented through outsourced services, internal, grants, partnerships and unsolicited bids (Economic Planning, 2011: 6).

In terms of the Department’s Project Management Methodology, the Project Support Office (PSO), should be serving a variety of functions, namely, registration of the project on the PMIS, facilitation of meetings, capturing of reports on the standard templates as well as the organising and storage of information (Economic Planning, 2014: 4). The PSO should ideally be a point of call for all parties involved in the process and should have information readily available regarding the status of the various projects (Economic Planning, 2014).

One of the key focus areas during the internal audit was the utilization of the PSO. The internal audit report indicated that the PSO was not efficiently utilised to collate and manage project information and documentation (EDTEA, 2015: 34). These findings are attributed to poor communication between the project managers and the PSO; documents and other relevant information relating to projects were not submitted timeously to the PSO, and in certain cases documents were not submitted at all, with a lack of follow up and cross checks by the PSO to ensure that all the required documents are received and that the documents are in the correct format.

### **5.8.7 Project Management Information System**

The current system that is being used for PMIS in the department is now out-dated and need to be modernised to include location maps of the project, and be accessible offsite (Project Support Office, 2015/16: 11). The PSO has recommended that the project management information system be web-based to allow multi-access and easy viewing outside of the server. As indicated in Chapter 2, an advantage of using the web-based system, is that it is accessible on different devices such as tablets, laptops and cell phones provided a person is connected to the Internet, as this is more suitable for EDTEA project managers. The improved accessibility to the systems will enhance the quality and frequency of project information received, as well as reducing reporting channels.

## **5.9 SUMMARY**

The goal of this chapter was to present the analysis of the findings of this study. The study concentrated on EDTEA as a case study. The chapter intended to connect the data collected with the existing theory in accentuating the implementation of M&E mechanisms and project management within provincial government. This chapter further presented the knowledge of EDTEA officials with regard to their experience with M&E, project management and project governance. Respondents added an illustration of their opinions on the development and implementation a project governance model within the department. The respondents' views have the potential to make M&E a value-added tool, and to become more effective in the promotion of project governance within the provincial government. Chapter six highlights the recommendations and concluding remarks to the study.

## **CHAPTER SIX**

### **RECOMMENDATIONS AND CONCLUDING REMARKS**

#### **6.1 INTRODUCTION**

The aim of the study was to ascertain the influence of M&E in enhancing project governance in EDTEA. This chapter provides the findings of the key research questions, general conclusions and recommendations with regard to the objectives of the study. In addition, the chapter offers suggestions for future research and ends with a brief conclusion.

#### **6.2 SUMMARY OF CHAPTERS**

The research objectives of the study were explored under the reviewed literature. Significant ideas relating to M&E implementation and project governance within a provincial department were positioned in the present M&E system. The goal of this research study was to examine how M&E enhances project governance as a value-added tool within the department.

Evidence collected in the study has demonstrated that a co-ordinated and systematic approach to M&E stimulates feedback from evaluation findings. The relationship between contributing factors in the improved mechanisms of accountability and transparency, the challenges in the current M&E system and capacity building are the concepts that have been conceptually formulated. The discussion that follows outlines the salient issues of the former chapters in this research study.

The first chapter, *Chapter One*, introduced and provided an overview of pertinent M&E concepts and definition of succinct concepts and the framework of the study, which is based on the relationship of M&E and project governance. This chapter outlined the crucial objectives and research questions of the study. The research strategy for methodology, design and data collection was also discussed.

*Chapter Two* offered insights into the GWM&E Framework which is the foundation to the results-based M&E system in the department, the development and implementation of the PPI Framework and the evolution of M&E in the public sector. The framework provided a conceptualised summation of M&E from a project management perspective. The chapter further

included the reporting chain of the Office of the Premier and described the legislative framework extensively from which EDTEA derives its mandate.

In *Chapter Three*, the reviewed existing literature and evolution of M&E from an international to the local arena was highlighted. The relationship between monitoring and evaluation together with performance management information was discussed, together with global trends. The alternate service delivery mechanism was introduced in this chapter with respect to projects being implemented in the public sector. A comparative account of governance and project governance was reviewed, highlighting the existing project management methodology in EDTEA as a point of reference.

*Chapter Four* provided the research outline of the study and detailed the manner in which the data was gathered, presented and analysed for the case study EDTEA. Graphs and tables were used to present data, along with succinct explanations relating to the findings. This chapter emphasised the key research objectives and the primary questions of the study. It further focused on the designated exploratory research design, which is qualitative in nature. The research tools included semi-structured interviews, secondary data analysis and documentation.

*Chapter Five* discussed the practice of M&E and the project management methodology in terms of the case of EDTEA. The chapter provided a comprehensive analysis and evaluation of the data collected during the research study. The research findings and results were examined and deliberated within the framework of the specific research aims. The analysis of the findings, which utilised the semi-structured interviews to collect data that was analysed, presented and discussed.

The final chapter, *Chapter Six*, the conclusions from the empirical study are presented. This chapter draws from previous chapters to provide direction for areas for improvement that have been identified from the data analysis. The findings of the research indicate that while M&E is administered on the departmental projects within limited resources, project governance is enhanced to some extent. Service delivery, the department's performance and project execution, may be augmented with the suggested recommendations. The conclusions form the foundation for the recommendations that follow, which could be realistically applied or provide the backdrop for future research in the field of public administration and governance.

## **6.3 KEY FINDINGS OF THE STUDY**

The research objectives that were set out in this study guided the scope and nature of the research undertaken. These objectives that were achieved, and expanded on, are as follows:

### **6.3.1 Determine how the M&E system supports project governance**

The researcher intended to examine areas within the current M&E system where project governance could be synergistically supported in order to enhance service delivery. The qualitative data collated was proposed to gain an understanding of the M&E system at the provincial government level. M&E supports project governance by intensifying stakeholder participation, accountability, transparency and evidence-based reporting. There have been significant areas identified where the current M&E strategy can be modified to enhance service delivery. These areas include capacity building, updated EDTEA's M&E Framework, alignment of the M&E framework to the Project Management methodology and capacitating the M&E unit.

### **6.3.2 Investigate the effectiveness of EDTEA in using M&E to support an ethos of good project governance**

The researcher's intent to determine how the M&E supports project governance has been met. The M&E system does have the ability to support project governance on condition that the M&E framework is properly communicated to stakeholders and executed. Another important finding was that M&E must form an integral part of project management life cycle and methodology. Findings also indicated that the M&E unit must be placed at a strategic level.

### **6.3.3 Determine the challenges that the M&E unit may encounter in enhancing project governance**

The project environment in EDTEA is complex, highly political and legislated, and determines the scope and range of the proposed departmental projects. These external environmental factors need to be redressed and considered when drafting policies, strategies and planning of projects. However, it is evident that the M&E strategy encourages project governance to a certain extent in EDTEA. The study draws attention to the appearance of an incapability of the current system to function as a thorough M&E mechanism for all projects in the department. The challenges arise from the disjuncture between the interpretation and implementation of legislative guidelines, political agendas and the relevant policy frameworks.

#### **6.3.4 Assess how the M&E system may achieve its full potential in the EDTEA environment**

This study revealed that M&E takes place on departmental projects within the department, with the aim of determining a value add, organisational and institutional performance. The M&E unit is currently under-capacitated. Since the amalgamation of Environmental Affairs to the department, the M&E unit has motivated for additional staff and is awaiting approval for critical posts to be advertised. In terms of skills development, the M&E unit may suggest an on-going M&E skills development with programme and project managers. The respondents at the department were of the opinion that by adopting a strategy for project management training and development, their knowledge would be enhanced and contribute positively to their roles and responsibilities.

#### **6.3.5 Recommend the future for the M&E unit as a project governance mechanism in EDTEA**

The study emphasised that within provincial government, the various project governance elements which include accountability, transparency and public participation laid the basis for the practical implementation of M&E within the provincial public sector. This issue arises out of the mandatory reporting of project managers to various stakeholders and their ability to attention on complying with several mandates. In the future, if M&E strategies are set to improve in the department, project managers and senior managers must be sensitised of their role. In terms of capacity building, as indicated in this case study, all departmental staff, inclusive of senior management should undergo M&E policy-specific coaching and development.

Based on these conclusions from the findings, the following section concludes the study with recommendations that can be utilised and implemented within the provincial government.

### **6.4 RECOMMENDATIONS**

The design of recommendations for this study has taken into consideration the data obtained from all respondents. This section imparts recommendations on why and how the M&E strategy should be integrated into a project management methodology with the focus on supporting project governance and enhancing service delivery. The recommendations based on findings are discussed first, followed by recommendations in respect of future research. This research makes the following recommendations:

#### **6.4.1 Formulation of an M&E strategic plan for EDTEA project initiatives**

The M&E unit in collaboration the Executive Committee should formulate a strategic plan for M&E to be implemented at all levels within the project life cycle of department projects. The objective of the policy framework should offer departmental officials a guideline which implements, monitors and evaluates the project initiatives within the department. The recommended M&E strategic plan should detail a process flow that defines and focuses on the department's processes, and how these cycles may be managed. The strategy should take cognisance of the critical role of the PSO.

The M&E strategy must be implemented through a systems-approach so that officials of EDTEA may develop a systems-thinking steered by norms. This practice would permit for M&E to be viewed as a catalyst and value-added tool for achieving good project governance.

#### **6.4.2 On-going M&E training, mentoring and development for officials**

EDTEA must take accountability and completely invest in training and development of all officials through expanding the training budget available within the department so that a constant human resource development framework is available. This would allow the department to train their administration and management spheres in the areas of M&E and project governance. M&E should also be identified as a critical area that staff must be trained and developed.

The appropriate skills development and training must comprise of theoretic and practical knowledge for all stakeholders within the department. This will enable officials to understand their roles and responsibilities clearly and also assist officials to gain an understanding of the department's mandate so that the common aims of the department may be achieved.

#### **6.4.3 Implement a uniform project governance framework in EDTEA**

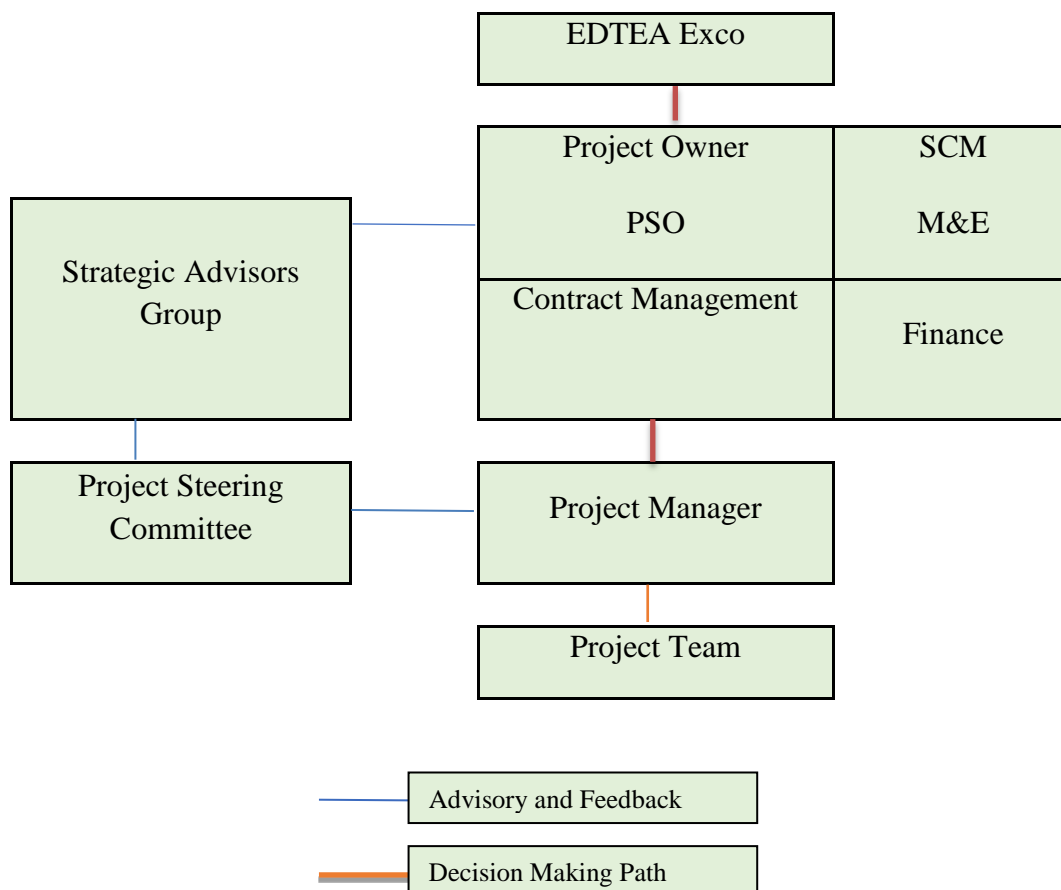
To instil an ethos of project governance, EDTEA executive committee must be the champions for designing and implementing project governance framework. The project governance framework is inculcated to be a mechanism founded on the key principles of leadership, governance, institutional capacity and financial management. The key performance areas of governance encompass aspects of public participation, reporting mechanisms and accountability.

The reason for a uniform project governance framework is to encourage the same framework in sections, regardless of types and budgets of projects, to achieve a favourable audit report, enhance service delivery, and ultimately instil a culture of project governance.

The Project Governance Framework should include several strategies aimed at encouraging M&E. The various strategies should comprise of leadership, resourcing and skills strategies, anti-corruption and financial management strategies that incorporate National Treasury guidelines.

At this point, the upgrade of the PMIS must also be addressed. The upgrade must encapsulate the recommended reporting and feedback mechanisms. The framework must detail the clearly defined responsibilities of the relevant role players.

**Figure 6.1: Project Governance Model for EDTEA**



By taking into account the recommendations above, the model above highlights the integrated structures and role-players with a purpose to drive the need for project governance through an M&E approach within EDTEA.

#### **6.4.4 Alignment of Key Strategic Components**

The project governance approach through an M&E approach must integrate the department's internal audit, risk management, supply chain management, legal, contract management, knowledge management and finance components. These key components are critical to effective management of the project resources and enhancing service delivery. Presently the business components operate in silos and there is duplication of work and standard operating procedures are not aligned.

EDTEA management must craft a framework that creates a synergy between the components to add value and integrity to the manner in which project initiatives are managed. The envisaged framework will encourage the sharing of information and encourage collaboration amongst business units.

#### **6.5 AREAS FOR FURTHER RESEARCH**

This study may be applied by practitioners, policy-makers and researchers within the public sector and the field of public administration to enhance service delivery in the dimension of a projects-based approach. Projects may be included under the banner of alternate service delivery (ASD) mechanism. This approach is becoming increasingly popular in the public sector to enhance service delivery. Future research based on the findings of the study may include evaluating the impact of projects as an ASD at other public sector departments. Research of that nature opens new pathways for further research, where the development of suitable assessment tools may be studied. The study can supplement the knowledge-base for further research in developed and developing environments to continually pursue and examine the effects of M&E on project governance.

#### **6.6 CONCLUSION**

The research study has attempted to explore the M&E strategy in EDTEA from various viewpoints which include project managers, senior management and M&E officials. The study

was underpinned by the GWME system on which the departmental M&E strategy was evaluated. The findings revealed that whilst the M&E strategy is enforced, there are key areas that need to be developed to enhance service delivery. A way forward for the department must ensure that key decision-makers must ensure that policies are implemented suitably and that monitoring and evaluation is promoted as the responsibility of every official. This approach would enhance the morale of officials and contribute positively to the department meeting its mandate and augment service delivery.

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**Annexure A: Interview Schedule**

Interview schedule for Public Officials in the Department of Economic Development, Tourism and Environmental Affairs

MS. IRASHA SINGH (20953656) MASTERS STUDENT, SCHOOL OF MANAGENMENT, IT AND GOVERNANCE, UNIVERSITY OF KWAZULU-NATAL

**RESEARCH TOPIC: PROJECT GOVERNANCE THROUGH MONITORING AND EVALUATION IN THE DEPARTMENT OF ECONOMIC DEVELOPMENT, TOURISM AND ENVIRONMENTAL AFFAIRS**

The research will answer the following questions:

- How does the M&E system support project governance?
- How effective is EDTEA in using M&E to support efforts at promoting good project governance?
- What are the current challenges experienced by EDTEA in relation to project governance?
- How can the M&E system achieve its full potential in the EDTEA environment?
- What are the future prospects that the M&E unit faces in contributing to project governance?

**INTERVIEW GUIDE FOR EDTEA EMPLOYEES**

<b>DATE:</b>	
<b>RELEVANT OFFICE:</b>	
<b>RESPONDENT NUMBER:</b>	
<b>INTERVIEWER NAME:</b>	
<b>CAPTURED BY:</b>	

**1. BACKGROUND INFORMATION**

1.1 What is your post level in the organisation?

.....  
.....

1.2 How many years have you been in the department?

.....  
.....

1.3 What is your specialisation?

.....  
.....

1.4 Indicate the number of years in your current position?

.....  
.....

**2. PROJECT GOVERNANCE IN RELATION TO M&E**

2.1 What in your opinion is M&E?

.....  
.....  
.....

2.2 How would you define/describe the concept ‘project governance’?

.....  
.....  
.....

2.3 Can you elaborate on the M&E methodology that is implemented in EDTEA?

.....  
.....  
.....

2.4 Can you expand on the project management methodology that is implemented in EDTEA?

.....  
.....  
.....

2.5 Why is M&E needed in the department?

.....  
.....

2.6 What are the elements that serve as a foundation for project governance in EDTEA?

.....  
.....

2.7 In your opinion, do you think that M&E methodology and project management methodology are integrated with each other? Explain your answer

.....  
.....

**3. M&E ENHANCING EFFECTIVENESS THROUGH PROJECT GOVERNANCE**

3.1 What is the role of the M&E unit?

.....  
.....

3.2 Can you elaborate on how M&E is conducted on EDTEA projects?

.....  
.....  
.....

3.3 In your opinion, do you consider M&E as being an effective tool to promote good project governance? Support your answer

.....  
.....  
.....  
.....

**4. M&E SYSTEM'S FULL POTENTIAL IN THE EDTEA ENVIRONMENT**

4.1 How do you propose the M&E function can achieve maximum potential in EDTEA?

.....  
.....

**5. CHALLENGES EXPERIENCED IN M&E**

5.1 What do you think are the main challenges that relate to M&E in EDTEA?

.....  
.....  
.....

5.2 What do you think are the main challenges that relate to project management in EDTEA?

.....  
.....  
.....

5.3 What potential pressures are encouraging the need for the M&E System within the Public Sector? Provide reasons for your response.

.....  
.....  
.....

**6. TOWARDS A PROJECT GOVERNANCE MODEL**

6.1 Please provide any other comments that you might have regarding the development and implementation of a project governance model.

.....  
.....  
.....

**Annexure B: Project Proposal**

**Strategic Project Proposal Template (2018/19)**

<b>1.</b>	<b>PROJECT SUMMARY</b>		
1.1	Project Name		
1.2	Project Description		
1.3	Economic Sector (E.g. IT, Agri Business, Manufacturing, Mining etc.)		
1.4	Location (If applicable to all, specify "all")	District Municipality	
		Local Municipality	
		Ward	
1.5	Project Duration (in months or years)	Start Date	End Date
<b>2.</b>	<b>PROJECT REASONS AND OPPORTUNITIES (why the project, should be pursued)</b>		
2.1	Motivation for the project (Specify Stakeholder interest, market demand, export opportunity / policy / MEC directive)		
2.2	Aims of the Project (Specify if manufacturing opportunity in rural or urban area and / or SMME / Co-op opportunity for infrastructure & wealth creation)		
2.3	Project Objectives (For training specify if theory / practical based and if includes mentorship and incubation)		
<b>3.</b>	<b>PROJECT OUTCOMES (A view as to what the short term and future longer term possibilities may be.)</b>		
3.1	Number of direct jobs to be created (for training projects specify % of job creation of total number of people trained)		
3.2	Number of indirect jobs to be created		
3.3	Number of people to be trained		
3.4	Other Multipliers (incl. GDP growth, export development etc)		
<b>4.</b>	<b>RELEVANCE</b>		
4.1	What departmental strategic objective or measures is the project aligned to?		
4.2	Is the project consistent with the RASSET, PSEDS, IDS or NIPF? Specify alignment with government policy or strategy?		
4.3	Who are the main target beneficiaries of the project? Specify.		
<b>5.</b>	<b>BUDGET AND CO FUNDING (What are the costs of implementation of the proposal, financial and otherwise.)</b>		
5.1	Name of Co-Funders		
5.2	Total Budget (incl. VAT and co-funding as applicable)		
5.3	Total Amount required from the Department (incl. VAT)		

## Annexure C: Ethical clearance certificate



11 January 2018

Mrs Irasha Singh (209535656)  
School of Management, IT & Governance  
Westville Campus

Dear Mrs Singh,

**Protocol reference number: HSS/1979/017M**

**Project title: Project Governance through Monitoring and Evaluation in the Department of Economic Development, Tourism and Environmental Affairs**

### **Approval Notification – Expedited Application**

In response to your application received on 19 October 2017, 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

Dr Shamila Naidoo (Deputy Chair)

/ms

Cc Supervisor: Dr Mogie Subban  
Cc Academic Leader Research: Professor Isabel Martins  
Cc School Administrator: Ms Angela Pearce

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### Humanities & Social Sciences Research Ethics Committee

Dr Shenuka Singh (Chair)

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Website: [www.ukzn.ac.za](http://www.ukzn.ac.za)



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## Annexure D: Gatekeepers Letter



edtea

**Department :**  
Economic Development, Tourism and  
Environmental Affairs

**PROVINCE OF KWAZULU-NATAL**

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Private Bag X 9152  
Pietermaritzburg, 3200  
info@kznded.gov.za  
www.kznded.gov.za

DATE: 13 September 2017

TO WHOM IT MAY CONCERN:

*Irasha Singh* student number 209535656 is a candidate for a **Masters in Public Administration** at the **University of KwaZulu-Natal campus**. We (KZN EDTEA) acknowledge and understand that her research project will contribute towards her **Masters in Public Administration** thesis project titled: Project Governance through Monitoring and Evaluation in the Department of Economic Development, Tourism and Environmental Affairs

The KZN Department of EDTEA is aware that the study will take place during office hours for which she will be collecting data by means of interviewing key person(s) in the Department which she deems necessary to achieve the objectives of this research.

The KZN Department of EDTEA supports and understands that this project involves accessing personal views and information from (people/persons) from KZN EDTEA. Such data will be provided to the researcher with all personally identifying information; however during the data presentation in the form of the final thesis for example, names shall be removed so that the data cannot be traced to any individual.

I support and grant permission for *Irasha Singh* to conduct this research at the KZN Department of EDTEA in accordance with the prescribed guidelines.

Sincerely

Ms. Purnia Neapayi  
Head of Department

Department of KZN: Economic Development, Tourism and Environmental Affairs

## Annexure E: Letter to Participants

**UNIVERSITY OF KWAZULU-NATAL**  
**SCHOOL of Management, Information Technology and Governance**

Dear Respondent,

Research Project No. HSS/1979/017M  
Master's in Public Administration Research Project  
Researcher: Ms Irasha Singh (Telephone number: 0734680049)  
Supervisor: Dr. M. Subban (Office Telephone number 031 260 7763)  
Research Office: Ms Mariette Snyman (031 260 8350)

I am Irasha Singh studying towards a Master's degree (Public Administration) in the School of Management, Information Technology and Governance at the University of KwaZulu-Natal. You are invited to participate in a research project entitled "Project Governance through Monitoring and Evaluation in the Department of Economic Development, Tourism and Environmental Affairs (EDTEA)."

The aim of the intended study will examine how project governance is enhanced by EDTEA's monitoring and evaluation. It will further assist to explore useful insights into the complex task of managing projects in the public sector of South Africa, as well as including the M&E function as a value-adding project governance mechanism. I hope to understand your experiences in issues around monitoring and evaluation in the department. The results of the interview are intended to contribute to the future research and body of knowledge in implementing M&E systems and project management methodology that may be affected in the future.

Your participation in this project is voluntary. You may refuse to participate or withdraw from the project at any time with no negative consequence. There will be no monetary gain from participating in this exercise. Confidentiality and anonymity of records identifying you as a participant will be maintained by the School of Management, Information Technology and Governance, UKZN.

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

The interview should take you about 25-30 minutes to complete. I hope you will take the time to be interviewed.

Sincerely



**Irasha Singh**

Date 18/01/18

**Annexure F: Consent**

CONSENT

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

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

SIGNATURE OF PARTICIPANT

DATE

.....

**Annexure G: Letter from Language Practitioner**

THE WRITING STUDIO  
*Writing and Editing Practice*

**Certificate 2019/7**

**TO WHOM IT MAY CONCERN**

28 FEBRUARY 2019

This dissertation, entitled **PROJECT GOVERNANCE THROUGH MONITORING AND EVALUATION IN THE DEPARTMENT OF ECONOMIC DEVELOPMENT, TOURISM AND ENVIRONMENTAL AFFAIRS**, has been re-edited and reviewed to ensure technically accurate and contextually appropriate use of language for research at this level of study.

**Yours sincerely**

A handwritten signature in blue ink that reads "CM Israel". The signature is written in a cursive style with a long horizontal stroke at the bottom.

**CM ISRAEL, BA Hons (UDW) MA (UND) MA (US) PhD(UNH)  
LANGUAGE EDITOR AND WRITING CONSULTANT  
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