



**The Implementation of the Monitoring and Evaluation (M&E) System in Government  
Departments: A case study of the KwaZulu-Natal Department of Social Development**

**By**

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of the requirement for the degree of

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## DECLARATION

I Rudolph Mabutho Madlala declare that:

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- iii. This dissertation does not contain other persons' data, pictures, graphs or other information, unless specifically acknowledged as being sourced from other persons.
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Signature: \_\_\_\_\_

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Supervisor's Signature: \_\_\_\_\_

Date: 26 March 2025

## **DEDICATION**

I would like to dedicate this dissertation to my wife Mrs. Nombuyiselo Mkhize Madlala and my children Wandile, Ayabonga, Khayelihle, Lubanzi & Philangenkosi. I appreciate your presence and support in my life. You have been the light that shines through my darkest days. I will continue to treasure you and ensures that our family continues to grow and flourish through education.

A special thanks to all members of the Madlala and Ndaba family may the LORD GOD of Mercy continue to sthngthen, protect & shower us with his everlasting love. Lastly in the words of my mother's favourite scripture Mrs. Bonisiwe Madlala, "seek ye first the kingdom of God, and his righteousness; and all these things shall be added unto you". Thank you.

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## **ABSTRACT**

The study is centred on “The Implementation of the Monitoring and Evaluation (M&E) System in Government Departments: A case study of the KwaZulu-Natal Department of Social Development”. The Ministry of Performance Monitoring and Evaluation began in 2009, and the Department of Performance Monitoring and Evaluation (DPME) was established in January 2010. The Department of Social Development (DSD) Annual Reports for 2017/18 and 2018/19 contained the Auditor General’s audit outcomes of the Department of Social Development performance information. The audit/s revealed undesirable audit outcomes, with the department. Government departments should be effective in service delivery and efficient in allocating funds for service delivery programmes. The government is expected to report on its budget, programmes and achievements. The South African government has instituted a range of legislative and policy changes. The KwaZulu-Natal Department of Social Development’s mandate is to be delivered according to the South African Constitution and provide an effective, transparent, accountable and coherent intergovernmental system for provincial governments. This study seeks to understand the implementation of the Monitoring and Evaluation System in the KwaZulu Natal Department of Social Development. The study objectives examine the implementation of the M&E system in the KwaZulu-Natal Department of Social Development and understand the role of monitoring and evaluation in the KwaZulu-Natal Department of Social Development. The qualitative research study employed the qualitative research design. This included interviews for data collection and a thematic strategy for data analysis. The study employed the theory of change. The findings show capacity gap between national, provincial, and local government organizations influences evaluations' credibility. The study recommendations support the assertion that M&E contributes to effective programme implementation and a level of good governance; an integrated approach is recommended and emphasised to recognise the multi-faceted nature of social problems.

**Key words:** *Monitoring, Evaluation, System, Department, Government, Accountability, Operations*

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## **Chapter 1: Introduction to the study**

### **1.1 Introduction**

In the West, more variations exist in how M&E is used across academic areas. M&E applies to various sectors, including governance and policy, education, natural resource management, etc. It has become an essential component of research and practice. According to Stem et al. (2005), the group created "adaptive environmental assessment and management" in the late 1960s. Adaptive management is "integrating project design, management, and monitoring to provide a framework for testing assumptions, adaptation, and learning." Since the late 1960s, more academics and professionals have understood the importance of well-designed monitoring and evaluation systems for good project management beyond mere execution (Woodhill, 2000). South Africa held its fourth democratic general elections on 22 April 2009. The government that came to power following the 2009 elections faced several pressures, including persistent poverty and inequality, widespread service delivery protests at the municipal level, and the loss of some political support during the 2009 elections.

These pressures resulted in greater willingness of the ruling party and the government to be frank about the poor quality of public services, corruption, and other governance problems, as well as a political consensus to improve government performance, including a greater focus on Monitoring and Evaluation (M&E) (Cashin, 2012).

The Ministry of Performance Monitoring and Evaluation began in 2009, and the Department of Performance Monitoring and Evaluation (DPME) established in January 2010. When the new administration took office, the new Ministry for Performance M&E published a position paper, "Improving Government Performance: Our Approach" (Presidency, 2009), which outlined the basis for adopting an outcomes approach, including a focus on a limited number of cross-government outcomes (which eventually became set at 12) could focus efforts to promote change. This could also focus on moving government to an impact focus, rather than just conducting activities that often did not translate into impacts on citizens; regular monitoring and reporting to Cabinet of performance on delivery agreements progress. (Cashin, 2012).

The KwaZulu-Natal Department of Social Development, to improve government performance and service delivery, established a Monitoring and Evaluation Unit in 2009. In 2014, the department developed a policy entitled 'Policy on Management of Performance Information'. This policy argued that Monitoring and Evaluation processes are designed to assist the department in evaluating its performance and identifying factors contributing to its service delivery outcomes. (Policy on the Management of Performance Information, 2014, p3).

The Department of Social Development (DSD) Annual Reports for 2017/18 and 2018/19 contained the Auditor General's audit outcomes of the Department of Social Development performance information. The audit/s revealed undesirable audit outcomes, with the department failing to meet its planned performance targets. The performance indicators against which did not meet the SMART principle. The department's M&E unit produced performance information that was inconsistent with the approved performance planning documents. The audit found that the reliability of the performance information produced was neither valid, accurate, nor complete (DSD Annual Reports 2017/18 & 2018/19). On this basis, this study seeks to examine the implementation of the Monitoring and Evaluation (M&E) System in the KwaZulu-Natal Department of Social Development is rooted.

## **1.2 Background and outline of the research problem**

Government departments should be effective in service delivery and efficient in allocating funds for service delivery programmes. The government is expected to report on its budget, programmes and achievements. The South African Government has instituted a range of legislative and policy frameworks that compel government structures to be monitored, evaluated, and progress reports achieved (Taylor, 2014).

Following the 1994 elections, South Africa's new democratic government enacted legislation to strengthen governance, accountability, openness, efficiency, and effectiveness in the public sector. The Policy Framework for the Government-wide Monitoring and Evaluation System (GWMES) is a monitoring and evaluation approach used in South Africa to strengthen good governance, promote learning, and improve government performance and governance (Presidency, 2007:5). The South African Constitution of 1996, the Public Finance Management Act of 1999, the Public Service Amended Act of 1999, the Statistics Act of 1999, and the Public Audit Act of 2004 are all pieces of legislation that promote efficiency and effectiveness in government institutions and indirectly inform the Government-Wide Monitoring and Evaluation System.

The GWMES is designed to provide a precise sequence of events based on critical reflection and managerial action in response to an understanding of the links between input deployment, service delivery output production, and their associated outcomes and impact.

Monitoring and Evaluation (M&E) processes assist departments in evaluating their performance and identifying factors contributing to service delivery outcomes. These M&E processes allow its users to draw connections between the choices of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the service delivered, and their ultimate impact on communities. Monitoring and Evaluation help to prove an evidence base for public

resource allocation decisions and help to identify challenges and successes (Policy on the Management of Performance Information, 2014, p4).

As part of its mandate to improve service delivery, the Provincial Department of Social Development's Directorate implemented the Policy Framework for the Government-wide Monitoring and Evaluation System. The department effectively implements its programmes and campaigns and ensures enhanced service delivery. In 2014, the Department coincided with the National Government's introduction of the Department of Planning, Monitoring, and Evaluation (DPME). The DPME's mandate is to strengthen planning and budgeting functions to support government priorities and to strengthen the production of evidence-based reporting to create a robust planning monitoring and evaluation system (GWMES).

Furthermore, GWMES focuses on performance audits conducted by the Office of the Auditor General or Provincial Treasury. These audits provide feedback on whether or not the M&E system is implemented correctly. As mentioned, the KwaZulu-Natal Department of Social Development's poor audit outcomes reflect a problematic implementation of the Policy Framework for the Government-wide Monitoring and Evaluation System (GWMES). As the M&E system is critical for good governance, its implementation is essential for South Africa to maintain robust democratic governance.

The South African Government's Policy Framework for the Government-wide Monitoring and Evaluation System aims to improve government outcomes and guide policy implementation to ensure that the government does what matters most (Presidency, 2009: 15). The public sector needs to buy into the process and implementation of the Government-Wide Monitoring and Evaluation System to enhance service delivery initiatives and good governance, allowing for development to occur (Loxton, 2004:1).

The introduction of the GWM&E framework was to incorporate and consolidate existing M&E initiatives. This happened in three spheres, and they were aligned to the overall government aims. Many national departments have taken the lead in fostering a monitoring culture in sub-national spheres. The implementation of the GWM&E framework, therefore, does not start with a clean slate but should recognise and build upon these initiatives. The implementation plan should thus be evolutionary.

Despite the successes gained after the introduction of the National Planning Commission and the Department of Performance Monitoring and Evaluation, challenges remain in improving the quality of services provided to citizens, ranging from education, health care, creation of sustainable jobs, social development, safety and security, social and economic infrastructure, human settlement. In

addition, government planning and performance monitoring and evaluation have been challenging, particularly in the policy and legislative framework guiding such implementation (DPME, 2015: 10).

The challenges in achieving the departmental objectives is reflected in the DPME Strategic Planning Document 2015-2020, which highlights issues such as a silo approach in planning, budgeting, monitoring and reporting, a lack of accountability for poor performance, weak monitoring and reporting on performance information, unrealistic target setting and poor quality of performance information (DPME,2015:11). In addition, there is a need to understand how National Planning can support provincial and local government to achieve their planned objectives (DPME, 2015). There is a need for proper alignment of the policy framework and implementation both at a strategic and operational level.

The KwaZulu-Natal Department of Social Development's mandate be delivered according to the South African Constitution and provide an effective, transparent, accountable and coherent intergovernmental system for provincial governments. This study seeks to understand the implementation of the Monitoring and Evaluation System in the KwaZulu Natal Department of Social Development. The study will employ a conceptual framework of implementation and a theoretical framework of the ToC.

### **1.3 Research Aims and Objective**

The study examines the implementation of the M&E system in the KwaZulu-Natal Department of Social Development. Specifically, the study is guided by the following key research questions:

- To **explore** the role of monitoring and evaluation in KwaZulu-Natal Department of Social Development.
- To ascertain how monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development.
- To **investigate** the KwaZulu-Natal Department of Social Development has faced in implementing monitoring and evaluation.
- To **propose strategies to improve** the KwaZulu-Natal Department of Social Development could improve its monitoring and evaluation System.

## **1.4 Research questions**

The study examines the implementation of the M&E system in the KwaZulu-Natal Department of Social Development. Specifically, the study is guided by the following key research questions:

- What is the role of monitoring and evaluation in the KwaZulu-Natal Department of Social Development?
- How is monitoring and evaluation implemented in the KwaZulu-Natal Department of Social Development?
- What are the challenges that the KwaZulu-Natal Department of Social Development has faced in implementing monitoring and evaluation?
- How could the KwaZulu-Natal Department of Social Development improve its monitoring and evaluation System?

## **1.5 Research methodology**

### **1.5.1 Research Design**

This study employed a mixed research design, which facilitated proximity and supported comprehensive data collection. Mixed methods research involves a deliberate combination of qualitative and quantitative approaches in data collection, analysis, and interpretation (Shorten and Smith, 2017). The key aspect of mixed methods research is the integration of data at an appropriate stage in the research process. This approach allowed the use of both qualitative and quantitative data collection and analysis methods. It enabled the researcher to gain valuable insights and record specific experiences shared by M&E employees at the KwaZulu-Natal Department of Social Development regarding the implementation of the M&E system.

### **1.5.2 Population**

The study focused on seven M&E employees from the KwaZulu-Natal Department of Social Development. These participants were selected based on their direct involvement in the monitoring and evaluation processes within the department. The selection of seven participants was considered sufficient to provide comprehensive insights into the implementation challenges and successes of the M&E system.

### **1.5.3 Recruitment Strategy**

Participants were identified through professional networks within the KwaZulu-Natal Department of Social Development. The researcher contacted the department's human resources office to obtain permission to conduct the study and recruit participants. After securing approval, the researcher

approached potential participants directly and provided them with detailed information about the study.

#### **1.5.4 Data Collection Method**

The study utilised in-depth interviews and questionnaires to collect data.

- **In-depth Interviews:**

The in-depth interviews allowed participants to express their views openly, which facilitated rich and detailed data collection. Knox and Burkard (2009) emphasise the importance of preparing questions before conducting interviews. The interview sessions lasted between 30 to 45 minutes and explored participants' experiences with the M&E system's implementation, including perceived challenges and successes.

- **Questionnaires:**

Structured questionnaires were also used to gather demographic data and additional insights on the M&E system's implementation. The questionnaire included a mix of open-ended and close-ended questions to capture both qualitative and quantitative data (Jones, 2017). The questionnaires were distributed to the participants. They were later collected after the participants were finished.

#### **1.5.5 Secondary Data**

Secondary data were obtained from academic sources, including library databases, Google Scholar, and EBSCO Host. This data supported the analysis by providing context and comparative insights into M&E systems in similar government settings.

#### **1.6 Sampling**

A purposive sampling technique was used to select seven M&E employees from the KwaZulu-Natal Department of Social Development. Robinson (2014) supports purposive sampling in qualitative research, as it allows the researcher to target specific participants with relevant experience and knowledge. The sample size of seven was considered sufficient for obtaining meaningful insights into the research topic.

#### **1.7 Inclusion and Exclusion Criteria**

- **Inclusion Criteria:**

Participants included M&E employees working within the KwaZulu-Natal Department of Social Development.

- **Exclusion Criteria:**

Employees not directly involved in the M&E system were excluded from the study.

### **1.8 Data Analysis**

Thematic analysis was used to analyse qualitative data. This method involved identifying and categorising themes, patterns, and relationships within the data (Braun and Clark, 2012). Thematic analysis is a flexible approach that allows researchers to derive new concepts and insights from the data. Thematic analysis was used to analyse qualitative data collected from seven employees from the Department of Social Development. This method involved several key steps, starting with familiarisation with the data through repeated reading of the transcripts to gain a comprehensive understanding of the content (Braun and Clarke, 2012). Initial codes were then generated systematically by highlighting key phrases and patterns related to the implementation of the Monitoring and Evaluation (M&E) system. These codes were grouped into potential themes, which were reviewed and refined to ensure they accurately captured the data's meaning and consistency. Themes were defined and named to reflect the core insights emerging from the data, followed by an analysis of the relationships between themes to identify broader patterns and implications. Finally, the themes were synthesised into a coherent narrative to explain the findings and draw meaningful conclusions about the effectiveness of the M&E system.

### **1.7 Ethical Considerations**

Ethical considerations are fundamental to conducting research responsibly and ethically, refer to Appendix B. They ensure that the rights, dignity, and well-being of participants are protected throughout the research process (Creswell & Creswell, 2018). The following ethical principles were applied in this study:

- **Voluntary Participation**

Voluntary participation refers to the principle that participants should engage in the study out of their own free will, without any coercion or pressure. According to Babbie (2020), voluntary participation ensures that individuals have the autonomy to decide whether to partake in research without fear of negative repercussions. Participants in this study were explicitly informed that their involvement was entirely voluntary, and they could withdraw at any point without facing any consequences. This approach protects participants from potential psychological or social pressure and reinforces ethical research practices.

- **Informed Consent**

Informed consent is defined as the process through which participants are fully informed about the research's purpose, methods, potential risks, and benefits before agreeing to take part (Bryman, 2016). It involves providing sufficient information so that participants can make an informed decision about their participation. In this study, participants were briefed on the study's objectives, research methods, potential risks, and how the data would be used. They were required to provide written consent before participating.

- **Confidentiality**

Confidentiality refers to the obligation of researchers to protect participants' identities and the information they provide (Neuman, 2014). Maintaining confidentiality involves anonymising data, securing research files, and limiting access to data. In this study, participants' identities were anonymised through the use of codes rather than personal information. Data were stored securely, and access was limited to the research team to prevent unauthorised disclosure.

- **Dependability**

Dependability refers to the consistency and reliability of research findings over time. According to Lincoln and Guba (1985), dependability is established by documenting the research process in detail so that future researchers can replicate the study and obtain similar results. In this study, data collection and analysis procedures were carefully documented to ensure that the findings could be verified and reproduced under similar conditions.

- **Confirmability**

Confirmability refers to the degree to which research findings are shaped by the data collected rather than researcher bias or personal interpretation (Lincoln & Guba, 1985). To establish confirmability, researchers must demonstrate that the findings are supported by the data. In this study, the data analysis process involved careful coding and cross-referencing to ensure that findings reflected participants' responses rather than the researcher's interpretations.

- **Credibility**

Credibility refers to the extent to which the research accurately captures and represents participants' experiences (Tracy, 2010). It involves establishing that the findings are trustworthy and reflective of participants' perspectives. In this study, credibility was achieved through prolonged engagement with participants, member checking, and triangulation of data sources.

## **1.8 Methodological Limitations**

While the mixed research design used in this study facilitated a comprehensive exploration of the implementation of the Monitoring and Evaluation (M&E) system at the KwaZulu-Natal Department of Social Development, several methodological limitations should be acknowledged. Firstly, the small sample size of seven participants, although sufficient for gaining meaningful insights, limits the generalisability of the findings to other departments or contexts. The purposive sampling strategy, while effective for targeting knowledgeable participants, introduces potential bias, as the findings reflect the experiences of a select group rather than a broader population. Additionally, the reliance on self-reported data from in-depth interviews and questionnaires may have introduced social desirability bias, where participants may have presented responses they perceived as favourable or aligned with departmental expectations. The integration of qualitative and quantitative data, while valuable for triangulation, posed challenges in ensuring consistency and balance between the two data types during analysis. Furthermore, thematic analysis, although flexible and effective for identifying patterns, is inherently subjective and influenced by the researcher's interpretation, which may have affected the neutrality of the findings despite efforts to maintain confirmability and credibility. Lastly, secondary data were sourced from academic databases, which may not fully reflect real-time developments or nuanced departmental practices, thereby limiting the contextual relevance of some comparative insights.

## **1.9 Impact of Limitations on Research Findings and Conclusions**

The identified methodological limitations may have influenced the research findings and conclusions in several ways. The small sample size of seven participants restricts the generalisability of the findings, as the insights gained reflect the specific experiences of M&E employees at the KwaZulu-Natal Department of Social Development rather than broader patterns across other government departments or regions. This limitation means that the findings may not be applicable to different institutional or cultural contexts. The purposive sampling strategy, while effective for targeting experienced participants, introduces selection bias, which could have shaped the findings to reflect the perspectives of a specific group rather than a diverse range of views. Additionally, the reliance on self-reported data through interviews and questionnaires increases the risk of social desirability bias, potentially leading participants to provide answers that reflect positively on the department rather than their genuine experiences. This could result in an overly optimistic or skewed interpretation of the M&E system's effectiveness. The challenges in balancing qualitative and quantitative data during integration may have led to an overemphasis on one data type, thereby affecting the depth and consistency of the analysis. Furthermore, the subjective nature of thematic analysis means that researcher bias may have influenced the identification and interpretation of themes, potentially affecting the neutrality of the findings. Lastly, the use of secondary data, while

valuable for providing context, may not have captured recent changes or department-specific dynamics, limiting the applicability of comparative insights and reducing the overall contextual accuracy of the conclusions.

### **1.10 Conclusion**

This chapter is instrumental in outlining the material concepts linkable to M & E. The structural and functional hindrances to use and function in the Department have been identified, with the partial enhancement of important subtleties of development. Against the background, the dynamics faced by M&E practitioners and organizations and the continuous impact on changing sphere of development in DSD. The aim and objectives focused on ensuring research is fully understood, with a platform to guide the reader, where among the aims and objectives is the exploration of how monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development. The next chapter is the literature review chapter.

## **CHAPTER TWO: Literature review**

### **2.1 Introduction**

This literature review chapter is an essential aspect of this study. At the same time, the previous section has been able to secure a foundation for the direction of the study; this segment seeks to establish crucial literature from experts or scholars who have touched on similar topics of interest. The role of this endeavour is to highlight significant concepts that contribute towards abstracting linkages between relevant issues that touch on monitoring and Evaluation (M & E). The literature review begins by sharing definitions of monitoring and evaluation concepts and their importance in the public service. The relationship is motivated by the ability of the literature review to contribute to data analysis at a later stage.

### **2.2 History of Monitoring and Evaluation in S.A.**

Development aspirations drive post-apartheid South Africa. The observation of the history of apartheid and colonialism presented the country with more significant social imbalances. Hence, the social and economic inequalities that still exist today. These produced all forms of stratification, including racial, social, and gender stratification. The hierarchy factor has become a burden for the development of South Africa. Therefore, assessing the development challenges and limitations is vital for concrete arguments on monitoring and evaluation. The African National Congress took over the country in 1994. This stage was the period of transition for the new democratic South Africa. However, the development prospect remained a priority, and the concerns around proper project monitoring and evaluation were inevitable.

South Africa adopted a government-wide monitoring and evaluation mechanism in 2007. The government grew more dedicated to the M&E framework after the 2009 election (IIED, 2019). The cabinet approved a National Evaluation Policy Framework (NEPF) in November 2011 to assist the government's goal of increasing evaluations. The National Evaluation Policy Framework (NEPF) set the groundwork for a government-wide evaluation system (IIED, 2019). The national M&E system was quickly yet reliably established and integrated into national planning procedures at the national and sub-national levels. This aspect was due to a well-thought-out approach from the start, which included learning from the experiences of other countries and a favourable enabling environment primarily fuelled by high-level government support (IIED, 2019).

Integrating the National Evaluation System into national planning is incorporated into the outcomes of completed assessments to inform cabinet-level policy choices. Many assessments resulted in significant changes to the programs or policies under question. The assessments are centred on the government's strategic priorities, corresponding to national planning and implementation cycles (IIED, 2019). Furthermore, by using a whole-of-government approach, departments have gained a

greater understanding of how their work affects other departments and enhanced collaboration between departments and across government (IIED, 2019).

The number of assessments undertaken across the government has increased significantly, as has the amount of guidance on conducting effective evaluations. The Department of Planning, Monitoring and Evaluation (DPME) has tried to boost assessment capability by providing various resources, such as standards, suggestions, and training (Goldman et al., 2015). The President of DPME has assumed planning and M&E responsibilities and has been instrumental in moving national M&E forward in South Africa. The M&E system was developed and implemented with the help of the DPME. This involves evaluation system elements, competencies, various capacity development elements, a quality assessment system, and established communication elements, including guidance on performing them (Goldman et al., 2015).

The rules and tools are hosted on the DPME, making them readily available to users. DPME has also established data forums, which are places for real-time discussion among key stakeholders. These aid in developing a comprehensive understanding of the datasets required, identifying core datasets required from each of the several departments, and facilitating data sharing and technical support (Philips et al., 2014). The DPME is in charge of designing government-wide M&E frameworks, preparing five-year strategic priorities plans for the entire government, and monitoring and evaluating specific department and municipal objectives and performance plans (Philips et al., 2014). The DPME soon staffed up to 200 people, applauding the high-level government backing for establishing and institutionalizing the national M&E system. The high level of DPME employees has undoubtedly contributed to the success of the national M&E system, enabling relatively speedy development and deployment.

### **2.3 Conceptualizing Monitoring and Evaluation**

Despite over three decades of M&E research, no published study examined the consequences of the various components that influence the M&E of government initiatives. Government-owned entities are independent or partially owned by the government (public entities). These institutions were created for change in the developing sectors and on service delivery issues to promote and uphold good governance. According to Uwizeyimana (2020:12), M&E is a continual process that collects data on specific performance indicators of government actions to give management. It also provides the primary stakeholders with facts and evidence for the failure or success of an ongoing development intervention to track progress toward achieving objectives and progress using chosen funds. Monitoring necessitates an up-to-date documented plan of the intervention. This document indicates the government intervention and how M&E must be implemented. This extends to why it is being implemented (the registered/recorded problem or problems that necessitated the intervention), and thus, who are the beneficiaries and stakeholders? There is also navigation of who

is responsible for what actions in the implementation process and how everything is supposed to work together. Monitoring officials are required to record information regarding the status or progress of government intervention as they observe it, but it is optional to explain it (Uwizeyimana, 2020).

Monitoring must be done frequently (hourly, daily, quarterly, monthly, and annually) to avoid missing crucial data and information (Uwizeyimana, 2020). As a result, the ability to systematically assess progress made against the chosen plan regularly and verify compliance with the components contained in the implementation plan (monitoring progress in terms of outputs) is also defined as monitoring (Uwizeyimana 2020, p. 14). Monitors (or monitoring officers) play a crucial role in capturing (recording and carefully storing) data and information used in evaluations.

According to Xu, David and Kim (2018), *evaluation* is all activities carried out by various state and societal actors to assess how a policy has performed in Practice and forecast how it will perform in the future. This is the belief that a country's socioeconomic and political conditions can influence or affect the network of policy evaluations (Osman, no date). Others say that the main objective of policy evaluation is to learn about the implications of public policy and to change to a performance-based public administration from the people's perspective. Existing evaluation typologies are thought to arise from and strive to achieve the functions mentioned above' purposes. Organizations can examine how much a policy has achieved its intended objectives, discuss discrepancies, and allow the implementer to take corrective action, if necessary, through evaluation.

According to Berger (2015), formative assessment is an administrative evaluation that occurs when a policy or program is implemented. It is an evaluation approach for tracking how a policy is implemented or managed. This is a 'constructive' evaluation approach that provides input so that the implementation process can be improved. It works to monitor whether the policy is reaching the intended demographic. This approach is used to determine whether a policy fits its design specifications, and on the one hand, it examines how resources are managed (Berger, 2015, p. 14). This evaluation style focuses on performance measurement and the need to regulate public finances to achieve higher value for money, efficiency, and effectiveness, making it more beneficial in public management, such as government (Berger, 2015:20).

The essential argument is that several natural and manufactured (intellectual) factors influence the evaluation of government activities. The internal or microenvironment includes the organization's vision and mission, strategic objectives, management (role players), organizational arrangements and structures (infrastructure), policies and procedures, systems, and institutional resources, as well as the creation and application of legislation, regulations, codes, and rules. Local community participation in development monitoring and evaluation, and by extension, M&E of community-based water projects, is crucial to project success, according to Kabote (2020). The World Bank announced that participatory monitoring and Evaluation (PM&E) in 2010 was a new, more inclusive

way to analyze and learn from change (Kabote 2010:3). Many countries understand the importance of PM&E, and this ensures the realization of water project goals. According to the decentralization strategy, controlling water resources at the national and local levels is essential, emphasizing participatory approaches in water projects, fostering a sense of community ownership, and thereby boosting project outcomes and sustainability. At the same time, PM&E has the potential to empower local people by putting them in charge, assisting in the development of their abilities, demonstrating that their opinions matter, and allowing for cooperative learning. As a result, PM&E may help everyone involved be more accountable (Vernooy, 2006). When practised holistically considering several parties, PM&E can be vital to a more extensive rural development process and political transformation.

### **2.3 Defining monitoring and evaluation and its importance in the public service**

Monitoring and evaluation are two distinct but related concepts frequently used interchangeably, with monitoring referring to gathering and analyzing data on the outcomes of a particular project, policy, or program compared to expectations. It is an ongoing assessment of a given initiative, policy, or program to determine its achievement of objectives, and the impact is referred to as an evaluation (World Health Organization, 2016). According to WHO (2016), monitoring and evaluation in the public sector provide organizations with information on progress. This expands to the procedures adopted by focusing on the appropriate input of resources. The extent to which objectives are met as planned and the extent to which the program makes a difference and benefits the people are also important. It also aids in evaluating project progress, identifying planning and execution issues, and the necessary adjustments.

A government's public services are the services it provides to its citizens, such as water, health care, and education, which are considered basic human rights because they are regarded as necessary for human survival (Bierschenk and Sardan, 2014). The proper delivery of such services is critical in the fight against poverty and the achievement of development goals. The state can deliver public services directly or through subcontracted commercial service companies. There is a growing realization that it is not adequate to focus solely on "supply-side" processes to improve public service delivery. However, it is also necessary to strengthen the "demand-side" of service delivery by ensuring that users of public services are aware of their rights and entitlements and can exercise those rights by monitoring the quality of public services and holding the government and service providers accountable (Bierschenk and Sardan, 2014). Experience worldwide has shown that gathering and utilizing data on service provider performance by government and non-government actors may significantly improve public openness and accountability, which supports adherence to better service quality standards (Bierschenk and Sardan, 2014).

The M&E tools assume and motivate a participative character. Citizens organizations and communities use or can use them to evaluate service providers' performance and benchmark and monitor the quality of their services. Unlike traditional approaches, which rely on external experts to assess quality and performance against a pre-determined set of indicators, participatory monitoring and evaluation tools aim to involve public members in providing feedback and actively participating in the assessment's planning and implementation. This aids in developing local people's ability to analyze, reflect, and act.

According to Magagula (2019), Monitoring and Evaluation provides managers with information on policy priorities, resources, programs, projects conducted, services supplied, and the benefit and impact on the communities for whom the services are meant. Monitoring and evaluation help with resource allocation, identifying difficulties and disparities that must be addressed, and suggesting alternative solutions based on the data obtained. As a result, strong quality performance is bred by effective M&E implementation, which Matsiliza (2018) defines as producing tasks through the Key Performance Indicators (KPI) linked to the organization's strategic plan. Moreover, the process is conducted by comparing the inputs of the work produced by managers and employers against the set targets.

The South African government has introduced a government-wide Monitoring and Evaluation (GWME, 2007) policy framework that establishes monitoring and evaluation systems across all spheres of government to promote efficient and effective service delivery development and improve performance within the public sector. The goal is to enable all levels of government to effectively carry out their M&E functions by establishing integrated M&E concepts, practices, and standards across the board and to serve as the highest-level information system. The major challenge for each government domain is to become more effective; therefore, M&E may help with performance evaluation and identifying factors that influence service delivery outcomes (Government-Wide et al., 2007).

According to Ndevu and Muller (2017), the state of distress in South African municipalities is increasing due to large disparities in service delivery, as seen by many protests, contributing to a lack of public trust in the local government system. Municipal service delivery issues, including a need for more resources, capacity, mismanagement of available resources, and competent employees follow this. As a result, municipalities need help to reach required performance targets. Municipalities must monitor, evaluate, and report on the implementation of objectives outlined in the Integrated Development Plan (IDP), with a focus on resource utilization that is effective, efficient, cost-effective, and responsive to public needs while maintaining accountability and transparency. Moreover, to increase performance, towns must emphasize the efficient and effective

implementation of strategic plans responsive to citizens' requirements, cost-effective, providing value for money, attaining total quality service delivery, and so on (Reddy, 2016).

As part of public administration and higher-order management functions, Monitoring and Evaluation in the public sector can change and adapt to changing environments while meeting public needs (Uwizeyimana & Basheka 2017). This necessitates enhancing the evaluation of scholars' and practitioners' intellectual abilities to use the opportunities given by technological developments to develop practical, appropriate, and long-term solutions to M&E difficulties in the African setting (Uwizeyimana & Basheka 2017). The 4IR allows for incorporating M&E into African-based policy, program, and project assessment techniques.

## **2.4 Challenges of Monitoring and Evaluation**

Monitoring and evaluation issues include lacking resources, inaccurate data, ineffective strategies, modelled frameworks, and stakeholders' effectiveness. M&E programs are costly, and because they are a non-profit organization, the majority of the funds come from fundraising and donations (Jili and Mthethwa, 2016:16). Unfortunately, because many people are unaware of the benefits of M&E, they may face resistance and accusations that it is a waste of money. Rather than trying to persuade them with theoretical facts, several small-scale M&E projects can be implemented (Jili and Mthethwa, 2016). These projects may produce quick results, and some of the data can be used to persuade them of the efficacy of the techniques. Second, the Inaccurate Data problem points out that no matter how hard you try, only some of the data you collect will be accurate.

Much like any other element of life, typical problems in M&E must be ironed out, particularly in the data-collection section, before an efficient solution is found. Mistakes are possible when filling out the data, such as fraudulent data or incorrect calculations, including data deletion, or stakeholders or beneficiaries trying to magnify the results to please one person (Goldman et al., 2018). In addition to unsuccessful strategies, the monitoring and evaluation process is novel for many NGOs, and they need to stick with it. This frequently results in poor techniques that fail to generate the correct data or provide incorrect data. Acting rashly on misleading data could have serious long-term consequences that jeopardize the company (Jili and Mthethwa, 2016:5).

In this circumstance, trial and error is the best option. However, you should step up your efforts and seek professional advice to improve the techniques. It may be more expensive soon but will pay off in the long run (Goldman et al., 2018:28). One could also explore non-profit training organizations. Suppose one needs more resources to do so. In that case, we have much free material, particularly in Bahasa, that individuals can utilize to learn about M&E. Furthermore, it is not uncommon to use Modelled Frameworks to imitate the same framework or data approach as some of the most successful NGOs. On the other hand, many of these frameworks have been customized to match the

company's demands (Goldman et al. 2018:33). You could not have the same organizational structure, resulting in inefficient data processing or incorrect data analysis. Also, some of the frameworks are built for the Western world and may need to be compatible with the stakeholders' or donors' eastern sensibilities (Jili and Mthethwa, 2016).

## **2.5 International Perspective on Monitoring and Evaluation**

The assessment of M&E internationally is a step closer to sharing existing systems with other nations. This can shed light on significant guidelines lacking in South Africa, especially at a municipal level. The decentralized system of South African administration has adopted few attributes from developed economies that have advanced the knowledge of M&E. Many scholars outline that a new development strategy is required, one that is environmentally sustainable, economically inclusive, and socially just. Thus, monitoring and evaluation as a logical framework guides efforts to balance many environmental considerations. The Monitoring and Evaluation extend beyond stressing environmental considerations in many development projects and strive to illustrate project plans and actions taken by stakeholders to adopt actions moving forward to mitigate gaps and limitations and a possible date for project completion. This M&E approach guides adaptation and directs implementations and changes in any proposed development project from national to local levels. This M&E tool assists in data collection regarding a particular project. The outcomes and limitations are all part of this process. Society considers what such new development approaches entail, and it has also identified the necessity for new M&E approaches as one of the most important mechanisms in modern societies for guiding the progress and performance of the state and government (Rosenberg and Kotschy, 2020). In the context of Africa, an examination of the literature suggests that Egypt is the world's father and originator of M&E. This shows that M&E is undoubtedly a phenomenon that has been around for a while in Africa. Developed countries followed suit in the modern M&E, particularly those of the Organisations for Economic Co-Operation and Development (OECD), which have had as many as 20 years or more years of experience in M&E (Kusek and Rist, 2004:15).

Both OECD and developed countries have created evaluation cultures and M&E systems in response to varying degrees of internal and external pressures in planning and progress. These pressures include inconsistencies in development and varying degrees of development. The internal pressures embrace a hierarchy of governance with administrative pressures coming from the national government to speed up and even understand the state of the project. The external pressures involve community concerns and interest groups, which monitor the extent of the proposed project's progress and may have suggestions moving forward.

Developed countries have chosen various starting points for implementing results-based M&E systems (Carey and Crammond, 2015). The researchers argue that the evolution of M&E has introduced various approaches like Result-Based Monitoring and Evaluation (RBM&E). It is an essential public management tool that governments can use to measure and evaluate outcomes and feed this information into the ongoing governance and decision-making processes. The researcher is of the view that it is so unfortunate that other approaches like PM&E have not been given the attention which is also necessary to complement the RBM&E. PM&E is a process through which stakeholders at various levels engage in monitoring or evaluating a particular project, program or policy; share control over the content, the process and the results of the M&E activity and engage in taking or identifying corrective actions.

With its emphasis on credible evidence through systematic reasoning and technique, M&E is a social science, but the shadow side of using science is viewed uncritically. Brouselle and Buregeya (2018) believe that the evaluation community is critical. Its reflexivity is reflected in calls for participatory evaluations, critiques of the *fourth generation* of constructivist approaches and the emergence of what some termed a *fifth generation* of theory-based evaluations to strengthen evaluators' ability to explain outcomes and, therefore, better support learning in and across interventions (Rosenberg and Kotschy 2020). As practitioners increasingly encounter complex challenges and complexity-sensitive programmes designed to respond. They determine alternatives to the frames and techniques they have studied (Rosenberg & Kotschy, 2020). Responses to interactive conference sessions suggest that the M&E training needs to adequately prepare them for the complexity they encounter in the field.

The kinds of contexts and programmes where evaluators work are increasingly recognized as complex rather than simple or complicated (Funnell & Rogers, 2011:10). Complex contexts feature multiple interacting variables in dynamic and open systems, resulting in high levels of uncertainty about the consequences, intended and otherwise, of interventions. In these circumstances, programme implementers need a blueprint to follow. This means that development agencies and governments need to learn from Practice and the outcomes of development initiatives to find solutions for these complex issues of M&E. One critical source of such learning is M & E processes that track outcomes and cumulative impacts of development interventions. However, Smith, Pophiwa and Tirivanhu (2019) argue that M&E in Africa has been influenced by a technocratic approach that focuses on accountability – tracking expenditure, activities, and outputs – and neglects to support ongoing and cumulative learning.

## **2.6 M & E in AFRICA**

The expansion of measurement and evaluation systems in African countries is a remarkable trend. It denotes organizational maturity, a focus on results, and a response to civil Society's growing

demand for accountability (Porter and Goldman, 2013). Suppose functional M&E systems are embedded in public service management procedures. In that case, governments can make policy and management decisions based on evidence of what works and what does not in their setting if functional M&E systems tie in public service management procedures. It enables the government to better allocate scarce resources to activities more likely to benefit Society (Porter and Goldman, 2013). The creation of monitoring and evaluation systems based on the concepts of results-based management is a top priority for governments in many nations. Monitoring systems are more advanced than assessment systems since ministries, departments, and agencies are required by law to report on performance regularly (Porter and Goldman, 2013).

Monitoring and evaluation systems are integrally linked to the political and administrative systems in which they operate, and their evolution is shaped by the state, political and ideological agendas, and financial and human resources (Porter and Goldman, 2013). There is a vast range of demands among countries. Therefore, there is no one-size-fits-all approach to strengthening capacity-building and system(s). National context, values, culture, financial and human resources, and socio-political dynamics influence M&E systems. Because collaboration between government, civil society organizations, and academics on evaluations and research is limited, diverse parties work in silos (Porter and Goldman, 2013). Data governance procedures need to be revised and able to assist M&E initiatives, jeopardizing outcomes adoption. Higher education institutions and private consultancies offer Professional Evaluation courses and non-profit organizations. Therefore, this training is essential for providing the knowledge required in the field. This M&E field is still growing and is linked to the functionality of many independent organizations and government organizations, in this case, the DSD. Their role as practitioners is to serve as M&E tool users to collect necessary data and monitor outcomes where needed. As M&E directors, they determine the most beneficial and effective use of resources.

#### **2.14 Relationship between Strategic Planning and M&Es**

The relationship between strategic planning and monitoring and evaluation signifies a functional governance system. The establishment of the relationship stems from their role, which is to ensure the success and objectives of any project. The consideration of Monitoring and Evaluation with strategic planning guides resource allocation. According to SERIES (2007), strategic management is the comprehensive collection of ongoing activities and processes that organizations use to systematically coordinate and align resources and actions with the organization's mission, vision, and strategy. Strategic management activities transform the static plan into a system that provides strategic performance feedback to decision-making, enabling the plan to evolve and grow as

requirements and other circumstances change (SERIES, 2007). Strategy Execution is synonymous with Strategy Management and amounts to the systematic implementation of a strategy.

Sandad, Pooe and Dhurup (2014:19) state that the key aspects of strategic planning include formulating a mission statement for the enterprise, establishing the objectives, crafting and implementing the strategies, as well as monitoring and controlling the progress in strategy implementation. In other words, the enterprise plans by envisioning how and what the future will be like and then making decisions based on those perceptions of the future. According to Sandad, Pooe and Dhurup (2014), the critical aspects of strategic planning include the long-term view of an organization, defining the line of business and ensuring a strategic 'fit' or 'balance' between the business and its environment. This notion suggests that a strategic fit helps an organization capitalize on opportunities that arise and minimize the threats posed by unstable market environments. Strategic planning has the potential to be a powerful process that catalyzes the municipal organization, bringing together the public, staff, and management in the development of a shared vision, direction and goals (Bryson, Edwards and Van Slyke, 2018). It can also function as an accounting mechanism, allowing the public and management to evaluate progress and ensure that the municipality moves in the right direction. The relationship between Monitoring, Evaluation, and strategic planning is that their unity focuses on performance and outcomes. Through participatory strategic planning, review, and evaluation processes, this combined effort of SPM&E provides guidance, advice, and technical support to integrate results-based planning, monitoring and evaluation across all aspects and produce impactful results. Strategic planning and M&E ensure timely internal and external quality evaluations and impact assessments on institutional and programmatic achievements against set objectives and outcomes.

## **2.15 Conclusion**

This chapter delved into the literature review. This chapter was an essential aspect of this study, including the history of monitoring and Evaluation in S.A., and the conceptualization of monitoring and evaluation was also accessed. This chapter also discusses the importance of monitoring and evaluation in public service and the international perspective on monitoring and evaluation. The chapter also extended to M & E in AFRICA to create literature on M&E in Africa. There was also an exploration of the relationship between Strategic planning and M&Es. The next chapter is the methodology chapter.

## **CHAPTER THREE: CONCEPTUAL AND THEORETICAL FRAMEWORK**

### **3.1 Introduction**

This chapter provides a conceptual framework for the study. Firstly, the chapter discusses the idea of public policy and the implementation of public policy. Public policy implementation constitutes a segment of project implementation where monitoring and evaluation are practised. The definition of M&E features in this chapter, including the purposes of the M&E. This chapter also shares types, processes, approaches, theoretical debates, and considerations on the transformational use of monitoring and evaluation. It is the examination of these concepts that enables the understanding of how M&E is understood and implemented by its implementers. This chapter concludes by discussing the theory of change.

### **3.2 Public Policy**

In defining Public Policy, Parsons (1995) states that it is an action calculated to achieve specific desired objectives. Rosie and Friedman (2014) argue that the purpose of any policy is to bring change in an undesirable situation. Cloete and de Coning (2000: 87) define Public Policy as a statement of intent or action plan to transform a perceived problem into a future solution.

- Public policy can occur in a heuristic public policy cycle, i.e. from 1. Policy agenda setting.
- Policy design
- Policy decision
- Policy implementation,
- Programme and project management public policy
- Policy evaluation. Monitoring and evaluation are located in step number five (5) and step number six (6), which are the programme and project management and policy evaluation, respectively (Cloete & de Coning, 2011)

#### **3.2.1 Implementation**

The focal point of the study is implementing the Monitoring and Evaluation system in the KwaZulu-Natal Department of Social Development; therefore, as an analytical framework, implementation will be elaborated in terms of Managing Public Policy Implementation, Factors for successful Policy Implementation and Approaches to Policy Implementation.

#### **3.2.2 Managing Public Policy Implementation**

Hamilton-Smith (2002) argues that the growth in the neo-liberalist approach and political ideology elevated the new managerialism approach to the Management of programmes. This neo-liberalist approach assumes that the Management of an organization ought to be similar, irrespective of the definitions of the organization's responsibilities. This model for Management of organizations is

based on the business organizational model of Management, wherein the community and other forms of collective responsibility are dismissed. The responsibility is seen as being based solely on a person (Hamilton-Smith, 2002). Managing Public Policy to achieve objectives for any department or organization is very important. This also informs decision and strategic planning and Management.

Brinkerhoff and Crosby (2002: 17) described managing policy implementation as being about how to do the various aspects of the chosen policy. This is successive to the initial stage of policy formulation, which addresses the question of determining "what to do", Brinkerhoff and Crosby (2002: 17). Management of policy implementation relies on performing the implementation tasks which the decision-makers can assess through implementation monitoring to make sure that a policy is being put into operation according to the policy design (Patton, 1997: 200). The study discusses how the processes and tools for monitoring assist in the evaluation of policy and government department interventions. Hill and Hupe (2002: 46) identify different variables for policy implementation, namely "a) policy should provide concrete and specific standards for goal achievement; b) resources and incentives for implementation should be readily available; c) the policy implementation process should address the quality of inter-organizational relationships during implementation; d) implementing agencies are characterized by their linkages with policy making or a policy enforcing body; e) the policy implementation process and planning should include considerations of the social, economic and political environment; and f) policy implementers should have the capacity to perform the tasks adequately and efficiently (Hill & Hupe, 2002: 47).

These variables for policy implementation are cautioning policy practitioners on crucial points to consider during each task in the policy implementation process. These variables are considered in this study to examine how Monitoring and Evaluation are implemented to track whether the project's concrete and specific standards and goals are achieved.

### **3.2.4 Factors for Successful Policy Implementation**

Brinkerhoff & Crosby (2002: 24) recognized that the policy implementation process employs a set of tasks to be performed during implementation to achieve the identified policy objectives. The tasks as identified by Brinkerhoff & Crosby (2002: 24) comprise of:

- Policy legitimization,
- Constituency building,
- Resource accumulation,
- Organizational design and modification,

- Mobilisation resources and
- Monitoring progress and impact.

The policy needs to be seen by stakeholders as a legitimate intervention. Individuals or groups must assert that the proposed policy reform is a necessary intervention to their problem or issues, Crosby, (1996:4). An adequate constituency for introducing a policy must be developed. These individuals or groups who will benefit from the new intervention are constituents of a policy. Constituency building refers to creating and mobilising positive stakeholders in favour of the new Policy, Crosby, (1996: 6). This will ensure support for the policy and could enable its implementation against those who oppose it.

The policy implementation process requires policy stakeholders to facilitate and provide the necessary support for the policy being implemented. In order to capacitate the policy implementation stakeholders, there is a vital need to conduct adequate accumulation and allocation of resources. Policy requires human, technical and financial resources to be put in place and to be channelled in the appropriate directions, even though the accumulation of these resources is not an easy task due to the resistance to redirecting the resources in the organization (Crosby, 1996: 10). The inability of governments to allocate appropriate resources to the new policies is frequently the cause of programmes or projects to fail. They must be utilized as part of the project input to support implementation activities (Crosby, 1996: 7).

Introducing a new policy will likely necessitate modification in the organization. This may cause resistance to the new tasks which need to be implemented. The resistance could also be towards the structural modifications required to execute the policy changes. New units such as policy planning, monitoring and evaluation or their advisory groups may be created which do not fit within the organization's hierarchical culture (Crosby, 1996: 10). Subsequently, the changes are likely to create a certain amount of shock and resistance in the organization. Moreover, this shows the challenges that could be faced in policy implementation. The impact of policy changes will be demonstrated in some ways through behavioural changes and an improvement in the benefits to the beneficiaries or clients. Effective and efficient production and the efficient use of resources may also result from the new policy change strategies that result in positive benefits. In contrast, some may result in adverse impacts (Crosby, 1996: 12). Hence, the importance of monitoring the impact of policy change is to provide information to decision-makers to judge whether the policy needs to be halted, altered, modified or wholly changed.

The inputs, activities and entire implementation processes need to be monitored to allow the implementing agents to track the progress of the policy whilst ensuring that the policy is producing the desired results, Brinkerhoff & Crosby, (2002: 24). The policy implementation process could

often become chaotic when there is no strategic identification of the most appropriate approach to policy implementation has been identified and where the unexpected challenges arise.

The variables and processes related to policy implementation also relate to monitoring and evaluation. Il, Eresia-Eke, and Allen-Ile (2012: 22) state that monitoring involves re-examining the approved plan of the policy in order to enable identifying and managing the variables of cost, time and quality which can be used as a benchmark to measure the effectiveness of policy implementation. This will require tracking to ensure that the process and mechanisms positively impact the variables. The introduction of monitoring and evaluation and its systems may face resistance. This study discusses the effects of resistance to M&E as a relatively new intervention in the public service. It also explores how constituencies are built to overcome resistance and enable adequate resources to be made available to effectively monitor and evaluate government projects. Moreover, prior to the implementation of the program, it is essential for those responsible for monitoring and evaluation to adopt a particular standpoint or approach to the theory and ideology and use specific norms and criteria that translate into practical implementation on the ground, Bhola, (2006:11). Similarly, they need to ensure that the discourses on purposes and methods, and values used in the design and implementation of both the program and Monitoring and Evaluation strongly resonates with achievement of the desired objectives of the program. This study examines the efficacy of the various approaches adopted in monitoring and evaluation.

### **3.2.5 Approaches to Policy Implementation**

Even though there is a consensus amongst theorists that the policy implementation process should be towards the realization of previously set goals, different implementation approaches can be adopted or used jointly. The two most common approaches to policy implementation are the top-down and bottom-up approaches. The top-down approach is also called forward mapping, while the bottom-up approach is called backward mapping (Brinkerhoff & Crosby, 2002). Weimer and Vining (2005: 280) state that forward and backward mapping is a process of anticipating problems.

#### **3.2.5.1 The Top-Down Approach to Policy Implementation**

The rational model approach, where the top-down approach is located, sets the goals and implementation process to be achieved. It concerns the process taken to achieve the identified set of goals (Pressman and Wildavsky, 1973). This approach is prescriptive since it specifies the chain of behaviours the policy implementers must execute to link a policy to its desired outcomes (Howlett and Ramesh, 2016). It assumes that the policy process can be viewed as a series of chains of command in which political and policy leaders articulate a clear policy preference, which policy

implementers then carry through the government's administrative machinery. The decisions of the government officials set off forward mapping to implement or fail to implement government decisions Pressman & Wildavsky, (1973).

The top-down approach seeks to find the reasons underlying the extent of the implementation by tracking whether the prescribed stages of implementation were appropriately followed (Howlett and Ramesh, 1995). Consequently, public participation needs to be considered in this approach, which strongly emphasizes the control over individuals or organizations involved in policy implementation without considering the actors' role in the policy implementation process. This is evident in the belowbottom-up approach discussed below.

### 3.2.5.2 The Bottom-Up Approach to Policy Implementation

The bottom-up approach or backward mapping means considering policies by looking at the behaviour one wishes to change (Weimer and Vining, 2005: 281). Its perspective shows that street-level bureaucrats or other policy implementation operatives are also making policy, as they turn problems into routines, articulate the alternatives for the problems and seek the comment of organizational resources to address them (Colebatch, 1998: 59). This approach focuses on public and private actors involved in the implementation process of programmes. It examines their personal and organizational goals, strategies, and network of contacts they have built, as well as their needs to facilitate effective policy implementation (Howlett and Ramesh 1995).

As part of their coping mechanisms during times of pressure, the decisions made by street-level bureaucrats effectively become the public policies they carry out (Lipsky, 1980). Policy implementation operatives exercise discretion under challenging working conditions with limited resources (Lipsky 1980: 70). This approach identifies the critical role of other actors in policy implementation and the various preceding stages of the policy cycle, including the subsequent monitoring and evaluation stage discussed next.

#### i) Difference between implementation approaches: **Top-Down and Bottom-Up.**

Table 3.2.5 (a)

Top-Down	Bottom-up
Centrally located actors are seen as the most relevant to producing the desired targets, (Matland, 1995: 146)	Identifies the critical role of other actors in policy implementation and in the various proceeding stages of the policy cycle, including the subsequent monitoring and evaluation stage which is discussed next.

<p>Demands a clear and consistent statement of the policy goals, a minimization of the number of involved actors, a limitation of the extent of change necessary and to find an institution which supports the point of view of the policy makers in order to guarantee that the implementers sympathize with the new policy (Matland, 1995, p. 147).</p>	<p>Policy implementation is set on two levels: at macro-implementation level, centrally located actors devise a government program; at the micro-implementation level, local organizations react to the macro-level plans, develop their own programs and implement them, (Berman, 1978, p. 156)</p>
<p>Local level implementers are not given the freedom to adapt the program to local conditions. The approach clearly favours the decision-makers as key actors in the process of implementation and does not pay much attention to the administrative staff that carries out the legal act. For them the politicians own the expertise to formulate a good law and the role the implementers play to deliver the legislation to the people does receive much appreciation.</p>	<p>Acknowledges the fact that implementers on the micro-level think about their work and form their own opinion about the tasks they receive and change the given programs in order to improve them or adapt them better to the real circumstances. They not only recognize this behaviour, they state that it is even positive to the development of the whole project as the worker who is connected with the actual situation can judge better than the policy makers who do not have the same information as he does.</p>
<p>The most striking criticism the top-down approach has to deal with is the way it regards the single actors within the process (Matland, 1995, p. 148). The approach clearly favors the decision-makers as key actors in the process of implementation and does not pay much attention to the administrative staff that carries out the legal act.</p>	<p>Bottom-up theorists are criticized for the overvaluation of the degree of actual local independency from the policy-makers as the implementation could not work without the resources and institutional structure provided by the central planners. Financial and human resources might have a great impact on the implementation process as it can make it more efficient.</p>

This study is going to use both implementation perspectives. The implementation of these two approaches is going to be done using the 5C protocols: Implementation is a complex political process rather than a mechanical administrative one; implementation also can be understood as complex and dynamic. Cloete and de Coning (2011) provide 5 interlinked variables and 5 C protocols: Content, Context, Commitment, Capacity and Clients/coalitions.

### 3.3 Protocol

Lowi (1963) characterizes policy as either distributive, regulatory or redistributive; distributive policy creates public goods for the general welfare; the KZN Department of Social Development implementation of the Monitoring and Evaluation System could be interpreted as distributive and slightly regulatory. It is distributive because its mandate is to provide social welfare to citizens

through various social grants. Regulatory in that the departmental mandate is performed or executed in a highly legislated environment, dictating standard procedures to be followed and sanctions for failure to comply.

Fundamental to Lowi's work is his assumption that 'policies determined politics' and that 'the most significant political fact is that governments coerce' (Lowi, 1972). The content of policy is a function of the level and type of coercion by the government. A more charitable but related view of the government and its use of what Van Mett and Van Horn (1974) call the "arsenal of influence" is provided by Etzioni's identification of remunerative, normative, or coercive powers.

A context-free theory of implementation is unlikely to produce powerful explanations or accurate predictions Berman, (1980: 206). However, as O'Toole (1986:202) has noted, "the field of implementation has yet to address, as part of its research strategy, the challenge of contextuality, beyond relatively empty injunctions for policymakers, implementers and researchers to pay attention to the social, economic, political and legal setting ". In becoming a catch-all that is always important to consider but never easy to study systematically, there is the danger of losing the cumulation of learning and failing to account for contextual impacts on the effectiveness of implementation. The focus here is on the institutional context, which, like the other four variables, will necessarily be shaped by the significant context of the system's social, economic, political, and legal realities. This is in no way an attempt to understate the importance of the large contextuality. Instead, the emphasis is on how these impact the implementation process, primarily via the institutional corridor through which implementation must pass. Effective working relations typically result from bargaining, cajoling, accommodation, threats, gestures of respect, and related transactions. Straight lines that link square boxes mean little if the underlying reality is a jumble. In contrast, transactions among agencies with no formal connections can establish effective working relations.

While effective and efficient bureaucratic structures at all levels through which policy passes may be in place trying to implement highly logical and necessary policy, without commitment from those RM Mukonza & C Mukonza 100 Volume 50 Number 1 - March 2015 Journal of Public Administration responsible for the implementation, little will happen (Warwick, 1982:135). Commitment is said to be influenced by the other four variables.

Commitment is also essential to street-level bureaucracy since it is the coalface of implementation. Equally, commitment is also essential at this, including regime level, state level, street level and all levels between Lipsky (1980). Secondly, Lipsky (1980) further argues that the five critical variables, commitment, will influence all four variables: content, capacity, context, client, and coalitions. Those interested in practical implementation must pay attention to these linkages and are best advised to identify the most appropriate to fix implementation processes.

Capacity refers to administrative, financial, human, or analytical capacity. Brynard (2001:181) views capacity in terms of general systems thinking as the structural, functional, and cultural ability to deliver the necessary public services. Analytic literature appears to be unanimous in stressing the importance of capacity as the prime need for effective implementation, and Brynard (2001) suggests that where scarce resources exist, such as in South Africa, changes are needed in government focus, structure, functioning and organizational culture if policy implementation is to be successful Brynard (2001:182). Capacity refers to tangible and intangible resources. Tangible human, financial, material, technological and logistical, as provided by Public Finance Management Act No. 1 of 1999 and regulations as well as Public Service Act No. 103 of 1994. Capacity also includes the intangible requirements of leadership: Motivation, commitment, willingness, courage, and endurance, which are needed to transform rhetoric into action. The political, administrative, economic, technological, cultural and social environments within which action is taken must also be sympathetic or conducive to successful implementation Grindle & Hildebrand (1995:446).

In the context of the new network approach to service delivery, Savith (1998) regards capacity building as a total (structural, functional and cultural) transformation of the government to mobilize all available resources to achieve policy objectives. This amounts to a paradigm shift regarding the nature of the government. Ideological determinism may also influence capacity. The state may be centralized or decentralized in planning, delivery, and control at lower levels in the public sector (by delegation or devolution of powers and functions). The state may also provide alternative service delivery mechanisms such as decentralization, corporatization, and outsourcing. However, the KZN Social Development uses partnerships and alliances with Non-government and Non-Profits Organizations.

Cloete de Coning(2011) provides other forms of capacity implementations, such as a change from a bureaucracy-dominated work environment in public service to a more transparent, accountable, and participatory public policy process. Therefore, what is needed to achieve the policy-implementation objectives for sustainable public service delivery is the commitment and the ability to implement in pragmatic ways those elements of accepted strategic management, which are appropriate in each context. South African government uses principles of good government to drive policy success; similarly to Southeast Asia (Malaysia, Thailand, The Philippines and Indonesia), these countries create capacity for sustainable governance as a prerequisite for success:

- Commitment, strong, competent, and honest political and administrative leadership and direction.
- The existence of, and consensus on, a clear national vision and attainable action plans in strategic policy sectors in the SA context of the National Development Plan (DpSA, 2014).

- Effective strategic and operational management (design, implementation, monitoring, evaluation and policy review) (DpSA, 2014).

Clients or Coalitions Elmore (1979:610) considers the finding that implementation is affected, in some critical sense, by the formation of local coalitions of individuals affected by the policy to be one of the "most robust" findings of implementation research.

The Department of Social Development, working with non-profit organizations and NGOs, is an extension arm for implementing departmental programmes. These include Child Welfare, which mainly looks after the interests and the protection of programmes NICRO and NPO, which aim at crime and violence prevention. Another coalition for Social Development is SASSA, which is responsible for payments of various grants to beneficiaries. DSD Annual Report (20/2021).

### **3.3.1 Monitoring and evaluation**

They are monitoring as defined by The Organisation for Economic Cooperation and Development (OECD) (2004:16) as a continuous function that uses systematic collection of data on specified indicators, to provide management and other stakeholders of an ongoing development intervention with indications of the extent of progress and the achievement of objectives and progress in the use of allocated funds. According to Morra Imas & Rist (2009:16), *monitoring* is a routine, ongoing, internal activity that collects information on a programme's activities, outputs, and outcomes to track its performance. According to Gage (2005:6), monitoring is the routine tracking of a programme's activities by measuring on a regular, ongoing basis whether planned activities are being carried out, which summarily concurs with McCoy, Ngari & Krumpke (2005:10) definitions of monitoring.

Most definitions offered in different sources categorically agree that monitoring is the continuous tracking of activities or progress in policies, programmes, processes, or plans. For instance, Gosling (2003: 107) defines *monitoring* as a systematic assessment of the progress of a programme over time but adds that process monitoring and impact monitoring are both needed to show what changes are taking place, what processes lead to the changes and how the programme can be improved. Kusek & Rist (2004:13) note that monitoring gives information about where a policy, programme, or project is at any given time, about respective targets and outcomes, and it is descriptive in intent. *Evaluation* is a time-bound and periodic exercise that seeks to provide credible and helpful information to answer specific questions to guide decision-making by staff, managers, and policymakers. Evaluations may assess the relevance, efficiency, effectiveness, impact, and sustainability of the GWM&ES policy framework (2007:6).

Implicit in the descriptions of monitoring and evaluation is that the two, though mutually exclusive, can complement each other. Monitoring data is essential for understanding and

interpreting the programmatic implications of impact evaluation. To suit this requirement, it is descriptive and provides information on the state of a policy, programme, or project at any given time relative to its targets and outcome goals. On the other hand, evaluation highlights evidence on why targets and outcomes are, or are not, being reached (Gorgens and Kusek, 2009:2).

### **3.3.2 Purposes and Use of Monitoring and Evaluation**

M&E is treated in Mackay (2007:9-10) as a tool to design results-based management, enhance transparency, support accountability relationships, and support evidence-based policymaking. Mackay continues to suggest that these uses of M&E place it at the centre of sound governance arrangements and make it necessary to achieve evidence-based policy making, evidence-based management, and evidence-based accountability. Accordingly, the World Bank (2004:5) notes that the purpose of M&E activities is to provide government officials, managers, and civil society with better means for learning from experience, improving service delivery, planning and allocating resources, and demonstrating results as part of accountability. Morra Imas & Rist (2009:12) concur that the purpose of any evaluation is to provide information to decision-makers to enable them to make better decisions about projects, programmes, or policies. Evaluation should help decision-makers understand what is likely to happen, is happening or has happened because of an intervention and identify ways to obtain more of the desired benefits. Kawonga, Blauuw & Fonn (2012:1) described M&E" s purpose in public health institutions and noted its importance in producing reliable and timely health information and use it to evaluate policy, set priorities, plan, and monitor the effectiveness and impacts of interventions.

M&E helps to identify and correct mistakes and build on the successes of best practices, thereby contributing to "continued improvements in the design and administration of programmes" (Atkinson & Wellman 2003:3, OECD 2007:12; Annecke, 2008:3). M&E is an essential process that produces information to make informed decisions regarding operations management and service delivery, including practical and efficient use of resources; determine the extent to which the programme/project is on track and make any needed corrections accordingly and evaluate the extent to which the programme/project is having or has had the desired impact (Measure Evaluation, 2006). M&E studies may also be undertaken periodically to assess the need and relevance of the programme (Rossi et al. 2004:18).

Four distinct purposes of evaluation were identified by Morra Imas and Rist (2009:12): ethical purpose, managerial purpose, decisional purpose, and educational and motivational purpose. This agrees with the understanding of purpose from the Public Service Commission (2008) document, which identifies the purpose for management decision-making, which supports augment

management in evidence-based decision-making; organizational learning from information continuously produced from M&E systems where findings are analyzed and translated into action. Learning, as described by Kusek & Rist (2004:140), is a continuous dynamic process of investigation where the key elements are experience, knowledge, access and relevance. It requires a culture of inquiry and investigation rather than response and reporting.

The managerial function of evaluation is confirmed and reconceptualized further by other less prominent authors. Alexander (2003: 405-406) suggests that evaluation is essential for indexing performance and can improve future work. This allows for a link between purpose and use while not assuming it will always exist in practice. Alexander is more concerned about what happens to the evidence from these evaluations and whether the results should be expected to change practices from a healthcare perspective. Patton (2002:147) notes the importance of accountability, a requirement that inculcates financial discipline and responsibility for handling the public; accountability, synonymous with transparency, promotes public and political cooperation.

This section has attempted to define M&E, which assists in detailing the theoretical literature on programme monitoring and evaluation in the next section of this chapter. In the context of this study, understanding programme monitoring and evaluation is essential since the study was focused on implementing the KZN DSD M&E system. The following section discusses types of evaluation.

### **3.3.3 Types of Evaluation**

There is a distinction made between formative evaluation, which is usually conducted prior to the commencement of the programme, and summative evaluation Weiss (1998: 31). On the one hand, formative evaluations generally lead to the conception of some programmes by determining the need and desirability of the programme or policy during its formulation, Weiss (1998: 31). Summative evaluation is conducted to provide feedback during or after the implementation of a programme. The summative evaluation provides information to decide whether the programme should be modified or discontinued entirely. As a tool to determine whether the programme has succeeded or failed to achieve its objectives, the summative evaluation is intended for programme improvement by presenting findings that can lead to modifications to make the program more effective (Palumbo & Hallet, (1993: 22).

### **3.3.4 Approaches to Monitoring and Evaluation**

During the relatively short history of monitoring and evaluation, M&E has been categorized into a range of approaches, philosophies, and models. M&E approaches involve identifying the logical purposes and processes adopted and utilized by evaluation practitioners to inform the most appropriate methodologies to achieve the most valuable results (Cloete, 2009:7). Moreover, a

methodology is appropriate if it can provide useable evidence in decision-making. The concept of evidence-based policymaking has been gaining currency over recent years because of the use of solid evidence in informing decision-makers about the appropriateness of the design, implementation, and impact of a policy (UNICEF, 2008:7). Similarly, M&E has adopted the use of evidence to inform decision making.

### **3.4 M&E and Evidence-Based Policy Making**

The approach of M&E as an assessment practice is grounded on evidence-based policy analysis (Cloete, 2009:7). Evidence-based policymaking (EBP) is based on the assumption that government policy action can be founded upon the sourcing and analyzing sound evidence developed through social scientific research, (Sanderson, 2015). As a result, evaluation and the understanding that such evidence is used by practitioners in policymaking (Sanderson, 2015: 62) were the necessary approaches introduced into the performance measurement in the public sector (Goldman, 2014).

#### **3.4.1 Theory-Based Evaluation**

A theory of change describes how an intervention will deliver the planned results. A causal/result chain (or logical framework) outlines how a programme's sequence of inputs, activities and outputs will attain specific outcomes (objectives). This, in turn, will contribute to achieving the overall aim. A causal chain maps (i) inputs (financial, human and other resources); (ii) activities (actions or work performed to translate inputs into outputs); (iii) outputs (goods produced and services delivered); (iv) outcomes (use of outputs by the target groups); and (v) aim (or final, long-term outcome of the intervention). (International Labour Organization, 2011,2).

Theory-based evaluation, which refers to identifying the understood theories or assumptions about why and how a policy will work to achieve its intended effects, is also prevalent in governments' M&E systems (Sanderson, 2015: 64). It derives from the rationality which defines the role of M&E as a technical exercise without any normative basis. Policymaking by positioning M&E as a technocratic political exercise undermines the capacity for its appropriate practice (Sanderson, 2015). The appropriate practice, according to Sanderson (2015), involves ethical-moral implications of decisions and actions, which are restricted by rationality by focusing on what works more effectively (Sanderson, 2015:71). As a result, the scope of dialogue excludes some of those stakeholders with normative concerns.

#### **3.4.2 Results-Based Management**

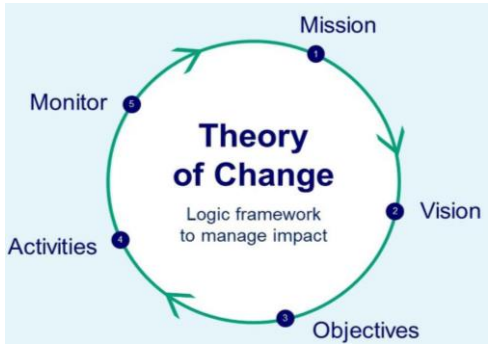
The explanation given by Ile, Eresia-Eke and Allen-Ile (2012:74) is that management is a process of planning, organizing, leading, and controlling the use of resources and personnel to achieve a specific objective. Results-based management focuses not only on the processes and systems to

achieve the intended objectives but also on the goals or results (Ile, Eresia-Eke and Allen-Ile, (2012:77). The notions of effectiveness and efficiency are also embraced in results-based management. In performance assessment, R-BM emphasizes measuring effectiveness, which is the extent to which the results have been realized.

Efficiency is also a subject of focus for R-BM, wherein the means to achieve the results are measured. Measuring efficiency entails measuring how well the resources were used to pursue the results. Measuring efficiency and effectiveness is a common consideration in monitoring and evaluation. M&E can adopt an approach that focuses on measuring the extent to which the objectives are achieved through processes and that the policy resources are utilized for achieving the clearly stated results (McCoy et al., 2005:02).

It can even provide a framework for performance management by focusing on achieving essential changes in how organizations operate to improve performance and achieve results as a central orientation of policy implementation (Sanderson, 2015). M&E is infused into the various stages which make up the life cycle of the result-based management approach (Ile, Eresia-Eke and Allen-Ile, (2012:80). By providing evidence that the right things are being done, monitoring and evaluation can demonstrate how effective the performance is, and whether or not the policy goals are being achieved. M&E can achieve this through its ability to merge into the critical stages of the management and assessment of policy processes and resources or even policy results. Furthermore, M&E can also focus on the outcomes of a policy.

**3.5 Theory of Change**



**Theory of Change: Figure 1:** <https://www.triodos-im.com/knowledge-centre/theory-of-change>

According to Rosenau (2018), the theory of Change is a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context. It does this by

identifying the desired long-term goals and then working back from them to identify all the conditions (outcomes) that must be in place (and how these relate to one another causally) for the goals to occur. These are all mapped out in an Outcomes Framework (Rosenau, 2018).

The Outcomes Framework then provides the basis for identifying what type of activity or intervention will lead to the outcomes identified as preconditions for achieving the long-term goal. Through this approach, the precise link between activities and achieving long-term goals is more fully understood (Rosenau, 2018). This leads to better planning in that activities are linked to a detailed understanding of how Change happens. It also leads to better evaluation, as measuring progress towards achieving longer-term goals beyond identifying program outputs is possible.

- The theory of Change must be targeted towards changes and solutions that benefit society's most vulnerable and marginalized individuals and groups.
- The theory of Change should directly address issues of inequality and discrimination, building on the CCA to construct a model of Change that tackles underlying and possibly root causes, not just the immediate ones.
- The theory of Change should explicitly identify solutions that target the needs of women and girls and ensure that they benefit equally from the envisaged Change.

The Theory of Change disrupts usual ways of planning initiatives – 'it turns conventional Planning on its head because it pushes groups to first work out their goals or desired impact and work backwards on outcome pathways rather than engage in conventional forward-oriented "so-that" reasoning' (Taplin et al., 2013). Outcomes and pathways are regarded as the 'building blocks' of the Theory of Change (Taplin et al., 2013). A Theory of Change represents outcomes in an outcome's pathway.

### **3.5.1 Theoretical Contribution (Theory of Change)**

The Theory of Change pitches more strategically, particularly regarding implementing M&Es, providing the 'bigger picture'; it depicts the change process from a national government to a local level. This pertains to the transformation of specific systems, which may happen after certain steps in the government system. The latter focuses on a specific pathway within the theory of Change. The development of a Theory of Change emerged from the top, identifying a goal and then working backwards to map the outcome pathways. This approach has then allowed an open system of information. This theory has focused on the complex interplay between various social, economic, political and institutional processes underlying the Department of Social Development. It illustrates the various pathways leading to Change, even if they are unrelated to the programme.

The mapping of the process is sometimes linear but multidirectional and cyclical, resembling messy 'artwork'. The Theory of Change has explained why implementation is vital at DSD and how it is, and it has justifications at each step, such as identifying program goals and objectives, defining indicators, and defining data collection methods and timelines. It justifies why one outcome leads to the next. The Theory of Change is not a final document and can be amended and updated to accommodate contextual changes. It also explains why activities are expected to lead to outcomes and have limited flexibility, allowing minimal room for unexpected outcomes. As Monitoring and Evaluation combine terms for the processes set up to improve their management of outputs, outcomes and impact, the theory has accelerated the debate of Change and requirements for such Change of implementation in the Department of Social Development.

In this study of implementing the monitoring and evaluation (M&E) system in government departments, the theory provides a program rationale based on the best available research and practice evidence while clarifying any assumptions made about achieving success. This has helped in more effective program delivery and in assessing the merits of a particular program and its ability to achieve the outcomes wanted. It can also help to justify government or philanthropic spending and communicate the intentions to the general KwaZulu-Natal community. Another role of this theory of Change is its usefulness in evaluation (Church & Rogers, 2006). By explaining how to plan to get from program delivery to achieving outcomes, organizations such as the Department of Social Development could identify and begin to understand the set of conditions, activities and processes that contribute to Change - and one can interrogate and test that knowledge through evaluation. This theory, in terms of M&E implementation, has achieved the following:

- Formalize implicit knowledge and experiences.
- Establish a shared vision of the program.
- Identify critical enablers and barriers to success.

In other words, the theory of Change has been used to ensure that the people delivering or receiving a program or intervention know why they are there and what they hope to achieve. It also allows for evidence collected by practitioners working directly with families and families themselves to guide key program decisions, processes and practices and improve the likelihood of the program's success.

### **3.6 Conclusion**

In discussing the conceptual and theoretical framework and theory of Change for monitoring and evaluation, this chapter has discussed relevant issues concerning implementing an M&E system from a conceptual and theoretical perspective. It has identified and discussed the relevant terms that inform the study, including public policy, monitoring and evaluation, implementation theory, and theory of Change. The chapter attempted to present a theoretical and conceptual link between the

concepts that government or public organizations implementing public policy try to use to strengthen the efficiency and effectiveness of these organizations. The chapter presented the theoretical and conceptual framework to understand the implementation of monitoring and evaluation within the KZN Department of Social Development; approaches and processes discussed in the chapter are used to analyze how the implementation of M&E in the KZN Department of Social Development is conceptualized, formulated and implemented. The study further provided the institutionalization of M&E in the department, which enables the implementation of the Monitoring and Evaluation (M&E) System in the KZN Department of Social Development. The next chapter provides a detailed analysis and presentation of the study findings.

## **CHAPTER FOUR: LEGISLATIVE FRAMEWORK**

### **4.1 Introduction**

The previous chapter attempted to explain the conceptual and theoretical framework. In this chapter, the emphasis is on the available legislative and policy framework in support of Monitoring and Evaluation. The role of policy in planning is essential if any project has to be undertaken. There will be a discourse on the South African Constitution, particularly regarding M&E. The chapter will begin by sharing the basis of M&E in South Africa and the Constitution. After that, it will cover various crucial South African Acts. These acts are important as they are part of a broader scope of the legislation before undertaking projects. It covers the Statistic Act, Public Service Act, Development Facilitation Act and Spatial Planning Land Use Management Act, Government-Wide Monitoring and Evaluation Policy Framework and Constitution of South Africa.

The Constitution envisages that the state should be developmental: Section 195(1)(c) provides that public administration must be development-oriented (Kuye & Ajam, 2012). Therefore, state institutions or government programmes should be designed to comply with this principle (Kuye and Ajam, 2012). This overview outlines fundamental principles, standards, and a framework for monitoring and evaluating public service regulations and programmes. It intends to create awareness and interest in M&E among the SMS, staff and other stakeholders within the DPSA and government departments implementing the Public Service Act, regulations, policies /programmes/ projects and, above all, to demonstrate how M&E findings could be used to enhance evidence-based decision making and accountability within the public service (De Vries, Bekkers, and Tummars, 2016). Public service has been amid constant reform since 1994. One of the major complaints of sub-national spheres of government is that there are new reforms every year emanating from different national departments. According to De Vries, Bekkers, and Tummars (2016), these reforms often need to be integrated with previous reforms which other departments led. The three components of the GWM&E must be understood to be integrated with other reforms such as the MTEF, and Management, Human Resource Planning, Annual Reporting and Monitoring such as the Public Management Watch Programme (at the national and provincial level) and IDPs and institutional performance management systems (at the municipal level).

## **4.2 Statistic Act**

The Statistic Act (no 6 of 1999) was created to provide for a Statistician-General as head of Statistics South Africa, who is responsible for the collection, production and dissemination of official and other statistics, including the conducting of a census of the population, and for co-ordination among producers of statistics; to establish a Statistics Council and provide for its functions; to repeal specific legislation; and to provide for connected matters (Jones, 2016).

## **4.3 Public Service Act**

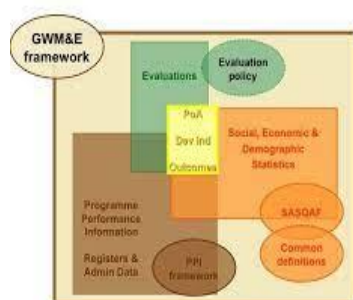
The Public Service Act frames DPSA's mandate. This department is responsible for public service transformation to increase public service effectiveness and improve governance (Muthien, 2014). It is the custodian of public management frameworks, performance and knowledge management and service delivery improvement. It co-chairs the Governance and Administration Cluster and the GWM&E Working Group (Muthien, 2014). Department of Provincial and Local Government DPLG derives its mandate from the Constitution, Chapters 3 and 7, and other legislation, such as the Municipal Structures Act of 1998 and the Municipal Systems Act of 2000 (Muthien, 2014). Its core function is to develop national policies and legislation about provinces and local government, monitor their implementation, and support them in fulfilling their constitutional and legal mandate. South African Management Development Institute (SAMDI) SAMDI's mandate is informed by the Public Service Act, 1994, Chapter II Section 4 (2). The Institute: (a) shall provide such training or cause such training to be provided or conduct such examinations or tests or cause such examinations or tests to be conducted as the Head: South African Management and Development Institute may, with the approval of the Minister decide or as may be prescribed as a qualification for the appointment, promotion or transfer of persons in or to the public service (September 2015); (b) may issue diplomas or certificates or cause diplomas or certificates to be issued to persons who have passed such examinations. SAMDI will play an essential capacity-building role in rolling out the GWM&E Policy Framework. The OPSC derives its mandate from sections 195 and 196 of the Constitution, 1996. It has been tasked with investigating, monitoring, and evaluating the organization and administration of the public service (September 2015). This mandate also entails the evaluation of achievements or the lack thereof in government programmes. The PSC must also promote measures that would ensure effective and efficient performance within the public service and promote values and principles of public administration as set out in the Constitution throughout the public service. (e.g. professional ethics, efficient, economical and effective use of resources, impartial, fair and equitable service provision, transparency and accountability, etc.) (September 2015).

#### **4.4 Development Facilitation Act and SPLUMB**

The Development Facilitation Act, Act 67 of 1995 (DFA) and the Spatial Planning and Land Use Management Bill, 2011 (SPLUMB); Sections 152 and 153 of the Constitution of the RSA (Act 108 of 1996), which commit the local government to take reasonable measures, within its financial and administrative capacity to achieve specific objectives; and the White Paper on South African Land Policy (Berrisford, 2011). SASGI Proceedings 2013 – Stream 1 About the Spatial Planning and Land Use Management Bill, 2011 and the Development Facilitation Act, 1995, with its similar principles, Both the Bill and the Act bear testimony to the government's intention to guide land planning and development of informal settlements (Berrisford, 2011). The principle aims of SPLUMB are clear, referring to the preamble: The state must respect, protect, promote and fulfil the social, economic and environmental rights of everyone and strive to meet the basic needs of previously disadvantaged communities (Berrisford, 2011). Informal and traditional land use development processes are poorly integrated into formal systems of spatial planning and land use management.

According to Berrisford (2011) it is the state's obligation to realize the constitutional promises in Section 25(5) of the Constitution, to take measures designed to foster conditions that enable citizens to gain access to land on an equitable basis and the section 6 which relates to development principles reads: 6(a) the principle of spatial justice, whereby- (i) past spatial and other development imbalances are redressed through improved access to and use of land; (ii) policies at all spheres of government address the inclusion of persons and areas that were previously excluded, with an emphasis on informal settlements, former homeland areas and areas characterized by widespread poverty and deprivation (Winston, 2016); (iii) Spatial planning mechanisms, including land use schemes, include provisions that enable redress in access to land and property by disadvantaged communities and persons; (v) Land development procedures will include provisions that accommodate access to secure tenure and the incremental upgrading of informal area. 6(b) the principle of spatial sustainability, whereby spatial planning and land use management systems must- (iii) Promote and stimulate the effective and equitable functioning of land markets; 6(e) the principle of good administration whereby- (i) All spheres of government ensure an integrated approach to land use and land development that is guided by the spatial planning and land use management systems as embodied in this Act (Berrisford, 2011).

## 4.5 Government Wide Monitoring and Evaluation Policy Framework



**Figure 4.5:** The overarching Government-wide Monitoring and Evaluation system aims to provide an integrated, encompassing framework of M&E principles, practices, and standards to be used throughout Government and function as an apex-level information system which draws from the component systems in the framework to deliver helpful feedback and report.

The National Treasury issued a Framework for Programme Performance Information in May 2007, and Stats SA is finalizing the South African Statistics Quality Framework (SASQAF). The assignment of roles accompanying this Policy Framework will detail stakeholder responsibilities in the dissemination, implementation and M&E of detailed policies in each data terrain (Treasury, 2012). Standards for each type of M&E system are to be proposed in their respective policy documents and considered by the GWM&E Working Group public members when providing feedback. This component is on information that government institutions collect while fulfilling, developing, and implementing the government's policies. These would include output and outcome information collected at the provincial level for strategic and annual performance plans and budgets and at the local level for Integrated Development Plans and Service Delivery and Budget Implementation plans. The Programme Performance Information Framework aims to: The lead institution responsible for performance information is the National Treasury. Role players in this area include every government institution that must put in place appropriate primary information structures, systems and processes to manage their performance information. The Presidency, National Treasury, DPSA, DPLG and various other departments are developing derivative information systems that draw information from these primary systems for monitoring and evaluation purposes (Nonyane, 2019). The assignment of roles accompanying this Policy Framework will detail stakeholder responsibilities in the dissemination, implementation and M&E of detailed policies in each data terrain (Nonyane, 2019). Standards for each type of M&E system are to be proposed in their respective policy documents and considered by the GWM&E Working Group before being formally adopted.

This component focuses on information collected by Statistics South Africa through the census and other surveys, as well as on statistics collected by other government institutions (StatsSA, 2011). Within the National Statistics System (NSS), SASQAF distinguishes between “national statistics”

and “official statistics” (StatsSA, 2011). National statistics are those in the public domain, but the Statistician General has not certified them as “official” in terms of section 14.7(s) of the Statistics Act (StatsSA, 2011). These include surveys, registers and administrative data sets emanating from the three spheres of government and other state organs. The private sector, research institutions, and NGOs also generate statistics, the three data terrains underpinning the GWM&E system (Rabie, 2010). Clarify standards for performance information and support regular audits of non-financial information where appropriate; improve the structures, systems and processes required to manage performance information; define roles and responsibilities for performance information and Promote accountability to Parliament, provincial legislatures, municipal councils and the public through timely, accessible and accurate publication of performance information (Rabie, 2010).

#### **4.6 Conclusion**

This chapter discussed the various sections of the Constitution that deal with Monitoring and Evaluation. This was undertaken by examining the constitution, emphasising a crucial legislative framework. The ideas around policy and legislative framework were also shared with specific highlights on the Development Facilitation Act, Act 67 of 1995 (DFA) and the Spatial Planning and Land Use Management Bill, 2011 (SPLUMB); Sections 152 and 153 of the Constitution of the RSA (Act 108 of 1996) which commit the local government to take reasonable measures, within its financial and administrative capacity to achieve specific objectives. There was also the involvement of responsible institutions for housing in South Africa, including human settlements.

## **CHAPTER FIVE: DATA PRESENTATION AND ANALYSIS**

### **5.1 Introduction**

This chapter presents the findings and analyses from the semi-structured interviews conducted during the study of the Implementation of the Monitoring and Evaluation (M&E) System in Government Departments. It discusses implementing the monitoring and evaluation (M&E) program in the KwaZulu-Natal Department of Social Development. In this view, understanding the role of monitoring and evaluation in DSD and Implementation analysis is vital, including challenges and recommendations of M&E. Data was collected using semi-structured interviews with seven participants. Those interviewed included a Chief Director (Systems & Strategy Chief Directorate), a Director (Monitoring and Evaluations Unit), one Deputy Manager (M&E) and two Assistant Managers (M&E), as well as one M&E Practitioner. This sample of seven draws participants from public officials involved in different capacities, at different roles and responsibilities in the KZN DSD – Strategy and Systems M&E unit. The responses are based on the participants' experiences in the M&E practice.

The responses of the seven respondents have been coded as P-1 and P-2, Assistant Managers, P-3 Deputy Managers, P-4, Director (Evaluations Unit), and P-5, P6, P7– the Acting Director for the Monitoring Unit. The respondents' answers to the research questions were categorized within four broad themes: the Legislative Framework focus at KZN DSD, the Knowledge factors M&E, Functions or Processes, challenges as well as recommendations. These themes are discussed to ascertain how the understanding of M&E by its implementers at KZN DSD affects the implementation of M&E, thus revealing successes and limitations. M&E at the KZN COGTA. Appendix – 1 provides the schedule of the interview questions.

The data collected was instrumental in highlighting the issues of the monitoring and evaluation system in the DSD. This case study of the KwaZulu-Natal Department of Social Development has produced relevant data linked to aims and objectives. The completion and exploration of the Department employees proceeded with the application of qualitative and quantitative techniques, which allowed the utilization of thematic analysis. The data segment comes from the seven research participants instrumental in the findings. The diverse response offered a distinct focus that was useful for analysis and critical engagement. The incorporation of aims and objectives has been necessary for data presentation build-up. The use of the themes guides the scope of understanding with the creative, critical analysis, a significant feature of this project's qualitative method.

## 5.2 Research questions

The study examines the implementation of the M&E system in the KwaZulu-Natal Department of Social Development. Specifically, the study is guided by the following key research questions:

1. To understand the role of monitoring and evaluation in the KwaZulu-Natal Department of Social Development.
2. To demonstrate how the KwaZulu-Natal Department of Social Development could improve its monitoring and evaluation System.
3. To ascertain how monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development.
4. To share the challenges the KwaZulu-Natal Department of Social Development has faced in implementing monitoring and evaluation.

## 5.3 Research Participants' Profile

**Table 5.1** The following table represents the demographic information of the participants for this project.

Name & Surname	Position	Qualification	Gender	Years of experience in M&E
1) Participant 1.	Chief Director: Strategy & Systems	PHD in Public Administration	Male	15
2) Participant 2	Director M&E	Honors in Demography & Population Studies	Male	14
3) Participant 3	M&E Practioner	Honors in Public Administration	Female	11
4) Participant 4	M&E Practioner	Honors in Public Administration	Male	09
5) Participant 5	M&E Practioner	Masters in Policy & Development Studies	Female	12
6) Participant 6	M&E Practioner	Post grade in Management	Female	11
7) Participant 7	M&E Practioner	Honors in Public Administration	Male	10

**Table 5.1:** The above data is presented to female immigrant participants. The data includes significant classification derived from the responses of 7 employees from the Department of Social Development.

## 5.4 DISCUSSION

A total of 7 employee participants was essential for this dissertation. As a result, the sharing of M&E knowledge and experiences occurred through an interview format. There are four male participants and three female participants. As a result, about 60% of males and 40% of females are employed in the M&E division. This data collection method allowed the production of valuable data, as represented in **Table 5.1**. The age of these participants ranged between 25 to 60 years. This links to their work experience as M&E practitioners. Hence, their age matches the number of years they have worked. Their work experience, as indicated in the **Table** above, ranges between 9 to 15 years. This is an advantage for the success of M&E in the Department of Social Development. The more knowledge an employee may have on M&E in achieving better results. **Table 5.1** also reflects that all 7 employees possess postgraduate degrees, which is 100% of all participants. The Table shows that participants who are M&E practitioners possess postgraduate qualifications; thus, this may be a good indication of expertise required by M&E practitioners.

## 5.5 THEMES AND SUB-THEMES

The table represents themes with aims and objectives for data below.

Objectives	Themes	Sub-themes
<ul style="list-style-type: none"> <li>To understand the role of monitoring and evaluation in KwaZulu-Natal Department of Social Development.</li> </ul>	5.5.1 Framework focus	5.5.1.1 Evidence based format 5.5.1.2 Context of reception
<ul style="list-style-type: none"> <li>To demonstrate how the KwaZulu-Natal Department of Social Development could improve its monitoring and evaluation System.</li> </ul>	5.5.2. Knowledge factors	5.2.2.1 Positioning status 5.2.2.2 Predetermined improvement
<ul style="list-style-type: none"> <li>To ascertain how monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development.</li> </ul>	5.2.3 Functions of Operations	5.2.3.1 Based resources 5.2.3.2 Structuring process

<ul style="list-style-type: none"> <li>To share the challenges, the KwaZulu-Natal Department of Social Development has faced in implementing monitoring and evaluation.</li> </ul>	5.2.4 Existing Constraints and recommendations	5.2.4.1 The role of management in ensuring the implementation of the performance monitoring system  5.2.4.2 Absence of rewards and punitive measures  Resources for Monitoring and Evaluation: Human Resource Capacity at KZN DSD
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### 5.5.1 Framework Focus

Proclamation No. 43 of July 8, 2014, which was gazetted to amend Schedule 1 of the Public Service Act of 1994 to establish new and rename the National Departments, significantly enhanced this mandate. The Department of Planning, Monitoring and Evaluation (DPME), 2014, was developed to institutionalise planning and Government monitoring and evaluation. Understanding monitoring and evaluation (M&E) within the context of Department of Social Development is essential. Therefore, this understanding can demonstrate various examples of its implementation in public management and administration. Several examples within the South African context include the government bodies and legislation set up expressly for improving M&E in the Department of Social Development.

There is far greater understanding of how monitoring and evaluation is used in public management in the Public service. Poor M&E conduction directly affects the quality of the country’s public services. It has worked directly towards improving the lives and livelihoods of all South Africans. Monitoring and evaluation are the processes that allow policy-makers and programme managers to assess how an intervention evolves (monitoring), how effectively a program was implemented, whether there are gaps between the planned and achieved results (evaluation), and whether there are changes in well-being.

#### 5.5.1.1 Evidence-based perspective

Evidence-based policy-making (EBPM) helps policymakers and providers of services make better decisions and achieve better outcomes by drawing upon the best available evidence from research and involved in policy implementation without considering the actors' role in the policy implementation process, which is to address the problem, effective and ineffective interventions to solve the problem, and the likely positive and negative consequences of the proposed policy option (Uneke et al., 2022). The poor performance of M&E practitioners has had numerous social,

economic, and environmental impacts on South Africa since the transition period. The individual knowledge of M&E contributes towards achieving the team and stakeholder expectations. Monitoring and Evaluation are critical for understanding the effectiveness of any project or program. Regular assessment allows an individual to identify successes and areas for improvement in any proposed project. It also ensures accountability, allowing stakeholders to track progress and hold each other responsible for achieving departmental goals.

#### *Participants 4*

*“It a basic guideline in the constitution which drives information sharing in an institution like Government with policies and procedures” (Participant 4)*

Each interviewee acknowledged the contribution of district M&E officers in helping improve data quality, management, and reporting. Improvements in data quality included accuracy, timeliness, validity, and completeness. The introduction of data audits and standardization of data collection tools contributed to the perceived improvements in the accuracy and completeness of reporting. The development of tools to track the submission of reports from facilities and feedback given to facilities helped improve timeliness and reporting.

#### **5.5.1.2 Context of Reception**

The context of reception on M&E leads to planning and administration. The planning and administration lead to the success of Departmental M&E. A monitoring and evaluation (M&E) plan is a document that helps to track and assess the results of the interventions throughout the life of a program. It is a living document that should be referred to and updated regularly. While the specifics of each program’s M&E plan will look different, they should all follow the same basic structure and include the same key elements.

An M&E plan will include some documents that may have been created during the program planning process and some that will need to be created new. For example, elements such as the logic model/logical framework, theory of change, and monitoring indicators may have already been developed with input from key stakeholders and/or the program donor. The M&E plan takes those documents and develops a further plan for their implementation.

#### **5.5.2 Knowledge factors**

Construction practice globally is characterized by challenges cutting across processes and methods. It is also evident that the mechanisms to mitigate these challenges have yet to achieve the desired performance envisaged in the South African public service. Whereas monitoring and evaluation of the projects have been applauded as a panacea to solving these performance challenges, the factors influencing effective monitoring and evaluation systems have yet to be agreed upon in the Public

service. There are debates around the synergetic relationship between sharing the M&E knowledge as a resource—an input necessary to the success of any organization’s activities. It is also a product—an outcome of experience that has value to others. In the Public service, managers often discuss knowledge regarding competitive advantage. To reach health and development goals, we need to continually identify knowledge, capture it, synthesize it, share it with various counterparts, help them to use it, and help to collect and share the new knowledge generated by that experience. Knowledge can be either explicit or tacit.

### *Participants 1 and 3*

*“The constitution becomes the main source for improving M&E together with other relevant frameworks, which are SOPs” (Participant 1)*

*“We do receive support also from the business unit is vital for the success of M&E, with more support it possible to get M&E results” (Participant 3)*

The participants offered the role of monitoring and evaluation (M&E) tools in guiding standard operating procedures (SOPs), including the role of M&E planning capacity, which is vital for the success of supporting government systems. The Department of Social Development also plays a supportive function, as participants reflected in planning performance reviews. M&E officers will identify and document achievements against project indicators set out in performance targets and monitor and evaluate direct informed decision-making. The participants also identify goals, outcomes, outputs, activities, and inputs, indicators that serve as verification tools.

#### **5.5.2.1 Positioning status**

This study complements and enhances the work being done as part of the Government-Wide Monitoring and Evaluation System, particularly the Framework for Managing Programme Performance Information (published by the National Treasury in 2007) and the Policy Framework for the Government-Wide Monitoring and Evaluation System (published by the Policy Coordination and Advisory Services in the Presidency, in 2007). There are many factors behind the success of M&E in the Department of Social Development. The increasing number of migrating people creates interest in understanding the emerging predisposing factors compelling their departure.

#### **5.5.2.2 Predetermined improvement**

*Acquisition function closely associated with inherently governmental functions* means supporting or providing advice or recommendations about the following activities: Planning acquisitions and determining what supplies or services are to be acquired by the Government, including developing statements of work. They develop or approve any contractual documents, including documents defining requirements, incentive plans, and evaluation criteria, evaluating contract proposals and

awarding government contracts. Other work aspects administer contracts (including ordering changes or giving technical direction in contract performance or contract quantities, evaluating contractor performance, and accepting or rejecting contractor products or services). This extends to determining whether contract costs are reasonable, allocable, and allowable.

### *Participants 2 and 3*

*“eh jah, they do; the available policies are useful in terms of guiding the implementation of M&E in the department. Of course, it can still improve” (Participant 2)*

The response demonstrates that improving the M&E policies requires thorough planning and a proper platform to ensure everyone in the Department of Social Development understands the policies. The responses above reflect the emerging instances of M&E underlined by policies. The inadequate monitoring has led the country to many socio-economic challenges exaggerated by many illegal activities; thus, this has a negative outcome for the employees in the M&E division. As a result, the evidence suggests M&E policies need more innovation, a better-educated workforce, greater occupational specialisation, better talent matching, and improved overall economic production.

### **5.2.3 Functions of Operations**

It is important to develop an M&E plan before beginning any monitoring activities so that there is a clear plan for what questions about the program need to be answered. It will help program staff decide how they will collect data to track indicators, analyse monitoring data, and disseminate the data collection results to the donor and internally among staff members for program improvement. Remember, M&E data alone is not increasing in terms of operational capacity. An M&E plan will help make sure data is being used efficiently to make programs as effective as possible and to be able to report on results at the end of the program. A monitoring and evaluation (M&E) plan is a document that helps to track and assess the results of the interventions throughout the life of a program. It is a living document that should be referred to and updated regularly. While the specifics of each program’s M&E plan will look different, they should all follow the same basic structure and include the same key elements. An M&E plan will include some documents that may have been created during the program planning process and some that will need to be created new.

### **Participant 1 and 3**

*“Well, I can say we are doing well we are implementing M&E well, we also know that M&E can provide info of what works and what does not but there is a room for improvement .... (Participant 3)*

The response demonstrates that M&E challenges for employees can be demolished. M&E can be adjusted and improved; if accomplished, it can be extremely beneficial, particularly regarding social capital and governance success.

### **5.5.3 Based resources**

Monitoring and evaluation (M&E) systems enable projects, programmes, or organisations to define, select, collect, analyse and use information for various purposes. Therefore, an M&E system needs resources to function correctly. In order to establish the level of resources required, it is helpful to divide M&E work into two broad areas. Firstly, a project, programme or organisation must do certain things. This includes M&E required for basic project or programme management and any M&E required for accountability to donors or internal stakeholders, such as boards, trustees or senior management. This work is non-negotiable. Therefore, the only decision is the required resources to ensure the work is carried out according to acceptable standards. Secondly, a project, programme or organisation wants to do certain things. This includes M & E, designed to generate learning to improve future performance or demonstrate downward accountability to partners and communities. In this case, it is essential to balance the costs and benefits of an M&E system carefully. This means ensuring that resources devoted to M&E are appropriate and cannot be better spent elsewhere.

#### *Participants 1 and 6*

*“Eh yes, policies and legislations are useful in the implementation of M&E in the Department of Social development with people reporting and those we monitor being familiar with our legislations” (Participant 1)*

*“The policies and legislation play an important role they guide the process for M&E in the Department” (Participant 6)*

In the context of M&E, most department employees are familiar with its role. Technological barriers contribute to the demoralization of M & E as they slow the process, causing delays as things are done manually. The effort to avail the information to M&E may show a need for more technological integration. The responses show the strength of the M&E while elaborating on the personalized component of improving the M&E to become better. The selective nature of an M&E process forms boundaries to understand the domestic reporting required. In contrast, there is also a requirement to adapt socially and economically as a department fully, but this is not easy (Potocky-Tripodi, 2004). Many of these responses show that the constitution becomes the solution to protect the M&E process.

#### **5.5.4 Structuring process**

Government departments need to establish an M&E structure. This structure involves understanding policies and legislations underlying M&E in the Department of Social Development. According to Bach-Motensen and Montgomery (2018), one of the major challenges in effective monitoring and evaluation processes is finding the time and resources to do it well. In a recent study, most non-profit organizations said limited staff time (79%) and insufficient financial resources (52%) were barriers to evaluation activities. With most organizations facing financial constraints, it can be possible for Monitoring and Evaluation to move down the priorities list as other activities are dealt with instead (Ibid). Effective monitoring and evaluation, however, in the long run, can alleviate some of the significant issues faced by non-profits. Understanding where one can have the most influence and what factors are most important to successful interventions can free up staff time and resources.

Similarly, demonstrating and evidencing the impact can support one dramatically in their fundraising activities, both with individual donors and grant-giving bodies, giving one greater access to funding and reducing financial constraints (Impouma et al., 2021). A well-structured M&E helps them understand what activities contribute to long-term goals and objectives. It also helps them identify when they are going over time and budget so they can intervene rapidly. This means that M&E can support finding precious time and resources, provided one can work to create effective processes in the short term (ibid).

##### **5.5.4.1 A. Existing Challenges**

The implementation of M&E is confronted by several challenges, such as the role of management in ensuring the implementation of the performance monitoring system, the absence of rewards and punitive measures, Resources for Monitoring and Evaluation, Human Resource Capacity, and malicious compliance. The challenges limit the effective implementation of M&E (DPME, 2014). In the analysis and presentation of the performance monitoring challenges, the DPME (2014) stated in the report entitled "Performance Monitoring and Evaluation: Principles and Approach" that there is generally an absence of a robust M&E culture in government. The report states that 54% of 96 departments surveyed showed the absence of M&E in the government departments (DPME, 2014).

Moreover, M&E in government departments is seen by 39% of the departments as a policing and controlling function rather than a continuous improvement function. The general perception is that monitoring is an activity carried out by monitors who monitor the work of others. Therefore, this leads to managers' limited appreciation and acceptance (ibid).

#### **5.5.4.2 The role of management in ensuring the implementation of the performance monitoring system**

Management's significant role in a department must be considered when implementing performance monitoring systems, yet research has proven that this is often the case. Management ought to be at the forefront of this process by ensuring that the implementation process includes all the role players, especially the implementers (Goggin, 1986). This is, however, not the case, as mentioned by one participant:

*“...the policy is imposed so from my point of view if you weren't at the Provincial meeting someone else made a decision for you at some strategic session for you at the region based on what's happening without taking into consideration the dynamics of that particular region”.*

Another participant who suggests that management does not take performance monitoring seriously as their performance is not linked to their salary.

*“...performance of the Directorate or Programme can be linked to a manager; you know in a private company as a director I answer for my performance. But the bottom line you should be able to respond because it affects your pay and reputation”.* It is therefore, important for management to create an environment that is conducive for all role players involved in the cycle of policy implementation.

#### **5.5.5 Absence of rewards and punitive measures**

Implementing the performance monitoring system and the monitoring and evaluation policy ought to instil greater employee productivity whilst also assisting the department in achieving its strategic goals and objectives. The challenges that Auditor General SA. Study participants have also highlighted the KZN DSD experiences in the implementation suggested that the department should have incentives to encourage compliance whilst also putting in place punitive measures for those who did not comply. A participant suggested that:

*“...Perhaps we can also amplify it by also implementing consequence management for those employees that are not complying with the M&E system so that they can start improving”.*

One other participant suggested as set out below the need for the department to apply a system that would reward good performance whilst also applying a consequence management system that would deal with officials that did not comply with the requirements set out in the implementation policy:

*“They should crack the whip; we will give you an opportunity to train on these things but if you don't comply then we have to take punitive measures”.*

#### **5.5.5.1 Resources for Monitoring and Evaluation: Human Resource Capacity at KZN DSD**

Other challenges which limit the effective implementation of M&E at the KZN DSD, as revealed by DSD M&E practitioners, reflect Melchor's (2008: 21) argument, which states that implementing a new strategy requires trained staff, financial and material resources, which are the necessities for successful implementation of M&E. Furthermore, according to Brinkerhoff and Crosby (2002), new policy often lacks these essential resources, to effectively implement policies. Moreover, having a capacitated pool of policymakers and implementers to implement policy increases the likelihood of its success (Bester, 2009: 8).

The capacity gap between national, provincial, and local government organizations influences evaluations' credibility. An M&E Practitioner explains the capacity challenges encountered and how they affect the work they do:

*“In terms of warm bodies, I'm still fine but in terms of the expertise I'm not that happy because that's why now I'm trying to bring students. I'm augmenting the capacity. With the warm bodies we can still augment them. I don't necessarily see that I must appoint more deputies, more assistants. As long as I can find another source of data collection,”*

Another challenge is that, though the DSD M&E Unit was established in 2009, however there has been very little evaluation studies produced by this directorate, collaboration with other stakeholders being attempted as on participant states:

“...I’m aware that in collaboration with National DSD and other provincial Stakeholders, there is an evaluation study on the Victims of Flood. The study aims to evaluate their state of living and what/how has the Province of KZN assisted the flood victims in reintegrating to their communities”.

Another participant indicated that there has been a study conducted:

*“The department has conducted a Rapid assessment study related to Community Readiness to Covid – 19 vaccines during 2020 -2021 Financial Year”.*

## **5.6 Malicious compliance**

In the absence of an electronic performance monitoring system, one of the challenges faced is business units needing to take performance reporting seriously. Furthermore, using performance information to improve departmental performance and service delivery hinders productivity in the department. Officials tend to do things because they must do them; it is an activity that has to be ticked off at the end of the quarter through the population of the performance-monitoring Non-Financial Data forms. This notion is shared by two participants that pointed out that:

*“...reports are taken as one of those things to comply and say at least it was done and presented at the monthly/quarterly validation meeting, so it has complied, but it is never for improvement and to take the decision of how then we improve”.*

*“...Most good things we do for compliance, I’ll make an example. Look at our annual performance plans; look at the targets some of those targets are not directly linked to output of the department”.*

## **5.7 Successes of the Monitoring and Evaluation at KZN DSD**

The senior management of KZN DSD, since the inception of M&E in the Public Service in line with DPME, has embraced it and ensured its implementation in the Department, in that it established the KZN DSD Chief Directorate known as Strategy & Systems; this directorate consists of Strategic Planning Directorate, Monitoring & Evaluation Directorate KZN DSD Annual Report 2019/2020.

The Planning and M&E processes are integrated and incorporated into the management activities, e.g. in the integrated departmental calendar of meetings; management has set dates aside for the Verification and Validation of performance information. There are dates for Quarterly and Annual Performance Reviews. This has contributed to institutionalizing M&E in the Department. Furthermore, the Strategic Planning Directorate ensures synergy between what is planned (target setting) and what is achieved and evaluated. KZN DSD Annual Report 2019/2020.

The positive results of what is stated above are reflected during the Auditor General's Audit Findings of 2018/19, where the Department received a clean performance Monitoring and evaluation audit. KZN DSD Annual Report 2019/2020.

KZN DSD management structures, such as EXCO and MANCO meetings, have specific standard items on M&E. The quarterly and annual reports are tabled in these structures, and evaluation studies' performance information and outcomes are discussed, which inform departmental planning, budgeting, and decision-making.

## **5.8 Study findings**

Research findings highlight the critical role of management in ensuring the implementation of the performance monitoring system at the KZN DSD. While management should be at the forefront of this process by involving all key role players, including implementers, research indicates that this is often not the case. Policies are frequently imposed without considering regional dynamics, leading to a disconnect in implementation. One participant noted that decisions are made at strategic sessions without accounting for the specific needs of the region. Additionally, management's lack of accountability reduces the seriousness with which performance monitoring is treated, as their performance is not tied to salary or reputation, unlike in private companies. This highlights the need for management to create a supportive environment for effective policy implementation. Furthermore, the absence of rewards and punitive measures undermines employee motivation and compliance with the M&E system. Participants suggested that introducing consequence management, including incentives for compliance and punitive measures for non-compliance, would enhance the system's effectiveness. Resource limitations also pose a significant challenge. The successful implementation of M&E requires trained staff, financial resources, and material support, yet the KZN DSD struggles with a capacity gap between national, provincial, and local levels. A participant highlighted the shortage of expertise and the need to bring in external support, such as students, to fill this gap. Since the establishment of the M&E Unit in 2009, few evaluation studies have been produced, although collaborative efforts with National DSD and other stakeholders have resulted in some successful studies, such as the evaluation of flood victim reintegration and a rapid

assessment study on community readiness for COVID-19 vaccines. Malicious compliance also undermines the system's effectiveness, as officials often treat performance reporting as a box-ticking exercise rather than a tool for improving service delivery. Targets outlined in performance plans are not always directly linked to departmental outputs, reducing their strategic value. Despite these challenges, there have been notable successes in the implementation of M&E at the KZN DSD. Senior management has embraced the system since its introduction, leading to the establishment of the Strategy & Systems Chief Directorate, which includes the Strategic Planning and M&E Directorates. The integration of M&E into the departmental calendar has institutionalized the process, with regular performance reviews and validation meetings informing departmental planning, budgeting, and decision-making. These efforts contributed to the department receiving a clean performance monitoring and evaluation audit from the Auditor General for the 2018/19 period.

## **5.9 Conclusion**

The chapter has covered data presentation and analysis through the detailed sharing of interview responses and the creation of themes. These themes helped identify data patterns that produced essential information forming a significant part of the qualitative data analysis. The participants' responses reflected both similarities and variations, highlighting key issues related to the implementation of the Monitoring and Evaluation (M&E) system within the Department of Social Development in Pietermaritzburg. A notable finding was the critical role of management in ensuring the successful implementation of the performance monitoring system. The study revealed that while management should lead the process by involving all key role players, there is often a disconnect due to the imposition of policies without considering regional dynamics. Additionally, the absence of incentives and punitive measures emerged as a significant barrier to compliance and performance improvement, with participants suggesting that introducing consequence management could enhance motivation and accountability. Resource limitations, particularly in terms of human resource capacity and expertise, also emerged as a challenge, highlighting the need for better support and capacity building. Despite these challenges, the integration of M&E into departmental planning and decision-making structures has contributed to notable successes, including a clean performance audit from the Auditor General. The themes generated from the study's aims and objectives have helped create valuable data patterns essential for understanding the strengths and weaknesses of the M&E system, thereby informing recommendations for improved implementation and effectiveness.

## **CHAPTER SIX: Summary, Recommendations and Conclusion**

### **6.1 INTRODUCTION**

The former chapter was about data presentation and analysis, where critical points were made to deviate factors and values that make up the Monitoring and Evaluation in the Department of Social Development. The research concentrates on understanding the role of Monitoring and evaluation in the KwaZulu-Natal Department of Social Development and ascertaining how Monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development, among other issues. Also, the chapter seeks to provide an overview of the project. This Chapter 6 overview represents the whole study and thus attempts to outline the summary, recommendations and conclusion thoroughly. This section will be centred on the effort to summarise this master project, where possible recommendations and the research conclusion are shared.

### **6.2 Chapter Summary**

Chapter One was instrumental in outlining the material concepts linkable to Civil Society. The structural and functional hindrances to civil society organizations have been identified, with the partial enhancement of important subtleties of development. Against the background, the tracing of dynamics faced by civil Society and the continuous impact in changing communities during the COVID-19 pandemic in Pietermaritzburg. The background explained that Monitoring and Evaluation (M&E) processes are designed to assist departments in evaluating their performance and identifying factors contributing to their service delivery outcomes. The aim and objective were involved to ensure that research is fully understood, with a platform to guide the reader, where among the aims and objectives is the exploration of experiences of civil society organizations during the coronavirus pandemic. The aims and objectives included the determination of the study to understand the role of Monitoring and evaluation in the KwaZulu-Natal Department of Social Development and to ascertain how Monitoring and evaluation are implemented in the KwaZulu-Natal Department of Social Development. The study also wanted to share the challenges the KwaZulu-Natal Department of Social Development has faced in implementing Monitoring and evaluation. The key questions were presented in this chapter, with the highlights of questions such as, what is the impact of civil Society in South Africa as well as to demonstrate how the KwaZulu-Natal Department of Social Development could improve its monitoring and evaluation System. The chapter also shared the study methodology using both qualitative and quantitative research design, including the data collection method, such as the interviews, which involve in-person probing of questions that move through conversation with prepared questions that meet the aims and objectives of the study.

Chapter two delved into the literature review. This chapter was an essential aspect of this study, including the history of Monitoring and Evaluation in S.A., where the literature focused on the

development aspirations driving post-apartheid South Africa. The observation of the history of apartheid and colonialism presented the country with more significant social imbalances. Hence, the social and economic inequalities that still exist today. The conceptualization of Monitoring and evaluation was also accessed, demonstrating that no study has yet been published examining the consequences of the various components that influence the M&E of government initiatives. Government-owned entities are independent or partially owned by the government (public entities). It is defining Monitoring and Evaluation and their importance in the public service and International perspective on Monitoring, where it was mentioned that Monitoring and Evaluation are two distinct but related concepts that are frequently used interchangeably, with Monitoring referring to the act of gathering and analyzing data on the outcomes of a particular project, policy, or program in comparison to expectations.

Furthermore, the section and the chapter also extended to M & E in AFRICA to create literature on M&E in the African continent, with a discussion on the expansion of measurement and evaluation systems in African countries is a remarkable trend. It denotes organizational maturity, a focus on results, and a response to civil Society's growing demand for accountability. There was also an exploration of the relationship between Strategic planning and M&Es. The chapter also attempted to explore the International perspective on Monitoring and Evaluation with the assessment of M&E internationally, which is a step closer to sharing existing systems with other nations. This can shed light on significant guidelines lacking in South Africa, especially at a municipal level.

Chapter three discusses the conceptual and theoretical framework and the theory of change for Monitoring and evaluation; this chapter discusses relevant issues concerning implementing an M&E system from a conceptual and theoretical perspective. It has identified and discussed the relevant terms that inform the study, including public policy, Monitoring and evaluation, implementation theory, and theory of change. The chapter attempted to present a theoretical and conceptual link between the concepts that government or public organizations implementing public policy try to use to strengthen the efficiency and effectiveness of these organizations. Among the issues covered were the Approaches to Policy Implementation, including the fact that the policy implementation process should be towards realizing previously set goals and that different implementation approaches can be adopted or used jointly. The Top-Down Approach to Policy Implementation was discussed, and the rational model approach, under which the top-down approach was mentioned, sets the goals to be achieved. This includes the implementation process. It concerns the process taken to achieve the identified set of goals. The Bottom-Up Approach to Policy Implementation was also featured. It was explained that the bottom-up approach or backward mapping means thinking about policies by looking at the behaviour one wishes to change (Weimer and Vining, 2005: 281). Its perspective shows that street-level bureaucrats or other policy implementation operatives are

also making policy, as they turn problems into routines, articulate the alternatives for the problems and seek the comment of organizational resources to address them

Chapter Four discusses the various sections of the Constitution that deal with Monitoring and evaluation. This was undertaken by examining the Constitution with emphasis on critical legislative frameworks. The ideas around policy and legislative framework were also shared with a specific highlight on the Development Facilitation Act, Act 67 of 1995 (DFA) and the Spatial Planning and Land Use Management Bill, 2011 (SPLUMB) where the Development Facilitation Act, Act 67 of 1995 (DFA) and the Spatial Planning and Land Use Management Bill, 2011 (SPLUMB); Section 152 and 153 of the Constitution of the RSA (Act 108 of 1996) which commit local government to take reasonable measures, within its financial and administrative capacity to achieve specific objectives were mentioned; Section 152 and 153 of the Constitution of the RSA (Act 108 of 1996) which commit the local government to take reasonable measures, within its financial and administrative capacity to achieve specific objectives. There was also the involvement of responsible institutions for housing in South Africa, including human settlements. Other acts included the Statistic Act (no 6 of 1999), which was created to provide for a Statistician-General as head of Statistics South Africa, who is responsible for the collection, production and dissemination of official and other statistics, including the conducting of a census of the population, and for co-ordination among producers of statistics; the Public Service Act frames the Public Service Act DPSA's mandate. This department is responsible for public service transformation to increase public service effectiveness and improve governance. It is the custodian of public management frameworks, performance and knowledge management and service delivery improvement.

Chapter five has covered data presentation and data analysis. This happened through sharing interview responses and creating themes. These themes helped create a data pattern which produced essential information. This information forms a considerable part of qualitative data analysis. The participants reflected remarkable similarity in their responses, and there was a variation in some instances. The role of M&E was determined through the participant's response from the Department of Social Development in Pietermaritzburg. The generated themes emerged from aims and objectives, which helped create data patterns; these data patterns were significant in meeting the study outcomes. The data was presented in a table form; a total of 7 employee participants was essential for this dissertation. As a result, the sharing of M&E knowledge and experiences occurred through an interview format. There are 4 male participants and 3 female participants. As a result, about 60% of males and 40% of females are employed in the M&E division. This data collection method allowed the production of valuable data, as represented in Table 5.1. The age of these participants ranged between 25 to 60 years. The themes were developed, including the context of reception, where the context of reception on M&E leads to planning and administration. The planning and administration lead to the success of Departmental M&E. A monitoring and evaluation

(M&E) plan is a document that helps to track and assess the results of the interventions throughout the life of a program. It is also evident that the mechanisms to mitigate these challenges have yet to achieve the desired performance envisaged in the South African public service. The chapter also covered the Resources for Monitoring and Evaluation: Human Resource Capacity at KZN DSD, established other challenges which limit the effective implementation of M&E at the KZN DSD as revealed by DSD M&E practitioners reflect argument, which states that implementing a new strategy requires trained staff, financial and material resources which are the necessities for successful implementation of M&E.

### **6.3 RECOMMENDATIONS**

The study recommendations are essential to capture ideas that are coherent with solutions. They are vital to filter the M& E concerns for the study. The following are suggestions or proposals for the best course of action, especially by an authoritative. Department of Social Development body.

- Even though the study supports the assertion that M&E contributes to effective programme implementation and a level of good governance, an integrated approach is recommended and emphasized to recognize the multi-faceted nature of social problems. This is an assertion that public policy programmes are policy-connected interventions underpinned by the country's Constitution. Therefore, there is a need for improvement in the collaborative practice to assist the department in achieving its mandate.
- There is an urgent need for the electronic M&E system to be fully functional and serve its intended purposes. There needs to be a strengthening of the cooperation between all stakeholders responsible for performance monitoring and evaluation in the department. This will enable M&E to be seen as a collaborative practice that assists the department in realizing its goals. One of the reasons for this recommendation is that M&E theory and practice are still relatively new in South Africa. As a result, many difficulties could be expected in implementing the M&E system.
- The commitment to habitually address these implementation challenges will improve the M&E practice and its ability to provide relevant information to be utilized in fulfilling the department's mandate. The department needs to ensure threatened performance evaluation within the M&E directorate. The results of M&E must be used by the government and shown to make a difference; otherwise, the motivation for doing this will disappear.

- Managers and project managers need to be mandated to implement credible M&E recommendations. On-going capacity building is needed. A lack of capacity, support and resources makes it difficult for M&E information to produce the intended results. It is recommended that further education and training be given to many M&E practitioners, programme managers, and NOPs in Monitoring and evaluation to encourage them to utilize the M&E tools and findings effectively. This capacity building should also be inclusive of DPME and National School of Government training programmes.
- Capacitation will allow government departments to conduct credible impact evaluations, which are a shunned category in the evaluations that are currently being conducted. This is due to its resource demand, which the government departments need to improve the M & E process. M & E has been limited in taking on board citizens to date and where it has assessed service delivery. There is a need to consider and incorporate the implementation of DPME 's Citizen-based Monitoring and Evaluation.
- There is a need to incorporate performance targets into job descriptions and performance agreements for all officials responsible for Monitoring and evaluation. This will ensure that all officials take responsibility and accountability for Monitoring and Evaluation in the department. Furthermore, it is recommended that a system will implement consequence management for officials who poorly implement M&E policies, i.e. malicious compliance or failing to submit the required information on time. While also rewarding those officials who comply with M&E policy directives.

#### **6.4 Conclusion**

The structure of this chapter is based on the summary, data findings, recommendations, and conclusions, which offer another emphasis to the reader's knowledge—these are about M&E in the Department of Social Development. The method is a fundamental reminder and shares the specifications of my written work and the outcomes of this fieldwork study. The summary was of all five chapters, where components of each section were outlined. This included information for chapters one to five. The summary involved aspects of the introduction chapter, the theoretical frameworks and contributions, the methodology, conceptual and theoretical framework and the data presentation and analysis. The study recommendations suggested successes and limitations of M&E in the department, including resources that represent the administrative capabilities. The recommendations may be utilized as a guiding principle for future solutions, including incorporating performance targets into job descriptions and performance agreements of all officials responsible for Monitoring and evaluation. This will ensure that all officials take responsibility and

accountability for Monitoring and Evaluation in the department. Furthermore, it is recommended that a system will implement consequence management for officials who poorly implement M&E policies, i.e. malicious compliance or failing to submit the required information on time, while also rewarding those officials who comply with M&E policy directives.

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## Appendix A: Questionnaires

### QUESTIONNAIRE

#### SECTION A: Personal Particulars

<b>Unit (M&amp;E)</b>	
<b>Officials: Level</b>	

#### SECTION B

1. What are the policies and Legislation that guides the implementation of M&E in the department?
2. In your own view, are those policies and legislations assisting the proper Implementation of the M&E system in the department?
3. What are the qualifications required for employees performing the M&E functions?
4. Are there any internal capacity development programmes for M&E staff in the Department?  If yes, what are those programs?
5. Does the M&E unit have the support of management in implementation of it Functions? Explain your answer.
6. Are the Audits finding for M&E implemented to inform budgeting planning and Implementation? Explain your answer.
7. Are there any structures that supports the implementations of M&E in the Department? Explain your answer.
8. In your own view, does the M&E unit have sufficient staff? Explain your answer.
9. What are the challenges facing M&E in the department?
10. What is the recent evaluation study or studies that has been done by this department?

## APPLICATION FOR ETHICS APPROVAL

For research with human participants

## INFORMED CONSENT FORM

### Information Sheet and Consent to Participate in Research

Date:12/08/2024

Dear Participant

The researcher, who is a student at the University of KwaZulu Natal, Graduate School of Social Science, Rudolph, Madlala is inviting you to consider participating in the research project entitled: The Implementation of the Monitoring and Evaluation System in Government Departments: A case study of the KwaZulu-Natal Department of Social Development.

### THE AIM OF THE STUDY:

The M&E System's operations are the focus of this study's main research questions. They want to look into the M&E System's implementation in the public sector, particularly at the Department of Social Development. The research questions are as follows;

To understand the role of Monitoring &Evaluation in KwaZulu-Natal Department of Social Development.

To explore how the Monitoring &Evaluation is implemented in the Department of Social Development

To observe the challenges that the KwaZulu-Natal Department of Social Development has faced in implementing monitoring and evaluation

To ascertain ways, the Department of Social Development could improve their Monitoring and Evaluation System

The study will not involve any risks and discomforts, you may opt to discontinue participating or withdraw from the study at any time with no negative consequence. There will be no monetary gain from participating in this research. Confidentiality and anonymity of records identifying you as a participant will be maintained by the researchers undertaking this research project who are from the School of Social Science, UKZN.

The interviews will be contact meeting and should take 20 minutes to complete. I hope you will take the time to participate in this study.

Should you need any further information or seek clarity, questions, or concerns about participating in this study, you may contact the researcher on 0769838302

or the UKZN Humanities & Social Sciences Research Ethics Committee, contact details as follows:

**HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION**

**Research Office, Westville Campus Govan Mbeki Building**

**Private Bag X 54001 Durban**

**4000**

**KwaZulu-Natal, SOUTH AFRICA**

**Tel: 27 31 2608350 - Fax: 27 31 2604609**

**Email: [HSSREC@ukzn.ac.za](mailto:HSSREC@ukzn.ac.za)**

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CONSENT

I ..... have been informed about the study entitled (The Implementation of the Monitoring and Evaluation System in Government Departments: A case study of the KwaZulu-Natal Department of Social Development) by (Rudolph Mabutho Madlala).

I understand the purpose and procedures of the study

I have been given an opportunity to answer questions about the study and have had answers to my satisfaction.

I declare that my participation in this study is entirely voluntary and that I may withdraw at any time without affecting any of the benefits that I usually am entitled to.

I have been informed about any available compensation or medical treatment if injury occurs to me as a result of study-related procedures.

If I have any further questions/concerns or queries related to the study I understand that I may contact the researcher at (provide details).

If I have any questions or concerns about my rights as a study participant, or if I am concerned about an aspect of the study or the researchers then I may contact:

**HUMANITIES & SOCIAL SCIENCES RESEARCH ETHICS ADMINISTRATION**

**Research Office, Westville Campus Govan Mbeki Building**

**Private Bag X 54001 Durban**

**4000**

**KwaZulu-Natal, SOUTH AFRICA**

**Tel: 27 31 2608350 - Fax: 27 31 2604609**

Email: [HSSREC@ukzn.ac.za](mailto:HSSREC@ukzn.ac.za)

Additional consent, where applicable I hereby provide consent to:

\_\_\_\_\_

Signature of Participant    Date

\_\_\_\_\_

Signature of Witness    Date (Where applicable)

\_\_\_\_\_

Signature of Translator    Date (Where applicable)

## Appendix C: ethical clearance letter



27 September 2024

Rudolph Mabutho Madlala (217076865)  
School of Social Sciences  
Pietermaritzburg Campus

Dear RM Madlala,

**Protocol reference number:** HSSREC/00007217/2024

**Project title:** The implementation of the monitoring and evaluation system in government departments: A case study of the KwaZulu-Natal Department of Social Development

**Degree:** Masters

### Approval Notification – Expedited Application

This letter serves to notify you that your application received on 14 June 2024 in connection with the above, was reviewed by the Humanities and Social Sciences Research Ethics Committee (HSSREC) and the protocol has been granted **FULL APPROVAL**.

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

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

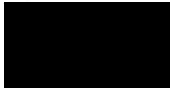
Incidents of adverse events and serious adverse events (AEs and SAEs) should be reported in writing to HSSREC, the study sponsors, and any regulatory authority (where appropriate), within 7 working days of the occurrence for local sites and 14 days for all other South African sites.

This approval is valid until 27 September 2025.

To ensure uninterrupted approval of this study beyond the approval expiry date, a progress report must be submitted to the Research Office on the appropriate form 2 - 3 months before the expiry date. A close-out report to be submitted when study is finished.

HSSREC is registered with the South African National Health Research Ethics Council (REC-040414-040).

Yours sincerely,



Professor Dipane Hlalele (Chair)  
/nng

#### Humanities and Social Sciences Research Ethics Committee

Postal Address: Private Bag X54001, Durban, 4000, South Africa

Telephone: +27 (0)31 260 8350/4557/3587 Email: [hssrec@ukzn.ac.za](mailto:hssrec@ukzn.ac.za) Website: <http://research.ukzn.ac.za/Research-Ethics>

Founding Campuses: ■ Edgewood ■ Howard College ■ Medical School ■ Pietermaritzburg ■ Westville

INSPIRING GREATNESS

Match Overview✕

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