

**The Use of Monitoring and Evaluation Systems by Non-
Governmental Organizations: A Case Study of Umthombo
Street Children SA**

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DECLARATION

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DEDICATION

I dedicate this thesis to my late brother Siyabonga Vika Culture Zulu, who has always believed in me and encouraged me to believe in myself and respect those around me at all times. May God be with him.

ABSTRACT

This study was aimed at analysing the use of monitoring and evaluation (M&E) systems by non-governmental organisations (NGOs). This study was inspired by the growing need for the programme implementers in both public and private sector to account for their implemented interventions based on their annual performance plans.

This study has used a case study approach to analyse the use of monitoring and evaluation systems by non-governmental organisations. Umthombo Street Children SA was chosen as a case-study for this research study. Umthombo Street Children is a South African Section 21 Company and Non-Profit Organization (NPO) committed to providing alternatives for street children and a way out of living on the streets. A semi-structured interview guide was used to collect primary data and an organisational document and literature analysis was used to source secondary information.

The findings of this study showed that Umthombo Street Children has established a well-structured bottom-up monitoring process to collect data from the services being provided by the organisation. The findings have shown that the employees of the organisation have an understanding of the role and the process of monitoring and evaluation. The findings of this study also revealed that monitoring and evaluation is done for the purpose of accountability to donors and for organisational learning and improvement in programmes and implementation. The study has identified the challenges that affect the implementation of monitoring and evaluation. These challenges include among other the lack of human capacity, limited finances, and complexity of data collecting methods. However, the organisation is striving to regular conduct data collection for monitoring and is succeeding in that despite the challenges.

This study concluded that the conceptualisation of monitoring and evaluation in an organisation is an important success factor. It is important to include all affected stakeholders in the design of monitoring and evaluation for innovation. This study concluded that monitoring and evaluation systems can be made more implementable if they are designed with an understanding that the system components are interrelated, from data collection to production of reports. The study has observed that donors have most deciding powers in the field of non-profit organisations in terms of what and how they should implement their programmes as they fund them. This is common as the literature suggest that the autonomy of the organisations are being undermined by their donors.

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LIST OF ACRONYMS

CSO	Civil Society Organisation
EBP	Evidence Based Policy
GO	Grassroots Organisation
IS	Independent Sector
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organisation
NPO	Non-Profit Organisation
NSA	Non State Actor
PVO	Private Voluntary Organisation
SHO	Self Help Organisation
TSMO	Transnational Social Movement Organisation
UNDP	United Nations Development Programme
USAID	United States Agency for International Developments
USC-SA	U姆thombo Street Children-South Africa
VS	Voluntary Sector

Chapter One: Introduction

1.1. Background of the study

The recognition of the importance of effective monitoring and evaluation is growing in both the public and private sectors. Non-Governmental Organisations (NGOs) or Civil Society Organisations (CSOs) by nature are accountable to their donors and funders. They account to their donors and other interested stakeholders on whether they have delivered promised programme activities according to their plan. This means that NGOs have the responsibility of developing strategic plans and action plans to implement programmes or projects in order to achieve their goals. In this regard, monitoring and evaluation (M&E) is instrumental in tracking the progress analysis of organisational programmes and developing an evidence base in decision making for future programme implementation or development.

CSOs are the collective entities that exist independently from the state. The concept of civil societies is used to characterise the aspect of social existence which is beyond the realm of the state (Seligman, 1993). Civil society has been characterized as a sphere of social life that is public but excludes government activities (Meidinger, 2001). Bratton (1994) describes civil society as social interaction between the household and the state characterized by either local or international community cooperation, structures of voluntary association and networks of public communication (Bratton, 1994).

The term civil society is generally used to classify persons, institutions and organizations that have the goal of advancing or expressing a common purpose through ideas, actions, interventions and demands on governments (Cohen and Arato, 1992). In some countries like Rwanda, NGOs or CSOs have been critical for peace building, and social and economic reconstruction. Putnam (1993) submits that, in a democratic state, CSOs are used as channels in which citizens participate in making and implementing public decisions, and in identifying, prioritising and resolving their social problems. In South Africa, public participation is central to policy implementation because getting the right technical content down on paper is merely the first part. Analysis of infectious diseases intervention strategies using economic epidemiology mathematical models, and to achieve policy results with sustainable impact requires participation from different people (Brinkerhoff and Crosby, 2002).

The Constitution of the Republic of South Africa has the requirement that the national and provincial legislature in Section 59(1) of 2006 consult with the public with regards to

decision making. The Constitution states that ‘The National Assembly must [...] facilitate public involvement in the legislative and other processes of the Assembly and its committees’. Section 118 has similar requirements for the provinces. Notably, the Constitution makes it clear that decision-making power resides with parliament alone, reflecting the reality that public participation is limited to informing the deliberations of parliament. Significantly, the obligations on the local sphere to consult are more developed. Hence Section 152(1) of the Constitution states that ‘local government must encourage the involvement of communities and community organizations in the matters of local government.’ This implies going a little beyond just consulting with communities as an aid to deliberation.

NGOs and CSOs have become major features in public policy formulation and implementation around the world. Vakil (1997) submits that the failures of state-led development approaches throughout the 1970s and 1980s fuelled interest in NGOs and CSOs as development alternatives, offering innovative and people-centred approaches to service delivery. The good governance concept is not only limited to state activities. The literature highlights that good governance is critical for NGOs and CSOs to maintain their credibility and to be viewed as representative. This means or suggests that they too must operate in a transparent, accountable and participatory manner (Atack, 1999; Barr, 2005). Hence, monitoring and evaluation is important for NGOs and CSOs to reflect on their activities or initiatives to learn whether they are working or not.

Programme monitoring comprises a range of activities describing and analyzing the development and implementation of policies, identifying potential gaps, outlining areas for improvement and holding policy implementers accountable for their activities (Dunn, 2004). Evaluation on the other hand has been described as a means of assessing a programme or policy to measure its effectiveness or efficacy (Sanders & Fitzpatrick 1995). The use of evidence-based decision making in non-governmental organizations is growing across many countries as funders require them to account as far as their intervention is concerned in societies. Evidence-based policy making is a discourse or set of methods which informs the policy process, rather than aiming to directly affect the eventual goals of the policy. It advocates a more rational, rigorous and systematic approach in policy making (Dunn, 2004).

Monitoring and Evaluation (M&E) is a powerful management tool that can assist the government and non-government organisations to improve the manner in which tasks are

undertaken to achieve their vision and mission. Strategic, tactical and operational decisions will be more relevant if they are evidence based. Mackay (2007) argues that M&E is essential to achieve evidence-based policy making, evidence based management decisions and evidence based accountability. The evidence would be derived from a systemic results-based performance feedback system. Both government institutions and non-government organisations undertake the general management functions of planning, organising, leading and controlling. The focus of the non-government organisations is on implementation of their interventions in communities which focuses on complex socio-economic developmental issues. Monitoring and Evaluation is therefore a higher order management function that overarches the generic management functions and is key to the success of programme implementation and projects. It is therefore important that an institution fully understands the concepts and tools of M&E before planning and implementing an intervention.

Salamon (1996) states that NGOs are involved in programme delivery and they contribute to relatively new industries that also engage in policy making and transnational social movement advocacy, and by their nature they must account to the donors and other interested stakeholders as to whether they have delivered the promised programme activities according to their plan. This means that NGOs have the responsibility to develop strategic monitoring plans and action plans to implement their programmes or projects. M&E is instrumental in tracking progress analysis of an organisation and developing evidence-based information that can contribute to decision making for future programmes or developments. M&E is an integral part of public and private sector management. It is an important aspect of any policy, project or programme as it helps to improve the performance of an intervention implemented. Its goal is to improve current and future management of outputs, outcomes and impact of the policy.

The present study seeks to analyse and identify how NGOs, particularly Umthombo Street Children SA (USC-SA), use M&E. Umthombo Street Children is a South African Section 21 Company and Non-Profit Organization (NPO) committed to providing alternatives for street children and a way out of living on the streets (USC-SA Document, 2004). The USC-SA is based in Durban, and its team is a fusion of social work professionals and childcare-trained former street children. USC-SA has a unique understanding of the dynamics of the street child experience. The founders of USC-SA have extensive experience working with children and youth living on the street. They have been working with street children since 1992.

This study will investigate what exactly an organization monitors and evaluates, and the underlying reasons for performing the process of monitoring and evaluation. In addition, the study seeks to understand the factors associated with the formulation of M&E within the organisation.

1.2. Research Problem and Objectives: Key questions to be asked

The objective of this study was to determine the extent to which Umthombo Street Children SA uses monitoring and evaluation.

The key research questions were:

- How is the monitoring and evaluation process understood and interpreted in UMthombo Street Children SA?
- How is the monitoring and evaluation strategy designed and implemented in Umthombo Street Children SA?
- What types of monitoring and evaluation does Umthombo Street Children SA undertake?
- How does Umthombo Street Children SA use monitoring and evaluation outputs and reports?
- What are the success and challenges of implementing monitoring and evaluation in Umthombo Street Children SA?
- Does Umthombo Street Children SA have the necessary resources to perform monitoring and evaluation effectively? (This includes human resources, tools, skills, time etc.)

1.3. Research overview and design

This was an empirical study aimed at using qualitative research methodology. According to Babbie & Mouton (2002), qualitative methodology seeks to ‘understand social action in terms of its specific context rather than trying to generalize to some theoretical population.’ Burns & Grove (2003) and Morse & Field (1996) submit that qualitative research methodology refers to inductive, holistic and subjective methods used to understand and interpret a phenomenon or setting. Qualitative research is mostly associated with words, language and experiences rather than measurements, statistics and numerical figures.

1.3.1. Case study

The case study method enables a researcher to examine data closely within a specific context. It is recognised as a tool in many social science studies and it allows for the exploration and understanding of complex issues. Gulsecen & Kubat (2006) argue that a case study can be considered a robust research method, particularly when a holistic, in-depth investigation is required. Yin (1994) defined a case study as “an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident relies on multiple sources of evidence”. This means that one should use a case study strategy when they deliberately want to study contextual conditions. The main aim of a case study is to try to understand an institution or an event by studying a single case for a period of time.

This research study has used Umthombo Street-Children SA as a case study. The same approach has been used by Van Rensburg (2008) in analysing the monitoring of NGOs using programme support group as a case study. Castro (2009) has also used a case study in analysing the implementation of a monitoring and evaluation system in Columbia. Brunner (2004) argues that monitoring and evaluation can be improved if it is made sensitive to each specific situational context. This assists in addressing the uncertainties and ambiguities that uniquely characterize each programme that needs to be evaluated. This approach is appropriate to the present study because monitoring and evaluation is understood differently, practised differently and used differently by different organizations.

1.3.2. Sampling

The purposive sampling technique is one of the non-probability sampling types. Purposive sampling techniques involve selecting certain units or cases “based on a specific purpose rather than randomly” (Tashakkori & Teddlie, 2003). Purposive sampling can be very useful for situations where one needs to reach a targeted sample quickly and where sampling for proportionality is not the primary concern. With a purposive sample, one is likely to obtain the opinions of the target population, but one is also likely to overweight subgroups in the population that are more readily accessible.

Purposive sampling was used to select the six respondents for the present study. The chosen respondents represented the diversity of the research population within the organization and were directly or indirectly involved with the monitoring and evaluation activities within the

Umthombo Street-Children SA. The study sample included the director of the organization, two management staff, and three of the implementers of the programme. In purposive sampling, sampling is done with a purpose in mind.

The semi-structured interviews were conducted with a total of six respondents from Umthombo Street-Children SA. The participants involved in the study had the following duties.

- The director of the organisation is responsible for providing strategic goals of the organisation,
- Two programme managers are responsible for ensuring that all projects of the organisation are implemented as planned and reporting on the progress of the organisational intervention. These reports are later used for M&E to measure the performance of the intervention. The project manager collects information about the projects they implement. This information is used for M&E purposes. The project manager collects information on the inputs, activities and outputs of the projects they implement. Each project manager compiles a report concerning each project being implemented. These reports often reveal the status of the project and whether or not the project is achieving its intended objectives.
- The other three members of the staff are responsible for the implementation of the organisation's programmes and providing technical support to the management of the organisation.

1.3.3. Data collection method

This research study was informed by both primary and secondary data:

- Interviews: Primary data were collected through the use of semi structured interviews conducted with people in the Umthombo Street-Children SA and who were directly or indirectly involved in M&E. The interviews sought to gather information about the M&E system in the Umthombo Street-Children SA and how it has been implemented.
- Document analysis: Existing data were also utilised, including available case reports, manuals, monthly report forms, and programme review documents, M&E frameworks or plans, field reports, and other available documents. Information was also obtained from the Umthombo Street-Children SA website.

1.3.4. Data analysis

Data collected in this study were analysed using thematic content analysis. These themes were based on the research questions of the study and identified the conceptualisation, implementation, processes and experiences of institutionalising the use of M&E by the NGO. The information that was analysed through content analysis included the information collected from interviews and the conceptual framework.

1.4. Structure of dissertation

1.4.1. Chapter 1: Introduction

This is an introductory chapter that provides the background of the study. It insets the key research questions and objectives of the study. Furthermore, it also outlines the research methodology of the study.

1.4.2. Chapter 2: Conceptual Framework

This chapter presents the conceptual framework of the research. It outlines some of the previous work done in the field relating to the proposed study. It gives an overview of the conceptual perspective of monitoring and evaluation underpinning the study.

1.4.3. Chapter 3: Case Study

This chapter discusses the background to the Umthombo Street-Children SA and its M&E processes. It explains the work of the NGO, how it undertakes M&E and how the NGO uses a monitoring framework as a tool in conducting M&E.

1.4.4. Chapter 4: Findings and Analysis

This chapter presents the findings and analysis of the study. It identifies common themes emerging from the findings of the study in relation to the conceptual framework.

1.4.5. Chapter 5: Summary and Conclusion

This final chapter of the study gives a summary of the key lessons from the study and gives a conclusion to the study.

1.5. Conclusion

The chapter has discussed and laid the ground for this research project. It has described the research design, data collection and data analysis methods. It has also provided the description of this research paper. The next chapter will look at the conceptual framework.

Chapter Two: Conceptual Framework

2.1. Introduction

This chapter provides the conceptual framework of the study. This chapter will look at the purposes and uses of monitoring and evaluation (M&E) from the NGOs perspective. This study locates M&E within the implementation process and defines M&E, and outlines the key characteristics, processes and approaches to M&E. Public policy is the broader field of study under which programme M&E is discussed. This defines M&E and discusses the different purposes of M&E and the common types of M&E. This chapter identifies some of the common strengths and challenges of M&E within the programme implementations process.

2.1.1. Non-Governmental Organization

Ehrehburg (1999) argues that the concept of NGO is complex and contested with multiple interpretations. Davies (2014) agrees that the concept of NGO is difficult to define, as the term is not always used consistently in the world. In some countries the term NGO is applied to a non-profit organization (NPO). The NGO is defined as a private organization “characterized primarily by humanitarian or cooperative, rather than commercial, objectives [...] that pursue activities to relieve suffering, promote the interests of the poor, protect the environment, provide basic social services, or undertake community development” in developing countries” (World Bank, 2012). They are organizations independent from the state. They are usually funded by donations, but some avoid formal funding and are run purely by volunteers, and some use both. NGOs vary in their methods as some act as lobbyists and others conduct programmes and activities.

NGOs address a variety of issues and they mobilize public support and voluntary contributions. Davies (2014) submits that NGOs are accepted as part of the international relations landscape and they have an influence in national and multilateral policy making and local action. According to South African Non-Governmental Organization information (n.d), NGOs are any non-profit and voluntary organizations led by group of people with a common interest. NGOs perform a variety of services and humanitarian functions, bring citizen concerns to Government, advocate and monitor policies, and encourage political participation through the provision of information. Some are organized around specific issues, such as human rights, environment or health.

Boli (2006) and Schofer & Longhofer (2011) propose that the global field of non-governmental organizations (NGOs) began expanding before the beginning of 20th century. NGOs are involved in programme delivery and they contribute to relatively new industries that also engage in formal policymaking and transnational social movement advocacy (Salamon & Anheier, 1996). Anheier & Salamon (2006) and Brown (2008) describe the phenomenon of the rapid growth of NGOs as significant in building civil society and encouraging civic engagement. NGOs have remained the key player in a rapidly changing development field, and for this reason monitoring and evaluation is important for them. The aim of NGOs or civil society is to effect action to bring about changes or to improve an existing unsatisfactory situation (Davies, 2014). In the work of Rutman (1984), cited by Babbie & Mouton (2002), a programme is taken to be any intervention or set of activities mounted to meet a recognized social need or to resolve an identified social problem. M&E is accepted as an effective tool for ensuring the success of implementation and programme outcomes (Cloete, 2009).

2.1.2. Types of NGOs

According to Sushant (2010), NGOs can be classified into various types based on different factors like orientation or level of cooperation. Orientation type of NGOs can be grouped into charitable orientation, service orientation, participatory orientation, and empowering orientation. Cooperation type of NGOs can be grouped into community-based organization (CBO), city wide organization (CWO), national NGO and international NGO (Sushant, 2010). NGOs form a heterogeneous group and have a long list of organizations working in different areas with varied scope of work. The alternative terms used in addition to 'NGO' include private voluntary organizations, civil society, independent sector, self-help organizations, grassroots organizations, volunteer sector, transnational social movement organizations, and non-state actors (NSA) (Sushant, 2010).

2.1.2.1. Accountability on NGOs

Edwards and Hulme, (1996) concluded their edited book *Beyond the Magic Bullet* stressing "the management of accountability" as a key theme that emerges in studying NGOs. This approach extends the accountability question beyond reaction to imposed demands, standards and constraints to proactive initiatives related to strategic action. Biggs and Neame (1996) suggest that it might seem that the more accountable NGOs are, the less autonomy they have.

Pure autonomy and multiple accountability are clearly incompatible. However, by increasing the number and types of arenas in which NGOs are accountable, they may create greater room to maneuver as they gain spheres in which to negotiate (Biggs and Neame, 1996).

The following assesses some selected topics addressed in an emerging literature on NGO accountability and these are stakeholders, performance criteria, functional versus strategic accountability, hemispheric region, the New Policy Agenda. Explicitly or implicitly, each of these issues raise accountability demands that NGOs must somehow address.

Stakeholders

NGOs need to manage the expectations of a diverse array of constituents, support groups, and regulating authorities each with varying capacities to demand and appraise reports and information, as well as operate sanctions on NGOs. Edwards and Hulme (1996) list the following among that stakeholder mix: (1) beneficiaries and members, (2) trustees, (3) private contributors, (4) NGO networks, (5) nations, (6) donors, and (7) other supporting (funding) NGOs. Clearly some of these constituents reside outside the host nation, while others represent regime authorities and beneficiary groups within that setting.

Performance Criteria

Accountability typically presupposes tangible definitions and standards of performance. Nonetheless, ideas about NGO performance can be ambiguous as well as contestable within the cross-pressures of expectations from multiple stakeholders. For example, Donors may demand productivity in terms of output-cost ratios, host nations may expect conformity with regime laws and agendas, and beneficiaries and/or mission-committed contributors could seek out evidence of “results” as desired change or improvement from the status quo. To the extent that “improvement” is understood as social or political change (for example, “democratization”), adverse reaction might be anticipated on the part of governmental authorities.

Functional Versus Strategic

Accountability According to Avina (1993), NGO accountability can be differentiated between functional reporting on resource use and short-term outcomes and longer-term impacts that affect the wider environment. Performance as impact, as assessed by strategic accountability, contends with the reality of pertinent forces outside of NGOs control. To the

extent that strategic accountability informs subsequent NGO action, impact studies imply that the NGO benefits from some “negotiating room [in which] to maneuver” (Biggs and Neame 1996).

Hemispheric Region

The NGO literature differentiates between “Northern” and “Southern” NGOs, a distinction relevant to performance-related issues. First, Northern NGOs (such as Oxfam USA or Care International) often function as donor agencies that disburse funds for particular projects (for example, rural development) undertaken by Southern NGOs, typically in poor settings. As Chambers (1996) points out, both the “Northern” disbursement- and the “Southern” 11 recipient/project implementation functions suggest actions that presumably attest to “appropriate” performance. For example, Northern donor organizations want to be seen as actively disbursing money, rather than having it languish in banks. Thus, the donor’s need to “move money” places pressure on recipient NGOs to show timely results, irrespective of critical timing and other strategic considerations that impinge on the recipient’s program activities. Chambers details how the interplay between donor and recipient performance imperatives result in hierarchical relationships with northern NGOs usually at the top. Nonetheless, recipients may willingly assume this subservient role in seeking out readily available dollars to underwrite their efforts (Edward and Hulme 1996).

New Policy Agenda

Much as the New Public Management influences contemporary public administration, the New Policy Agenda (NPA) affects the rationales for funding some NGO projects as well as the accountability standards placed upon them. In essence, these “Northern” donor agencies base their funding decisions on how NGOs contribute to “good governance” and market efficiency. Edwards and Hulme (1998) explain, the neo-liberal thrusts of the NPA encourage NGOs to assume economic roles as “efficient providers of services” and political agents of democratization. In some cases, the former attempts to characterize NGOs as “more efficient providers” of services than counterpart governmental agencies. Such a rationale is clearly consistent with an ideological preference by which “leaner” governments are assumed better able to compete in the global market. Regarding the latter, the political expectation that NGOs should act as “democratizers” may complicate “Southern” NGO project initiatives to promote social and political mobilization in particular settings. From an accountability

standpoint, “good governance” imperatives impose (what Edwards and Hulme refer to as) “accountancy” standards in essence, business control systems rather than impact accountability that assesses project effectiveness. Concerns are that donors strongly committed to the NPA will compromise NGO performance in institutional development, weaken their legitimacy as independent actors, and distort accountability away from responsiveness to grassroots constituencies in favor of quantitative reporting outputs (Edwards and Hulme 1998).

Internal Structure and Roles

Those who serve in organizations are typically held accountable by upper-level managers and executives. Nonetheless, those individuals should be understood as internal stakeholders whose efforts and conduct have direct impacts upon organizational performance and legitimacy. Of particular significance in project-oriented NGOs are field-workers who directly interact with those served, often poor and in remote locals. One account characterizes field-workers in a southern setting as “underpaid, undervalued, overworked, and unappreciated” (Ahmad 2006). Ahmad, (2006) notes, strongly-motivated field workers can stimulate client satisfaction. On the other hand, those engaging in corrupt practices or showing indifference to the poor can undermine NGO legitimacy.

2.1.3. Civil Society Organization and Monitoring and Evaluation

International donors such as government institutions, for example, the European Union-funded foreign aid programmes or private foundations, have become critical for the effectiveness of the grassroots approach of non-profit/civil society organizations. Therefore, non-profits must show that they are indeed working efficiently and that their approaches to tackling the problems in society are effective, thus proving that they are worth being supported by the international donor community. Donors increasingly put a high emphasis on monitoring and evaluation. Donors supporting the social welfare activities of non-profit civil society organizations in Europe and the developing countries frequently look at M&E procedures from a technocratic point of view and consider M&E to be a management tool (Lewis, 2001).

Khan and Waheed (2003) argue that CSOs are involved in new approaches to project management, community organization, service delivery, product development, resource mobilization and financial management. They further submit that in CSOs the competitive

edge is attained by following a strong value system of responsibility, accountability, and transparency. Thus M&E comes into play (Khan and Waheed, 2003). Forss, Befani, Band and Kruse (2012) propose that the utilization of M&E information is central to the performance and sustainability of an M&E system, and depends on the nature and strength of the demand for M&E information.

Otieno's (2012) study indicated that the majority of the respondents were involved in utilization of the monitoring and evaluation results in ways such as involvement in decision making for the project, redesigning of the project, strengthening and improvement, advocacy for additional resources, programme intervention, and project control. However, the low involvement of project members in project control after the offset of the implementing agency contributes negatively to the sustainability of the project. Incentives need to be introduced to encourage the use of performance information meaning that success needs to be acknowledged and rewarded, problems need to be addressed, messengers must not be punished, organizational learning is valued, and budget savings are shared (Kusek & Rist, 2004).

Rogito (2010) studied the influence of M&E on project performance and found that a project implemented without a base line study faced serious challenges in tracking its progress effectively with respect to indicators. According to Rogito (2012), for best practice a baseline needs to be planned and done a year in advance to get full information on the project to be undertaken, which was largely not done in this case. He concluded that youth projects were performing poorly as the baseline survey study was minimal. Hence, it was hard to achieve project goals. He recommended that baseline studied need to be timed properly before project implementation, and that the findings need to be kept properly and used to monitor the progress of projects. Evaluation evidence has indicated that active involvement of CSOs in project planning, design, implementation and operations, or in monitoring and evaluation of projects and programmes in appropriate contexts can help achieve efficient and effective implementation, with attainment of outcomes that are sustainable.

2.1.4. The use of monitoring and evaluation

The increasing importance and visibility of NGOs has contributed to a call for greater accountability and transparency, with the sources of these demands reflecting the diversity and complexity of the field itself. NGOs have become well established as key players in the international and national development arena and have adopted monitoring and evaluation as

a modern management practice. Benjamin (2008) argues that M&E is becoming more common and useful in the NGO sector. The increasing interface between NGOs and different donors has potentially significant consequences for M&E activities. Studies by Smith & Gronbjerg (2006) and Brinkerhoff, (2008) have documented that there are increasing demands placed on NGOs by government aid agencies, foundations and international donors to implement monitoring and evaluation.

Institutional donors often want to know how their resources are being utilized and they have considerable advantage for obligating NGOs to document their practices and demonstrate precisely how they implement their programs. Since M&E offers a diversity of important tools for demonstrating accountability in the nonprofit sector, institutional donors could have a positive influence on the total range of M&E practices (Ebrahim, 2003). M&E play a central role to the aid reform agenda as stipulated in the *Paris Declaration on Aid Effectiveness* and its associated changes in aid modalities, in that M&E can provide accountability and contribute to results-oriented development (Paris Declaration, 2005). Hulme and Edwards (1997) define accountability as “the means by which individuals and organizations report to a recognized authority and are held responsible for their actions”. Bryant (2007) found that NGOs with the lowest donor funding are the ones doing the most about evaluation, possibly because, in the case of donor funding, the evaluation is treated as part of contract compliance and donor needs must be met, as opposed to fulfilling the learning needs of the organization.

Governments and NGOs have been increasingly required to demonstrate results by uplifting the quality of life of their citizens and by providing value for money services (PSC, 2008). NGOs have to be more responsive to their recipient needs and demonstrate sustainable developmental achievements. Improved accountability systems, transparency and effectiveness can be institutionalized through sustainable monitoring and evaluation. M&E is a powerful management tool that can assist the organization or government and state institutions to improve the manner tasks are undertaken to achieve its vision and mission. Strategic, tactical and operational decisions will be more relevant if they are evidence based. Mackay (2007) confirms that M&E is essential to achieve evidence-based policy making, management decisions and accountability. The evidence would be derived from a systemic results-based performance feedback system. Both public and private sector institutions and businesses undertake the general management functions of planning, organizing, leading and controlling. M&E is therefore a higher order management function that overarches the

general management functions and is key to the success of any developmental policies, programmes and projects. It is therefore important that an institution fully understands the concepts and tools of M&E before planning and implementing an M&E system.

NGOs are one group of players that are active in the efforts of international development and increasing the welfare of poor people in underdeveloped and developing countries. NGOs work both independently and alongside bilateral aid agencies from developed countries, private-sector infrastructure operators, self-help associations and local governments (Barr, Abigail, Fafchamps and Owens. 2005). NGOs and international agencies such as the World Bank and the United Nations Children's Fund (UNICEF) state that the main 'objectives of social development programmes should be to help the indigenous communities or underprivileged groups (such as women, landless labourers, [...] develop the organizational capacity and knowledge needed to identify and satisfy their own needs' (Valadez & Bamberger, 1994).

2.1.5. Public involvement in Policy and Social Programme Implementation

Individuals as public participation in policy making are important in a democratic country. In most cases the public influence policy making by presenting their views about policy matters in the media. However, the impact of individual citizens on policymaking is minimal since most people tend to form interest groups for having their interests accommodated and reflected in public policy making (Cloete 1998). Interest groups or NGOs are groups which are generally separated from the government and which attempt to influence policy makers to accommodate their interests in public policy (Wilson, 1990). Public participation plays an important role in policy implementation, although this role has been generally perceived as limited to policy-making (Thomas 1995).

In terms of the South African context, the post 1994 Constitution allows collaboration between civil society organizations and the public sector. The South African Welfare White Paper 6 (16) of 1997 admits that there are enormous constraints in meeting the social and economic needs of the most disadvantaged sectors of the population in South Africa. This means nothing further than that government would not be able to address the discrepancies by itself, thus acknowledging and endorsing the importance of working with civil society organizations to meet these needs. This trend is justified on a global scale by the marked increase in the number of NGO involvements in national and international policy-making and policy implementation, especially over the last decade (Nzimakwe, 2008).

2.1.6. Monitoring and Evaluation

M&E is an important aspect in any policy, project and programme as it helps improve performance and achieve results. Its goal is to improve current and future management of outputs, outcomes and impact of the policy. According to Kusek (2004), M&E is a process that helps improve performance and achieve results. Its goal is to improve current and future management of outputs, outcomes and impact. This is the most important process that makes the implementation of a good policy or programme. M&E is a process that has to be done repeatedly to ensure consistency and the good provision of the results or the objectives, also ensuring that the real focus of the policy is not being lost throughout the implementation. M&E information is used as a management tool within the organization to monitor the achievement of results and meeting of targets. M&E systems are used for budgetary control, financial control and the identification of promising or poor policies, programmes and projects. Good M&E systems are a source of knowledge capital and assist in promoting better governance and transparency in government (Kusek, 2004).

2.1.7. Monitoring

The Organization for Economic Co-operation and Development (OECD) (2002) defines monitoring as a continuous tool that uses the systematic collection of data on specified indicators to provide management for the main stakeholders of an on-going development intervention. Treasury (2007) adds that monitoring reports on actual performance against what was planned by collecting, analyzing and reporting data of all projects, programmes and policies to support effective management. Monitoring is the periodic progress measurement of the chosen indicators of a project or programme towards clearly defined short, medium and long-term results. Monitoring provides information on where the policy, programme or project is at any given time relative to the respective targets and outcomes. A good monitoring system will provide early warning signals for corrective action. Mackay (2007) adds that M&E is used to support policymaking, policy development management of activities, enhancing transparency and supporting accountability relationships.

According to the PSC (2008), the purpose of M&E systems is the management decision making, organizational learning, accountability, soliciting support for programmes, supporting advocacy and promoting transparency. Ebrahim (2003) and Marshall, Hamilton, Marsh, McCaffrey & Stecher (2009) say that M&E refers to a broad range of activities used to assess organizational performance and meet the needs of diverse stakeholders. At the most

basic level, monitoring comprises descriptive reporting, compliance and the collection of data on programme implementation (Carman, 2009; LeRoux & Wright, 2010). External stakeholders require the information to establish whether the state or organization has achieved demonstrable results to improve the lives of its citizens. The United Nations Development Programme (UNDP) (2009) states that without effective planning it would be impossible to confirm if outcomes and impacts are achieved, whether progress and success can be claimed and how future efforts might be improved.

2.1.8. Evaluation

Evaluation consists of a periodic assessment of the outcomes, efficiency and impact of a project. It is undertaken with a view to drawing lessons that may be more widely applicable (LeRoux & Wright, 2010). Evaluation involves a more in-depth study of performance outcomes and impacts and is not limited to the extant indicators. It complements the monitoring function and answers the ‘why’ and ‘how’ questions (CAFRAD/ABC Report, 2003). Evaluation seeks to address the issue of causality, giving evidence of why targets and outcomes are or are not being achieved within its performance management system environment and the M&E system environment itself.

Monitoring and evaluation roles are compared in Table 2 below.

Table 2: Roles of monitoring and evaluation

Monitoring	Evaluation
Clarifies programme objectives	Analyzes why intended results were or were not achieved
Links activities and their resources to objectives	Assesses specific casual contributions of activities to results
Translates objectives into performance indicators and set targets	Examines implementation process
Routinely collects data on these indicators, compares actual results with targets	Explores unintended results
Reports progress to managers and alerts them to problems	Provides lessons, highlights significant accomplishment or program potential, and offers recommendations for improvement

Source: Kusek and Rist, (2004).

2.1.9. Monitoring and Evaluation Systems

Simister (2009) notes that M&E systems are understood as a series of policies, practices and process that enable the system to undertake effective collection, analysis and use of M&E information. Traditionally, M&E systems focused on the outputs rather than the benefits gained by the service beneficiaries. They are also used to ascertain the reasons for the success or failure of an intervention.

2.1.10. Traditional Monitoring and Evaluation system

The traditional M&E system focused on the outputs and is designed to address compliance the ‘did they do it’ question. It focuses on inputs, activities and outputs and links it to a specific unit of responsibility. In the case of a human settlement development programme with an allocated budget, the traditional M&E system would focus on the under- or over-expenditure by the department responsible. It would not consider the reasons for the under- or over-expenditure, the value of the human settlement development to the beneficiaries, or the relevance of the development. It does not provide an understanding to the different stakeholders’ perspectives and the causes for the success or failure of the project, programme,

or policy. Due to its lack of focus on the outcomes and impacts, it gained limited success and was overtaken by the results-based evaluation system (Govender, 2011).

2.1.11. Systematic Monitoring and Evaluation System

A results-based M&E system considers both the external and internal organizational systems and environments. The Presidency (2007) defines the M&E system as a set of organizational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships, which enable the three spheres of government and other institutions to effectively discharge their M&E functions. An M&E system is an organizational process that enables the institutionalization of M&E functions within the day to day activities that contributes towards the strategic organizational goals and enables government to take corrective actions on the extent of target achievement to increase the quantity and quality of services provided (Treasury, 2007). This is summarized in Table 3 below.

Table 3: Components of a Monitoring and Evaluation system

M&E System	Organizational Structure		Standards	
	Management Processes		Information Systems	
	M&E Strategy		Indicators	
	M&E Plans		Reporting Lines	
	Accountability Relationships			
Enabling Factors	Leadership	Resources	Culture	Processes
Institution Impact	Good Governance	Improved Service Delivery	System Thinking	Organizational Learning

Source: Adapted and Modified - Website: www.afrec.co.za

2.1.12. Methods of Monitoring

Jacobs (2010) discussed three common methods of monitoring and evaluation. These are the feedback system, participatory monitoring and evaluations, and logical framework. The feedback system is described as a systematic way of monitoring in which data is fashioned to reflect the perceptions of intended customers of how well an intervention is working. This method is said to be used to monitor the implementation processes such as the value of services delivered by the implementation staff (Jacobs, Barnett & Ponsford, 2010). The

participatory M&E approach is described as a combination of different methods, but the underlying factor is that the people who are fundamentally affected by the intervention are key participants in the tracking process and are helping to shape the results of the intervention and the implementation process (Jacobs, Barnett & Ponsford, 2010).

The logical frameworks approach was initially a US military method of planning and later adopted by USAID for the monitoring of its development programmes. It has become a widely accepted approach for the planning, monitoring and improvement of development interventions (Jacobs, Barnett & Ponsford, 2010). The logical framework, is usually a matrix which describes the activities of the intervention being monitored, the expected outputs, outcomes and impacts. Jacobs (2010) has submitted that these three approaches address the varying needs of different stakeholders such as managers, donors and field staff. While logical frameworks are used generally by managers and donors for analyzing and comparing projects, the participatory M&E approach helps field staff as they are able to engage more closely with local people.

A bridging approach between the two is the feedback system, as it helps field staff to engage with local people and provides data for managers and gives them an indication where to focus interventions (Jacobs, Barnett & Ponsford, 2010). Jacobs, Barnett & Ponsford (2010) have argued that these approaches could influence the success or failure of the implementation, for instance, if the chosen approach meets the needs of a particular group of stakeholders, these may lead to obtaining their support for the programme hence there may be less resistance to implementation.

2.2. Evaluation Approaches

There are a number of evaluation approaches that are in use. The evaluation approaches is the way of looking at or conceptualizing evaluation which often incorporates a philosophy and a set of values.

2.2.1. Utilization-focused evaluation

This approach determines the methods based on what is going to be most useful to different audiences. Utilization-focused evaluation begins with the premise that evaluations should be judged by their utility and actual use. Therefore, evaluators should facilitate the evaluation

process and design any evaluation with careful consideration of how everything that is done, from beginning to end, will affect use (Patton, 2012).

2.2.2. Empowerment evaluation

This emphasizes that the evaluation process and methods should be empowering to those who are being evaluated. This form of evaluation approach is designed to help communities monitor and evaluate their own performance. It is used in comprehensive community initiatives as well as small-scale settings and is designed to help groups accomplish their goals. According to Fetterman (1993) "Empowerment evaluation is the use of evaluation concepts, techniques and findings to foster improvement and self-determination". An expanded definition is: "Empowerment evaluation is an evaluation approach that aims to increase the likelihood that programmes will achieve results by increasing the capacity of programme stakeholders to plan, implement and evaluate their own programmes"(Fetterman, 1993).

2.2.3. Goal-free evaluation

Goal-free evaluation is any evaluation in which the evaluator conducts the evaluation without particular knowledge of or reference to stated or predetermined goals and objectives. This external evaluation model typically consists of an independent evaluator who is intentionally screened from the programme's stated goals and objectives in hopes of reducing potential goal-related tunnel vision. According to Scriven (1972), the logic behind avoiding stated goals and objectives have to do with "finding out what the programme is actually doing without being cued as to what it is trying to do. If the programme is achieving its stated goals and objectives, then these achievements should show up; if not, it is argued, they are irrelevant." The goal-free evaluator attempts to observe and measure all actual outcomes, effects or impacts, intended or unintended without being cued to the programme's intentions (Scriven, 1972).

2.2.4. Theory Based Evaluation

Theory-based approaches are concerned with not only what works, but also on why an intervention achieved its intended impact or why it did not and how it worked or did not work. This type of evaluation approach puts an emphasis on detailing the assumptions on which a programme is based (intervention logic) and follows those steps to see if they occur (Birckmayer & Weiss 2000). Theory-based evaluation is concerned with impact in terms of

investigating final results and attribution to the intervention being evaluated, and therefore committed to internal validity. However, it does not allow this concern to interfere with the main task of establishing how any impacts are achieved and why exactly they are not achieved when they are not, which are the keys to doing better next time (Birckmayer & Weiss, 2000).

2.2.5. Strategic evaluation

This approach emphasizes that evaluation design decisions should be driven by the strategic value of the information they will provide for solving social problems (Duignan, 1997). Strategic evaluation is the assessment process that provides executives and managers performance information about programmes, projects and activities designed to meet business goals and objectives. This is as significant as strategy formulation because it throws light on the efficiency and effectiveness of the comprehensive plans in achieving the desired results (Duignan, 1997).

2.3. Types of evaluation

Once one has determined which programme activities in the logic model should be evaluated, one can begin to identify the types of evaluation to be conducted. There are several types of evaluations that can be conducted. Some of them include the following:

2.3.1. Formative evaluation

Formative Evaluation ensures that a programme or programme activity is feasible, appropriate and acceptable before it is fully implemented. It is usually conducted when a new programme or activity is being developed or when an existing one is being adapted or modified. This evaluation activity is directed at improving a programme's design, planning, development and implementation. Formative evaluation is a disciplined approach to ensuring that a programme is well developed. It has been developed relatively recently in the history of the evaluation profession (McClintock, 1986). There are various models for how it can be undertaken, but it is directed at ensuring independent constructively critical input into programme development. For instance, a separately funded independent formative evaluation team can work alongside programme planners. This team critically assesses the decisions that are being made and can provide regular, formal feedback to programme

planners and programme funders. Formative evaluation may use both quantitative and qualitative techniques to collect data for development of the programme or improve its design.

2.3.2. Outcome Evaluation

Outcome evaluation measures programme effects in the target population by assessing the progress in the outcomes or outcome objectives that the programme is to achieve. Outcome evaluation also includes terms like intermediate outcome evaluation and impact evaluation. It is any evaluative activity directed at determining the positive or negative intermediate or longer-term outcomes of a programme. It is sometimes also referred to as summative evaluation, which also includes the aspect of making an overall assessment of a programme. Outcome evaluation looks at whether a programme has achieved the outcomes it is seeking. Where this can be done, this is very useful information for stakeholders, particularly if it is in a form in which the effectiveness of the programme being evaluated can be compared with other strategies for achieving the same outcomes (Mohr, 1999).

In real-world programmes, the final outcomes being sought by a programme may take a number of years to achieve and may be outside the timeframe of the measurements being undertaken in an evaluation. Given this, there is a way in which evaluation designers can give outcome-type results earlier within periods that are more useful for policy decision-making. This entails the development of an “outcome hierarchy” for a programme or policy. This is a set of outcomes that range from immediate outcomes of the programme or policy to intermediate and then final outcomes. An argument needs to be mounted such that each step in the outcome hierarchy is likely to imply that the next step will occur. If this argument is sound, then intermediate outcomes can be measured at an earlier level, within reasonable periods, and the assumption made that there is a good chance that the later steps in the outcome hierarchy will also take place in due course (Mohr, 1999).

These three purposes of evaluation can be linked because the information arising out of a formative evaluation can be used for both improving a programme and as part of process evaluation documenting what happened in a programme. Formative, process and outcome evaluation from one programme can be used to feed into the formative evaluation of a new programme.

2.3.3. Process evaluation

Process evaluation determines whether programme activities have been implemented as intended. It is directed at describing or documenting what actually happened in the context or course of a programme. Process evaluation can provide extremely useful information about what actually happened in a programme. It can be crucial for communicating best practice to others who want to replicate elements of a successful programme. According to Duignan (1989), process evaluation gives someone who wants to replicate a programme detailed information on what was done, what problems arose and what solutions were adopted to mitigate those challenges.

A second use of process evaluation is in the interpretation of outcome evaluation results. For instance, a programme may not have proved successful on an outcome evaluation. However, when looking at the process evaluation from this programme, it will be clear that the negative outcome was a result of specific events that derailed the programme. In the light of this, one should not dismiss the possibility that this type of programme, if implemented as planned, it could have been effective.

A third use of process evaluation is when it is used to examine the context of a programme and the decision making leading up to that programme being introduced. For instance, there may be ‘problem definition creep’ in the early decision-making phase about the programme objectives and what type of programme should be run. This may lead to a programme being designed that is easy to implement rather than one which is more difficult to implement but which is more likely to achieve success with the substantive problem being addressed (Duignan, 1989).

2.3.4. Impact evaluation

Impact evaluation assesses programme effectiveness in achieving its ultimate goals. This is an assessment of how the intervention being evaluated affects the outcomes, whether these effects are intended or unintended. The proper analysis of impact requires a counterfactual of what those outcomes would have been in the absence of the intervention (Duignan, 1989). Gertler, Martinez, Premand et al. (2011) have proposed that impact evaluation assesses the changes that can be attributed to a particular intervention such as a project, programme or policy. It looks at both the intended ones as well as ideally the unintended ones. In contrast to outcome monitoring, which examines whether targets have been achieved, impact evaluation

is structured to answer the question of *how would outcomes such as participants' well-being have changed if the intervention had not been undertaken?*

This involves counterfactual analysis, that is, “a comparison between what actually happened and what would have happened in the absence of the intervention.” Impact evaluations seek to answer cause-and-effect questions. In other words, they look for the changes in outcome that are directly attributable to a programme (Gertler, Martinez, Premand et al., 2011). Impact evaluation helps people answer key questions for evidence-based policy making: *what works, what doesn't, where, why and for how much?*

According to Baker (2000), impact evaluation has received increasing attention in policy making in recent years in the context of both western and developing countries. It is an important component of the armory of evaluation tools and approaches and integral to global efforts to improve the effectiveness of aid delivery and public spending more generally in improving living standards (Baker, 2000).

2.4. Challenges of monitoring and evaluation

Munce (2005) has argued that M&E may not contribute sufficiently to development outcomes of any programme implementation due to lack of stakeholder participation and poor conceptualization of M&E among some stakeholders and the lack of M&E capacity building. Annecke (2008) identifies the challenges of types and methodologies of M&E to include the initial question of what should be measured. There is a question of determining whether the programme is ready for evaluation. Deciding what approach to use is sometimes compounded by the diversity of stakeholders and their diverse needs. The issue of resources, namely, financial, technical and human and time constraints, to demonstrate change is another matter. Developing appropriate and useful indicators and the difficulty of attributing impact to the project are challenges. The method of data collection is another problem, including user perspectives and the question of participation.

2.5. Conclusion

This chapter has discussed issues concerning the use of the M&E by NGOs. The chapter identified and defined relevant concepts that inform the study. The chapter demonstrated the conceptual link between the concepts of public policy from the assertion that social programmes are often used to address recognized social problems in a society (Rutman 1989, in Babbie & Mouton 2002). Social programmes are often developed to aid the

implementation of a policy in order to sufficiently meet a need in a given society. M&E plays an important role in tracking the accuracy and efficiency of the implementation process. M&E provides a mechanism through which programme delivery can be improved as implementation deviations are checked and corrected through data provided by monitoring and evaluation.

When looking at the purposes and use of M&E in a given programme, there are often different and conflicting purposes that motivate different M&E researches because the different stakeholders determine them. The duty of the evaluator is to identify different stakeholders, their interest in the programme and what they want to know about the programme. The different needs of stakeholders determine what type of evaluation is necessary. This is also dependent on what stage in the life of a programme the evaluation takes place. Finally, this chapter identified some common challenges that confront organizations in trying to use M&E in their programme implementation.

Chapter 3: Case study

3.1. Introduction

This chapter seeks to describe Umthombo Street Children-SA (USC-SA) which is the organisation that is chosen to be used as a case study to complete this research project. This chapter will begin with a history and brief background of USC-SA. It will present its mission and vision, its objectives and describe its community outreach programme. The chapter will discuss the programmes that are implemented by USC-SA towards the realisation of the organisation's mission. This chapter will also focus on how M&E is integrated into the work of the organisation. Finally, this chapter will focus on the M&E activities of USC-SA, and the aims and objectives of M&E within USC-SA. This is can be presented by identifying the different kinds of monitoring and evaluation that are undertaken within USC-SA, and their main purposes.

3.1.1. Background of Umthombo Street Children-SA

Umthombo Street Children is a South African Section 21 Company and Non-Profit Organization (NPO) committed on providing alternatives for street children and a way out the streets (USC-SA Document, 2004). USC-SA is based in Durban and its team is a fusion of social work professionals and childcare-trained former street children. USC-SA has a unique understanding of the dynamics of the street child experience. The founders of USC-SA have extensive experience working with children and youth living on the streets. They have been working with street children since 1992.

USC-SA was known as Durban Street Team in 1998 when it was an outreach and aftercare organization. A lot has changed since then. In 2004 it was renamed Umthombo Street Children-SA. In 2005 USC-SA was registered as a non-profit organization. It has developed a model of intervention based around the fusion of high-intensity engagement programmes and psychosocial support towards an alternative to the streets. The central point of its activities is its 24/7 drop-in center called Safe-space, in the Point area of Durban (USC-SA Document, 2004).

3.1.2. The vision and mission of Umthombo Street Children-SA

USC-SA's vision is to provide a progressive and recognized best practice model that offers alternatives to street life to children that live around Durban streets and its mission is to play

an active and facilitative role in the reintegration and empowerment of both children and youth living on the streets back into society. This is achieved through the implementation of effective services and programmes (USC-SA Document, 2004).

3.1.3. The aims and objectives of Umthombo Street Children-SA

USC-SA has identified the following as its objectives:

- *Outreach:* Identifying children on the streets and developing a relationship of trust with them.
- *Reintegration and Aftercare:* USC-SA's safe space leads children towards reintegration into society. If family reintegration is possible USC-SA works with both the families and the children to ensure that the process is smooth and in the best interest of the child. It takes children back into school system when needed, and provides any assistance required. Children who have been reintegrated remain in USC-SA's aftercare programme.

3.1.4. Core business of Umthombo Street Children-SA

In order for USC-SA to realize its core business and deliver their mandate successfully, it implements specific functions in its outreaches. In order to achieve the above, USC-SA uses certain tools and services such as:

- Transformative Activities
- Education (Numeracy and Literacy)
- Psycho-Social Interventions
- Accommodation and Nutrition (for the Drop-In Centre)
- Family work – Reintegration and Alternative Care
- Access to relevant documentation
- Health and Hygiene (Basic)

To achieve the core business objectives of USC-SA, it is necessary to include specific outcomes and key indicators by which it measures its successes and weaknesses. This will ensure that they consistently measure and adhere to the given timelines and objectives of their business strategy.

3.1.5. Values of USC-SA

The values of the organization determine the organizational behaviours and how they set out to live each day striving towards their mission and vision mentioned above.

- To foster an environment for creativity and innovation
- Promote open and transparent communication.
- Live out accountability and integrity at all times.
- Display commitment and passion at all times.
- Restore hope and provide a nurturing environment for children and youth living on the streets.

To realize these aims and objectives, USC-SA has designed a programme which seeks to achieve them.

3.2. Programmes of Umthombo Street Children-SA

The main goal of USC-SA is to help poor and vulnerable children and youth who stay on the streets to feel empowered socially so they can take care of their own lives. This is achieved by implementing programmes aimed at empowering them. The work of the organisation is intended to make the target groups self-dependent by giving them skills to generate a means of living through the use of skills and their talents. The aim is to achieve a sustainable livelihood in the long run (USC-SA Document, 2004).

3.2.1. Outreach

- High intensity engagement programmes: The rationale of these programmes is to provide recreation as an alternative to substance misuse but also as a tool to teach life skills, self-esteem and motivation.
- Working with relevant partners: Improve efficiency of outreach across Durban and avoid duplication of resources as well as a means of referral.
- Outreach camps: Outreach Camps prepare children and youth for reintegration through a combination of recreational programmes with psycho-social interventions.

- On foot outreach: Strategic mapping out of locations and areas in which the children stay to take our services to them with the aim of building rapport and ascertaining whether we can meet their needs.

3.2.2. Reintegration and Aftercare

- Family Mediation: Working with the families to improve conditions for the child at home and imparting parenting skills.
- Back to school: Helping the family to register the child in school or youth for ABET school or training, providing material assistance when required such as uniform, stationary etc. Making an application for a child to be exempt from school fees if necessary.
- Material Assistance: Up to 3 months food parcels can be provided to low income families to aid the reintegration process.
- Statutory work: Making referrals to local Department of Social Development or Home Affairs to ensure sustainable ongoing support for families.
- Referrals: Referral to shelters, rehabs, charities, support groups again to ensure sustainable ongoing support.
- Aftercare camps: Taking reintegrated children away for a weekend with an aim to increase resilience for coping with challenges at home. This allows for a recreational break for children and some rest for families.
- Employability and independent living: Providing life skills programme to youth to equip them with soft skills that will assist in finding and keeping employment. Working with local businesses to improve employability, skill building and entrepreneurship.

3.2.3. Psycho-Social

- Case Work: One to one work with children to establish a care plan and monitor their progress with it.
- Individual and Group therapeutic work: Assisting children with motivation, self-esteem, and emotional management and generally coping with their life experiences.
- Education: This includes a basic Literacy and Numeracy programme as well as raising awareness relevant issues such as money management, substance misuse.

3.2.4. Health

- **Basic Health Assessment:** Keeping accurate records of the children's health needs and status of health.
- **Basic First Aid and medical provision:** Providing children with the basic health needs both in the center and on the street through the outreach programme.
- **Referral to healthcare facilities:** Making referrals, when required, to the relevant healthcare facilities and where possible establishing partnerships such as spec savers, HIV and AIDS clinics etc.
- **Basic Hygiene:** Providing services for, educating on and encouraging children to prioritize personal hygiene. This includes bathing and laundry facilities.
- **Education and Awareness sessions:** These are based on issues relevant to the children and youth.
- **Nutrition:** A feeding programme in the drop in center providing three meals per day.

3.3. Monitoring and Evaluation within the Umthombo Street Children-SA

USC-SA has reputation of monitoring processes and their initial research, which was an appraisal study for their programmes, was monitoring the implementation and impact of their programme and performance of the interventions in the lives of their beneficiaries. In order to measure the successes and challenges of its programmes, USC-SA has incorporated M&E into its management system. Various aspects of the programmes are monitored and evaluated. The M&E tools help to ensure effectiveness of the implementation of their policies and strategies with respect to projects and interventions by monitoring and evaluating their outputs, outcomes and impact of their implemented interventions (USC-SADocument4, 2010). In general essence, M&E practice allows the organisation to learn and improve its performance continuously. The monitoring process is undertaken during the entire lifetime of the programme. USC-SA only conducts evaluations when need and funded(USC-SA Document 4, 2010).

3.4. The purpose of monitoring and evaluation within USC-SA

The purpose of M&E at USC-SA is to document activities and processes of its programmes and track levels of service consumption, facilitate continuous research, and provide information to determine the impact of their outreach programme in street children and their

families and communities at large (USC-SA Document 3, 2007). M&E is implemented as a management tool for measuring the performance of the organisation.

M&E at USC-SA is aimed at measuring whether or not their focus on reintegrating both children and youth living on the streets back into society is working, and the reasons for this. This also relates to the cost implications of running the programme and providing justification for such costs. Secondly, data need to be collected to improve on organisational learning and to ensure better delivery of services. The monitoring framework of USC-SA outlines the aims and strategies for monitoring. It states that the main objective of monitoring is to track the progress of their interventions, to determine whether implementation of projects and their results meet the planned objectives; to assist in creating a culture of learning and improving performance of the programmes and to inform decision-making in the planning, designing and budgeting stages of its project (USC-SA Document 4, 2010).

3.5. Monitoring and evaluation approach within USC-SA

USC-SA has approved a M&E approach that is results-oriented and is based on the logical frame (inputs, activity, outputs, outcome and impact). Their results model runs from inputs to activities to outputs to outcomes and ultimately impacts (USC-SA Document 4, 2010). This approach specifically outlines the changes that are expected in the various stages of the programme and intervention implementation.

This monitoring approach aims to “track the progress and efficient use of a project’s resources” (USC-SA Document 3, 2007). This M&E approach is meant to collect both qualitative and quantitative data which will assist in routine monitoring. The baseline data is collected on every individual joining the organisation or receiving services from the organisation. The data are collected using different forms (see attached appendix). The data collected with these forms are used in monitoring the programme or interventions performance. They also provide information on composition of how many individuals, gender and age of children receiving services. The socio-economic background of any new child or youth is obtained against which follow-up status assessments will be done to determine any changes after integration to his or her family (USC-SA Document 3, 2007). The other kind of data collection is the impact assessment survey used to collect data for the second level of assessment. This is where data will be collected periodically for measuring the changes in the lives of family members from the time they have integrated a person. The

impact assessment tool collects in-depth data to measure the impact of the programme on the beneficiaries.

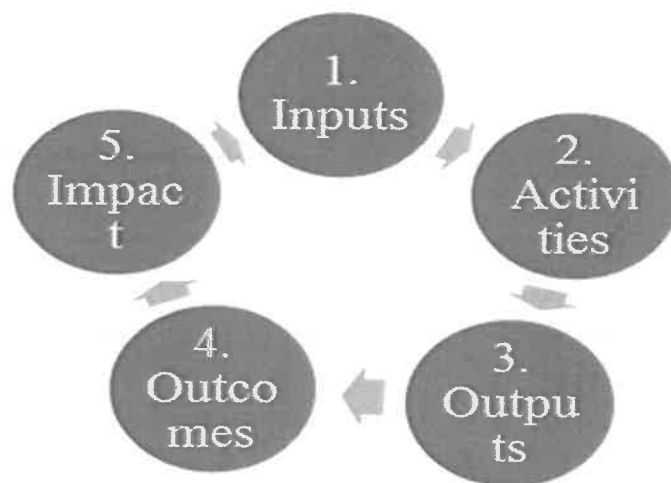


Figure 1: Monitoring Logical Framework (USC-SA Document 3, 2007)

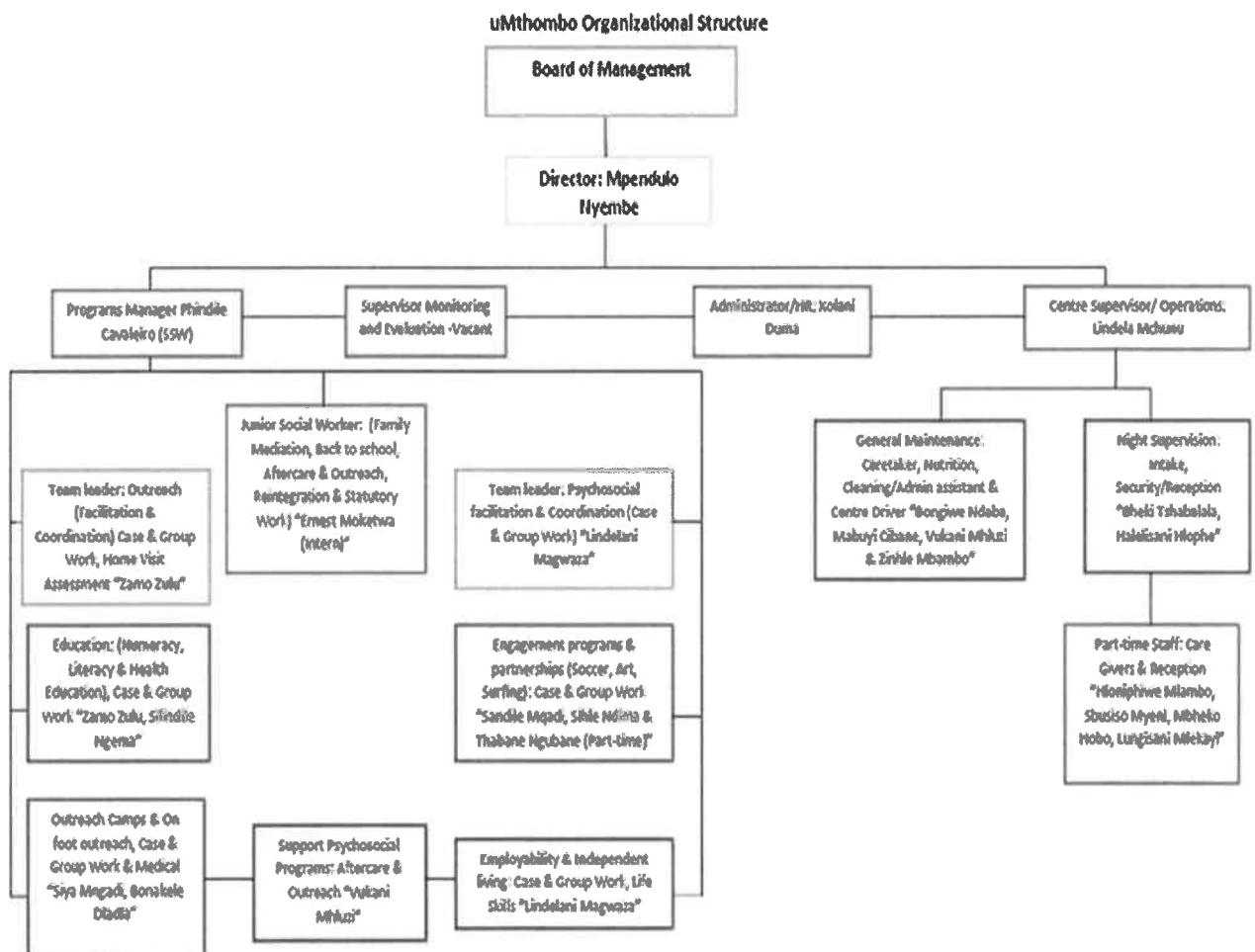
3.6. Data collection instruments used for monitoring and evaluation in USC-SA

USC-SA systematically collects useful data through different monitoring tools or instruments (see attached appendix). These tools among other things involve the intake form, social workers' process notes, progress assessments, family assessment forms, impact assessment surveys etc. These forms are used to gather information and data from the beneficiaries. The use of questionnaires and semi-structured interviews is used to identify loopholes and areas that need adaptations to programmes.

They use software called 'EpiSystem' to capture raw data collected from the field for processing into functional information. Many individuals are involved in feeding information into the system from the different programmes implemented by USC-SA. The EpiSystem helps to measure the performance of each programme being implemented. The EpiSystem is important for monitoring the financial performance of the organisation. USC-SA programmes are mostly funded by external donors who require knowledge of how the funds are being utilised and whether the programmes are achieving their targets. The organisation uses the EpiSystem to analyse data and to provide the information needed by the donors (USC-SA Document 3, 2007).

3.7. Role players in monitoring and evaluation process in USC-SA

There are many individuals involved in ensuring that the aims and objectives of USC-SA are successful. The people involved perform roles that are either external or internal. Figure 2overleaf shows the organisational structure of the people involved in the work of Umthombo. Information regarding the performance of each intervention is collected right up to the top management of the organisation and results achieved from the used funds are reported to the donors. This activity forms part of the USC-SA monitoring and evaluation process. Monthly reports are generated from the data collected by the various lines of management with the organisation. Donors and other interested stakeholders use the data to make decisions on whether to continue funding the programme or not. The information is



also used for decision making (USC-SA Document 3, 2007).

Figure 2: USC-SA Organizational Structure (Source: USC-SA Website
page<http://www.Umthombostreetchildrensa.org/who-we-are/organisational-structure/>)

3.8. Conclusion

This chapter has presented some basic information about USC-SA, most importantly its vision and mission, aims and objectives, its programme, its organisational structure and the M&E system of the organization. USC-SA has an established M&E system that consists of the M&E frameworks, the EpiSystem and also the M&E role-players who are involved in the design and implementation at different stages. Evaluations are only done when funded, they are often performed externally. Evaluation activities employ an evaluation team to assist in the gathering and analysis of primary data. This process is overseen by the director of the organisation.

Chapter 4: Findings and Analysis

4.1. Introduction

This chapter presents the findings and analysis of the research conducted on the use of M&E system by a non-governmental organisation. The data for this study were collected through primary and secondary data collecting methods. Primary data were collected through semi-structured interviews of six employees of Umthombo Street-Children SA. Secondary data were collected through organisational documents such as the M&E framework or plan, M&E manual, monthly and yearly update reports and field reports. Those interviewed included a Director of the organization, two managers responsible for implementation, two staff members, and the M&E administrator who worked with the EpiSystem data capturing and analysis. These respondents were involved in M&E at different levels within USC-SA. This chapter identifies and explores the various concepts of M&E within the organisation and the uses of the monitoring and evaluation.

The six respondents in this study have been coded as R-1 - the director, R-2 and R-3 - the management staff responsible for implementation, R- 4 and R-5 – the staff members, and R-6 the M&E administrator. In other for the success of the study the following questions were used to guide the semi structured interview with the respondents:

- How is the M&E process understood and interpreted in Umthombo Street-Children SA?
- How is the M&E strategy designed and implemented in Umthombo Street-Children SA?
- What types of M&E does Umthombo Street-Children SA undertake?
- How does Umthombo Street-Children SA use M&E outputs and reports?
- Does Umthombo Street-Children SA have the necessary resources to perform M&E effectively (this includes human resources, tools, skills, time etc.)?
- What are the success and challenges of implementing M&E in Umthombo Street-Children SA?

4.2. Conceptualization of monitoring and evaluation in USC-SA

It is argued that how one defines M&E has influence on how it is carried out. Worthan, Sanders and Fitzpatrick (1997) argue that how one defines evaluation is a product of what one believes the purpose of evaluation to be. The success of a programme is determined by its preparation and conceptualisation (Ile, Eresia-Eke &Allen-Ile, 2012). This means that the

ability of the respondents to describe what M&E is will indicate what they think of M&E. To gain information on conceptualisation of M&E within USC-SA, the respondents were asked to describe their understanding of M&E.

The following responses reflect how M&E is conceived within USC-SA. One of the respondents described his understanding of M&E as follows:

“My understanding is that monitoring and evaluation is a systematic way of keeping track to our programmes and on what we do as an organisation. It helps us to know when we need to develop, change our implementation of our project. It helps us to learn about what we do. It also helps to see how effectively our programme is being implemented” (R-2: 2017).

M&E was described by another respondent as:

“M&E is useful in terms of understanding whether the work that we do is correct and happens as we plan it. It also helps to track where the programme is lacking and improves. It helps to produce evidence of how our programmes are functioning. This helps us to attract more funders and our current sponsors or donors they use the information from the EpiSystem to decide on how much are they going to fund us. It helps us to be transparent to our donors” (R-4: 2017).

Respondent 5, who worked as a general staff member responsible for data collection, said that she was new in the organisation and she was not familiar with the M&E and submitted that

“In my understanding M&E is what the words say. It helps you to know whether you are doing what you are supposed to do” (R-5:2017).

“M&E is a system that helps us to see if the work that we do is meeting the objectives” (R-1: 2017).

When asked about the usefulness of evaluation they indicated the following:

R-1, R-2, R-3 and R-6 (2017) submitted that *“evaluations results are useful when the organisation wants to look at the programme’s impact in order to adjust the implementation strategy for the present programmes and examining the present in order to direct the future programmes”*.

R-4 and R-5 (2017) have highlighted that *“their role in M&E is based on collecting data from the ground and submit it to the implementing managers for decision making base on the programme implementation. The programme managers then submit the data to admin officer who will then make monthly reports for top management and stakeholders”*.

Based on the opinion of Worthan, Sanders and Fitzpatrick (1997) as stated above that “people define evaluation according to what they perceive the purpose of evaluation to be” ,the USC-SA employees have an understanding of the M&E process and they understand their roles and responsibilities in the success of the organisation. This implies that the M&E system in USC-SA is bottom-up, designed and implemented by not only the management. Rubin (1995) asserts the importance of involving implementing staff in the M&E process. He argues that implementing staff are most in need of M&E information to help them improve their performance and he adds that implementing staff have the experience that would help them to identify problem areas in the implementation process (Rubin, 1995). Further, O’ Toole (2001), cited in Hill and Hupe (2002), explains that a top-down approach to policy implementation focuses on compliance and monitoring whereas the bottom-up approach to implementation incorporates innovation, collaboration and creativity.

The understanding of the programme by the staff is crucial in helping the organization learn about the programme. If they understand what they are to do and what the programme is, they can help to check if the programme is achieving its purpose (Jacobs, Barnett & Ponsford: 2010). According to Patton (1997), M&E is conducted as a means of checking programme performance. The differences between the respondents’ views in this study shows that they perform M&E at different levels which then creates a distance between them in terms the process of M&E within the organisation. However, each of the respondents showed an understanding of the concept of M&E based on their roles and responsibilities. It was common amongst them that M&E is a useful system for the organisation.

4.3. The purpose and the use of monitoring and evaluation within USC-SA

According to Weiss (1998), M&E can be undertaken for different reasons and uses. Thomas Dye (1987) explains that the aim of policy evaluation is ‘learning about the consequences of public policy. Ile, Eresia-Eke & Allen-Ile (2012) state that policy monitoring is about making sure that activities and programmes are on track towards achieving desired results. Rubin

(1995) and Babbie & Mouton (2002) have identified the purpose of programme evaluation as generating knowledge and making judgments of worth of the programme to improve performance, and for accountability. M&E's purpose is determined by the people who need the data. This may include but not be limited to funders, programme managers, implementers and beneficiaries, who need M&E information (Weiss, 1998).

Respondents in this study have identified three purposes in the use of M&E in their organization: to generate knowledge, for accountability and for making informed judgments on what works for the organization and how it works.

4.3.1. Monitoring and evaluation as a tool to generate knowledge.

Estrella & Gaventa (2008) have noted that M&E is an educational experience for those involved in the programme. The director of Umthombo Street Children-SA has indicated the purpose and the use of M&E as:

“There are many things that we use M&E for part of this is that we don't want to implement the programme that is not practical and not helping our beneficiary... M&E provides us with information that assists the organisation and the donors and other coordinating groups in formulating policies and guidelines relevant to the project's area of operations. It keeps stakeholders or donors up to date on the status of the project. Usually, interest does not end when funds have been transferred to us”(R-1: 2017).

R-3 (2017) has submitted that

“...we do M&E to inform us of the status and implementation level of the programme. It helps to inform us on the areas that need improvement and why”.

The other respondent has provided that:

“I can say that our purpose and the use of M&E is that we to get a truthful and valid data for decision making about the programme implementation. This information can also describe the lessons learned. The information generated can also be used by anyone if they were to replicate the programme, the information that we generate through M&E can show how the programme works and challenges faced by the programme” (R-2: 2017).

A regular M&E often has the hope that ineffective practices can be identified before they do lasting harm (Weiss, 1998).

This study found that M&E concept was a relatively new within the organisation. This was evident based on the fact that when the respondents were asked a follow-up question regarding their programme formulation, whether they did pre-evaluation studies during the initial phase of their programmes, almost every respondent answered negative. According to Brunner (2004), establishing M&E at the inception of a programme is the best way to ensure that it is effective and sustainable, because it has the potential to be ongoing and incorporates the perspectives of those who need the intervention.

4.3.2. Monitoring and evaluation for accountability

The conceptual framework identified that accountability-related reason for M&E is to serve the needs of funders or donors, and to investigate whether an alternative programme is less expensive and more effective (Rubin, 1995). NGOs are organizations independent from the state. They are usually funded by donations. Implementing managers have suggested that funders or donors are part of the reasons why they do M&E.

“M&E helps us when we need funding...to be able to report back to our funders about the resources they give us on yearly basis. Donors always want to know how their money is spent” (R-2: 2017).

Other responded:

“The reports we generate help us to know how we are doing and track records on how we are spending our resources as an organisation (accountability and transparency)”(R-5: 2017).

Respondents 1 and 6 has shared the sentiment on M&E for accountability and submitted that:

“Donors need to know what the organization does and who are the beneficiaries or targeted people on the programme. Once they make funding available then the organization owes them reports of how we are implementing the programme and directing the resources to targeted beneficiaries” (R-1 and R-6, 2017).

M&E should be undertaken with the intention to use its results, when the results can inform decision making processes meaningfully (Rist, Boily & Martin, 2011).

4.3.3. Monitoring and evaluation for evidence base decision making

According to Babbie & Mouton (2002:337), “the evaluations which aim at establishing the intrinsic value, merit or worth of a programme are judgment oriented”. Evaluation tries to determine programme success and its effectiveness in meeting objectives and goals. The literature on the use of M&E reveals that it is done for many different reasons, which may include organizational learning and accountability to donors (UNDP, 2002). Rossi and Freeman (1993) stated that the basic purpose of monitoring is to see how well programmes are reaching targets beneficiaries, whether delivery is going according to its initial design.

“Monitoring and evaluation is mainly done for decision making. When you do monitoring you track the programme performance and the factors that affect it. As a programme manager you can see if the trends begin to change and you take measures to adjust or correct the situation for a better performance of the programme” (R-1, 2017).

Another respondent has submitted that:

“...with monitoring information you can be able to see if the intended objectives of the programme are being meet or not, this information can also tell you if the implementation phase is not meeting the target beneficiary needs as the programme is planned. It is at that level when the management sits and looks back to the strategic objectives of the organization to see where to adjust the programme that the organization implements” (R-6, 2017).

The performance of the project determines how decisions are made to shift the focus and cause change in strategies by learning from mistakes (Tuckerman, 2007). Respondents made reference to one event that led to changing the data collecting instruments. They explained that after the management meeting after 2015 end year report they made an announcement that the forms that they use to collect data need to change as they lacked some detail. New forms were developed and staff members were trained in a workshop to understand the new changes. They believed that the change was a result of the information from monitoring (R-3, R-4 and R-5, 2017).

4.4. Umthombo Street Children-SA monitoring and evaluation frameworks

The World Bank (2004) states that M&E systems must have the capacity to develop indicators, data collection tools, and analyse M&E reports against indicators and baseline data. The M&E framework is a system that describes the indicators that are used to measure whether the programme is a success. The M&E framework aims to guide data collection and provide data that would help to measure the effectiveness of the organizational programmes (Van der Riet, 2009). USC-SA has developed an M&E framework that is meant to define and guide how M&E is carried out during the implementation of various aspects of its programmes. This even goes to the extent of when to report on organizational programmes. According to Ile, Eresia-Eke and Allen-Ile (2012), M&E plans are at the heart of the organizational performance of the M&E system. The functionality of the M&E system depends on how well the M&E plans are designed and implemented.

4.4.1. The design of framework

USC-SA under the guidance of a consultant first developed their M&E framework in 2007. It was intended to be used by the organization to guide data collection on the programmes being implemented by the organization.

“Our very first monitoring and evaluation framework was developed in 2007 with the assistance of the consultancy. During this process it was the management and the consultant, this was initiated after consideration that we need to have uniformity in terms of data collection, reporting procedures etcetera...the focus was based on how we are going to collect data in our programmes. We decided that, as part of the standard operating procedure, the monitoring and evaluation framework is going to be reviewed every three years. This was to ensure that we learn and adapt every time. This framework helped us to be able to guide the management on how to develop indicators for each programme” (R-1, 2017).

Brunner (2004) warns against using highly technocratic M&E systems that are monopolized by inflexible M&E specialists. He adds that it is ideal to enhance the learning capabilities of staff regarding M&E as something essential for organizational survival and sustainable development. When there is no involvement of stakeholders, especially the programme staff members, they would not be capacitated for M&E and this often causes M&E not to contribute sufficiently to the development outcomes. Although the M&E system within USC-

SA did not involve all staff member from the very first framework, the respondents have indicated that they were involved after every three years of the review of the framework. The management does incorporate the concerns of different stakeholders and includes their participation. This allowed for lessons to be learnt for improving the framework.

The respondents have submitted that:

“...the person with the responsibility to guide the process of developing the framework or a review of it is the director of the organization but he cannot do that without our inputs as staff members responsible for implementing the organizational programmes” (R-4 and R-5, 2017).

Another respondent has given the following comment:

“Even though I was not part of Umthombo Street Children-SA at the time they developed any of their monitoring and evaluation frameworks... but my experience tells me that yes... the director is responsible for giving strategic objectives, but he needs also to involve the staff in every change that will affect them. This is to say that the organization has identified that certain things need to change as it does no longer assist the organization. This is to say that every change needs to be communicated with the people it affects so they will give their views on that subject. This is important in maintaining good work relations even though the final decision will have to made by the top management” (R-6, 2017).

“At Umthombo Street Children-SA we are always trying to be a leading organization in handling street children issues, we are always trying to be innovative in what we do and in that note we do encourage our stakeholders and staff members to come up with ground breaking ideas that will have impact in people’s lives. So if we don’t have the data to prove that what we are doing has an impact then it is unlikely that we will be sustainable as an organization. It also helps in the design of the framework” (R-1, 2017).

The data collected suggest that in designing the M&E framework in USC-SA, there is no participation from the beneficiaries’ side. Brunner (2004) has suggested that in order to develop a context-sensitive M&E framework, beneficiaries’ views in planning development indicators are vital.

4.4.2. Comprehensiveness of the monitoring and evaluation framework

Groene and Branda (2006) have submitted that the complexity of M&E systems is having too many tools for the sake of collecting data on diverse aspects of the programme under implementation. Some of the responses obtained from USC-SA depict similar issues.

“We have about 15 different forms for data collection. Some of these forms are more than 10 pages long and duplicate some information. We have a bit complex and too comprehensive a system. We need a simpler ways that will actually take few minutes to complete and be able to gain as much as possible information” (R-6, 2017).

4.4.3. Data gathering process

Anneck (2008) states that developing appropriate and useful indicators is always a challenge to a M&E system. When appropriate indicators are identified, data are needed that would inform these indicators to reveal useful information about the programme. A system has to be in place to provide data from the programme that would help management and the entire organization to know what is going on (Weiss 1998). On this note, Mitchell (2010) stresses that consistent performance reporting is vital to the M&E process. USC-SA produces regular monthly reports from the data of the programmes.

4.4.4. Data collection instruments

Babbie & Mouton (2002) recommend that when there is multi-site service delivery, a standardized means of collecting data from all sites is necessary. This entails creating one standard for data collection that applies to all field workers during data collection. This section examines responses to the problems and challenges of keeping M&E system useful and relevant through a standardized data collection instrument that facilitates the gathering of routine information for M&E. Even if the purposes of M&E are well determined, the kind of data being gathered, which depends on the appropriateness of the data collection instruments, can influence the kind of data collected, which in turn determines whether or not the relevant questions can be answered by the study. This section gives the respondents' views on why the instruments are useful, who designs the instruments and how training is provided for the use of the instruments and the challenges related to these issues. This study found that USC-SA has more than 15 documents that are being used to collect data from the various programmes of the organization.

4.4.5. Planning and budgeting for monitoring and evaluation implementation

Kusek (2009) stated that M&E functions must work collaboratively with the planning and budgeting functions. In this case, M&E needs to be budgeted for, just like the other functions within the organization. The drive towards a result-based management system needs to encompass not only the provision of funds for the programme itself, but also funds towards continuous monitoring from which effective evaluations can be carried out (Ile, Eresia-Eke & Allen-Ile, 2012). The issue of planning and budgeting for the implementation of M&E systems to an extent determines the success or failure of the implementation process (Wu, et al., 2010). The data in the present study reveal that one of the issues that affected the implementation of the framework that was designed in 2007 was lack of funding for implementation.

“Budget for monitoring and evaluation has always been an issue for non-governmental organizations around the country. This is intense in a sense that we do not do evaluations because we do not have capacity to do that and we rely on consultants for that excise. We only do evaluation if we have funding specific for it. With monitoring its part of management excise so we cannot escape it” (R-1, 2017).

4.5. Challenges of monitoring and evaluation in USC-SA

The study has identified challenges in M&E within the organisation that were encountered during the design of M&E for USC-SA. Brunner (2004) has emphasized that the monitoring system should be tailored to a programme from the onset, so that management, staff and other participants can develop an organizational culture that is sensitive to it. Human capacity and the lack of finances are found to be the key challenges USC-SA had in administering its tools, as the data suggested implementing the kind of frameworks the organisation would need to train its data collecting employees.

4.5.1. The design of monitoring and evaluation system

De Conincks (2008) states that when M&E is designed as a well-structured system, linked to the planning cycles of the organization, it indicates that the organization is aware that sustainable development depends on a vibrant learning organization.

This response is from the respondent:

“Everyone is responsible for the design of the monitoring and evaluation system, from those who do data collection till to the top management. The management cannot design the M&E without an input from staff and other people who are responsible for implementing” (R-1, 2017).

The director and the staff members should work with the consultant to in designing the M&E process that follows the logical framework. Munce (2005) argues that it is important to have a participatory situation in which all stakeholders take part in the designing stage of the M&E process jointly.

4.6. Conclusion

The data analysis of this showed that the USC-SA has a structured bottom-up monitoring process to collect data from the services being provided by the organisation. USC-SA’s M&E system is institutionalized in the organization to ensure consistent data collection and programme reporting. The findings of this study showed that M&E within the organisation has been done for the purposes of accountability to donors and for organisational learning and improvement in programmes and implementation. The findings revealed that the organization’s M&E system meets the purposes of generating knowledge to improve the programme implementation and performance. The M&E also provides information that helps the organization to make judgements about the future of the programme as well as where changes are necessary. There is evidence that staff at different levels contribute in different ways towards the M&E process. Staff members at USC-SA have been seen to understand M&E based on what they experience during the M&E exercise and how they contribute towards the M&E process. The study has identified the challenges that affect the implementation of monitoring and evaluation. These challenges include, among others, the lack of human capacity, limited finances and complexity of data collecting methods. However, the organisation is striving to conduct data collection for monitoring regularly and is succeeding in that despite the challenges.

Chapter 5: Summary and Conclusion

NGOs and CSOs have become major features in public policy formulation and implementation around the world. Vakil (1997) submits that the failures of state-led development approaches throughout the 1970s and 1980s fuelled interest in NGOs and CSOs as development alternatives, offering innovative and people-centred approaches to service delivery. The good governance concept is not limited only to state activities. The literature highlights that good governance is critical for NGOs and CSOs to maintain their credibility and to be viewed as representative and that means that they too must operate in a transparent, accountable and participatory manner (Atack, 1999 and Barr, 2005). Therefore, M&E has been identified as the modern management tool that is crucial for designing and implementation of organizational programmes. The recognition of the importance of M&E in management has driven organisations into allocating resources to establish M&E systems and implementation within their organisations. M&E is important for NGOs and CSOs to reflect on their activities or initiatives to learn whether they are working or not.

This study concludes that the employees of USC-SA have an understanding of the role and the process of monitoring and evaluation. This study concludes that all respondents from USC-SA have a basic understanding of the concept of M&E. This study concludes that the conceptualisation of M&E in an organisation is an important success factor. It is important to include all affected stakeholders in a design of monitoring and evaluation. USC-SA has an established and well-structured bottom-up monitoring process to collect data from the services being provided by the organisation. Stakeholders perceive M&E according to their contribution towards the programme and the M&E and their different interests in how M&E can help them within the programme. This means that there are subjective conceptions of M&E by each stakeholder which determine what that person considers to be the purposes of M&E.

The study has found that the design and management of M&E at USC-SA is the responsibility of the director, the top management and the consultant. They are in charge of the M&E process, they conduct outreach monitoring visits and they collate data arriving from the field during ongoing M&E and they contribute in the formulation of questions for the M&E investigation, based on their experience. They are responsible to ensure that they meet with data collectors, to ensure that questions formulated for M&E are appropriate for the investigations and whether claims made about the programme performance are accurate.

Beneficiaries of the organizational programmes are the ones providing a majority of the primary data used to assess the effectiveness of the programme or its impact.

The study has revealed that M&E is done for the purpose of accountability to donors and other stakeholders and for organisational learning and improvement in programmes and implementation. This study found that evaluations are only done when funded and they are often performed externally by a consultant. Evaluation activities employ an evaluation team to assist in the gathering and analysis of primary data. This process is overseen by the director of the organisation. The study has identified the challenges that affect the implementation of M&E at USC-SA. These challenges include among other things the lack of human capacity, limited finances and the complexity of data collecting methods. However, the organisation is striving to regular conduct data collection for monitoring and is succeeding in that despite the challenges identified.

The conceptual framework of this study has described a programme as a set of actions used to address need in an undesirable social situation. USC-SA has seven core programmes. The implementation of these programmes is intended to make the lives of beneficiaries better as they deal with street children. The M&E framework of USC-SA was first developed in 2007 by a contracted consultant. This framework is always reviewed in every three years. The M&E framework was described as complex and having too many tools for the sake of collecting data on diverse aspects of the programme under implementation. Among the list of the components of a functional M&E system is the element of human capacity for the implementation of the systems (Gorgens & Kusek 2009). The study concludes that M&E systems can be made more implementable if they are designed with an understanding that the system components are interrelated, from data collection to production of reports. The M&E system should contain fewer tools and should be easily understood by the people who carry out the data collection. The tools with fewer questions were easier to implement than those with many questions.

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Appendices



**UNIVERSITY OFTM
KWAZULU-NATAL**
**INYUVESI
YAKWAZULU-NATALI**

1 November 2017

Mr Sphiwe Zulu 210537484
School of Social Sciences
Howard College Campus

Dear Mr Zulu

Protocol reference number: HSS/1590/017M

**Project title: An analysis of the use of monitoring and evaluation system by Non-Governmental Organizations (NGOs):
Case study of uMthombo Street-Children SA**

Full Approval – Expedited Application

In response to your application received on 1 September 2017, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and **FULL APPROVAL** for the protocol has been granted.

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)
Humanities & Social Sciences Research Ethics Committee

/pm

cc Supervisor: Mr Mark Rieker
cc. Academic Leader Research: Professor Maheshvari Naidu
cc. School Administrator: Mr N Memela & Ms N Radebe

Humanities & Social Sciences Research Ethics Committee


Dr Shenuka Singh (Chair)

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uMthombo - Street Children

(Section 21 Reg: 2005/000362/08 – Non-Profit Number: 040-513-NPO)

Offices: 4 Buxton Gardens,
uMbilu, Durban
4075
South Africa

Tel: 031 205 0512
Fax: 031 205 0492

Email: info@umthombostreetchildrensa.org
Web: www.umthombostreetchildrensa.org

12 December 2016

Dear Mr. Sphiwe Zulu

Re: Monitoring and Evaluation research

This is to acknowledge the receipt of your proposal to complete your research on **Analysis of the use of the Monitoring and Evaluation by Non-Governmental Organizations (NGOs): A case study of uMthombo Street Children-SA, Monitoring and Evaluation Processes.**

We appreciate the interest taken in uMthombo Street Children SA and therefore grant permission to undertake your research study at our organisation.

We are looking forward to a good journey ahead as we create alternatives for the children and youth exposed to street life.

Yours Sincerely

.....
Office Administrator
Mr. X Duma

UMTHOMBO
4 BUXTON GARDENS
UMBILU DURBAN, 4057
TEL: 031 205 0512 FAX: 031 205 0492
info@umthombostreetchildrensa.org

Social Sciences, College of Humanities,
University of KwaZulu-Natal,
Howard College campus.

Dear Participant

INFORMED CONSENT LETTER

My name is Sphiwe Zulu, I am a Master of Social Science student at the University of KwaZulu-Natal, Howard College campus, South Africa. I am doing a research study on the use of the monitoring and evaluation by Non-Governmental Organizations (NGOs): A case study of uMthombo street-children SA. To gather the information, I am interested in asking you some questions.

Please note that:

- Your confidentiality is guaranteed as your inputs will not be attributed to you in person, but reported only as a population member opinion.
- The interview may last not more than 1 hour and may be split depending on your preference.
- Any information given by you cannot be used against you, and the collected data will be used for purposes of this research only.
- Data will be stored in secure storage and destroyed after 5 years.
- You have a choice to participate, not participate or stop participating in the research. You will not be penalized for taking such an action.
- The purpose for this interview is to acquire more information about your experiences as a staff member of uMthombo street-Children sa directly or indirectly involved in the implementation and monitoring and evaluation within uMthombo street-Children sa.
- Your involvement is purely for academic purposes only, and there are no financial benefits involved.
- If you are willing to be interviewed, please indicate (by ticking as applicable) whether or not you are willing to allow the interview to be recorded by the following equipment:

	willing	Not willing
Audio equipment		
Photographic equipment		
Video equipment		

I can be contacted at:

Email: 210537484@stu.ukzn.ac.za

Cell: 084 419 7976

My supervisor is Mr Mark Rieker who is located at the School of Social Sciences, Pietermaritzburg campus of the University of KwaZulu-Natal.

Contact details: Phone: +27 (0) 33 260 5619 Email: riekerm@ukzn.ac.za

You may also contact the Research Office through:

P. Mohun

HSSREC Research Office,
Tel: 031 260 4557 E-mail: mohunp@ukzn.ac.za

Thank you for your contribution to this research.

DECLARATION

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

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

SIGNATURE OF PARTICIPANT

DATE

.....

.....

Interview Guide Questions

- Your understanding about the concept of Monitoring and evaluation
- How are you involved in M&E in uMthombo street-Children sa?
- Who is responsible for designing and managing M&E in uMthombo street-Children sa?
- How are the M&E systems in uMthombo street-Children sa designed and implemented?
Execution/ collect data
- What are your experiences in the implementation of M&E system?
- Why does the uMthombo street-Children sa undertake M&E (purposes of M&E)?
- How is data collected for M&E?
- Does uMthombo street-Children sa have necessary resources to perform monitoring and evaluation (this includes human resources, tools, skills, time etc...)?
- What types of evaluation does uMthombo street-Children sa undertake?
- How do you use monitoring and evaluation in uMthombo street-Children sa?
- What challenges do you encounter when doing M&E system in uMthombo street-Children sa?