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**IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE  
GOVERNMENT PENSION ADMINISTRATION AGENCY OF THE SOUTH  
AFRICAN PUBLIC SERVICE**

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## DECLARATION

I, Sebastion Sizwe Thaboni Khanyile, declare that:

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Supervisor: Dr. Janayathan Govender

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## **DEDICATION**

This work is dedicated to my parents, Mrs. Alta Busisiwe Khanyile and the late Mr. Joackin Ned Khanyile. They worked as teachers in many primary schools around the KZN province. I was inspired to conduct this project because of your commitment to education.

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## **ABSTRACT**

The South African Public Service continues to experience the elements of ineffective implementation of policy monitoring and evaluation policies, which, by implication, are directly responsible for the slow service delivery. This problem has led to the notion that despite monitoring and evaluation policies, underlying tensions exist in the policy and practice. This study examines the implementation of monitoring and evaluation policies in the Government Employee Pension Fund (GEPF) of the South African Public Service, with specific reference to Frontline Monitoring and Support programs (FM & S).

The study utilized mixed methods. The qualitative research approach was necessary to get in-depth and rich information regarding the life experiences of the officials and recipients of the FM & S programs. The study collected data through primary and secondary methods. In doing that, the study utilized documentary analysis and interviews as data collection tools. The study used thematic analysis to analyze qualitative data, graphs, and percentages. The study collected and analyzed data about client satisfaction in FM & S programs using closed-ended questions on a Likert scale. This data was examined quantitatively using graphs, tables, and percentages.

The study's findings revealed that the GEPF is implementing four programs directly linked with the Department of Planning, Monitoring, and Evaluation's (DPME) frontline monitoring and evaluation policies. However, several policy-implementation problems were observed in bureaucratic procedures under institutional oversight and organizational culture. These included poor working relationships in inter-intra-governmental structures, poor communication within the organizational structures, underutilization of evaluation results, and poor information dissemination strategies. The study demonstrates that, while there are policy and implementation conflicts in the bureaucratic procedures, they do not substantially impact public service delivery. On average, 83% of clients were satisfied with the services provided, while 3% were unsure and 13% were dissatisfied.

The study recommends the urgent need for improvements in implementing the recommendations to improve the performance of FM & S programs. The study also highlights the importance of utilizing feedback reports to take corrective action during the

implementation of policies. It also proposes the need for one-on-one interdepartmental engagements to discuss departmental challenges. The study encourages monitoring and evaluation to learn and improve other than for compliance purposes.

## TABLE OF CONTENTS

DECLARATION.....	I
DEDICATION.....	II
ACKNOWLEDGMENTS.....	III
ABSTRACT .....	IV
TABLE OF CONTENTS .....	VI
ABBREVIATIONS AND ACRONYMS.....	XI
CHAPTER ONE: INTRODUCTION AND RESEARCH METHODOLOGY .....	1
1.1 BACKGROUND AND OUTLINE OF THE RESEARCH PROBLEM .....	1
1.2 RATIONALE OF THE STUDY.....	3
1.3 LITERATURE REVIEW .....	5
1.4 POLICY RELEVANCE .....	7
1.5 RESEARCH PROBLEMS AND OBJECTIVES: KEY QUESTIONS .....	11
1.6 RESEARCH PROBLEMS AND OBJECTIVES: ISSUES TO INVESTIGATE .....	14
1.7 PRINCIPAL THEORIES OF RESEARCH PROJECT .....	15
1.8 RESEARCH DESIGN AND METHODOLOGY.....	18
1.9 THE STRUCTURE OF THE STUDY.....	26
1.10 CONCLUSION.....	27
CHAPTER TWO: ANALYSIS OF CONCEPTUAL AND THEORETICAL FRAMEWORK .....	28
2. INTRODUCTION .....	28
2.1 DEFINITION OF TERMS .....	28
2.2 STAGES IN POLICYMAKING .....	34
2.3 PUBLIC POLICY MODELS.....	45
2.4 PUBLIC POLICY IMPLEMENTATION .....	54
2.5 APPROACHES TO IMPLEMENTATION.....	58
2.6 PROBLEMS AND CHALLENGES OF THE IMPLEMENTATION OF PUBLIC POLICY ..	63
2.7 CRITICAL VARIABLES IN THE IMPLEMENTATION OF PUBLIC POLICY .....	69
2.8 FACTORS INFLUENCING SUCCESSFUL POLICY IMPLEMENTATION .....	78
2.9 PUBLIC SECTOR REFORMS.....	82
2.10 TRADITIONAL PUBLIC ADMINISTRATION.....	84
2.11 THE NEW PUBLIC MANAGEMENT .....	86
2.12 THE NEW PUBLIC ADMINISTRATION .....	95
2.13 CONCLUSION.....	103

<b>CHAPTER THREE: ANALYSIS OF THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES .....</b>		<b>105</b>
<b>3.</b>	<b>INTRODUCTION .....</b>	<b>105</b>
<b>3.1</b>	<b>MONITORING AND EVALUATION .....</b>	<b>106</b>
<b>3.2</b>	<b>THE PURPOSE OF MONITORING AND EVALUATION.....</b>	<b>108</b>
<b>3.3</b>	<b>SERVICE DELIVERY, MONITORING AND EVALUATION APPROACHES .....</b>	<b>110</b>
<b>3.4</b>	<b>THE INSTITUTIONALISATION OF MONITORING AND EVALUATION .....</b>	<b>114</b>
<b>3.5</b>	<b>THE CHALLENGES OF MONITORING AND EVALUATION .....</b>	<b>120</b>
<b>3.6</b>	<b>THE LEGISLATIVE FRAMEWORK OF MONITORING AND EVALUATION.....</b>	<b>122</b>
<b>3.6.1</b>	<b>THE CONSTITUTION OF SOUTH AFRICA (1996).....</b>	<b>123</b>
<b>3.6.2</b>	<b>THE WHITE PAPER ON TRANSFORMATION IN THE PUBLIC SERVICE (1995) .....</b>	<b>124</b>
<b>3.6.3</b>	<b>THE PUBLIC FINANCE MANAGEMENT ACT (ACT 1 OF 1999) .....</b>	<b>124</b>
<b>3.6.4</b>	<b>GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM .....</b>	<b>125</b>
<b>3.6.5</b>	<b>THE FRAMEWORK FOR MANAGING PROGRAMME PERFORMANCE INFORMATION (FMPPi), 2007</b>	<b>126</b>
<b>3.6.6</b>	<b>THE NATIONAL EVALUATIONS POLICY FRAMEWORK (NEPF), 2011.....</b>	<b>127</b>
<b>3.7</b>	<b>THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION.....</b>	<b>128</b>
<b>3.7.1</b>	<b>THE KEY MANDATE OF THE DEPARTMENT OF PLANNING, MONITORING, AND EVALUATION</b>	
	<b>INCLUDES: .....</b>	<b>129</b>
<b>3.7.2</b>	<b>THE ROLE OF THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION .....</b>	<b>129</b>
<b>3.7.3</b>	<b>THE ROLE OF CENTRAL MONITORING AND EVALUATION IN NATIONAL DEPARTMENTS .....</b>	<b>131</b>
<b>3.7.4</b>	<b>THE LOCATION OF MONITORING AND EVALUATION UNITS.....</b>	<b>132</b>
<b>3.8</b>	<b>FRONTLINE MONITORING AND SUPPORT PROGRAMMES .....</b>	<b>133</b>
<b>3.8.1</b>	<b>FRONTLINE MONITORING AND SUPPORT PROGRAMMES .....</b>	<b>134</b>
<b>3.8.1.1</b>	<i><b>The Presidential Hotline.....</b></i>	<b>135</b>
<b>3.8.1.2</b>	<i><b>The Citizen-Based Monitoring System.....</b></i>	<b>137</b>
<b>3.8.1.3</b>	<i><b>The Frontline Service Delivery Monitoring.....</b></i>	<b>138</b>
<b>3.8.1.4</b>	<i><b>The Executive Monitoring Support (Izimbizo).....</b></i>	<b>139</b>
<b>3.9</b>	<b>THE GOVERNMENT PENSIONS ADMINISTRATION AGENCY: CASE STUDY .....</b>	<b>141</b>
<b>3.9.1</b>	<b>THE MANDATE OF THE GOVERNMENT PENSION FUND .....</b>	<b>141</b>
<b>3.9.2</b>	<b>THE LOCATION OF THE MONITORING AND EVALUATION UNIT AT THE GEPF.....</b>	<b>142</b>
<b>3.9.3</b>	<b>THE ROLE OF THE CORPORATE MONITORING AND EVALUATION AT THE GOVERNMENT</b>	
	<b>EMPLOYEE PENSION FUND.....</b>	<b>144</b>
<b>3.9.3.1</b>	<i><b>The Monitoring Unit.....</b></i>	<b>144</b>
<b>3.9.3.2</b>	<i><b>The Evaluation Unit .....</b></i>	<b>145</b>
<b>3.9.3.3</b>	<i><b>The Regional Coordination Unit.....</b></i>	<b>146</b>
<b>3.9.3.4</b>	<i><b>The Research Unit .....</b></i>	<b>146</b>
<b>3.9.3.5</b>	<i><b>The Data Management.....</b></i>	<b>147</b>
<b>3.10</b>	<b>FRONTLINE MONITORING AND SUPPORT FOR THE GEPF.....</b>	<b>148</b>
<b>3.10.1</b>	<b>COMMUNITY ROADSHOWS PROGRAMME .....</b>	<b>148</b>
<b>3.10.2</b>	<b>GOVERNMENT EMPLOYEE PENSION FUND WALK-IN CENTRE OFFICES.....</b>	<b>149</b>

3.10.3	THE HUMAN RESOURCE FORUM PROGRAMME .....	151
3.10.4	THE COMPLAINTS MANAGEMENT UNIT .....	152
3.11	CONCLUSION.....	154
CHAPTER FOUR: RESEARCH METHODOLOGY .....		156
4.1	INTRODUCTION .....	156
4.2	RESEARCH PARADIGM.....	156
4.2.1	ONTOLOGY .....	157
4.2.2	EPISTEMOLOGY .....	158
4.2.3	EXPLORATORY RESEARCH.....	158
4.3	RESEARCH APPROACH: QUALITATIVE AND QUANTITATIVE METHODOLOGY... ..	159
4.4.	RESEARCH DESIGN: CASE STUDY .....	161
4.5	GAINING ACCESS TO THE RESEARCH SITE.....	162
4.6	STUDY POPULATION.....	164
4.7	SAMPLING TECHNIQUES.....	164
4.8	DATA COLLECTION .....	168
4.8.1	PRIMARY DATA .....	168
4.8.1.1	Interviews .....	168
4.8.2	SECONDARY DATA .....	170
4.8.2.1	Documentary analysis.....	171
4.9	DATA ANALYSIS.....	171
4.10	TRUSTWORTHINESS OF THE STUDY.....	172
4.11	ETHICAL CONSIDERATION.....	173
4.12	THE LIMITATIONS OF THE STUDY .....	175
4.13	CONCLUSION.....	176
CHAPTER FIVE: RESULTS AND FINDINGS.....		177
5.1.	RESULTS AND ANALYSIS.....	177
5.1.1.	ANALYSIS OF THE FRONTLINE MONITORING AND SUPPORT PROGRAMME .....	178
5.1.1.1	Frontline Service Delivery Monitoring/GEPF Walk-In-Centres.....	180
5.1.1.2	The Presidential Hotline/Complaints Management .....	182
5.1.1.3	The Citizen-Based Monitoring/Human Resources Forum .....	183
5.1.1.4	The Executive Monitoring Support (Izimbizo)/Community Roadshows .....	185
5.1.2	INTERDEPARTMENTAL OVERSIGHT .....	188
5.1.2.1	The role of monitoring and Evaluation .....	188
5.1.2.2	Compliance and Conformity .....	188
5.1.2.3	The purpose of monitoring and Evaluation .....	189
5.1.2.4	Institutional Arrangements .....	190
5.1.2.5	Monitoring and Evaluation Support .....	191
5.1.3.	ORGANISATIONAL CULTURE .....	192

5.1.3.1	<i>Monitoring Business Units</i> .....	192
5.1.3.2	<i>Performance Improvements</i> .....	192
5.1.3.3	<i>Implementation of Recommendations</i> .....	193
5.1.3.4	<i>Alignment of Evaluations to core business</i> .....	194
5.1.3.5	<i>Communication of Monitoring and Evaluation policies</i> .....	194
5.1.3.6	<i>Dissemination of Monitoring and Evaluation reports</i> .....	195
5.1.3.7	<i>Implementation Improvement</i> .....	196
5.1.4.	<b>CLIENT SATISFACTION SURVEY</b> .....	197
5.1.4.1	<i>Courtesy</i> .....	198
5.1.4.2	<i>Consultation</i> .....	199
5.1.4.3	<i>Information</i> .....	199
5.1.4.4	<i>Service Quality</i> .....	200
5.1.4.5	<i>Service delivery</i> .....	201
5.2.	<b>FINDINGS AND DISCUSSIONS</b> .....	201
5.2.1.	<b>ANALYSIS OF THE FRONTLINE MONITORING AND SUPPORT PROGRAMME</b> .....	202
5.2.1.1	<i>Frontline Service Delivery Monitoring/GEPF Walk-In-Centres</i> .....	202
5.2.1.2	<i>The Presidential Hotline/Complaints Management</i> .....	203
5.2.1.3	<i>The Citizen-Based Monitoring/Human Resources Forum</i> .....	203
5.2.1.4	<i>The Executive Monitoring Support (Izimbizo)/Community Roadshows</i> .....	204
5.2.2	<b>INTERDEPARTMENTAL OVERSIGHT</b> .....	205
5.2.2.1	<i>The Role of the Department of Monitoring, Evaluation and Planning</i> .....	205
5.2.2.2	<i>Compliance</i> .....	206
5.2.2.3	<i>Conformity</i> .....	208
5.2.2.4	<i>Interdepartmental Arrangements</i> .....	209
5.2.2.5	<i>Management and Reporting</i> .....	210
5.2.2.6	<i>Lack of formal communication forums</i> .....	211
5.2.3	<b>ORGANISATIONAL CULTURE</b> .....	213
5.2.3.1	<i>Monitoring of Business Units</i> .....	213
5.2.3.2	<i>Training on Monitoring and Evaluation</i> .....	214
5.2.3.3	<i>Evaluation and Feedback</i> .....	215
5.2.3.4	<i>Implementation of Recommendations</i> .....	216
5.2.3.5	<i>Communication of monitoring and evaluation policies</i> .....	217
5.2.3.6	<i>Dissemination of Information</i> .....	219
5.2.4	<b>CLIENT SATISFACTION SURVEY</b> .....	220
5.2.4.1	<i>Courtesy</i> .....	221
5.2.4.2	<i>Consultation</i> .....	222
5.2.4.3	<i>Information</i> .....	222
5.2.4.4	<i>Service Quality</i> .....	223
5.2.4.5	<i>Service delivery</i> .....	224
<b>CHAPTER SIX: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS</b> .....		<b>226</b>
6.1	<b>INTRODUCTION</b> .....	226
6.2	<b>SUMMARY OF RESEARCH FINDINGS</b> .....	226
6.3	<b>CONCLUSIONS</b> .....	229
6.4	<b>RECOMMENDATIONS</b> .....	230
6.5	<b>FUTURE RESEARCH</b> .....	231
6.6	<b>SUMMARY OF CHAPTER</b> .....	232

<b>7. BIBLIOGRAPHY.....</b>	<b>233</b>
<b>8. LISTS OF APPENDICES.....</b>	<b>250</b>
APPENDIX A: GATEKEEPERS APPROVAL .....	250
APPENDIX B: INFORMED CONSENT AND DECLARATION.....	256
APPENDIX C: INTERVIEW GUIDES .....	258
APPENDIX D: ETHICAL CLEARANCE.....	265

## ABBREVIATIONS AND ACRONYMS

APP	Annual Performance Plan
CBM	Citizen-Based Monitoring
CEO	Chief Executive Officer
CLO	Client Liaison Officer
CM&E	Corporate Monitoring and Evaluation
CSS	Client Satisfaction Survey
DG	Director-General
DPME	Department of Planning Monitoring and Evaluation ( <b>also referred to as Department</b> )
DPW	Department of Public Works
DPSC	Department of Public Service Commission
DPSA	Department of Public Service and Administration
EXCO	Executive committee
FM & S	Frontline Monitoring and Support
FMPPI	Framework for managing program performance information
GDOH	Gauteng Department of Housing
GEPF	Government Employee Pension Fund ( <b>also referred to as Agency</b> )
GPAA	Government Pension Administration Agency ( <b>also referred to as Agency</b> )
GPL	Government Pension Law
GWM&E	Government-Wide Monitoring and Evaluation

HRF	Human Resource Forum
HRM	Human Resource Management
MEAT	Management Programme Assessment Tool
NEPF	National Evaluation Policy Framework
NGO	Non-Governmental organization
NPM	New Public Management
OECD	Organization for Economic Cooperation and Development
OPA	Old Public Administration
PFMA	Public Finance Management Act
PSA	Public Service Association
RBME	Results-Based Monitoring and Evaluation
RSA	Republic of South Africa
SSAQA	South African Qualifications Authority
WB	World Bank
WIC	Walk-in-Centre
UNDP	United Nations Development Programme
UN	United Nations

## **LIST OF FIGURES**

<b>Figure 1: Stages in public policy process.....</b>	<b>43</b>
<b>Figure 2: The Elite/Mass model.....</b>	<b>47</b>
<b>Figure 3: The Classical/Institutional model.....</b>	<b>49</b>
<b>Figure 4: The Group model.....</b>	<b>50</b>
<b>Figure 5: The Systems model.....</b>	<b>52</b>
<b>Figure 6: Outcomes model approach.....</b>	<b>113</b>
<b>Figure 7: Frontline monitoring and support.....</b>	<b>135</b>
<b>Figure 8: GPAA M&amp;E organisational structure.....</b>	<b>143</b>

## **LIST OF TABLES**

<b>Table 1: Sample of the study.....</b>	<b>22</b>
<b>Table 2: Public sector reforms.....</b>	<b>83</b>
<b>Table 3: Monitoring versus Evaluation.....</b>	<b>107</b>
<b>Table 4: Summary of respondents.....</b>	<b>167</b>

## **LIST OF GRAPHS**

<b>Graph 1: Courtesy.....</b>	<b>198</b>
<b>Graph 2: Consultation.....</b>	<b>199</b>
<b>Graph 3: Information.....</b>	<b>199</b>
<b>Graph 4: Service Quality.....</b>	<b>200</b>
<b>Graph 5: Service Delivery.....</b>	<b>201</b>

## **CHAPTER ONE: INTRODUCTION AND RESEARCH METHODOLOGY**

### **1.1 BACKGROUND AND OUTLINE OF THE RESEARCH PROBLEM**

In 2007, the Government of South Africa developed an overarching and comprehensive scheme called the Government-Wide Monitoring and Evaluation System. This monitoring and evaluation policy framework seeks to provide policy guidelines to the South African public service in general to enhance service delivery in the public sector. Implementing the Government-Wide Monitoring and Evaluation System considers various monitoring and evaluation policies. This study examines the performance of the Government Pension Administration Agency as a case study, employing four Frontline Monitoring and Support programs as one of the monitoring and evaluation policies in the public service.

The public sector has needed help converting public policies into practical implementation. As a result, monitoring and evaluation policies have had minimal influence on public service delivery. For example, Brynard (2007) observed that service delivery protests have dramatically risen over the last ten years due to inadequate public policy implementation. To confirm this assertion, Allan (2021) submits that South Africa experienced around 237 (2018) and 218 (2019) service delivery protests as a result of inadequate public policy implementation. These demonstrations against the delivery of services did not spare the Government Pension Administration Agency. According to Chirume (2018), a group of senior government pensioners demonstrated in Port Elizabeth, demanding money they allege the Government owes them after failing to get tangible feedback from the Government Employers Pension Fund. Brynard (2007) asserted that one reason for inadequate public policy implementation is that political and bureaucratic players ignored program failure assumptions in formal policy discussions. In retrospect, the purported faults in policy implementation resulted from bureaucratic inadequacies rather than the brain trust that developed them. The World Bank (2010) observed that monitoring and evaluation reports emphasized compliance rather than learning and improvement to enhance performance; unfortunately, neglecting the latter has a detrimental impact on public service delivery. These observations draw attention to policy and implementation tensions, which impede successful

public policy delivery. The Government has developed sustainable Frontline Monitoring and Support programs capable of serving as a service delivery monitoring tool to collect, analyze, and report service performance data.

The Frontline Monitoring and Support Policy has four main sub-programs. Furthermore, the study divides these four policies into two due to their similarities. The first category includes the Presidential Hotline Program and the Frontline Service Delivery Monitoring Program. Both methods rely heavily on regular service delivery monitoring. Following meetings with clients and governmental officials, they conduct client satisfaction surveys. Data obtained from service receivers is analyzed in quarterly reports to determine customer satisfaction with the provision of public services. The Executive Monitoring Support (izimbizo) and Citizen-based Monitoring programs form part of the second category. Both initiatives include meetings where local communities can debate problems about the delivery of public services. It also conducts client satisfaction surveys following government and client consultation events. The findings of these client satisfaction surveys are reported in biannual reports to gauge client satisfaction with public assistance. Because these programs include techniques and mechanisms for monitoring service delivery, such as dashboards, scorecards, complaints registers, feedback forms, surveys, and reports, they are crucial and solve the problems associated with public service delivery.

As a result, the problem that inspired this study explains how insufficient public policy delivery demonstrates inadequate implementation of Frontline Monitoring and Support programs. Therefore, the study seeks to identify areas of impediments in implementing Frontline Monitoring and Evaluation policies. Thus, the assumption is that more efficient and effective service delivery would arise from improved monitoring and evaluation processes in the public sector. As a result, this study investigates the bureaucratic processes involved in institutional oversight, organizational culture, and service delivery to assess the effectiveness of implementing the Frontline Monitoring and Support programs. The study findings will identify the inhibitions in the implementation processes that are to blame for inadequate public policy implementation.

## **1.2 RATIONALE OF THE STUDY**

The Department of Planning, Monitoring, and Evaluation continuously develops responsive policies to guide and fortify performance practices in public service. The rationale for developing these monitoring and evaluation policies is to improve efficiency in the Government's implementation of public policy. "The Department of Planning Monitoring and Evaluation's mission is to coordinate, guide and support planning, monitoring, and evaluation of government public policy programs to improve service delivery, outcomes and impact on society" (The DPME, 2015-2020, p. 8). Establishing the Department as an institution aims to support other departments by developing national policy frameworks that guide and direct them in implementing their programs. However, the public service in general continues to experience challenges in the implementation of public policies.

### **1.2.1 Challenges of monitoring and Evaluation in South Africa's public sector**

The role of government departments is to execute government programs by implementing public policies (Rainey, 2009, p. 59). The current challenges impeding the monitoring and evaluation programs in the public service result from several issues. According to the discussion document on principles and approaches by the Department of Planning, Monitoring, and Evaluation, the challenges are (DPME, 2014):

- the lack of a culture of monitoring and evaluation in government departments.
- the view of monitoring and evaluation system as a policing and controlling function.
- monitoring and evaluation programs are done for compliance purposes rather than for learning and improvement.
- limited understanding of the value of monitoring and evaluation by the political and administrative establishment.
- The evaluations do not necessarily inform effective planning, policymaking, and budgeting.

Contrary to these challenges, the GPAA annual monitoring reports from the four Frontline monitoring and support programmes indicates different picture of service delivery, for example,

- **Frontline Service Delivery Monitoring**, the (2018/2019) GPAA reports that 424 586 clients assisted in the walk-in center offices, only 13% (56 470) completed the survey, with 96% indicating that they were satisfied with the overall service.
- **The Presidential Hotline**, the DPME 2019 reports that the GPAA received 2380 complaints and resolved 2371, leaving only 9 cases since the start of the Presidential Hotline in 2009. Furthermore, the report says that, in 2019, the Agency had a resolution rate of 99.62%.
- **The Citizen-Based Monitoring**, the GPAA (2017/18) report indicates that from the 543 Human Resource practitioners, only 131 responded to the client satisfaction survey forums. 95% of respondents were happy about the service rendered, while only 5% were unhappy with the service delivery.
- **The Executive Monitoring Support (Izimbizo)** (2018/19) indicates that it reached out to 9401 clients and conducted client satisfaction surveys to 831 in this program. 98% indicated they were satisfied with the services rendered in the roadshow, 1% had no opinion about the event, and 1% disagreed with service provision.

Therefore, the observation is that despite the challenges in the implementation of monitoring and evaluation policies, there is evidence of successes in service delivery. For this reason, there is a need to identify the conflicts in the policy and implementation. The study examines the implementation of Frontline Monitoring and Support programs to ascertain the impediments responsible for inadequate public policy implementation. Firstly, the study seeks to understand if the Government Employee Pension Fund developed Frontline Monitoring and Support programs according to the Department of Planning, Monitoring and Evaluation policy guidelines. Secondly, the study ascertains the Government Employee Pension Fund's compliance and conformity in implementing the Frontline Monitoring and Support programs. Thirdly, the study reflects on the practice of monitoring and evaluation policies in the Government Employee Pension Fund. Fourth, it assesses the performance of Frontline Monitoring and Support programs from the perspective of the clients of the Government Employee Pension Fund. This study seeks to provide an in-depth analysis of the

implementation of Frontline Monitoring and Support programs in the Government Employee Pension Fund to influence improvements in policy implementation processes in the public service.

## **1.3 LITERATURE REVIEW**

### **1.3.1 The evolution of monitoring and evaluation**

According to (Derlien, 1990, p. 47), “monitoring and evaluation activities have been practiced for centuries before modern versions of monitoring and evaluation systems emerged”. Public policy scholars in the United States of America posit that the emergence of this field of study occurred in the aftermath of the Second World War in the 1960s (Mouton, 2010). The United States Federal Government introduced social programs to respond to high levels of poverty emanating from the war's devastating effects. The motive behind developing monitoring and evaluation programs was to monitor these social programs. Subsequently, the governments of Great Britain, Sweden, Canada, and Germany adopted the practice of establishing monitoring and evaluation systems during the same period. In the 1980s, Denmark, Switzerland, France, and the Netherlands also adopted and experienced the evolution of Monitoring and Evaluation systems to increase productivity in government departments (Derlien, 1990).

Latin America, Brazil, Chile, Colombia, Mexico, and Peru have adopted the concept of whole-of-government systems to improve accountability and service delivery in Government (World Bank, 2006, p. 3). These countries have made remarkable progress in institutionalizing Monitoring and Evaluation systems. According to (Mackay, 2006, p. 3), Chile has customized and established a well-managed monitoring and evaluation system that deals with the challenges in that country. The country's Ministry of Finance uses the system. The strength of the Chilean system lies in its ability to utilize the available monitoring information and evaluation findings to inform both the Government and decision-makers. The Ministry of Finance in Chile uses reports to make decisions to educate the country's budget, including resource allocation.

There needed to be more recognition of monitoring and evaluation systems in Africa during the 1970s (Abrahams, 2015). The growth of monitoring and evaluation gained a reputation in the first decade of the 21<sup>st</sup> Century (Boyle & Preskill, 2008, p. 1). The 1990s marked a significant evolution in middle-income African countries. The drive behind this evolution was the need to respond to the global pressure for governments to consider measures that enhance greater accountability and transparency in public service delivery institutions. Thus, monitoring and evaluation is a relatively new field in Africa, though a few countries, including South Africa, have well-developed monitoring systems.

Since South Africa inherited the disintegrated Apartheid governance structures, some elements needed to be collapsed while consolidating others. However, including new initiatives to service the unique democratic needs was inevitable. The country has progressively established several democratic structures to respond to the developmental needs of the new democratic order. The Department of Planning, Monitoring, and Evaluation is one of the existing structures established to monitor and evaluate government policies to improve government performance and service delivery. Dye (1995) aptly indicates that the monitoring and evaluation of policy assist decision-makers by providing information on the results of implementing a public policy in the real world. Kusek and Rist (2004) also reiterate the importance of monitoring and evaluation in public policy delivery. They emphasize the evolution from traditional monitoring and evaluation to results-based monitoring and evaluation systems by alluding to the fact that the conventional methods concentrated more on the implementation processes. In contrast, the results-based model emphasizes the effectiveness of the monitoring and evaluation practices in government institutions.

The South African public service adopted the results-based monitoring and evaluation approach. In 2007, the Government of South Africa developed the Government-Wide Monitoring and Evaluation policy framework to function as a guideline for the monitoring and evaluation practices, standards, and procedures to utilize in Government. Kusek and Rists (2004) maintain that the approach of the Government-Wide Monitoring and Evaluation policy has its basis in the logical framework. This approach provides a sequential process from inputs, activities, and outcomes. Moreover, it impacts the implementing a public project, program, or policy. Further, in 2011, the South African Government introduced the National

Evaluation Policy framework to facilitate, streamline, stimulate, and institutionalize the utilization of evaluations in the public sector.

The Frontline Monitoring and Support programs are sub-programs reinforcing Government monitoring and evaluation practices. Frontline Monitoring and Support programs originated in the Government-Wide Monitoring and Evaluation. The main aim of the Frontline Monitoring and Support programs is to monitor and evaluate service provision at the service delivery level. The proposed study will examine implementing these Frontline Monitoring and Support programs in the public sector using the Government Employee Pension Fund as a case study.

## **1.4 POLICY RELEVANCE**

### **1.4.1 The Constitution of South Africa (1996)**

The Constitution of the Republic of South Africa (1996, p. 99) provides for the fundamental democratic principles that govern public administration. Some of the principles include promoting a high level of ethical standards, promoting practical, economical, and efficient utilization of resources, adopting the development-oriented approach, and providing services fairly and equitably. The principles also consider the fostering of transparency and accountability, the provision of regular feedback to the citizenry, the provision of accurate information, and the encouragement of public participation in policymaking. The South African Constitution provides for these fundamental democratic principles to ensure and guide the Development of progressive and developmental policies that are responsive to the growing needs and aspirations of the citizens. Other legislative measures and procedures support the constitution by promoting widespread social transformation. The Constitution of South Africa emphasizes the importance of implementing regular feedback and public participation processes. It encourages and safeguards the democratic principles that govern public administration. Frontline Monitoring and Support programs provide the opportunity to solicit feedback from the Government Employee Pension Fund members about its service delivery.

### **1.4.2 The White Paper on Transformation in the Public Service (1995)**

The 1995 White Paper on Transformation in the Public Service stipulates that Government Departments in South Africa should develop strategies that enhance excellence in service delivery. The policy document (The White Paper on Transformation of Public Service Delivery) provides a guideline on how Government departments should deliver public services. It focuses on putting the citizens at the center of public service. It emphasizes the need for citizens to have access to services, information about services, and the treatment of the service recipients, exposing citizens to issues of accountability, and it should stress the point that there should be reasons for not providing services according to the set standards. The core business of the Government Employee Pension Fund is to administer Government Employee Pension Fund benefits for its members. The implication is that the Government Employee Pension Fund is part of the Government, and as such, it is its obligation to put members at the core of service delivery. Regular monitoring and evaluation activities at the point of service delivery or the level of client interface are critical to improving and sustaining service delivery.

### **1.4.3 Government Employee Pension Law (1996)**

The Government Employees Pension Law (Proclamation 21 of 1996) provides for the administration of the Pension Fund. It considers the management of contributions to the Government Pension Employee Fund. It focuses on the members' benefits and all the related rules regarding pension processes. It also deals with arrangements to put in place when transferring between different funds, the various kinds of withdrawals from the fund, and the rights and obligations of members and pensioners. There is continuous interaction between the Government Employee Pension Fund administration and Government Employee Pension Fund members. It justifies the need to develop and implement monitoring and evaluation programs to track progress and get customer feedback on service delivery by the Government Employee Pension Fund.

#### **1.4.4 Empirical studies**

A study (Stofile, 2017) found that a lack of visibility and proper marketing undermines the current monitoring and evaluation systems. As such, monitoring and evaluation systems should function independently apart from providing the strategic and oversight functions in the organization. It should also perform its functions without fear or favor. If properly implemented, the process includes feedback and improves responsiveness and accountability in government structures. Chelechele (2010) echoed the same view, citing the need for a common understanding of how the policy monitoring and evaluation process should unfold and allow for the effective implementation of public policy. Monitoring and evaluation systems should operate effectively, provided they abide by standard operating procedures. (Mtshali, 2014) found that the Gauteng Department of Health (GDoH) should review its monitoring and evaluation framework to provide an opportunity for consultation with program managers. It emphasizes the importance of officials' input at the forefront of service delivery. Currently, the monitoring and evaluation systems exist in a top-down approach with little commitment to engage middle and lower-level officials. The author further states that the Gauteng Department of Health should develop and build the capacity to cultivate positive values that support the monitoring and evaluation system. Nxumalo (2016) indicates that strengthening stakeholders' efficacy and cooperation contributes to a successful and functional monitoring and evaluation system. A monitoring and evaluation system is a collaborative effort that seeks to assist the Government in achieving its goals. The author further states that ongoing capacity-building programs are necessary to successfully implement monitoring and Evaluation programs. This proposed study is essential because it looks at implementing Frontline Monitoring and Support program policies. Bakkeli (2022), in his study about frontline policy implementation, demonstrated the disconnect between reporting and performance in his research on frontline policy implementation. High-ranking officials see service delivery as a method to achieve the interests of political will (reporting), whereas frontline supervisors see service delivery as providing quality services (performance). This assertion is supported by Seasons (2006) in his research on monitoring and evaluation in municipal planning. His study revealed that policies are implemented in a political environment; as such, the goals of the administrative arm are to promote efficiency

and effectiveness in the policy implementation process, which appears to be less critical than that of politicians whose interest is to uphold political will. Prom-Jackson, (2014) contend in their study on the Analysis of the Evaluation Function in the United Nations System that while many central functions evaluate for various reasons, the distinctive feature is to conduct evaluations that support the organizational policy at the strategic decision-making level. In his study on analyses, complexity, and tensions, Cardini (2006) agrees and says that the discourse on the policy implementation process will likely shift responsibility from the central Government to the local Government. If policy implementation is effective, the central Government benefits politically; if policy implementation fails, blame is deflected on the provincial Government for failing to implement significant government decisions. However, in his study paper on the demand for monitoring and evaluation in Africa, Goldman (2013) demonstrated that institutional structures cannot streamline monitoring and evaluation systems across African countries. In this context, institutional arrangements refer to the policies, institutions, processes, and structures coordinating government activities. The study seeks to contribute to the knowledge of monitoring and evaluation. Sukai et al. (2014) contend in their study on the Analysis of the Evaluation Function in the United Nations System that while many central functions evaluate for various reasons, the distinctive feature is to conduct evaluations that support the organizational policy at the strategic decision-making level. According to Meier et al. (2002) study on public management and organizational performance, management and implementation have a positive relationship. The influence of performance is effective in an environment where all interested stakeholders, including legislators, leadership, and local actors, are mobilized to deliver locally. According to Kauffmann (2016), developing countries have virtually no mutual agreement for conformity assessment, and very few memorandums of understanding exist. The lack of reciprocal conformance assessments has resulted in dynamism and a lack of interest among members. Foorhuis (2012) indicates that compliance with the norms may be in the best interests of the organization. Still, it may not produce the most outstanding results for complying with organizations or departments. Therefore, compliance should be separated from effectiveness because being compliant does not always imply accomplishing the desired end goals. According to Wotela's (2017) study on monitoring and evaluation, the premise is that institutionalizing training in monitoring and evaluation will improve the ability to evaluate development initiatives (the what) and public policy (the how), and this provides

much-needed accountability. Akinagbe et al. (2016) indicate that stakeholders should have an effective communication network to improve the monitoring and evaluation of agricultural projects and programs in Nigeria. Chikadzi and Mafetsa (2013), in their article, revealed that the networking forum that the Department of Social Development initiated was a crucial development in kick-starting integrated service delivery amongst organizations within the Nelmapius region that the networking forum is an effective mechanism to facilitate the delivery of integrated services by the organizations.

#### **1.4.5 Conclusion**

The post-Second World War marked the emergence of the monitoring and evaluation practice. The motivation behind the introduction of monitoring and evaluation was the need to monitor social programs introduced to deal with high levels of poverty that resulted from the catastrophe of World War 2. Over the years, some countries, including South Africa, have adopted monitoring and evaluation practices to determine the success and failure of their social programs. The South African constitution and other emergent policies provide the basis for democratic principles, which promote, amongst others, accountability, transparency, responsibility, and citizen participation and feedback. The monitoring and evaluation practices provide a platform that guides performance toward compliance to fulfil and achieve these democratic principles. The available literature shows that several studies focused on monitoring and evaluation as a subject of investigation. However, studies have yet to examine the implementation of Frontline Monitoring and Support programs. The proposed research will thus contribute immensely to the body of knowledge on monitoring and evaluation, explicitly implementing public sector policies.

### **1.5 RESEARCH PROBLEMS AND OBJECTIVES: KEY QUESTIONS**

#### **1.5.1 Research objectives**

This proposed study examines the implementation of monitoring and evaluation policies in the Government Pension Administration Agency of South Africa. It seeks:

1. To understand the policies for implementing Frontline Monitoring and Support programs. To achieve this objective, the study investigates the link between the two departments in the Frontline Monitoring and Support programs. Therefore, it will discuss the implementation of the following programs:
  - Frontline Service Delivery Monitoring
  - The Presidential Hotline
  - The Citizen-Based Monitoring
  - The Executive Monitoring Support (Izimbizo)
  
2. To ascertain the Government Employee Pension Fund's compliance and conformity to the implementation of Frontline Monitoring and Support programs by the Government Employee Pension Fund. To accomplish this, the study ascertains the institutional relationship between the two departments using the following variables:
  - The role of monitoring and evaluation
  - Compliance
  - Conformity
  - Institutional arrangement
  - Communication forums
  - Monitoring and Evaluation Support
  
3. To reflect the implementation of Frontline Monitoring and Support programs practiced in the Government Employee Pension Fund. To attain this, it investigates the organizational structure and functional arrangements by reflecting on the following variables:
  - Monitoring Business Units
  - Evaluation and feedback
  - Implementation of recommendations
  - Preferred evaluation
  - Communication of monitoring and evaluation policies
  - Dissemination of monitoring and evaluation reports

4. To assess the implementation of Frontline Monitoring and Support programs from the clients' perspectives of the Government Employee Pension Fund. The study assesses the level of client satisfaction from the recipients. To achieve this objective, it looks at the following variables:

- Courtesy
- Consultation
- Information
- Service Quality
- Service Delivery

### **1.5.2 Research questions**

The main question guiding the study is: What are the implementation processes in the monitoring and evaluation policies in the South African public sector? The study uses the Government Employee Pension Fund as a case study to address this question. In answering this question, the study addresses the following sub-questions:

1. What is the Department of Planning, Monitoring and Evaluation's policy directive regarding the government departments' implementation of Frontline Monitoring and Support programs?
2. How is the Government Employee Pension Fund complying and conforming to implementing Frontline Monitoring and Support programs?
3. How are Frontline Monitoring and Support programs implemented at the Government Employee Pension Fund?
4. What are the experiences and perceptions of the clients of the Government Employee Pension Fund regarding the implementation of Frontline Monitoring and Support programs?

This proposed study will attempt to answer the above questions to gain insight into the factors that militate against the successful or unsuccessful implementation of monitoring and

evaluation policies in the South African public sector, using the Government Employee Pension Fund as a case study.

## **1.6 RESEARCH PROBLEMS AND OBJECTIVES: ISSUES TO INVESTIGATE**

The South African Government has counted more success in policy formulation than policy implementation (Luthuli, 2005). Interminable challenges have occurred in the transition from policy formulation to policy implementation. Brynard (2007) argues that well-developed public policies do not suggest successful implementation. Since the post-Apartheid era, the Government introduced several interventions and mechanisms to measure the performance of public policies; as such, it developed monitoring and evaluation policy frameworks as interventions to assess the success and failure of public policy implementation.

The situation drawn from the past two decades indicates that there are generally elements of poor public policy implementation, resulting in slow service delivery (Brynard, 2007). This situation obtains despite the existence of monitoring and evaluation policies that guide and manage the implementation of public policies. This disparity raises questions about the efficacy of the implementation of monitoring and evaluation policies. Wallis and Kambuwa (2002) argue that South Africa has good public policies, though the gap exists in converting the policies into implementation. Therefore, there is more policy formulation and policy results. In support of this, Brynard (2007) indicates that a policy gap occurs during the policy implementation stage, where there is a distinction between policy expectations and policy results. According to The DPME (2014) public policy implementation faces challenges contributing to the tensions between policy and implementation. The Government departments need to develop a monitoring and evaluation culture, which seems challenging. As a result, monitoring and evaluation results do not inform planning, policymaking, or budgeting because of a lack of performance information. Monitoring and evaluation are primarily used for compliance rather than learning and performance improvement, an essential aspect of public policy delivery. Monitoring and evaluation are still regarded as police and regulating functions, demonstrating the political and administrative establishment's misunderstanding of the importance of monitoring and Evaluation (DPME, 2014). These challenges demonstrate that the inadequate implementation of Frontline

Monitoring and Support programs, a government feedback mechanism, contributes to ineffective public policy delivery, manifesting itself in service delivery protests.

Accordingly, the study's problem statement is that ineffective implementation of the monitoring and evaluation policies has resulted in inadequate public policy delivery. This problem has led to the understanding that despite programs like Frontline Monitoring and Support, which serve as government feedback mechanisms, there are underlying policy action and implementation gaps. Furthermore, this demonstration draws attention to the conflicts between policy and implementation, which impede the delivery of efficient public services. The tensions in the bureaucratic processes of institutional oversight, organizational structures, and service delivery in charge of implementation are the foundation for constructing arguments in this investigation. Therefore, the assumption is that implementing Frontline Monitoring and Support programs in the public service will improve effectiveness and efficiency in public policy delivery.

## **1.7 PRINCIPAL THEORIES OF RESEARCH PROJECT**

Theoretical frameworks that underpin research originate from the concept of theory. A theory describes and foretells phenomena and tries to challenge the same time, broadening the existing knowledge within the area under investigation (Swanson, 2013, p. 111). The theoretical framework of a study provides a structure and rationale for conducting the research study.

### **1.7.1 The Public Policy Process**

The study explored the public policy process to understand the context of public policy. Cloete et al. (2006) indicate that Dunn's (1994) Five Stages Model explains the public policy process better. The first stage is agenda setting, which involves identifying problems and determining the program of action. Secondly, the public policy formulation stage involves the actual writing of the policy. This stage gives the direction of the public policy. The third stage is policy adoption, which involves deciding on public policy. The capacity to make and adopt concrete decisions is vital at this stage. Fox and Mouton (2007) reiterate the fact that

the policy adoption stage involves the identification and the anticipation of opportunities. The fourth stage in Dunn's (1994) Five Stages Model involves implementing and delivering the public policy process. The last stage consists of the policy assessment initiative, which is very important because it informs the policy implementers regarding the success or failure of a particular public policy.

Dunn (1994) further indicates that public policy models are plans of action specially developed to respond to problems. This study will discuss five models of public policy. Firstly, the Elite or Mass Model denotes that the central point is the political and power relations between the general community and the politicians or political leaders. Cockrel (1997) confirms this observation, indicating that the level of power relationships determines who has more influence on policymaking. Secondly, the Institutional Model emphasizes the importance of the activities of government institutions in the policy formulation and implementation processes. The model stipulates that public institutions are responsible for public policy formulation and implementation at different stages, apart from having other responsibilities in each sphere of Government. Thirdly, the Group Model denotes that public policy has its roots in widespread concerns that seek to address societal decay. It emphasizes that the society consists of a group of individuals. These individuals are bereft of political voice unless organized into groups. Fourthly, the Systems Model indicates that the policymaking process comprises the sub-system of the political system. Governments engage in policymaking processes to respond to societal needs, wants, and problems, affecting the public as individuals or interest groups (Fox et al., 2006). The fifth one is the Functional Model, which advocates for a thorough engagement and analysis of all other processes involved in public policymaking to generate other choices for the public policy process. Engaging the public policy processes implies, on the one hand, the intervention of public participation programs. The model emphasizes the importance of public participation in generating policy alternatives during the general policymaking process.

The study will also apply these models of policy implementation to understand the challenges that militate against implementing policies in the South African public sector context. These stages and models of public policy are critical in this study because they provide the relevant context for implementing public policy. The implementation of Frontline Monitoring and Support policies happens within the broader context of public policy, and it will be of

particular interest to examine the implementation of these Frontline Monitoring and Support programs to ascertain their alignment with public policy practices.

### **1.7.2 The Public Administration Theories**

The New Public Management Theory will be appropriate to this study since it emphasizes shared interests among the citizens rather than furthering the individual interests of the elected government officials. The United Nations Development Programme (2015) argues that the Old Public Administration was deeply rooted in the bureaucratic hierarchy and a traditional administration system. Chipkin and Lipietz (2012) further confirm that a distinctive set of bureaucratic principles characterized the Old Public Administration. It gave a special status to bureaucrats who implemented and administered public affairs through a set of rules. In 1980 and 1990, there was a significant shift toward introducing the New Public Management system. The paradigm shifts advocated that public administration should recognize the centrality of the citizens in public administration issues, as compared to the old public administration system, which centralized the hierarchy of Government. As the New Public Management System emerged, it sought to apply the private sector principles in the public sector. The theory advocates for the conversion of the principles of the private sector to reorganize the public service. The new system reorganizes management procedures to ensure that the public service supports and manages the implementation of public policies with greater effectiveness and efficiency.

The study will also explore the New Public Administration Theory, which places the citizens at the center of its operational models. The theory encourages public institutions to collaborate and partner with the citizens. It advocates that the institutional arrangement and stakeholder relationships should be clearly defined and be able to articulate the roles and responsibilities of each stakeholder. The client-centered theory implies that it values the clients as essential partners in service delivery. The New Public Administration Theory emphasizes the centrality of citizens, encouraging their participation in public policy processes and service delivery. In this way, the theory will assist the researcher in explaining the relationships between the Government Employee Pension Fund and its clients in implementing Frontline Monitoring and Support programs. Bourgeon (2007) describes the role of public officials in democratic citizenship as follows:

- Creating a conducive environment for interactions between Government and citizens.
- Promoting a sense of responsibility among the stakeholders.
- Providing feedback mechanisms to ensure a common understanding of public issues and
- Creating platforms for citizen participation in government activities.

Frontline Monitoring and Support programs emphasize the Government's and its citizens' interaction. The programs value citizens as essential participants in the policy implementation processes. This information exchange process occurs at the level of service delivery. The program applies different feedback mechanisms to ensure citizens are active participants in implementing a policy that guides service delivery. The program provides for the conducting of client satisfaction surveys in Frontline Monitoring and Support programs through monitoring at the point of facility or service delivery cutting across all four programs, which include frontline service delivery monitoring, citizen-based monitoring, the presidential hotline, and executive monitoring support (*izimbizo*). The programs create platforms for direct interaction between government officials and their clients.

## **1.8 RESEARCH DESIGN AND METHODOLOGY**

### **1.8.1 Selection of the Government Employee Pension Fund**

This study examines the implementation of monitoring and evaluation policies in the South African public service with specific reference to the Government Pension Administration Agency. Scholars have conducted several studies on public policy in the broader subject of monitoring and evaluation policies in the South African public service. Despite the evidence of challenges in the monitoring and evaluation landscape, studies have yet to be conducted to examine the implementation of Frontline Monitoring and Support programs. This study will use the Government Employee Pension Fund as a case study to explore implementing Frontline Monitoring and Support programs. The Government Employee Pension Fund operates within broader public service policies and regulations. The facility complies with

public service policies like other sector departments. Thus, it was appropriate to use the Government Employee Pension Fund as a case study as this facilitates the examination of the implementation of Frontline Monitoring and Support programs.

### **1.8.2 Research paradigm**

This research study draws on the interpretive paradigm. Mark (2010) indicates that the interpretive paradigm assumes that researchers can logically explain the observations under their investigation. This assumption is suggestive of the fact that researchers can deduce meanings from the information at their disposal. The available information about the phenomena enables researchers to arrive at some understanding of the realities from what they observe, and as such, they build meanings about the real world. Tuli (2011) concurs, indicating that researchers must construct meanings to respond to complex and ever-changing environments as the world is harsh. The interpretive paradigm was relevant to this study because the study seeks to get in-depth and rich information regarding the life experiences and interpretation of the officials and recipients of the Frontline Monitoring and Support programs.

### **1.8.3 Research approach**

(Mouton, 2012, p. 107) Understands research approach as referring to a framework that provides a course the research process follows in addressing the research problem. This proposed study will utilize qualitative research designs. (Blanche, 2006, p. 47), Qualitative research enhances data gathering by collecting written or spoken information records, developing open-ended semi-structured questionnaires, and simple observations. The study's main objective is to examine the implementation of monitoring and evaluation policies in the Government Pension Administration Agency. This methodology thus allows research participants to express their experiences, feelings, and perceptions on a particular subject matter with a maximum level of subjectivity (Sarantakos, 2005). The qualitative approach will allow research participants to share their experiences, perceptions, and feelings about implementing monitoring and evaluation policies in the Government Employee Pension Fund. Mathews and Ross (2010) share that qualitative methodology allows the researcher to

interact with the research participants on the narratives about experiences and understanding individual and group constructs.

#### **1.8.4 Research design**

The study will adopt the case study research approach. (Yin, 2014, p. 16) argues that the case study research method is a practical inquiry into observable facts. Applying the case study method is usually appropriate in real-life contexts where the researcher explores the phenomena under investigation. The case study method reaches out to multiple sources of evidence in the analysis context. The case study design thus provides details about the organization in the context of the research objectives. Therefore, it becomes possible to assimilate a case's description in another case like the case study under investigation. Since case studies rely on multiple data collection methods, accessing the actual information about the subject under investigation becomes possible. The process of accessing data from various sources of data collection is triangulation. According to Patton (1999), triangulation involves utilizing several data sources to understand the phenomena in-depth. Some researchers have criticized the case study method, arguing that the research design is more of a single case, and thus, it can hardly be generalized. On the contrary, (2007, p. 07) disagrees, arguing that the main objective of a case study is not to generalize but to gather extensive information and, therefore, develop an insight into the case under investigation.

#### **1.8.5 Sampling techniques**

(Given, 2008, p. 518) mentions that researchers must provide a sound justification for selecting the study population. Burns (2003) maintains that the study population involves all the elements with a sense of commonality for inclusion in the study. The sampling process involves choosing applicable cases for the survey (Higson-Smith & Bless, 1995, p. 274). The study adopts a purposeful non-probability sampling design, incorporating the convenient sampling design. Purposive sampling involves selecting subjects with a specific purpose relevant to the study. The study also uses convenient or accidental selection. The other term for the convenient sampling technique is "*man in the street interview*" (Tichapondwa, 2013,

p. 123). This sampling technique draws the study sample from participants voluntarily available during the study.

### **1.8.6 The size of the study sample**

The study will select the officials from the Government Employee Pension Fund and the clients of the Frontline Monitoring and Support programs to conduct this study. The sample of this study will consist of **Category 1**, where nine (9) participants are from the Monitoring and Evaluation Unit. These participants are officials currently working in the Monitoring and Evaluation Unit. This category will be able to provide information concerning the implementation of Monitoring and Evaluation policies in the Government Employee Pension Fund. One of the objectives of this study is to establish whether the Government Employee Pension Fund complies with or conforms to Monitoring and Evaluation implementation directives. In **Category 2**, eleven (11) respondents from other Government Employee Pension Fund business units participated. These participants come from the Government Employee Pension Fund units directly involved in and reporting to the Monitoring and Evaluation unit. This category will be able to provide information concerning the implementation of Monitoring and Evaluation policies in the Government Employee Pension Fund. One of the objectives of this research study is to analyze the performance of Frontline Monitoring and Support programs as practiced by the Government Pension Administration Agency. **Category 3** comprises four diverse groups of participants based on the four programs. The researcher will interview 40 research participants comprising 10 participants from each of the four programs. All the participants are beneficiaries of the Government Employee Pension Fund services from different programs. This category occupies the best position in providing information about the experiences and perceptions of the beneficiaries of the Government Pension Fund. Table 1 below illustrates the composition of the participants who participated in this research.

**The summary of GEPF officials and GEPF members who will participate in the study.**

<b>Research participants</b>	<b>Target</b>
Government Employee Pension Fund (Monitoring and Evaluation) Officials	9 (Electronic interviews)
Government Employee Pension Fund unit managers	11(Electronic interviews)
Government Employee Pension Fund Clients (Human Resource Forums)	10 (Electronic interviews)
Government Employee Pension Fund Clients (Hotline Services)	10 (Telephone and electronic interviews)
Government Employee Pension Fund Clients (Community Roadshows)	10 (Telephone and electronic interviews)
Government Employee Pension Fund Clients (Walk-In-Centre)	10 (Face-to-face)
<b>Total</b>	<b>60</b>

Table 1. Sample of the study

**1.8.7 The recruitment strategy of research participants**

The study will collect data through electronic, telephonic, and face-to-face interviews. The Government Employee Pension Fund possesses the database for all potential research participants. Currently, the Government Employee Pension Fund employs some research participants, and the other participants are beneficiaries of the Government Pension Fund. The research participants are categorized as follows: **Category 1** will use electronic interviews to collect data. The research participants in this category will comprise officials in the Government Pension Fund, Human Resource forums, community road shows, and hotline

services. The selected participants in this category have access to the e-mail system. The researcher will use the relevant databases to get information regarding potential participants. The researcher will also telephonically contact potential participants, informing them and requesting them to participate in the study. The researcher will emphatically explain to them that participation is voluntary to allow for the exclusion of participants with less interest in the study. The researcher will also interview participants who have shown interest and agreed to participate in the study. **Category 2** will see the researcher collecting data through electronic and telephonic interviews. The participants in this category will comprise beneficiaries who would have attended the Community Road Shows. The researcher will also conduct interviews with beneficiaries from the hotline services. **Category 3** involves the researcher collecting data through face-to-face interviews in the Pretoria Walk-In Center. The researcher selected the Pretoria Walk-In-Center because of its convenience and accessibility to where the researcher resides. The researcher will visit the Pretoria office and conduct interviews with visiting clients.

### **1.8.9 Data collection**

(Leedy, 2001, p. 94) asserts that data is the grouping of different pieces of information that the researcher would have observed in the research process. The departure point for data collection is when the researcher decides where, how, and from whom to get the information required by the study (Talbot, 1995, p. 472). The proposed study intends to collect both primary and secondary data. The secondary data collection method comprises the analysis of the relevant documents. Preliminary data involves the original observations initially managed by the researcher for any investigation. The study will collect data from electronic, telephonic, and face-to-face interviews. (O'Sullivan, 2002, p. 191) argues that interviews allow the researcher to get more data, probe further into the subject, and ask more sensitive and valuable questions. (Hallett, 1999) argues that interviews are an acceptable research style that allows the researcher to elicit participants' genuine views and feelings. The interview guide will be tailor-made to contain semi-structured interviews that enhance information gathering.

According to (Rugh et al., 2006, p. 284), a researcher who uses semi-structured interviews prepares several questions and determines how best to ask them. Complementing the interview guide is the questionnaire, which will contain closed and open-ended questions. Open-ended questions allow individual participants to express themselves freely. The study will collect most of its data by conducting electronic questionnaires with Government Employee Pension Fund officials. These members would have visited the contact offices and members attending the Human Resource forum. The participants selected in this category have access to the e-mail system. The study will conduct face-to-face interviews in the selected walk-in centers. The study will conduct telephonic and electronic interviews to solicit data from members who would have received the services of the Government Employee Pension Fund through the hotline program.

#### **1.8.10 Data analysis**

The study will utilize the thematic analysis technique to analyze data collected through interviews. Thematic analysis is among the most used methods of qualitative research. De Vos et al. (2011) indicate that qualitative data analysis involves grouping the smaller patterns of raw information to construct meaningful data. (Schwandt, 2007, p. 6) concurs, arguing that data analysis involves systematically interpreting data to establish the logical meaning of the phenomena. Precisely, the study will adopt the mixed methods design. The mixed methods design enhances data triangulation. The method appeals to multiple sources of data and the simultaneous collection of complex data. Babbie and Mouton (2001) indicate that validity refers to the situation where the empirical measure ultimately reflects the meaning of the phenomena under investigation. In addition, trustworthiness occurs when data accurately reflects the participants' actual experiences. (Babbie, 2001, p. 122)

### **1.8.11 Ethical considerations**

Ethical considerations are a crosscutting activity to be consistently adhered to in the lifespan of a research process. It starts from planning and cuts across data collection, data analysis, report compilation, and the dissemination of findings (Tichapondwe, 2013, p. 167). This principle obliges the researcher to ensure that the research participants are not exposed to psychological and physical maltreatment or harm during the research process (Ormonde & Leedy, 2001, p. 105). The researcher will have to inform the study participants about the voluntary nature of their participation and the respectful treatment that should characterize the study. The researcher will also assure the participants participating in this study that they are free to withdraw their participation at any point during the research process.

The researcher will also present a summary of the rights of the participating institutions. The researcher will secure the gatekeeper's letter from the relevant government authorities. It will ensure and safeguard the rights of the participating institutions. The researcher will inform all the participating individuals and entities about the research objectives, and the researcher will guarantee the confidentiality of the information. Upon completion, the researcher will indicate a willingness to share the study's findings with the participating individuals and institutions.

### **1.8.12 Limitations of the Study**

The study examines the implementation of the Frontline Monitoring and Support Programme in the Government Pension Administration Agency. However, the study's findings may not be generalized to other departments because the absence of comparisons will enable the investigation of implementing policies in other departments. However, the researcher assumes the study explores similar and relevant departments' policies. Since the survey selected several policies, which cannot be generalized to implementing other policies, the mandate of each approach will differ.

## 1.9 THE STRUCTURE OF THE STUDY

The outline of the thesis is as follows:

- **Chapter One: General Introduction**

This chapter includes a general introduction, a statement of the problem, research objectives and questions, a summary of the research design, the methods employed for data collection, analysis, and assessment techniques. This chapter also presents the structure of the dissertation.

- **Chapter Two: Literature review and theoretical framework**

This chapter explains the specific terminology used in the text. The study gives the theoretical grounding by discussing the public policy process and the new Public Administration Management theories.

- **Chapter Three: Analysis of the Implementation of Monitoring and Evaluation Policies**

As part of the proposed study, this chapter discusses the available literature on monitoring and evaluation and implementing monitoring and evaluation policies in the Department of Planning, Monitoring and Evaluation, and the Government Employee Pension Fund.

- **Chapter Four: Research Methodology**

This chapter of the proposed study discusses the research designs, approaches, and methodologies adopted to address the research question.

- **Chapter Five: Study findings and analysis**

This chapter of the proposed study presents the results from the reviewed official documents and the in-depth interviews.

- **Chapter Six: Recommendations and Conclusion**

The chapter concludes with the primary and secondary data collected for this study. It provides the overall conclusions from the study and proffers recommendations for an appropriate course of action and future analysis.

## **1.10 CONCLUSION**

This chapter has managed to identify a problematic situation regarding implementing the monitoring and evaluation policies in South Africa's Public Service, with reference to the Government Employee Pension Fund as a case study. Since the advent of the democratic dispensation in 1994, South Africa has been continually developing its monitoring and evaluation policies to effect improvement in terms of government performance and public policy delivery. The reviewed literature shows that despite several good monitoring and evaluation policies, there are still elements of a cluttered understanding of the importance of monitoring and Evaluation in South Africa's Public Service. This problematic area relates to ineffective public policy delivery. The chapter has also discussed the research background, rationale, scope, objectives, methods, approach, and the thesis's structure. The next chapter will examine the literature and the theoretical framework relevant to the research study.

## **CHAPTER TWO: ANALYSIS OF CONCEPTUAL AND THEORETICAL FRAMEWORK**

### **2. INTRODUCTION**

This chapter qualifies the theoretical framework, a research feature that forms the study's body of knowledge. It systematically categorizes, classifies, describes, and foretells information to assist in understanding public policy. The study presents the conceptual grounding by discussing public policy processes, the implementation of public policy, and monitoring and evaluation programs. Firstly, the chapter defines the terminology used in the research study: policy, public policy, policy implementation, public administration, public management, service delivery, monitoring, and Evaluation. The intention is to adopt a common understanding of the concepts used throughout the research study. The importance of clarifying relevant concepts used in the study is minimizing uncertainties and potential misunderstanding of the phenomena under investigation. Secondly, the chapter discusses the activities that characterize public policy processes. The intention is to guide and contextualize public policy processes and how to formulate, implement, monitor, and evaluate. Lastly, the study discusses the reviewed literature that focuses on the theories of Public Administration. Often, Public Administration theories emphasize the citizens' centrality in public policy delivery. The study selected the New Public Administration Theory for its relevance to the research study. The study intends to examine the implementation processes that underpin the Frontline Monitoring and Support programs. Frontline Monitoring and Support programs operate at the point of service delivery. It is where government institutions interact with the citizens; as such, the theories of Public Administration become relevant in grounding this research study.

### **2.1 DEFINITION OF TERMS**

#### **2.1.1 Policy**

Policy refers to a comprehensive plan of action adopted by public and private sectors and individuals in driving policy objectives (Anderson, 1994). Hanekom (1987) defines policy as a plan of action that serves as a guideline to enhance the allocation of resources to achieve the desired goals. Stakeholders publicly agree to goals to address a specific social problem. Thus, the legislature approves the implementation of the agreed set of plans. De Coning (2006) maintains that policy is a broad statement that clarifies the direction to pursue to achieve specific or defined objectives. In other words, policy attempts to integrate and streamline societal values into projects and programs. Cloete (2009, p. 294) describes the policy as a “*program of action*” that attempts to improve the existing situation presumed to be unsatisfactory.

Pfiffner (1999) asserts that policy is crucial to promote operational consistency and continuity in any institution. The phrases plan, action, problems, goals, and stakeholders appear repeatedly in this study's policy definitions. These essential terms define and comprise policy. A policy is a broad plan that describes the steps an institution must take to address a particular problem. The above definitions suggest that the same principles underpinning policy establishment can apply in the private, non-governmental organizations, and public sectors. It is usually dependent on whom the policy intends to serve. The most crucial factor about the approach is that it provides a program of action to give direction on how organizations can achieve specific objectives. The intention of establishing the organization is to achieve a particular goal. Thus, the policy describes the whole process of how organizations will achieve their goals. Based on the definitions, an organization without policies is doomed to fail in its goal and cease to exist. A policy serves as the basis for the institution's purpose for being. An institution can realize the dreams that drive its existence with an approach.

### **2.1.2 Public policy**

According to Colebatch (2002), public policy is an official statement the political office bearer provides to respond to a specific societal problem. Anderson (1997) views public policy as a defined plan of action that individuals and groups follow in dealing with problematic matters. Dye (2005) notes that public policy articulates what governments do,

why they do it, and whether what these governments do makes a difference to society. Fox and Meyer (1995) also concede that public policy is an obligation of governments to deliver services that improve the quality of lives of humanity. In the context of this research study, policy implies a program of action the government adopts in response to the problems afflicting society and can do it through the provision of services. This study intends to examine the implementation of Frontline Monitoring and Support programs. Each of these programs provides a plan of action that directs the performance of each policy. There is a policy intention and goal for each of the frontline programs. The common characteristic of the frontline programs is putting the citizens at the center of service delivery. The main aim of the frontline monitoring programs is to stimulate client feedback and participation in the public service delivery machinery. The primary societal problem has been the exclusion or minimal consideration of the citizens in the public policy processes. The Frontline Monitoring and Support initiative thus sought to provide a platform for asserting the client's voice in public policy.

### **2.1.3 Public Administration**

Public administration (with the upper case) denotes the academic study of government institutions' structure, processes, and activities. Studying Public Administration assists the practitioners in the public sector in understanding all the processes involved in running government institutions, including the provision of the theoretical context in which the performance of different activities occurs, of course taking into consideration the human capacity that should be involved in performing the administrative and managerial functions. Wilson (1966, p. 372) states, "Public Administration is the detailed and systematic execution of public law...but the general laws...are outside and above administration. The broad plans of governmental action are not administrative; the detailed execution of such plans is administrative." Public Administration also developed as a sub-field of Political Science. It forms part of the study of all-inclusive social phenomena. There is also a degree of interdependence between Public Administration and other Social Sciences such as Sociology, Politics, and others.

#### **2.1.4 public administration**

The lowercase *public administration* refers to the executive branch of government responsible for the formulation, execution, and Evaluation of public policies. The political office bearers formulate public policies after citizens have elected them to power. The political office bearers, therefore, create an environment that enables public officials to administer and manage public policies. The government appoints public officials based on their expertise and experience, allowing them to deliver the services. Public administration constitutes the combination of theory and practice to clarify and promote an awareness of how government should function. It broadly reflects the relationships between the government and its citizens. It also establishes sound management practices that promote effective and efficient public policy delivery. Gladden (1961) argues that the main objective of the public administration practice in government is to ensure that administrative and management practices deliver effective and efficient service delivery.

#### **2.1.5 Public management**

Public management is one of the most essential parts of public administration. The first part encompasses policy formulation and implementation. The second part involves the management of public policy delivery. Although the functions of public policy delivery will be similar in the public, private, and non-governmental sectors, the institutional structures, processes, and environment will be different. Public policy practitioners in the public sector should understand the relationship between the policymaking process and the entire policy management system. The policymaking process involves identifying policy delivery areas that address a societal need. However, for this to occur, there is a need for proper and necessary management and leadership skills that ensure and deliver the policy intentions. The learning and experience acquired through the implementation of policies form the basis of effective policymaking. Public management is a process that effectively utilizes the available resources and organizations to achieve and attain policy objectives.

### **2.1.6 Monitoring and Evaluation System.**

The Government-Wide Monitoring and Evaluation Framework (Department of Planning, Monitoring, and Evaluation, 2007, p. 4) defines monitoring and Evaluation as a system comprising a structured composition of the organization, leadership structures, strategies, schedules, indicators, reporting structures, and accountability relationships that enable the government, including municipalities and other institutions, to perform their monitoring and evaluation functions effectively. The rationale for developing a monitoring and evaluation system in government is to step up support and improve performance management practices. In supporting the management function, Monitoring and Evaluation tracks progress, identifies gaps, provides feedback, provides lessons, and assists in taking corrective measures so that it continues to operate within the objectives of the planned projects. An efficient monitoring and evaluation system can model public service into an effective and efficient service delivery machine (United et al., 2013, p. 58). Thus, the monitoring and evaluation system supports the management of government policies assigned by government institutions to promote effective service delivery. The design of the monitoring and evaluation system must make and drive judgments that have far-reaching implications for decision-makers. As such, monitoring and evaluation systems are an essential source of power for decision-makers. In brief, monitoring is a continuous process that institutions perform regularly. On the other hand, Evaluation is a post-event assessment that can provide judgment stemming from the development intervention. This proposed study intends to examine the implementation of monitoring and evaluation policies in the Government Pension Administration Agency with specific reference to Frontline Monitoring and Support programs.

### **2.1.7 Service Delivery**

This process involves a system by which the government of the day provides a service to its citizens in their communities. In a democratic environment, there is a common understanding of the nature of services the government plans to offer and the equal expectation of the

services the citizens should expect. The service itself involves various activities that public officials are supposed to perform. Public officials control the management of resources to provide the public with helpful service delivery.

### **2.1.8 The policymaking process**

De Coning (2006, p. 3) describes the policy as "a statement of intent," meaning that a policy is a set of fundamental principles and procedures institutions follow to achieve specific goals. First, the government must acknowledge that there is a public policy gap or problem. This process involves the identification of an issue related to policy. Policy analysts will have to undertake policy investigations to establish the causes and effects of the policy problem. This process allows for generating knowledge on the nature and extent of the policy problem. Cairney (2012) asserts that policy involves deciding how a government institution can address policy problems. The intention is to develop strategies to address policy problems. The information about the policy problem or policy gaps is beneficial. Policy analysts can respond to the fundamental questions relating to public policy development through this information. The questions are: What is the nature and extent of the problem? What has been done before to address the policy gaps? What were the policy delivery results if such policy intervention existed? Were the policy results a success or a failure? Were there developed policy alternatives to replace the initial policy?

In cases where the policy fails to address policy gaps, the intervention of policy alternatives must inform the future policy delivery system. These questions assist policy analysts in generating answers regarding the existing policy problems, the activities to address the identified policy problems, which should address those policy problems, what the planned policy outcomes for the policy intervention are, and lastly, how to implement the policy. The policymaking process also involves identifying stakeholders who will assume additional responsibilities and perform different policy activities to achieve policy results. Birkland (2005) notes that policymaking consists of data collection and analysis to develop policy direction to address a policy problem. Policy analysts engage in several processes that produce a policy document. Policy formulation involves a thoroughgoing process that

participates in a series of activities. The policymaking process performs these activities at different times.

### **2.1.9 Concluding remarks to this sub-section.**

A policy is a comprehensive plan of action adopted by the public and private sectors and individuals to drive policy objectives (Anderson, 1994). Public policy is an official statement the political office bearer provides to respond to a specific societal problem. Anderson (1997) views public policy as a defined plan of action followed by individuals and groups in dealing with problematic matters. Public Administration (written in the upper case) denotes the academic study of Public Administration focusing on the structural aspect. The Government-Wide Monitoring and Evaluation Framework (Department of Planning, Monitoring, and Evaluation, 2007, p. 4) defines monitoring and Evaluation as a system that depicts a structured composition of the organization, leadership structures, strategies, schedules, indicators, reporting structures, and accountability relationships that enable the government, including municipalities and other institutions, to perform their monitoring and evaluation functions effectively. The government ought to acknowledge that there is a public policy gap or problem. This process involves the identification of a policy problem. The subsequent sub-section examines the stages of public policy formulation.

## **2.2 STAGES IN POLICYMAKING**

In formulating a policy, policy analysts identify several interrelated activities to perform, and that holistic process runs from the beginning until the end of the public policymaking process. The policymaking process stages define these stages at different times, which becomes pertinent during policy implementation. This study examines implementing Frontline Monitoring and Support programs in the public service. It is, therefore, essential to understand the stages of the policymaking process. Dunn and Wissink's Stage Model discusses the critical steps in the public policymaking process.

Cloete et al. (2006) indicate that Dunn's Stages Model comprises interrelated stages that link in a complimentary form that builds up from the beginning until the completion of the public policymaking process. The steps involve the following:

- problem structuring, which involves deliberating on issues that need attention.
- forecasting, which involves formulating strategies to address policy gaps.
- recommendation, which involves the selection of the policy to be implemented.
- monitoring, which involves the execution and tracking of the progress of the policy and,
- the evaluation process involves learning, which affects improvement in policy delivery.

The evaluation stage forms the last step in Dunn's Model. Dunn's Stage Model evaluates to determine the success or failure of implementing the public policy. One of the objectives of this study is to assess the implementation of Frontline Monitoring and Support programs. The study intends to explore the experiences and perspectives of Government Employee Pension Fund service recipients. Through this Evaluation, the study will determine the success or failure of implementing the Frontline Monitoring and Support programs. The recipients of services of the Government Employee Pension Fund will provide this information. Fox et al. (2006) indicate that the successful implementation of the public policy process involves several activities at various stages. The general policymaking process is a complex activity that calls into question several role players to ensure the successful public policy implementation process.

Fox et al. (2006) points out that Wissink's Stage Model provides a comprehensive outline of public policy stages, which comprises of,

- *Initiation*
- *Agenda setting*
- *Processing the issue*
- *Considering the options*
- *Making the choice*
- *Publication*
- *Allocation of resources*

- *Implementation*
- *Adjudication*
- *Impact evaluation*
- *Feedback” (Fox et al., 2006, p. 53).*

This model provides access to information about the policy implementation process throughout the lifespan of a given public policy. It breaks down and engages all public policy activities at each level to provide information at any level in the policy implementation process. Thus, it emphasizes the involvement of all the relevant stakeholders or policy actors at every stage of the policymaking process, from initiation to feedback. It slightly differs from Dunn's Stage Model, which provides for engagements only at the critical stages of the policymaking process. Wissink's Stage Model details the activities that allow the continuous engagement of all stakeholders at each level of the public policy implementation process. The involvement of all stakeholders throughout the public policy process creates an opportunity for constant attention in progress. Eventually, it supports the effectiveness of the public policy implementation process.

This study intends to apply knowledge of some of the public policy stages from both Dunn's and Wissink's stages models of the public policy process. Using a single model limits the applicability of public policy stages relevant to this study. Therefore, the study discusses the applicable public policy stages that contribute relevant information for this study. Theodoulou and Cahn (1995) view the general policymaking processes as generally following the most common steps that consist of, amongst others, problem identification, agenda setting, policy formulation, policy adoption, policy implementation, policy monitoring, and policy evaluation.

### **2.2.1 Problem Identification**

Problem identification is the first and core stage in the policymaking process. Democratic governments make policy decisions to respond to societal problems. It is crucial to precisely understand the nature of the problem before adopting a policy. However, identifying a policy

problem takes work as it involves a thorough engagement that leads to understanding the holistic environment in which the problem exists. This engagement is essential as it influences some policies to work better to resolve some issues. Research has demonstrated that applying the same approach to a different environment produces different results. The accurate and well-grounded identification of problems needs the application of intensive data gathering and analyzing process that operates at the level of individuals and society. Most of the organizations hold a set of similar values. Those values determine the nature of societal problems and tend to influence how to deal with those problems. The decision-makers respond to what the society perceives as problematic areas in the people's livelihood that need government intervention.

Within the community, different groups have a significant role to play in the problem-identification stage. Some role players include the mass media, the citizens, and interest groups. When public opinion forms or influences problems government policies should address, it considers societal views and is often termed the public participation process. Section 195(1) of the Constitution of the Republic of South Africa (1996) provides for the centrality of public participation during policymaking. Various channels ensure the transition of information about the problems experienced at a societal level. Political parties have structures from the branch levels, from the lowest to the regional, provincial, and national levels. These levels transmit information about the aspirations of the citizens through their channels. The media also plays a pivotal role in reporting different societies' problems. The government identifies Frontline Monitoring and Support programs as the problem it should address.

### **2.2.2 Agenda setting**

Birkland (2016) describes agenda setting as a public policy stage that considers different policy problems to determine the best solutions that favor or disfavor public and government attention. Cloete and Meyer (2006) further confirm that agenda setting is part of the planning process where policy experts analyze the problems, and the policymakers consult the relevant

stakeholders to adopt the appropriate action. It is one of the crucial stages in the policymaking process because it forms the basis of policy implementation strategies. Stakeholders engage in mobilizing, persuading, and influencing the decision-makers to support the proposed policy direction to bring societal change. Thus, agenda setting provides the basis for the one who determines and controls the policy agenda and the policymaking process. Hill (2013) argues that getting a new policy issue in the modern world is complex. Modern societies are increasingly inheriting policy problems that have existed since time immemorial. Modern societies experience a more complex situation in which to address policy agendas. The democratic governments of the world have resolved to undertake a more integrated and concrete approach to dealing with the current policy challenges. The structure of agenda setting in the context of the South African government is at the local level, where the councillors represent the government at the local level. Councillors engage communities at ward committee meetings to identify service delivery issues they should address in the integrated development plans.

### **2.2.3 Policy formulation**

One of the most critical stages in policymaking is deciding what human resources, capital resources, activities, and procedures to follow. At this stage, all the stakeholders converge to decide on the policy objectives to address society's policy problem (Ismail et al., 2001). The stage responds to societal issues and clearly defines the government's position concerning how it intends to address them. According to Hill (2013), the two crucial stages in the policymaking process are deciding what to do and this is agenda setting. The decision on how to go about doing it is what constitutes the policy formulation process. Roux (2006, p. 126) further confirms this view by stating that policy formulation is "what government decides to do or not to do to counter a perceived policy problem in the society. It is, therefore, planning and development of policy content." The process of formulating policy ends with the production of the policy document. The policy document should contain all the authoritative processes and procedures policy implementers follow in delivering the policy. At this point, there should be elements of active public participation processes. The Constitution of South

Africa (The Constitution of the Republic of South Africa, 1996) emphasizes the importance of implementing public participation processes to promote and safeguard the principles that govern public administration. Thus, policy formulation should ensure that it incorporates public participation processes in public policy delivery as enshrined in the Constitution of South Africa of 1996. It should allow citizens to participate in the issues that impact their livelihoods. The reasons underpinning their participation are that they form part of the solution to societal problems, are aware of the government's plans in responding to societal issues and are far from the objectives and possible outcomes of the policy. Thus, the government should implement systems that promote citizen participation in public policy affairs.

#### **2.2.4 Policy Adoption**

This stage of the public policy process involves choosing policies to implement from several proposed policies (Pierson, 2004). Usually, the relevant government institutions are the ones that adopt policies. A country's parliament is responsible for debating and voting to reach a consensus on which policies to adopt. Once the parliament agrees on a specific policy is passed into law. The parliament refers to the approach to the executive arm of government, suggesting implementation procedures. The executive is responsible for ensuring the implementation of policies referred to by parliament. At this stage, the adopted policies are ready for performance. Several external factors often influence the adoption of some procedures. Powerful interest groups often influence the adoption of specific policies. They may use political power and influence to determine the strategies to adopt. The media and the public, in general, also play an essential role in influencing policy options. The media plays a vital role in the adoption of policy. If it supports the procedure, the press can report positively about adopting it. If it does not support the policy position, it will write biased reports towards the adverse effects of the policy position. That process influences the general acceptance or rejection of the policy. At this stage, the policy drivers lobby and bargain for the buy-in of the policy. The intention is to get popular support for the procedure. At this stage, the policy actors may have to make compromises on some of their policy positions.

The goal as far as this compromise is concerned is to get much support for adopting and implementing the policy.

### **2.2.5 Policy Implementation**

Policy implementation refers to a process of transformation of the policy plan or theory into the actual action. The practical translation or conversion of the policy statement to policy action involves physical activities to achieve the desired goal. Makinde (2005) supports this view and emphasizes the fact that the policy implementation process consists of the conversion of inputs (human, policies, and financial resources) into outputs (tangible results). Brynard (2005) maintains that policy implementation involves accomplishing the policy goals by ensuring the expected outcomes and the desired impacts. He further alludes to the view that policy implementation is a process that consists of taking decisions and converting them into action or implementing them on the ground. Thus, the policy implementation process involves testing the assumptions made during the policy planning. This stage involves different activities performed to realize the policy objectives. This stage involves knowing the actions one needs to do, which closely relate to performance. The process also involves issues relating to the intended policy results. The study plans to explore the implementation of Frontline Monitoring and Support programs to yield positive results. It also examines how regular feedback ensures client satisfaction.

### **2.2.6 Policy Monitoring**

Kusek and Rist (2004, p. 12) define monitoring as a “continuous collection of data on the agreed indicators to provide progress about the development intervention to management and stakeholders.” The collected data should provide indications of the extent to which development interventions are performing towards achieving objectives. Monitoring is one of the critical roles played by management. Monitoring strengthens good governance practices in government departments and institutions. A credible monitoring system guarantees successful public policy delivery if implemented effectively. It also improves the performance and operational excellence of government institutions. Khosa (2003) posits that

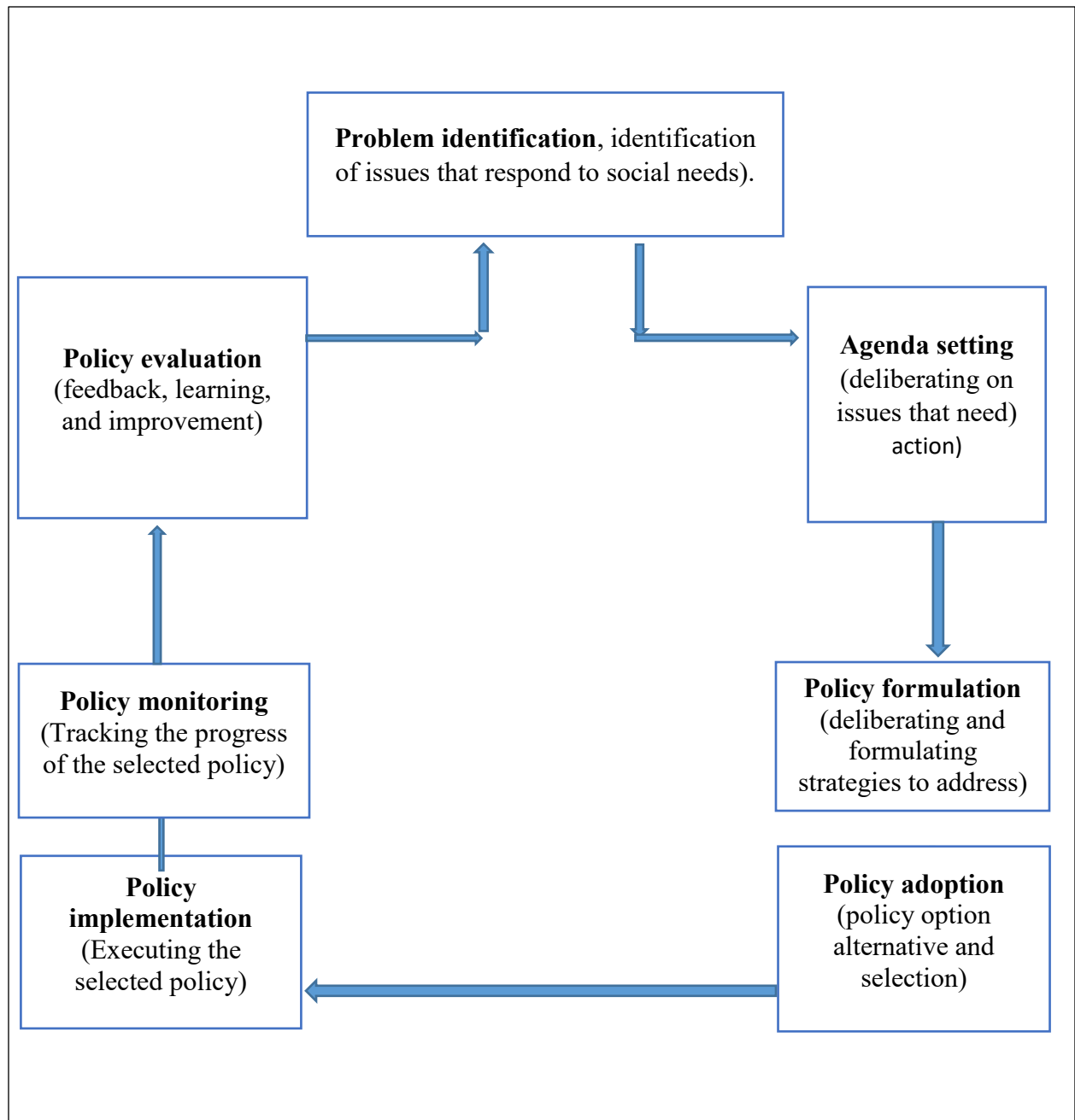
monitoring is a continuous process requiring all stakeholders to provide inputs to achieve the intended policy objectives. Monitoring is, therefore, dependent on the mutual contribution all the stakeholders make. It demands monitoring collaborations for the attainment of common goals. The result expected from a monitoring exercise reflects a combination of diverse opinions and perspectives presented through reports and feedback. One of the proposed study's objectives is to remember the implementation of Frontline Monitoring and Support programs as practiced by the Government Pension Administration Agency. This analysis unpacks the monitoring processes for implementing the Frontline Monitoring and Support programs.

### **2.2.7 Policy evaluation**

Evaluation is one of the most critical stages in the public policy cycle. According to Kusek and Rist (2004, p. 12), "Evaluation is an objective assessment of an ongoing or completed project. Hence, Evaluation determines the relevance, effectiveness, impact, sustainability, and the fulfilment of set objectives." Policy analysts conduct an evaluation exercise to ascertain if the outcomes of the public policies in action are yielding the desired effects and impacts. Further, policy analysts evaluate public policies regarding their necessity, efficiency, and validity. Evaluating a public policy aims to determine whether the implemented policies achieve desired results. Gorgens and Kusek (2009) point out that Evaluation involves the application of scientific methods to assess and measure the extent of the efficacy of the development of intervention strategies for decision-making. It stresses that evaluations focus on the effects and impacts rather than the implementation processes. Cloete (2007) indicates that public policy evaluation forms the judgemental level in the public policy process. Decision-makers can compare the intended objectives with the actual results. The comparison may be at the outcome level. One of the chief objectives of the proposed study is to evaluate the implementation of Frontline Monitoring and Support programs from the Government Employee Pension Fund client's perspective. The study assesses the impacts of the Frontline Monitoring and Support programs on the clients. Thus, by evaluating these programs, one should determine the benefits linked to the implementation of Frontline Monitoring and Support programs.

However, Evaluation only sometimes yields positive benefits. The results of an evaluation should inform planning and strategy. As such, the results of an evaluation bolster the development of plans and strategies. Mokhaba (2005) asserts that policy evaluation should be a continuous process. Regular evaluations provide information and feedback in time. Public policy evaluation serves as a feedback mechanism that improves public policy delivery. One can utilize Evaluation in the short, medium, and long-term depending on the nature of the project under implementation. The continued utilization of the public policy evaluation initiative helps to detect the problems and identify the challenges that occur at all stages of the public policy process. Figure 1 below depicts the most common scenes in the public policy process.

## The stages in the public policy process



*Source: Researcher influenced by Theodoulou and Cahn (1995)*

The above table shows the most followed stages in public policymaking. After 1994, the South African Government committed itself to meeting the basic societal needs and building the economy, decentralizing the state functions, building democratic institutions, and ensuring that all government programs focused on building national unity (Gumede, 2008).

De Coning and Cloete (2006) acknowledge the shift to a more participatory approach after 1994. They argue that the public policymaking process was characterized by public choice and the involvement of the citizenry in the decision-making processes through direct representation. The public policy formulation process is much more inclusive, representative, transparent, and accountable to the citizens. The study intends to examine the implementation of the monitoring and evaluation policies with specific reference to Frontline Monitoring and Support programs. These monitoring and evaluation programs have gone through all the stages of public policymaking, as explained in Table 1. The policy actors have identified Frontline Monitoring and Support programs as a grey area. The actors engaged in the agenda-setting process to address the issue of public involvement in the general policymaking process. The policy actors further developed strategies to address the problematic policy-related matters. The policy actors also identified Frontline Monitoring and Support policies from other alternative policies. They presided over the implementation of the Frontline Monitoring and Support policies. The policy implementers monitor and evaluate these policies to effect improvements in the future. The arrangement of the South African Government dictates that the responsibility of the public officials is to implement the approved policies to support the democratic culture of public participation and inclusiveness.

### **2.2.8 Concluding remarks to the sub-section.**

Cloete et al. (2006) explains the public policy process through Dunn's (1994) five stages model. Firstly, agenda setting involves the identification of problems and the determination of the program of action. Secondly, the public policy formulation stage involves the actual writing of the policy. This stage gives direction to the public policy. The third stage is policy adoption, which consists of deciding on the public policy stakeholders must pursue. The capacity to make concrete decisions is a critical issue at this stage. Fox and Mouton (2007) have indicated that the policy adoption stage involves identifying and anticipating opportunities. The fourth stage is the actual implementation of the public policy delivery process. Lastly, there is the policy assessment stage, which is very important because it

informs the policy implementers about the success or failure of a particular public policy. The following sub-section looks at the models of public policy formulation.

## **2.3 PUBLIC POLICY MODELS**

Cloete et al. (2006) describes a model as a set of complex realities that simplify relationships among different variables to give meaning by explaining the sequence of processes in undertaking a program. Hanekom (1991) views a model as helpful in disentangling complex reality to simplify and interpret processes involved in resolving complicated phenomena. In other words, both sources concur that a model can facilitate complex issues into understandable information. This study intends to examine the implementation of monitoring and evaluation policies with specific reference to frontline monitoring and support. As such, it seeks to explore the policies' nature and performance at the departmental level. The study aims to investigate the complexity that characterizes the implementation of monitoring and evaluation public policies by interpreting and explaining the implementation relationships and the inherent processes. Thus, the study discusses the public policy models in the context of the processes involved in public policymaking, focusing on the descriptive models (Fox et al., 2006).

### **2.3.1 Descriptive models**

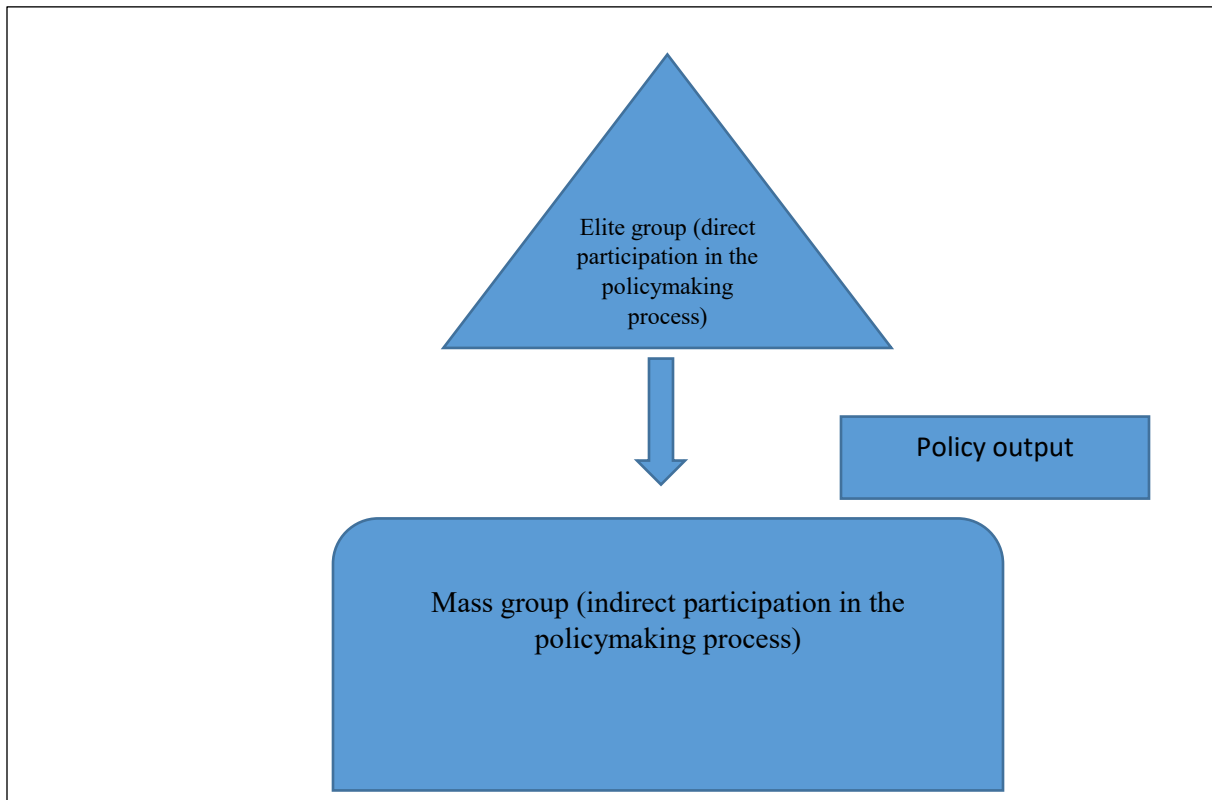
Descriptive models are suitable for providing a detailed analysis of the public policymaking process. The processes involved in the public policymaking process answer the fundamental questions of who the policy actors are, who are interested in the implementation process, how they are involved, and why they are involved even in the implementation processes (De Coning & Cloete, 2006). The models are a valuable tool in determining the power dynamics of the holders of influential positions. They allow an understanding of the various institutions of administration that relate to the policymaking and implementation processes. The descriptive models provide a good platform for the policy actors to analyze the consequences

of their policy choices. The study discusses the relevant models concerning the objectives of this study.

### **2.3.1.1 The Elite/ Mass Model**

The central point the Elite/Mass model raises is the political and power relations between the general community and the politicians or the leaders. Cockrel (1997) confirms this by indicating that the level of power relationships determines who has more influence than the rest regarding the policymaking process. Precisely, the model views society as divided along power relations. The elite class forms a smaller group with control over the decision-making process, which also involves policymaking. The elite includes a small group of leaders regarded as educated, and they are in an excellent position to make policies on behalf of the masses. The larger group constitutes the masses, and this group has minimal influence in the public policymaking process. The model considers the masses as passive participants as they have little impact on the formulation of policies. Their participation only sometimes goes beyond the voting process (Dye, 1978). He further indicates that the model suggests that the masses have limited access to information. The masses can only express their active participation by electing the government of their choice. However, the masses soon relinquish their influence regarding the policymaking process. Henry (1992) argues that the model postulates that the elite group's policymaking choices are thus likely to differ from the values and policy preferences of the masses. Therefore, the Elite/Mass Model must provide more opportunities for the masses to assert their voices in policymaking. The model is thus top-down, where the decision-making belongs to a small group with little or no regard for the larger group. Since the study intends to examine the implementation of Frontline Monitoring and Support programs, it further examines the interaction and relationship between government institutions and service recipients. The objective of frontline programs involves the consideration of the client's perspective in the policy implementation process. Figure 2 below shows how the Elite/Mass Model operates.

## The Elite/Mass Model



*Source: Adopted from Cloete et al. (2006B:37)*

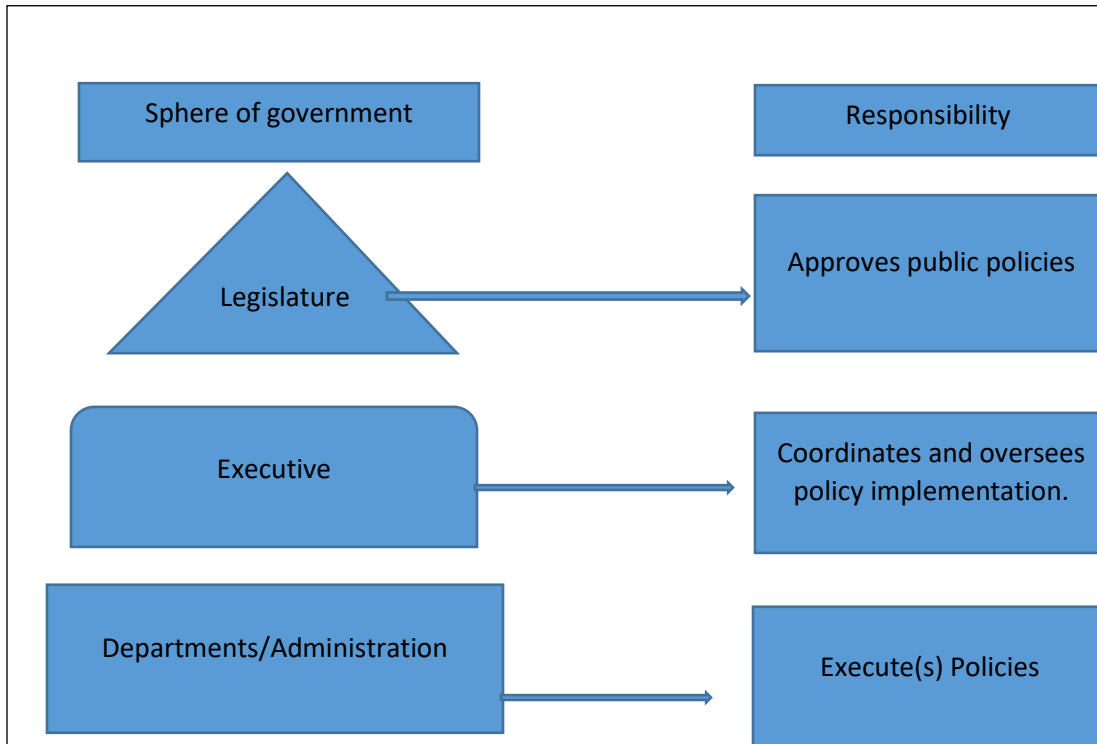
### 2.3.1.2 The Classical or Institutional Model

Hannekom (1991) describes the government structure as consisting of the legislature, the executive, and the administration, adding that public policymaking initiatives are developed and implemented within these structures. Gumede (2008) concurs, indicating that public institutions are essential in developing and implementing public policies. Thus, public policy is the product of intensive decision-making processes within public institutions (Fox et al., 2006). The model emphasizes the importance of the activities of government institutions in policy formulation and implementation processes. Public institutions are responsible for formulating and implementing public policy at different stages and have other responsibilities in each sphere of government operations. The Institutional Model denotes that legislators

play a vital role within the three spheres of government. The legislature is responsible for the approval and monitoring of the execution of public policies by both the executive and Government departments. This arm of government directs the policies to implement and monitor the implementation thereof. The executive arm of government is responsible for the coordination and policymaking processes. It plays an oversight role regarding policy implementation by Government Departments.

Government Departments are responsible for the execution of public policies, and they are accountable to the executive. It is relevant to this study, which intends to examine the implementation of Frontline Monitoring and Support programs using the Government Pension Administration Agency as a case study. This government agency operates at the national level and has offices nationwide. It has 15 offices in the country's nine provinces. These include the provincial and satellite offices. The study explores the implementation of Frontline Monitoring and Support programs at the national and regional offices. This model is also relevant to this study, for it examines the performance of Frontline Monitoring and Support programs within government institutions. One of the research objectives is to ascertain the compliance of the Government Employee Pension Fund to the policy directives issued by the Department of Planning, Monitoring, and Evaluation. Figure 3 below demonstrates the relationships within the institutions of government.

## The Classical/Institutional Model



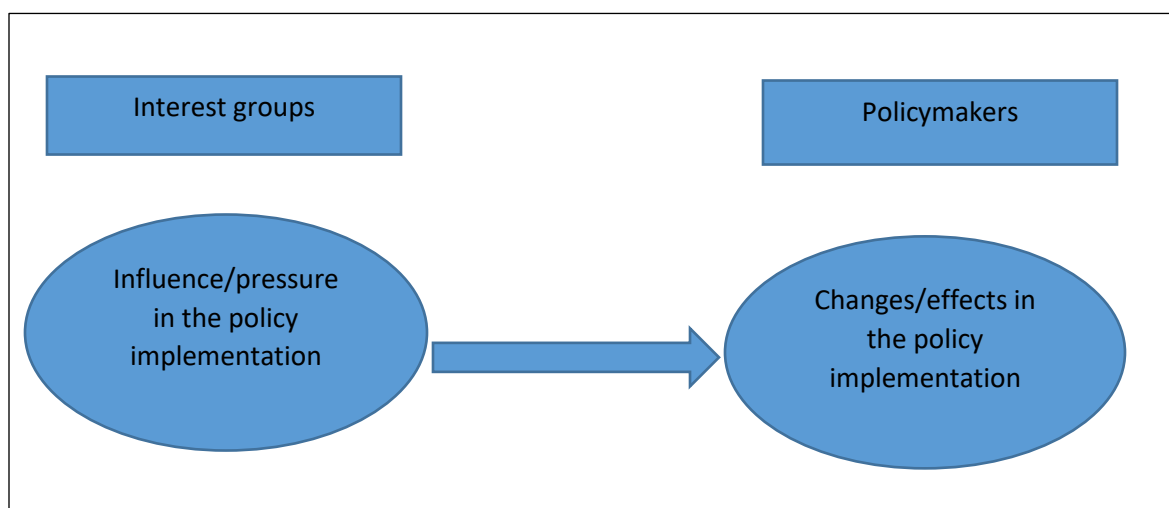
*Source: Researcher influenced by Cloete et al. (2006).*

### 2.3.2.3 The Group Model

The Group Model postulates that public policy originates from the widespread concerns culminating in the urge to address societal decay. The society comprises a group of individuals. The model maintains that these individuals need a political voice if organized into groups, whether interest or pressure groups. Hanekom (1991) indicates that the Group Model denotes that the more powerful and robust interest or pressure groups tend to influence the public policy formulation process. The policymakers bow to the inclination to address the concerns of the powerful interest and pressure groups that exert much pressure on the policymaking process. Fox et al. (2006) maintains that the interest and pressure groups that continuously engage the policymakers have a greater chance of influencing the policymaking process. In the Group Model, the public policymaking process denotes that some interest and

pressure groups tend to possess more power and higher levels of skills than others. They can exert more pressure and influence on the public policymaking process. For example, the Organisation Undoing Tax Abuse is one of the powerful interest groups that have influenced several public policies the government presides over. It affected the implementation of the e-tolling system as it felt that there was minimal public participation in the project planning process. It also influenced the payment of the e-tolling system through the intervention of its other interest groups. The organization's undoing tax abuse as an interest group has been vocal in other cases that concern public policy delivery. Wayne (2018) indicates, "Far too often the government has displayed a flippant or nonchalant attitude towards the need for sound and rational policymaking, believing that citizens must simply accept and be compliant with irrational and often unworkable policies and processes." This statement denotes the robust stance that organizations undoing tax abuse have adopted in public policymaking and implementation. It also reflects the degree of influence these interest groups have on the policymaking and implementation processes. Figure 4 below summarises how the Group Model operates.

### The Group Model



*Source: Researcher influenced by Cloete et al. (2006).*

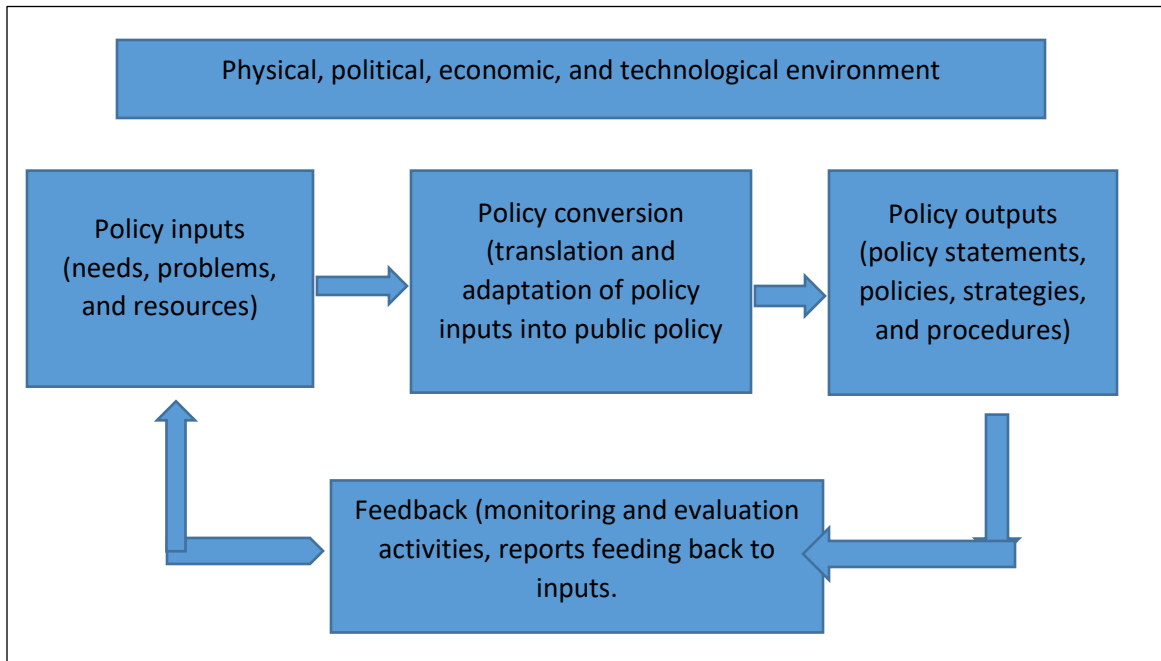
#### **2.3.2.4 The Systems Model**

The Systems Model presupposes that the policymaking process is a sub-system of the political system. Governments engage in policymaking to respond to societal needs, wants, and problems, which affect the public as individuals or interest groups (Fox et al., 2006). In the urge to respond to societal issues, sub-systems follow a systematic process involving inputs, translation, outputs, and feedback. Carter (2008) argues that the policymaking process forms an integral link between the public policy process and the political context. The communities address their problems, manifesting societal needs and demands through a political system. This process paves the way for debates, proposals, agreements, and consensus on the public policies to implement. The model further assumes that governments are prepared to address societal problems through public policies that are responsive to the needs of the public. The model further believes that the public policy process would allow and be flexible to society's changing needs. Successfully responds to evolving needs through regular feedback and inputting policy into policy outcomes. According to Wissink (1991), policy inputs generate information about societal needs, demands, and problems from individuals and interest groups. It also advocates for resource allocation to respond to societal issues and support needs and requests.

Policy conversion involves the decision-making processes. The processes reflect how to translate the policy inputs into policy outcomes. It also consists of the processing of the political system into public policy. Monitoring the processing of the inputs, outputs, and outcomes informs and generates information that feeds back to policy inputs. Policy outputs result from the conversion process. Thus, it involves the development of policy statements through various documents, which involve policy documents, procedures, and strategies. Policy feedback involves monitoring activities that include multiple reports. The model assumes that feedback information from monitoring and evaluation reports informs policy inputs. Feedback also assists policy decision-makers in making informed and evidence-based decisions about existing and future policies. This model dovetails with the study's objective to investigate policy implementation processes within government institutions and their

beneficiaries. One of the research objectives is to assess the experiences and perceptions of the beneficiaries of the Government Employee Pension Fund services. Figure 5 Below demonstrates how the model operates.

### The Systems Model



*Source: adapted from Cloete et al. (2006B:42)*

#### 2.3.2.5 The Functional Process Model

The model advocates for a thorough engagement and analysis of all the other processes involved in public policymaking to generate other public policy choices. The meeting of the public policy processes implies, on the one hand, the intervention of public participation programs. The model emphasizes the importance of public participation in generating policy alternatives during the entire public policymaking process. Thus, the model examines the functional processes involved in policymaking. Fox et al. (2006) indicate that the model

addresses methodological issues during policymaking. It raises questions about the consideration of other public policy alternatives. What is the operating model? It relates to who decides on what to do. What are the policy implementation procedures? These questions suggest that the process will compare several alternatives for the best option. Thus, this model involves comparative studies to get the best policy option. The approach allows for thorough engagements with the stakeholders, including the policy recipients. The survey of implementing Frontline Monitoring and Support programs seeks to understand the monitoring and evaluation processes. It aims to solicit information about policy processes from all the stakeholders, including the policy recipients at the grassroots level. The model's suitability to this study lies in the fact that it will provide information on the alternative policy processes up for consideration for the successful implementation of the Frontline Monitoring and Support programs.

#### **2.3.2.6 Concluding remarks to the sub-section.**

The Elite or Mass Model stresses the centrality of political and power relations between the general community and the politicians or leaders. The elite class forms a smaller group with control over the decision-making process, which also involves policymaking. The larger group comprises the masses with minimal influence in public policymaking. Thus, the Elite or Mass Model provides little opportunity for the masses to assert their voices in policymaking. According to Hannekom (1991), the Institutional Model describes the government structure as consisting of the legislature, the executive, and the administration. Thus, public policy is the product of the intensive decision-making processes in public institutions (Fox et al., 2006). The model emphasizes the importance of the activities of government institutions in the policy formulation and implementation processes. The Group Model denotes that public policy originates from the widespread concerns that culminate in the need to address societal decay. Society comprises individuals who only have a political voice if they form organized groups. They include interest and pressure groups that constantly attempt to advance their political agenda to form part of the policymaking body. They exert more pressure, which ultimately influences the public policymaking process. The Systems

Model views the policymaking process as a sub-system of the political system. In their urgent need to respond to societal problems, sub-systems follow a systematic process that involves policy inputs, translation, outputs, and feedback. Carter (2008) aptly indicates that policy conversion is an activity that consists of decision-making. The process explains how to transform policy inputs into policy outcomes. It is concerned with the processing of the political system into public policy. The sub-section looks at the history of the public policy implementation processes.

## **2.4 PUBLIC POLICY IMPLEMENTATION**

The implementation process involves the carrying out of an activity to accomplish a specific task. In the public policy environment, implementation refers to performing specific tasks to achieve a particular policy objective. The process involves the entire chain, from the planning phase to operational activities and performance expectations, to achieve the desired policy outcomes and impacts. O'Toole (2000) defines the policy implementation stage as the exiting between the development and adoption of the government's intention to address or not to address specific challenges and the outcome of such a decision in the real world. The stage represents the connections between policy goals and results within the value chain. It is the most crucial stage in the policy cycle. It determines the success or failure of the policy delivery.

Policy implementation can translate the political goals into the actual results on the ground. The stage involves the carrying out of activities to address established public policies. It thus refers to the activities involved in converting the inputs, representing the financial and human resources, into outputs, meaning the actual services delivered (Makinde, 2005). For implementation to occur, the goals of the public policy should be clear. It assists the policy administrators in understanding the intentions of the policy quite quickly. The policy resources should be available for policy administrators to carry out or to support the implementation of the policy during the delivery of the policy. The involved government structures should implicitly define the processes involved to control resources. It affects human, financial, and organizational resources. The governance structures should implement

control measures to guide and control the policy implementation processes during the performance of policy-related tasks. There must be a shared understanding of when implementation should commence in the public policy process. Thus, it is worthwhile to discuss the history of policy implementation.

#### **2.4.1 The three generations of research into policy implementation**

Howlet, Ramesh, and Perl (2009) indicate that research into policy implementation has evolved over three main periods.

*The first generation* assumes that policy implementation is a process that automatically follows policy adoption and approval. The logic and natural assumption are that implementation becomes the next step after the approval of the appropriate policies. The practice of Political Sciences started a long time ago, and to be specific, it started during the time of the political rulers. During this era, policy scientists acted as advisors to the rulers. After this era, a well-defined and institutionalized system of government emerged. At this stage, administration emerged as a scientific machinery or system that supported public policy processes. Hjern and Hull (1982) indicate that the study of administration revealed that policy implementation is a process that automatically comes within the administrative processes. Bryand (2005) concurs by pointing out that the first generation of policy implementation assumed that implementation is a scientific process that automatically comes after the approval of a policy. The phases in the policy cycle constitute an administrative process, and they should sequentially precede each other. One of the study's objectives is to examine the Department of Planning, Monitoring, and Evaluation policy directives regarding implementing Frontline Monitoring and Support programs. Thus, this examination suits the study's intentions as it can ascertain whether public institutions adhere to or comply with policy directives.

*The second generation* of policy implementation assumes that the implementation process is not just an automatic process that logically follows policy approval. Instead, it is a demanding and complex process that needs more attention than policy formulation. The post-

World War 2 period witnessed a shift from the classical or first-generation implementation model as the public policy system became noticeably less efficient after the machine-like model. The challenge posed by the first generation of implementation was the complexity around implementation processes. The scholars of the time realized that administration and implementation were far more demanding, complex, and political than the first-generation model had assumed. The first-generation scholars conducted several case studies on administration and policy implementation. The case studies unearthed complex challenges arising from the implementation processes within the public policy process. The case studies concluded that the assumption that implementation would systematically follow policy approval needed to be revised. Deleon et al. (2002) indicated that the second generation of policy implementation was much more sophisticated than the empirical studies they conducted showed. The studies suggested that the implementation process involved a series of institutional arrangements and organized structural rules relevant to managing public policy, and this was also known as the top-down approach. Maitland (2005) has indicated that the top-down approach assumes that the implementation process is, to some extent, undertaken where the actions of the implementing agents are per the goals of the policy. The scholars of the second generation had the determination to find the best possible means of translating policy formulation to policy implementation. Hunter (2008) argues that governments have undermined and eventually experienced the complexities in public policy transmission into practice.

Deleon et al. (2002) further indicate that the second-generation scholars ushered in the second approach, called the bottom-up approach. They argued that policy implementation occurs when the affected policy beneficiaries participate in policy-related processes. These scholars assert that the model ensures the involvement of the citizenry in the policies that affect their livelihoods. Researchers view the implementation process as democratic under the bottom-up orientation. The democratic nature of the model lies in its ability to source feedback from the beneficiaries of the policy. It values the opinions and perspectives of the beneficiaries regarding policy implementation processes. It is better positioned to detect intricacies in time and, therefore, make improvements. One of the study's research questions bordered on the need to solicit the perceptions and opinions of the beneficiaries of the Government Employee

Pension Fund services. This question is best suited to this topic since it solicits feedback from the beneficiaries of the public policy.

*The third generation* assumes that a deep understanding of the implementation processes helps the policy actors exert a degree of influence on the policy implementation. These interactions with the policy implementation processes help the policy actors to understand and scale up the level of implementation during the process. Deleon et al. (2002) explain that the third generation was concerned with analyzing behaviour at different times in the policy processes. It was concerned about the analysis of different government units that are involved in policy processes. It also asserted that the analysis assists policy actors in making predictions of the potential implementation behaviour in the future. Brynard (2005) indicates that the third generation of policy implementation is the analytical generation. There needs to be more emphasis on the failure of the implementation process. The scholars of the third generation are concerned about and focus on the analysis of the implementation processes to understand how they interact in the whole policy process. This understanding is essential since it provides feedback. Feedback provides information about the implementation process. That information informs improvement in the current implementation processes. Thus, the third generation supports using multiple measures and models. The primary objective of this study is to examine the implementation processes concerning frontline service delivery monitoring. This objective is relevant as it examines the policy implementation process within the value chain of frontline monitoring and evaluation programs.

#### **2.4.2 Concluding remarks to the sub-section.**

The first generation denotes that policy implementation is a process that automatically follows the adoption and approval of a policy. The logic and natural assumption are that implementation becomes the next step after the approval of the appropriate procedures. The second generation denotes that policy implementation is not just an automatic process that follows policy approval. It reiterates that policy implementation is a demanding and complex process that calls for more attention than the policy formulation stage. The second-generation scholars are determined to find the best possible means of translating policy formulation to

policy implementation. The third generation denotes that a deep understanding of implementation processes helps the policy actors influence policy implementation. These interactions with policy implementation processes help policy actors understand the process and improve the implementation level during the process. The scholars of the third generation are concerned about and focus on analyzing the implementation processes to understand how they interact with the policy process. The next topic discusses the approaches to policy implementation.

## **2.5 APPROACHES TO IMPLEMENTATION**

Maitland (1995) discusses the two schools of thought considered the most precise in describing the implementation process, namely the top-down and bottom-up approaches.

### **2.5.1 The top-down approach**

The top-down approach suggests that the authority to implement policies is the central government's prerogative. The officials responsible for policy implementation execute the authoritative decisions at the central government level. This approach denotes that implementation depends on the hierarchal relationships within the government structure. The success of the implementation is solely dependent on these government structures. The approach pays minimal attention to the importance of policy objectives. Proper government structures are necessary for the successful implementation process to occur. The approach also needs to pay more attention to the importance of other actors in the implementation process since it does not consider the existence and influence of multiple actors involved in the whole implementation process. The central point is putting structures capable of operating in conjunction with the central command to ensure the successful implementation of public policies. Cloete and Wissink (2008) indicate that policy at the central level takes decisions that address the following,

- The implementing officials ensure that policy implementation aligns with the policy prescripts.
- Ascertain whether policy objectives were delivered by the specified time or vice versa.
- Identify factors that affect the delivery of policy outputs and outcomes.
- Determine whether there were policy improvements that inform new policies.

Parsons (1995) concurs by indicating that the responsibility of the top structure, that is, the central government level, is to set the direction of the organizational achievement. This direction comes from organizational strategies, goals, and objectives. Nonetheless, the critical point is the centrality of top decision-making. These come as an instruction to the rest of the organizational structures. The instructions are supposed to filter down to the rest of the structures in the organization. These structures are representative of less authority in the structure of the organization. Organizational structures are under obligation to implement instructions from the central level. The chain of command then dictates the responsibilities at each subordinate level. Parsons (1995) further indicates that certain conditions ensure the working relationships in the entire chain of command,

- An organized structure of the organization with correctly set instruction flows.
- The organization should have standard operational procedures.
- The organization should have professional personnel who perform their duties according to the set instructions.
- The organization should have a proper understanding of the relationships that exist in the chain of command.
- Time for the implementation process should take little priority over precedent processes.

Parsons (1995) further concludes that these conditions are possible in an organization with obedient officials who comply with the instructions, which becomes a challenge in most cases. This approach stresses the view that clarifying policy goals and objectives, maintaining consistency and minimal policy actors, minimal changes in the policy implementation process, and assigning policy implementation processes to the officials that are obedient to and compliant with the policy prescripts, should result in the successful implementation of public policies.

Maitland (1995) indicates that the top-down model poses several challenges in the policy implementation process. Some of the challenges are as follows:

- The model's operational mode generalizes policy-related issues. Generalizing policy issues needs a consistent pattern of behaviour. It is inappropriate to generalize different policy arenas at different times and circumstances. Otherwise, it will affect the policy results.
- The model does not consider the needs and interests of the communities. It stresses that the changing environments influence the needs of the communities. Thus, the model needs to recognize the people's changing needs in their communities. The model also needs more information on the current and future changes in terms of the interests of the communities.

Maitland (1995) further criticizes the top-down model by identifying three factors that affect policy implementation. These are:

- The model uses the statutory structures as a control measure. The statutory instrument is the starting and binding factor that precedes all other implementation processes. It neglects other contributions deliberated during the policy-making process. It neglects the contributions that may have eliminated and dealt with barriers to the implementation process.
- The proponents of this model view policy implementation as a mere administrative function. It eliminates the political perspectives associated with public policy delivery. Thus, it does not consider the human factor associated with the public policy process. It emphasizes the formulation of rules that control policy implementation.
- It undermines the role played by the local actors. The model's over-reliance on statutes undermines the local actor's opinions. It regards local actors as potential barriers to the successful implementation of the policy even though they have a good understanding of local communities. They understand the needs and interests of the local communities. They suggest modifications to the public policy, but the model restricts their participation in the implementation process.

One of the study's objectives is understanding the Department of Planning, Monitoring, and Evaluation policy directives regarding implementing frontline monitoring and evaluation

support policies. Thus, this suits the intentions of the study, as it seeks to unpack the policy directives and compliance with policy stipulations.

### **2.5.2 The bottom-up approach**

The bottom-up approach maintains that the implementation process transpires at operational levels. The operational level is where the implementation activities carried out by the public service workers take place. The functional level can analyze the problems and challenges experienced during implementation. The regular functional interactions at this level can generate information regarding the policy's performance. The actors involved at the operational level occupy a convenient position to account for the strategic interaction, as they are practically involved in the policy implementation process.

The model suggests that the best way to understand the policy implementation is through understanding the views of the beneficiaries of the policy. These beneficiaries play a vital role in the performance of public policy. However, it is essential to understand that policy implementation starts from the central level of government. The main level of government determines the policies to deliver at a specific time. This level also determines the management of the public policies. Maitland (1995) indicates that the centralization of policy management is termed macro-implementation. The central level of government develops policies that give clear guidance, control, and management practices. This process correctly articulates the target communities, timelines, resources, monitoring, and evaluation systems. There is a degree of bureaucratic control obliging the policy implementers to act by the policies at the macro level. The local policy implementers must consider the dynamics of the local communities. Environmental, social, and political dynamics should always be central in implementing public policies. Since local implementers operate at the community level, they occupy a vantage position regarding understanding their local communities. Their understanding of the local communities assists them in articulating local plans because of their exposure to local issues. The local implementers can harmonize the micro plans and the macro plans. Maitland (1995) indicates that each environmental setting has unique contextual factors influencing the macro-implementation process. Palumbo et al. (1994), in Matland's

(1995) view, is that the macro-implementation level faces inevitable failure if it undermines the views of the local-level implementers concerning the consideration of local circumstances.

The bottom-up approach involves analyzing the policy to identify specific behavioural practices. This process leads to the effecting of policy changes if that eventuality becomes necessary. The process results in effecting policy changes to allow for the development of the desired goals. According to Dyer (1999), the mapping process begins to work retrogressively after identifying the desired goals. Some factors need due consideration at this level, and these are as follows:

- The establishment of the capability of the organization to adapt to the behaviours and perform all the necessary activities to assist in the implementation of the policy,
- Identifying the relevant resources supporting the organization helps take the necessary actions.

Weimer et al. (2004) argue that the successful implementation of policies under the bottom-up approach is conditional because the central level of government operates on the assumption that the local policy actors will implement policies. There needs to be a degree of implementation at the central level since this level only concentrates on the macro-planning level. The execution of policies is dependent on other levels within the implementation process. The central level of government should develop policies that influence the behaviour of the policy implementers at other levels of government. The bottom-up approach is the most relevant model to this study. One of the study's objectives is to solicit the views and perceptions of the beneficiaries of public policy. Thus, the study seeks to investigate the available information and ascertain whether it flows from the bottom to the top level to inform the implementation of Frontline Monitoring and Support programs.

### **2.5.3 Concluding remarks to the sub-section.**

One significant difference between the top-down and bottom-up approaches is that the former emphasizes the rules and regulations. It is authoritarian as it puts in place robust measures

governing what policy actors must do and how they are supposed to do it. It is rigid because it follows rules that all actors ought to observe. It is very traditional since it emphasizes the importance of hierarchy and respect in the entire chain of command. On the other hand, the bottom-up approach is quite emphatic in establishing the factors that may have contributed to the failure of policy implementation. All the policy actors should be able to understand the challenges at their levels of operation. That information is critical because it provides the relevant information to the successful implementation of the policy. However, both approaches have a common feature: the intention to improve the policy implementation process. They both provide crucial information regarding the policy implementation process. In essence, the information about improving the policy implementation process best comes from the bottom level. Some variables are helpful in both cases, and they exist at the bottom level, which, in this case, is at the public policy delivery level.

Thus, there is a reciprocal relationship between the policy implementation and the policy delivery phases. Maitland (1995) indicates that the macro-level variables of the top-down model complement the micro-level bottom-up proponents. Maitland (1995) further suggests that some scholars agree that the two approaches converge. As indicated above, the two approaches address one similar aspect: improving policy implementation processes. One of the research questions guiding the study is the desire to solicit perceptions and opinions from the beneficiaries of the Government Employee Pension Fund services. This question is suitably examinable under this topic since it solicits feedback from the beneficiaries of the public policy. The next topic discusses the variables in the implementation of public policy.

## **2.6 PROBLEMS AND CHALLENGES OF THE IMPLEMENTATION OF PUBLIC POLICY**

Governments develop public policies to address a particular problem affecting the citizens. In some cases, governments fail to deliver public policies because of the implementation processes' challenges. Carney (2012) maintains that the study of policy implementation is a process informed by the failure of public policy to carry out the decisions made by the policymakers. It implies that the implementation of policy decisions approved by the

policymakers fails to be successful in policy delivery. Experience has shown that some policies are bound to be successful while others are doomed to fail for several reasons. Bain et al. (1992) confirm that the public policy implementation phase will likely experience new and unanticipated challenges. Such challenges may include the gaps and the loopholes that trace back to the policy formulation phase. Thus, the policy implementation stage is critical in the policy-making process.

Berman (1978) found out that non-implementation of a policy does not imply that the policy implementation process did not transpire. Failure suggests that the policy implementation process faced impediments during the implementation period. In such a scenario, the process may lead to fallacious conclusions, thereby declaring the failure of policy delivery. Nonetheless the policy implementation would have taken place, but it would have been unable to attain the planned policy objectives proclaimed in the policy document (Parsons, 1995). Thus, implementation studies ask questions that seek to unpack the questions: "Why did the policy happen the way it did? What could be the challenges in the policy implementation process? This chapter section looks at the challenges bedevilling the policy implementation process.

### **2.6.1 The choice of policy instruments**

The challenge that usually affects the policy implementation process is when the policy instruments chosen for utilization during the policy implementation phase are restrictive. Government laws and regulations may restrict the viability of the policy implementation process. The same applies to the improper use or choice of the wrong policy instrument, which inevitably results in non-compliance with the public policy process (Knill et al., 2012). The inappropriate use of policy instruments is thus detrimental to the policy's ability to yield positive results. This variable is relevant to this study because the study intends to examine the policies of the Department of Planning, Monitoring, and Evaluation. In examining these policies, the study will determine the flexibility of policy implementation, mainly focusing on the policy directives. It also seeks to ascertain the Government Employee Pension Fund's

conformity to and compliance with policy directives per the Department of Planning, Monitoring, and Evaluation provisions.

### **2.6.2 Control structures**

Salomon (2002) indicates that administrative staff members become much more knowledgeable about the policy implementation processes compared to their political counterparts. This understanding falls under the domain of the Principal-Agent Theory. Knill et al. (2012) confirm that this disparity contributes to the failure of the implementation process. It happens when the agent's interests differ from those of the principals. The theory sees the agent as referring to the politician and the principal as the public. The deficiency occurs when the agent's intention does not conform to the principal's interests. Thus, conflict is bound to occur between the political and administrative implementation arms, which means that the political system's intentions and the policy's actual implementation at the administrative level lack coherence. It may pose problems and challenges when the politicians' expectations of the outcome differ entirely from the actual outcome of the policy because of the influence of the administrative arm of the implementation process. The other problem revolves around the complexity of the language used in the policy document, which poses problems and challenges to the principals since they need help understanding the complexity of the scientific language. Knill et al. (2012) identify the two measures politicians can apply to safeguard and control bureaucracy. The first measure is to play a formal oversight role, which implies regular interaction between parliament and government departments through formal committees, reports, and oversight meetings. These engagements make it possible to identify undesirable behaviour from the bureaucrats. One of the Frontline Monitoring and Support programs is the executive monitoring support (Izimbizo), which occurs when the executive visits the communities for feedback on the services provided. The other measure to counter bureaucratic influence in the implementation process involves the legislature taking responsibility for the designing of the implementation processes to give precedence to its preferred policies. It may also result in a problem when the policy favors

certain community groups at the expense of others. These are some of the challenges that often contribute to the failure of policy implementation.

### **2.6.3 Institutional design**

Public policy implementation depends on solid institutional arrangements for successful policy delivery. Governments ought to set up institutional structures with clear procedures to ensure that implementation takes place. These structures are the foundation on which policy implementation rests (Knill et al., 2012). They further state that institutional arrangements are necessary because of an equivalent relationship between these arrangements and public policy. Thus, adequate institutional arrangements immensely support the successful implementation of public policy. However, challenges and problems may affect the policy implementation process if there are poor institutional arrangements or a lack thereof. Parallel to this, challenges and problems could also arise in the policy implementation following institutional changes. These problems and challenges also relate to the bureaucratic processes that dictate how the implementation process should take place. In the case of the top-down approach, policy implementation relies more on the procedures, rules, and regulations that guide the implementation process at different levels in different structures. While the scholars of the bottom-up approach are of the view that institutional structures promote the transformation processes during public policy implementation (Knill et al., 2012), those of policy implementation suggest that it is essential to take into consideration the fact that institutional structure and arrangements have the necessary human, financial and legal resources. The study examines the institutional structures that ensure the successful implementation of Frontline Monitoring and Support programs. It also seeks to unpack the different roles and responsibilities of different institutional structures in the monitoring and evaluation functions chain.

### **2.6.3 Administrative capacities and policy ambiguity**

Administrators play a vital role in the implementation of public policies. The administration of public policy implementation is the actual process of converting policy decisions into actions. The administrators' implementation of specific government programs addresses the public policy objectives. Thus, institutions ought to have professional human capacity, enabling administrators to implement government programs, resulting in public policy delivery. The administrators also require resources that enable them to execute government programs properly. The problem or challenge arises if the public policy implementation process is in the hands of an unsuitable institutional arrangement that needs more administrative capacity (Hanekom, 1987). According to Berman (1978), some of the failures of public policy implementation result from ambiguity in public policy. This ambiguity is evident in policies that need more correct articulation. Policymakers often use technical policy language that could be more easily understandable to the administrators. It often poses problems and challenges in the management of public policy implementation when administrators need help understanding the objectives of the policy decision. Problems also arise when there is no proper public policy implementation process (Berman, 1978). This lack of a transparent methodology also renders the administrators too incapacitated to manage the policy implementation process in such a manner that enables it to attain the set policy objectives. The study seeks to understand the implementation processes regarding frontline support programs. It looks at the administrative capacity to be able to understand the public policy implementation processes. It also seeks to examine and ascertain if the officials involved in the monitoring and evaluation units clearly understand the objectives of the Frontline Monitoring and Support programs.

### **2.6.4 Social acceptance, compliance, and acceptance**

The intention of formulating a public policy is to address a particular problem that affects people's livelihood in a society. The aspirations of the beneficiaries of the policy become

central in the policy implementation process. Rein and Rabinovitz (1978) indicate that it is essential to consider the needs of actors, that is, those affected by the policy. The policy beneficiaries or actors would only accept the policy if the policymakers communicated the policy initiative to them initially. It usually happens when there are financial implications in the policy implementation process. A glaring example of economic resistance is evident in the payment of the e-tolling system. The study finding by Khanyile and Mavee (2015) indicates that no proper consultation of the policy beneficiaries and actors in the e-tolling system occurred. They further state that *Sanral* should have considered the public and stakeholders' inputs to influence the decision-making process but did not consider this aspect. Thus, this lack of inclusivity influenced the reluctance of policy beneficiaries to pay for the e-tolling system. The influence of the interest groups poses a challenge in implementing public policy. It often results in non-compliance with the public policy implementation process by the citizens. One of the objectives of this study is to get the perceptions and opinions of the beneficiaries of the Government Employee Pension Fund regarding the performance of the Frontline Monitoring and Support programs. Examining the challenges is relevant to this study since it seeks to ascertain whether the policy's beneficiaries accept the public policy implementation process.

#### **2.6.5 Concluding remarks to the sub-section.**

In conclusion, the problems and challenges experienced in the public policy implementation process differ from policy to policy. The significant challenges and problems threatening the success of the public policy implementation process vary. These challenges and problems include choosing the wrong policy instrument, resulting in non-compliance with the public policy process. The deficiency occurs when the agent's intention does not satisfy the principal's interests. The other problem arises from using complex language in the public policy document. The lack of poor institutional arrangements, which results in poorly articulated policies and policy beneficiaries or actors not consulted in the initial stages of the public policy process, poses another considerable challenge. The following section discusses the variables that influence the public policy implementation process.

## 2.7 CRITICAL VARIABLES IN THE IMPLEMENTATION OF PUBLIC POLICY

The discussion on the approaches to policy implementation shows that policy implementation is a complex political process. The scholars of implementation underscore the importance of understanding implementation from the perspective of a complex and dynamic process that happens over a period in the public policy process. The implementation of public policy transpires in different environments of public policy. It is imperative to understand how public policy changes with the changing environments. However, the most crucial part is understanding the strategies influencing the implementation process to advance toward achieving public policy goals. The assumption is that the application of the discussed implementation approaches also differs when comparing developed and developing countries. Different societies undertake different implementation practices that suit their environments. Although the maze of the implementation process varies from one environment to the other, there are critical variables that have helped to shape the direction of policy implementation. Most scholars of the top-down and the bottom-up approaches agree on five critical variables that accommodate the seemingly divergent views on public policy implementation. These variables apply to different implementation settings. It includes different implementation approaches that involve both top-down and the bottom-up systems. It can also apply to sectors like education, transport, and political systems, including unitary and federal systems. Lastly, it applies to implementation systems in various countries at different economic levels, that is, developed and underdeveloped countries. Cloete et al. (2008) refers to the five variables of policy implementation as the 5C Protocol, namely, "*content, context, commitment, capacity, clients, and coalitions.*"

This study further discusses the critical variables referred to as the 5C Protocol. A variable is essential in the policy implementation environment. The study intends to investigate the implementation of the Frontline Monitoring and Support programs. Wittrock and De Leon (1986) describe policy implementation as a complex phenomenon that transpires in the context of political processes. It involves converting policy into practice. Thus, it is susceptible to changes and amendments in terms of both resources and activities. The five variables are interlinked. That interlink logically influences others. These influences happen

independently, depending on the situation and the conditions obtained at a given time, especially within the policy implementation environment.

### **2.7.1 Content**

The formulation of policies seeks to address problems and achieve set objectives. The content of the policy refers to the intention of the policy. The questions of what the objectives and goals of the policy are, - assume centrality. What issues does the policy want to address in the society? How will it go about resolving those issues? These questions address the policy content. Brynard (2000) indicates that policy content falls into three typologies: distributive, regulatory, and redistributive. Distributive policies aim at providing public goods explicitly distributed for the general welfare of the citizens. The regulatory policy intends to put in place and specify the rules of conduct that govern and guide specific actions. They also stipulate the kind of sanctions and punishment meant for those who fail to comply. Redistribution policies involve changing wealth or power.

The allocation of power and wealth occurs in such a way that benefits some groups at the expense of others. Many scholars who conducted studies on implementation stressed the usefulness of the policy content. The content of a policy emphasizes not only the means it employs to realize the ends but also determines specific means of achieving those ends. The study intends to answer questions about implementing the policies developed by the Department of Planning, Monitoring and Evaluation as implemented by the Government Employee Pension Fund. It seeks to find out if the Government Employee Pension Fund complies with or conforms to the Department of Planning, Monitoring, and Evaluation policies. The analysis of implementation processes will benefit various policy actors upon completing this study. It is for this reason that this variable becomes suitable for the study.

### 2.7.2 Context

Policy implementation is inevitably an essential phase in the public policy process. The implementation process largely depends on the nature of the public policy under implementation. Policy actors must understand the institutional contexts in which the public policy occurs. The implementation of public policies operates in a political environment that comprises economic, political, and legal settings. It means that the economic, political, and legal backgrounds hugely shape the institutional context of the policy. Brynard (2000) indicates that although institutional contexts play a significant role in shaping the implementation of public policy, human interaction greatly influences the implementation of public policy. Policy implementers must consider and be attentive to the challenges likely from contextual factors. These contextual factors play a critical role in the implementation of public policy. Policy implementers need to understand the stages the implementation processes go through to understand the realities within the implementation processes. The concern is that the implementers should be answering how these external influences affect the implementation processes. The answers to this question come from a deep understanding of what happens in the corridors of the implementation processes.

Further, policy implementers must develop good working relationships within these corridors of policy implementation to understand and rid the system of the implementation challenges. Adequate understanding of the implementation lines and the development of working relations can only sometimes be in the favor and advantage of the implementers. Implementers need to sacrifice and commit themselves more to ensure the effectiveness of the implementation process. The issues relating to bargaining, cajoling, sacrifice, collaboration, and compromise play a significant role in the implementation process. Earlier discussions on the bottom-up approaches have indicated that the policy implementation stage involves several people compared to policy formulation. Hence, it is a complex process. Interaction in the implementation phase happens at different levels, and each level in the bureaucratic ladder plays its exclusive role. The multi-player aspect occurs within the multi-levels of the hierarchy. Each group provides information about implementation, which helps transform and redesign policies during the implementation period. Among the research

questions this study seeks to answer is the perception and opinion of the Government Employee Pension Fund beneficiaries. This information comes from the recipients of the GEPF policies. Several other actors in the implementation processes are involved in the study, some of which are Government Employee Pension Fund officials, particularly the monitoring and evaluation officials and beneficiaries. It is this reason that renders this variable suitable for the study.

### **2.7.3 Commitment**

One of the reasons for the existence of governments is to provide public services to their citizens to improve their well-being. The assumption is that the provision of services happens through the implementation of public policies. Thus, the government should ensure the effectiveness of the implementation processes to deliver its public services. Cloete and Wissink (2000) note that implementation processes commence immediately after the approval of a policy statement. The implementation processes often involve several separate activities. Some of these activities are political, economic, administrative, and economic as well as legal aspects of management, and these collectively ensure that implementation processes support the public policy delivery system to improve the lives of the country's entire citizenry.

The variable relates to the actions of several policy actors involved in the implementation process. The actions entail the capacity and willingness of actors to implement specific activities involved in the policy implementation process. Brynard (2005) argues that having a sound and very impressive policy becomes immaterial without an effective implementation mechanism. It is thus fruitless to have a good approach if the policy implementers and other stakeholders are unwilling to participate and show little commitment to the implementation of that policy. That means the policy implementation becomes ineffective, resulting in policy failure. Duty is essential despite being a top-down approach or a bottom-up approach. Thus, commitment to policy implementation becomes necessary at all levels of government. It starts from the central station and goes down to the local level of government. Effective implementation needs implementers ready to be led apart from requiring the implementers to

have relevant knowledge about the policy. The implication is that these elements must be in place. Public policy delivery will be possible if the parts relate to employing the relevant and skilled personnel who support the appropriate systems to implement public policies. Issues of having personnel with good work ethic, motivation, and willingness to develop and act in the interests of the citizens are relevant to effective policy implementation. Having less motivated personnel who lack proper leadership may cause a failure in the policy implementation process. Cloete and Wissink (2000) indicate two commitment factors important to implementation variables as outlined below.

- Commitment to policy implementation is essential at all levels where public policy operates. Public policy goes through several passages, with crucial policy actors in each one. Policy passages include the regime, central, and local levels. In South Africa, the parliament approves policies. The executive ensures the implementation of policies both at the provincial and local levels. Implementation must occur at all levels, with each group expected to execute its role to implement public policy successfully.
- There is a linkage between the performance of the implementation variable, the content, the context, the clients, and the conditions. These variables are somehow interdependent, and they influence each other. The policy implementers should pay attention to one variable's influences on another. Policy actors involved in the policy implementation should always consider the significance of the interlinking variables.

In this study, understanding this variable is essential. The study seeks to understand various actors' roles in implementing the Government Employee Pension Fund Frontline Monitoring and Support programs. It aims to understand the expectations and performance of each level of implementation. It helps the researcher to identify the bottlenecks in the implementation process.

#### **2.7.4 Capacity**

Delivering a public policy depends on the professionalism that public servants should exhibit. Public servants should possess the necessary skills, abilities, expertise, and positive attitude

to deliver services. The ability to deliver also depends on the availability of tangible and intangible resources. Brynard (2005) indicates that natural resources include human resources, technology, institutions, and the budget. Intangible resources include enthusiasm, governance, preparedness, commitment, strength, and all the essential qualities necessary for converting a policy statement into policy action. The political system presiding over the policy implementation process should be conducive to the successful implementation of the public policy. There is a perception that several public policies have failed because of the need for more specific resources. The capacity variable often poses several questions regarding responding to or addressing the public policy implementation process. These questions relate to whether the budget allocates enough resources for the implementation of policy activities, whether there is enough human capacity to work on the policy, and whether there is the required technological capacity to support the delivery of the policy. It is also imperative to know whether there is institutional support to deliver the approach and whether an effective organizational structure exists to provide the policy. The resource capacity also deals with the kind of resources to give to a particular community, the reasons for delivering them, and the required quantities. It also focuses on how to have them, the recipients, and the place where the delivery occurs. Thus, the capacity to deliver is not only the primary concern, but the other crucial question is how to operationalize the public policy delivery. It becomes essential to address the variable of capacity holistically. The question of what capacity is necessary to deliver the mandate of a particular public policy is therefore dependent on the rationalization of the essential elements needed in the policy implementation process appropriate in the policy context.

It is sometimes complicated for governments to have enough capacity to implement their public policies. In that case, they source certain services from external providers instead of providing them themselves. Governments should always ensure that they still play a significant role in facilitating and coordinating the implementation processes in the provision of public services. Governments should also ensure the transfer of skills during the implementation process. Governments have the responsibility to ensure that they build capacity for their officials. Mokhaba (2015) indicates that the public service should also consider alternative service delivery mechanisms. These mechanisms involve forging partnerships with the private sector, non-profit making organizations, and ordinary

volunteers. These partnerships help maximize public policy delivery. This process could result in the practical and successful implementation of public policies. However, Cloete, Wissink, and De Coning (2008) maintain that the public service should safeguard its significant functions of providing support in terms of policy direction, coordinating, and controlling policy delivery at the central level while ensuring that the implementation of public policy occurs at lower levels through partnerships with other agencies. The study seeks to explore frontline support programs by understanding the implementation processes. One of the study's objectives is to analyze the Implementation of Frontline Monitoring and Support programs practiced in the Government Pension Administration Agency. The analysis involves the capacity of the implementation processes to deliver services. Thus, the study examines institutional positioning, organizational relationships, human and financial resources, coordination, support, and other capacity-related issues. This variable is, therefore, essential in this study since it contributes significantly to the successful implementation of public policy.

### **2.7.5 Clients and coalitions**

The above variable focuses on the importance of partnerships to implement public policies. The partnerships result from joining coalitions with several other groups, including the interest groups, partners in industry, and any other external groups that consist of individuals and groups that may be affected by or have influence in the public policy implementation. This joint venture involves efficient and effective public policy performance because the affected parties have stakes in the policy. Governments must identify all the actors that have the potential to influence the policy. The identification of the policy actors should safeguard those who have the potential to affect power relations during the policy implementation process. Thus, governments must identify the policy actors or external forces whose coalitions may lead to favourable and unfavourable conditions. In good conditions, the government should form partnerships with influential policy actors or outside parties with interests that are important to and supportive of the successful implementation of the public policy. This process will likely limit the scope of involving several serious and honest policy

actors or outside forces. Under unfavourable conditions, governments should refrain from consistently forging coalitions with many minor and unnecessary policy actors.

The excessive administration and management of minor policy actors often need to be addressed in the implementation process because it spends much time managing little actors instead of concentrating on the most influential ones. Thus, governments must identify a constellation of actors who have a direct or indirect influence on public policy implementation other than the relevant constituencies with limited ability to influence the successful performance of public policy. Governments should thus identify the relevant and critical policy actors with the potential to impact the public policy implementation process. Although this variable appears to have limited applicability in this study, it is, however, relevant as the study seeks to establish implementation relationships from the policies developed by the Department of Planning, Monitoring and Evaluation, the implementation of frontline support programs by the Government Employee Pension Fund and, lastly, the final recipient of Government Employee Pension Fund policy. These different structures must work together to implement the frontline support programs successfully. Thus, it is crucial to identify the most critical policy actors and their interests and influence on the policy implementation process. For example, there are external companies that offer financial services, and they have an active involvement in the pension industry.

Although their operations mostly confine themselves to the private sector, they also recruit Government Employee Pension Fund members to join their schemes. Their recruitment process usually happens when the Government Employee Pension Fund members are about to retire. They often coerce these members to transfer to their pension schemes. To recruit the members of the Government Employee Pension Fund, they misrepresent the Government Employee Pension Fund policy information about the pension benefits. This exercise is purely an affront meant to hoodwink members from the pension scheme. This process has an unfavourable consequence on the pension fund, as most members transfer from the Government Employee Pension Fund to the financial company, which harms the successful implementation of the Government Employee Pension Fund policies.

### **2.7.6 Communication**

The communication variable is an appendage to the 5C Protocol. Communication is another critical variable that regularly features at each stage of the 5C protocols. It forms an integral part of the policy implementation process; hence, this is the sixth C. It is thus essential to separate it from the other 5C protocols as it plays a role in each variable in the implementation process.

### **2.7.7 Concluding remarks to sub-section.**

Brynard (2005) indicates that while the 5C Protocols discussed above provide information about the challenges and influences involved in the policy implementation processes; the assumption is that the interconnectedness of these variables acts simultaneously. The effect on one variable has a corresponding impact on the other variable. The same scenario obtains in the policy-making and policy implementation processes. Their design ensures that they work parallel to each other since the implementation process informs the redesigning of the policy-making process. Public policy success depends on regular feedback that tells the redesign of the original policy. It is crucial as it considers the prevailing circumstances during the policy implementation stage. Policymakers often have trouble foreseeing some of the unintended policy consequences until the policy implementation process itself starts to unfold. Identifying the shortfalls of the public policy delivery requires the policy actors to take remedial action or corrective steps that drive toward the successful implementation of the public policy. Thus, the 5C protocols suggest that policy implementation is not only a planned process but also a process that needs proper management throughout public policy. It provides opportunities for policy actors to learn lessons as the implementation process advances through the different stages. The variables thus assist in determining the influential actors and actions that drive the whole process toward successful policy implementation. The next topic focuses on the factors that influence the success of policy implementation.

## **2.8 FACTORS INFLUENCING SUCCESSFUL POLICY IMPLEMENTATION**

Scholars in the policy implementation field have identified several factors that influence success in policy implementation. Many success factors are related to project management, strategic planning, change management, and administrative reforms (Brynard, 2009). Successful policy implementation depends on executing activities to achieve a specific pre-determined goal. Governments adopt strategic policy decisions to deliver specific public services. They set up actions policy actors should implement to deliver the services according to the strategic intent. In this case, success means achieving planned objectives expected to satisfy the intended stakeholder. The success factors in the public policy implementation process are the project-related elements and activities that policy administrators should implement to increase the probability of achieving the intended outcome. In some instances, however, organizations may not be able to control the environments under which the policy administrators operate. Therefore, success factors encompass the elements organizations can and cannot control (Brynard, 2009).

### **2.8.1 Importance of Commitment**

Commitment is the vitality, passion, and desire policy actors display to ensure any policy initiative succeeds. It involves bringing into complete focus the policy initiative's objectives from its inception until the realization of the policy outcome. Some implementation discipline scholars maintain that commitment should typically adopt the top-down pattern. They argue that politicians should commit themselves to supporting public policy. As a result, people will generally show commitment to policies that rank highly on the agenda of the politicians. Adversely, members of the public tend to show less commitment to policies that are of less priority on the agenda of the politicians.

On the other hand, scholars championing the bottom-up approach argue that commitment manifests itself in the bottom-up approach. The level of implementation of public policy manifests at the ground level. Employees' positive attitudes at the ground level determine the success of the policy implementation exercise (Giacchino & Kakabadse, 2003). It becomes

clear that both the top-down and the bottom-up levels are essential if the successful implementation of public policy must occur. Thus, every public policy needs support and commitment from the administrative and political spheres. Thus, commitment should characterize the attitudes of as many stakeholders as possible. The successful implementation of the Frontline Monitoring and Support programs requires the commitment of policy actors at both the top and the bottom levels. The bottom level should provide feedback, informing policy-related decision-making at the top level.

### **2.8.2 Value of Training**

Generally, training increases the trainee's knowledge, ability, and confidence, as well as professionalism in the performance of duties. It also increases the self-efficacy of the trainees, apart from boosting their levels of confidence in the execution of their duties. It makes the policy actors believe they have acquired the relevant knowledge required to do the task. Brynard (2009) indicates that policy implementers are more likely to continue performing well if they are confident about solving problems and finding solutions when transforming policy intentions into practice. Training is thus one of the critical determinants of the successful policy implementation. The government's commitment to training also determines the successful implementation of the government's policy initiatives in a specific country. Developing countries have been too reluctant to introduce training in their public and private sectors (Younis, 1990). Insufficient training has resulted in slow public policy delivery, and as a result, that has affected the successful implementation of public policies. The monitoring and evaluation unit of the Government Employee Pension Fund in South Africa implements the Frontline Monitoring and Support programs. As such, it should maintain regular training programs to keep pace with the trends in monitoring and evaluation.

### **2.8.3 implementation through public/private partnerships**

Successfully implementing public policy requires several resources for operational and technical expenses. Governments must provide these resources to ensure that they support public policy implementation. Governments should forge partnerships with the private sector, non-governmental organizations, and international organizations in areas needing more resource capacity. These organizations bring forth their policy implementation models, a valuable resource to the governments. Thus, public policy implementation depends on the interaction between high-level cooperation and mobilization, where each partner contributes their interests for the successful implementation of the policy (Luthuli, 2005). Undoubtedly, the success of the public policy implementation process also relies heavily on the availability of technical and financial support. Implementing Frontline Monitoring and Support programs occurs at the regional and local levels. Some of these programs require collaborations with other public and private sector institutions for implementation to succeed. The clients of the Government Employee Pension Fund are employees in the government departments. Therefore, there should be inter-departmental relations among Government departments to have access to clients. Partnerships with private companies in the pension industry also complement the collaborative policy implementation drive. Thus, the factor is relevant to the study in that the study seeks to examine the level of engagement at these levels to ensure the successful implementation of the Frontline Monitoring and Support programs.

### **2.8.4 Role of Implementers**

The interface between the policy administration and the policy recipients happens at the bottom and client interface levels, where the bureaucratic machinery interacts with the citizenry. Further, public policy implementation processes transpire at these levels of policy delivery. Personal interactions exist between the policy administrators and the citizenry. These interactions influence the level of public policy implementation. In addition, these interactions are characterized by some groups of discretion that often reshape public policy implementation. Since policy administrators are practically involved in the implementation

processes, they can shape the policy delivery process in such a way that suits the existing conditions (Brynard, 2009). The support of street-level administrators is critical for successfully implementing public policy. Consent may be in ensuring that the policy objectives are clear. Regular interactions with the bottom administrators increase the chances of understanding what transpires on the ground. Thus, participatory methods play an essential role in successfully implementing public policy. One of the study's objectives is to reflect on the implementation processes through the experiences of the officials from the Government Employee Pension Fund. These officials are directly involved in implementing the Frontline Monitoring and Support programs. The study seeks to understand the experiences of the officials concerned at the street level of bureaucracy.

### **2.8.5 Contextual factors**

The public policy implementation process transpires in a complex and dynamic environment. Political, cultural, and social contexts shape the environment in which public policy implementation occurs. Regular shifts characterize the policy implementation process because of the contextual changes in the background. For example, appointing the new ruling party as the government during a regime change may usher in new policy priorities, undermining current public policies. Understanding the evolution of the political, cultural, and social contexts becomes critical for successfully implementing public policy. Among the research questions this study seeks to answer is the need to unravel the perceptions and opinions of the Government Employee Pension Fund beneficiaries. This information comes from the recipients of the Government Employee Pension Fund policies. They understand the contextual basis of where the Frontline Monitoring and Support programs operate. The policy administrators should be able to address the clients of the Government Employee Pension Fund in a manner that is companionable to their environment. Some of the clients of the Government Employee Pension Fund are pensioners; as such, one must have a way of dealing with the age dynamics in implementing Frontline Monitoring and Support programs, which is why this variable is suitable for the study.

### **2.8.6 Concluding remarks to sub-section.**

Successful policy implementation is a process that involves the execution of a set of activities to achieve a specific pre-determined goal. Governments adopt strategic policy decisions in their bid to deliver specific public services. Some of the success factors discussed in this sub-section are as follows: commitment, which the researcher explains as the vitality, passion, and desire that everyone displays in ensuring that the implementation of any public policy initiative becomes a success. It involves a complete submission to and focus on the objectives of the policy initiative from its inception until the attainment of the policy outcome. Training generally increases the trainees' knowledge, ability, and confidence to perform their duties professionally. It also increases the self-efficacy of the trainees as well as boosts their levels of confidence in the execution of their policy-related duties. The interface between the administration and the policy recipients occurs at the bottom levels at the client interface levels. It is at this level where bureaucracy interacts with the citizenry. Public policy implementation processes transpire at these levels of policy delivery. Regular shifts take place in the policy implementation process because of the contextual changes occurring in the environment. The next topic looks at the reforms that occur in the public sector.

## **2.9 PUBLIC SECTOR REFORMS**

Public sector reforms have ushered in different changes at different times. Although these changes have happened over other times, the most critical issue is that their introduction represented the need to respond to the societal problems experienced at different times. Scholars in the field of public administration have designed a variety of public sector approaches to respond to and address the prevailing issues at each given period. Alongside the period through which public sector reforms occurred, Public Administration was also undergoing many changes over the same period—the table below details the public sector's different problems and approaches. Table 2 below shows the periods through which public sector reforms took place.

### 2.9.1 The table of public sector reforms

Problem	Approach	Main action
1. Making government work	The Weberian Approach, public administration, and capacity building	Post-independence
2. Getting the government closer to the people	Decentralization	1970 to present
3. Making government more affordable	Employment reforms	1980 and 1990
4. Making the government perform better	New Public Management	1990 to present
5. Making government honest	Anti-corruption reforms	1990 to present
6. Making government responsive	Bottom-up reforms	Late 1990 to present

**Table 2, Source: McCourt, (2013)**

### 2.9.2 Concluding remarks of this sub-section.

In conclusion, the table above shows the periods through which public sector reforms occurred. This information is essential for this study as it provides the context of the developments that transpired in the field of Public Administration. It also shows the growth and development of this field over the different periods. It also provides relevant information regarding Public Administration's problems at other times. The following sub-section focuses on issues around traditional or classical Public Administration.

## **2.10 TRADITIONAL PUBLIC ADMINISTRATION**

The 21<sup>st</sup> Century has experienced dramatic changes in the Public Administration domain, and the Century has further experienced the challenges ushered in by the globalization and pluralization of service provision. These challenges had immense influence on public policy changes and remain the driving forces behind them. Policy interventions are becoming more complex and global rather than simple and linear. The traditional Public Administration system comprised a carefully designed system of bureaucratic principles. These bureaucratic principles relied entirely on the hierarchal structures to perform a set of rules. Chipkin and Lipietz (2012) echo the view that the old Public Administration or traditional administration system operated under bureaucratic principles. It provided a set of Management and administrative status to bureaucrats. The main thrust is that the model relied on a highly centralized and controlled system with rules guiding policy formulation and implementation in a rigorous hierarchical organizational structure (Osborne, 2006). The traditional Public Administration system focused primarily on efficiency and effectiveness in managing financial and human resources.

### **2.10.1 The characteristics of the Traditional Public Administration system**

Minogue (2001) and McCourt (2013) outline the characteristics of the traditional model of Public Administration as follows:

- Segregation of politics and elected politicians, which segregated political administrators from the appointed ones.
- An ongoing administrative system that is governed by a given set of rules.
- The appointment of professional and trained administrators.
- A hierarchal arrangement that explains the roles and functions of administrators.
- Ownership of organizational resources and, finally,
- The primary function of public servants is to serve the interests of the public.

These features suggest the command-and-control approach characteristic of the bureaucratic arrangements that existed at the time. The Public Administration system under the traditional approach closely relates to applying the top-down and elitist approaches. Governments were responsible for instilling the values within the bureaucratic, hierarchical systems, which dictated the expectations of the administrators. Thus, Public Administration is a systematic process that depends on the organization's structure.

The American society particularly faced several problems in the 1960's. These problems are related to the factors that affect the public policy implementation system. Some factors that influenced public policy implementation included the fact that pollution was increasing at an unprecedented rate, inevitable environmental changes, and improved social conflicts and general economic challenges. The researchers in the domain of Public Administration at that time were questioning the efficacy and ability to address these problems by the existing political-administrative systems. The problem bordered on the inability and inadequacy of the political and administrative procedures to address these challenges. Researchers in the Public Administration field suggested a need to affect a paradigm shift from the hierarchical, bureaucratic approach to a much more human-centered and value-oriented approach. There was a need to design a Public Administration system that would respond to the citizens' needs and ensure equity in service delivery. This shift would lead to the introducing of a new set of Public Administration reforms.

### **2.10.2 Concluding remarks for this sub-section.**

The Traditional Public Administration comprised a carefully designed system of bureaucratic principles. These bureaucratic principles relied on hierarchical structures to perform a set of rules. These bureaucratic principles resemble the command-and-control approach, characteristic of the bureaucratic arrangements. The Public Administration system under the traditional direction closely relates to applying the top-down and elitist approaches. The problem with this political Traditional Public Administrative system was its inability and inadequacy to address these challenges. The Public Administration scholars suggested

shifting from the hierarchical, bureaucratic approach to a more human-centered and value-oriented one. The following sub-section dwells on the new system of Public Administration.

## **2.11 THE NEW PUBLIC MANAGEMENT**

As explained above, the limitations of the traditional Public Administration system prompted the emergence of the New Public Management system. Public Administration processes had to adjust to the needs and demands of the competitive economies. The drive of the New Public Management system was to apply the principles of the private sector to promote a culture of competitiveness in the public service.

Batley and Larbi (2004) have indicated that the New Public Management system categorizes two ideas in its approach. The first level of these ideas focuses on improving managerial processes, which involves restructuring the public service. Hawa (2014) concurs that governments across the globe are implementing the principles of the New Public Management system to break with the hierarchical structures that characterized the traditional public sector management system. The New Public Management paradigm provides a much more decentralized public sector management system. It, therefore, decentralizes the responsibilities of many more public servants within the organizational structure but emphasizes accountability processes.

The restructuring exercise involves several processes that include downsizing and decentralization. This argument has its basis in the idea that it is a results-oriented approach. The results-oriented approach emphasizes the effectiveness and efficiency issues resulting in quality service provision. In this approach, the intention is to improve government performance to improve the effectiveness of public policy implementation. Minogue (2001A) also notes that the New Public Management system ensures the application of cost-effective public policy delivery mechanisms and efficient performance management processes that guarantee value for money. Thus, the New Public Management system allows the government to focus on efficient and effective public policy implementation processes. The New Public Management System promotes the decentralization of government structures to respond to the prevailing issues at different levels of government. In doing so, the New Public

Management system advocates the restructuring and downsizing of the central government so that the focus is on the implementation level (Minogue, 2001B).

The second level of ideas emphasized the market and competition approach. The idea was to adopt some of the management practices from the private sector. Thus, the New Public Management philosophy involves a set of management practices found in the private sector. It employs some of the private sector's most important tactics and managerial procedures. In that way, it resonates with the ideology of efficiency that guides business management practices that promote competition. Thus, the New Public Management theory encourages understanding the client's needs to deliver services that are of value to them. The notion assumes that service provision should be based on what clients want instead of what the government plans to return.

The two ideas form the rationale for the shift from the Traditional Public Administration system to the New Public Management trajectory. It is imperative to note that these ideas advocated the restructuring of the institutional arrangement of the public service. It involves decentralization, restructuring, and downsizing of public entities to create government institutions capable of addressing problems that impede policy implementation at different levels. This new trajectory also looks at the implementation approaches to employ during policy implementation. The New Public Management System shifted its strategy to using business-like management ideas and practices to deliver public policy services. The following section looks at the Three "M's" of the New Public Management system.

### **2.11.1 The Three "M's" Heuristic Models**

#### **2.11.1.1 The first M stands for Markets**

This model advocates the establishment of quasi-markets, which do not involve privatizing nationalized industries. It consists of constructing markets that provide core services to the citizenry on behalf of the public service. This process involves the creation of opportunities for private institutions to provide core services for the public sector. For example, the South African Government has encouraged the establishment of companies to provide core services

to the public service. The introduction of this public policy emphasized the inclusion of previously disadvantaged individuals in the mainstream of economic activities. The government promoted the utilization of the tendering system. Service providers must register with the departmental database, and when there is an advertised tender, they will apply to the authorities to provide a specific service. Upon winning a tender, they would enter into a contractual agreement specifying in detail the processes involved and the expectations from the service provider. The idea was that service providers would provide expert service in their area of specialization. The government expects the service providers to offer professional services to improve the quality of service to the citizens. If they do so, they can avoid having their contracts canceled simply for reasons of underperformance. Although problems of favoritism and nepotism abound in this model, the government introduced a centralized procurement system where all service providers are registered. This centralized body manages the appointments of the service providers to minimize the risks arising from favoritism.

### **2.11.1.2 The second M stands for Management**

The thrust of the New Public Management reforms is that Management must manage. The New Public Management approach strongly believes that managers' primary focus should be managing change within the institutions rather than managing the bureaucratic routines and tendencies of supporting policies in favor of political leaders instead of the citizens. The model maintains that public policy implementation is value-free apart from being dependent on several stakeholders who, by being policy actors, the policy affects them. It moves away from a set of rules expected by the political leaders but instead takes the challenges at the core of service delivery in the implementation processes. In cases where public sector agencies are the providers of public service, the model encourages the development of management capacity in the public agencies through effecting corporate governance reforms. It enhances the performance of the board of directors. The idea is that small agencies ultimately develop expertise in the provision of a specific service, especially if it is a routine function performed over a particular period, thereby increasing the possibility of high productivity levels (Pollitt et al., 2004), suggesting the imperativeness of sustaining good

management practices that guide corporate governance to monitor the agencies' performance. Applying corporate governance models borrowed from the private sector is appropriate in the broader spectrum of service delivery with many stakeholders.

### **2.10.1.3 The third M stands for Measurement.**

The New Public Management approach necessitated reforms to achieve high-performance levels. The traditional system experienced a low trust culture in Public Administration. The thrust was to introduce performance measurements to authenticate the relevancy of the New Public Management approach. The advantage of measuring performance is to manage and, therefore, sustain the system. Performance measurements ought to come from externally produced measurement systems. It ensures the independence and credibility of the measuring systems. That means agencies can hardly measure themselves; hence, an external regulator, inspector, and auditor can objectively assess the Agency's performance in this connection. These groups developed performance management systems that monitored and evaluated the agencies. This process involves the development of key performance indicators and targets. The collection of this set of data would occur regularly to monitor the trends in public policy implementation. Thus, the model encourages the regular supply of data to determine the performance of the public policy implementation process. Therefore, measurement and management regulators are significant in the New Public Management approach.

### **2.11.2 The critical elements of the New Public Management approach**

According to Osborne (2006), the critical elements of the New Public Administration are as follows:

#### **2.11.2.1 The adoption of management practices from the private sector**

The New Public Management System advocates a scenario where the public sector must pay attention to and learn from the management practices, procedures, and processes obtained in

the private sector. It is essential to understand the operational processes in the private sector to simulate performance in the public sector.

### **2.11.2.3 The adoption of a culture and principle of Active Management**

Managers in the public sector should adopt a culture of active Management in the Management and administration of public policies. There should be regular interaction of the flow of information between the policy implementation level and the policy management level. There should be less or no distance between the political and the administrative ranks. Thus, a hands-on management style is crucial.

### **2.11.2.3 The application of business leadership in the public sector**

The focus of Management and administration of public policy should be on applying the principles that guide the Management of the business. The public sector must adopt the leadership style practiced in the business environment.

### **2.11.2.4 Emphasis on the results chain and the promotion of performance management practices**

The public service should minimize its concentration on the implementation phase. It should focus more on the results chain, which means investing in inputs for tangible outputs to materialize. Performance standards should be in place to measure the level of delivery at each point. Independent audits should be conducted to ensure transparency in the implementation of public policy.

### **2.11.2.5 Allocation of resources according to the needs ensuring cost containment issues**

The government needs to provide public services to areas where they matter the most. Providing a service where the intended beneficiaries have less interest in it becomes a fruitless expenditure. It is essential and cost-effective to channel services where they make a difference in the livelihoods of the citizens.

### **2.11.2.6 Usage of contractors to provide public services.**

Governments face many challenges in their quest for public policy implementation. Some of these challenges relate to limited resources and capacity to deliver. Using expert and professional service providers to provide some public policy services is inevitable. The approach deals with capacity loads as well as professional provision of services.

### **2.11.3 The principles underpinning the New Public Management system.**

The proposed study considers the basic principles that guide the New Public Management trajectory. Hood (1991) outlines seven different New Public Management system aspects. These are:

- **Management:** It emphasizes a free management style open to different alternatives.
- **Performance standard:** It emphasizes the development of performance management standards that define goals, targets, and indicators.
- **Output controls:** The system encourages the use of output controls. Output controls should involve quantitative indicators, especially for outsourced projects.
- **Decentralization:** It provides flexibility to managers with limited restrictions.
- **Competition:** It improves the quality of services provided by the service providers.

- **Private-sector Management** creates an environment where all employees and service providers know the organization's goals.
- **Cost reduction:** promotes reduction of costs while ensuring quality service delivery.

#### **2.11.4 Criticism of the New Public Management System**

The ideas of the New Public Administration inevitably spread across the world, necessitating the need for reforms in the field of Public Administration. However, some scholars in the sphere of Public Administration have leveled criticisms against the New Public Management approach.

##### **2.11.4.1 Minimal expertise and unreliable information systems in developing countries.**

Polidano (2001) and Sundaram (2004) argued that the New Public Administration practice is possible in countries with adequate resources and sustainable managerial capacity. Developing countries often need a more adequate resource base and this administrative capacity. They need systems compatible with the demands of the New Public Management apparatus. Thus, the power of the state's resources determines the successful implementation of the New Public Management system.

##### **2.11.4.2 In developing countries, highly centralized decision-making characterizes management systems.**

The New Public Administration advocates for a decentralized decision-making system in implementing public policy. The common factor in developing countries is that the central decision-making, which makes up the Management, has massive authority in making organizational decisions. World Bank (1997) warns of the dangers and pressure to slip into

corruption practices in countries with centralized decision-making arrangements. Applying the New Public Administration theory in countries prone to corruption may be challenging.

#### **2.11.4.3 The bases of the New Public Administration theories have a strong link with the application of market principles in public policy management.**

Developing countries still need to gain more expertise in market operations. They need to gain the necessary experience demanded by the New Public Administration theories. Sarker (2006) indicates that in developing countries, infrastructure is so underdeveloped that it is difficult to support the demands of the New Public administration reforms.

#### **2.11.4.4 Developing Countries Contractual Agreements**

Developing countries have long-standing contractual agreements for public policy delivery. These agreements form part of these countries' laws and regulations. Thus, it will be difficult to deviate from those agreements simply because of the emergence of a new set of rules that govern public policy management.

#### **2.11.4.5 The aspects of the New Public Management system differ from one country to another.**

Countries are different owing to several features such as size, population, and culture. Thus, some of the features applicable in country one may only sometimes be applicable in country two. Turner and Hulme (1997) have dismissed the existence of the one approach in the public sector reforms. As such, many external factors influence different countries; for instance, political instability and environmental factors are among the most common.

#### **2.11.4.6 Commitment to privatization**

Developing countries have a challenge relating to the need for more capacity in the public sector. They often need help in the private sector management since their institutional base has no power. Lack of ability may result in more administrative problems in managing and administrating complex tasks.

#### **2.11.4.7 The introduction of performance management systems for accountability and reporting**

Developing countries have relied heavily on the hierarchical set of rules. Some of those rules are unwritten, though practiced regularly. Difficulties may arise when the New Public Administration introduces new and formal rules that define the new way of behavior compared to the old set of unwritten rules and patterns of behavior. The laws that form the basis of good conduct may differ from formal ones.

#### **2.11.1.8 Concluding remarks to the section.**

In conclusion, markets involve the construction of calls that are part of providing the core services to the citizenry on behalf of the public service. In this theory, the management approach strongly contends that the primary focus of managers should be the Management of change within the institutions rather than the Management of bureaucratic routines. Performance measurements should come from externally produced measurement systems. It ensures the independence and credibility of the measuring systems. Some scholars have criticized the credibility of the New Public Management theory, citing several difficulties within the system. The New Public Management system is possible in countries with sufficient resources and managerial capacity. Some of the criticisms are that developing countries still need more expertise in market operations. They need more experience to back the demands of the New Public Management theories. Countries differ due to several features: size, population, and culture. Thus, some features that apply to one country may not

necessarily involve another. The New Public Management model emphasizes the market, Management, and Measurement. The model may need to be more perfectly relevant to this study.

The study examines the Government Employee Pension Fund's monitoring and evaluation policies implementation. This study seeks to identify the gaps in the policy implementation processes. It aims to unpack the policy directive by the Department of Planning, Monitoring, and Evaluation. It also seeks to ascertain whether the Government Employee Pension Fund conforms to and complies with the policies. The study attempts to understand the implementation processes at the Government Employee Pension Fund and will evaluate the policies' impact on the recipients. Thus, the focus is on the relationship between the government and its clients. However, there are more adequate theories to utilize for this study. The next chapter looks at the idea of the New Public Administration.

## **2.12 THE NEW PUBLIC ADMINISTRATION**

In 1968, scholars around Public Administration held a conference in Minnowbrook under the leadership of Dwight Waldo. The conference's objective was to discuss and find the best possible ways of establishing a responsive public administration model. The reason for holding the meeting arose from the perspective of the changes in the discipline of Public Administration and government. There was general mistrust in the Public Administration itself. The design of the New Public Administration sought to cater to and consider the public's social concerns to rebuild public confidence in public administration processes. There had been elements of corruption in the governments, which called for the need for a paradigm shift to ensure that Public Administration became more ethical than it was before. At the conference, the argument that carried the day was that the Traditional Public Administration could not solve the prevailing policy-related tensions and conflicts. Thus, the aim was also to clarify the role of the government and the public service in reforming Public Administration. The scholars of Public Administration focused on and identified four issues that characterized the shift to the New Public Administration model.

## **2.12.1 The critical issues in the New Public Administration model**

### **2.12.1.1 Democratic citizenship**

Democratic citizenship is a form of government that gives ordinary citizens a voice. The citizens have the right to elect the government of their choice. In a way, citizens can be aware of and actively participate in their government affairs.

### **2.12.1.2 Public interests**

Citizens get to be part of the collective entity for the common purpose, which, in this case, is common public interests.

### **2.12.1.3 Public Policy**

This aspect involves a process in which a public policy is approved and, therefore, ready for implementation, and citizens are encouraged to be involved in the policy-making process.

### **2.12.1.4 Services to Citizens**

Governments should provide a platform for providing and upholding ethical and moral standards in public administration processes. The government should establish institutions that deal with ethical standards.

## **2.12.2 The Goals of the New Public Administration**

According to the Public Administration scholars who participated in the MINNOWBROOK Conference, the goals of the New Public Administration model were as follows:

### **2.12.2.1 Relevance**

The Classical or Traditional Public Administration model focused on efficiency and the economy. Therefore, Public Administration had to change for it to be relevant and able to address the contemporary challenges affecting the implementation of public policy. Formerly, excessive bureaucratic processes characterized Public Administration. The delegates at the conference felt that the New Public Administration system should be able to deal with the current challenges that had become more prevalent in the political and administrative space. Logically, there was a need for radical change in the discipline of Public Administration for it to be able to address and become relevant to the challenges of public life.

### **2.12.2.2 Values**

There is considerable Emphasis on the value systems of the New Public Administration. The values included issues relating to justice, freedom, and human ethics. The delegates at the conference agreed that governments' commitment to the importance of the New Public Administration model would allow the discipline to promote fair treatment and provision of public policy services to all sections of society. The shift stressed that personal and organizational values relate hugely to the structures and administrative processes in the organization. The importance of developing value systems provides for developing ethical and moral obligations inculcated in the New Public Administration theory.

### **2.12.2.3 Social Equity**

The existing unrest in different societies reflects the prevailing system of administration. The New Public Administration system focuses on strengthening social equity in its administrative processes. The conference recommended that social equity and justice should form the basis of the New Public Administration model. Public Administration has the capacity and potential to champion societal socio-economic changes. Frederickson (1971) raises the concern that a Public Administration model that does not address the deprivation of minorities has the potential to suppress the minority groups.

### **2.12.2.4 Change**

The conference resolved that Public Administration is generally a continuous process that follows a similar pattern. Thus, in trying to make the discipline relevant to the prevailing circumstances, change and innovation have become inevitable. Constant change assists policy administrators in becoming appropriate to the ever-changing circumstances and becoming relevant to the needs of the citizens. The discipline, thus, needs to be responsive to change.

### **2.12.2.5 Participation**

Greater participation by all the stakeholders is inevitable. Public participation has always played a significant role in public policy processes. The human element or factor has the potential to become better. Although humans approve of the status quo, they respond differently to different environmental changes. To some extent, involving stakeholders in policy formulation and throughout the policy implementation process guarantees policy acceptance. Thus, participation from both the internal and external sources involved in the

policy-making process has a favorable implication on public administration and will, to some degree, contribute to developing a responsive and client-oriented government.

#### **2.12.2.6 Client orientation**

It is a people-oriented approach. It was the first time that public administration focused on identifying clients or policy recipients as the key and significant players in public administration. This move was also a fundamental shift in the discipline of Public Administration, thereby changing the complexity and focus of public administration. It emphasized a public administration system focusing on the client's perspectives, social concentration, and ethical considerations. The honest approach calls on governments to change their public policy approach to concentrate on addressing economic and social differences. The perspective focused on the promotion of equal opportunities for all citizens.

#### **2.12.3 The Anti-goals of the New Public Administration**

Golembieski (1977) mentions three anti-goals that the New Public Administration model must neglect. These are:

- **Anti-positivism:** his view maintains that the establishment of the New Public Administration was to respond to the rigid administrative processes. The New Public Administration model intends to employ organizational methods appropriately applied in the existing environment. The corporate system should be adaptable and oriented toward problem-solving.
- **Anti-technology:** The New Public Administration advocated that human beings can think through processes and make appropriate decisions. The Traditional Public Administration system suggested that policy actors perform their duties according to a set of rules, thereby reducing them to mere mini robots.

- **Anti-hierarchy:** This principle promotes bureaucracy, which enhances rigidity. The system deprives itself of innovation opportunities for new ideas, eventually eliminating the administrator from the environment where policy delivery occurs.

In conclusion, the New Public Administration system responds to an existing problem. It also advocates for opportunity for human beings to rid the system of rigidity in decision-making, and lastly, it promotes innovation.

#### **2.12.4 The critical features of the New Public Administration system**

Frederickson (1971) outlines the features that are important in the New Public Administration model, and these are:

##### **2.12.4.1 change and responsiveness**

Several changes characterize the world at large from time to time. Such changes ultimately affect the social, political, economic, and technological environments. These changes significantly impact the administration of the public policy environments. Hence, there are similar changes in the public administration systems of different governments, which means that governments should design public policies that are appropriate to the changes occurring internally and externally.

##### **2.12.4.2 Rationality**

Street bureaucrats are at an advantage in understanding what the policy recipients want. They foster an interface between the government and the citizenry. They are in an excellent position to understand the government's policies and the responses of the policy recipients. Public administration is highly dependent on the efficacy of the administrators. Their actions are not

only necessary on the side of government but also on the side of citizens who are the policy recipients. They must understand the citizens' opinions and perspectives regarding public policy.

#### **2.12.4.3 Structural changes**

The New Public Administration advocates for an understanding of the institutional arrangements to understand the role and importance of each level to allow the administrator to understand the needs and obligations at various levels of the institution. It relates to the understanding of the different roles played by the stakeholders. It also advocates for flexible hierarchies with elements of decentralization and smaller size to facilitate the involvement of the citizens.

#### **2.12.4.4 Emphasis on the multi-disciplinary perspective**

The New Public Administration system operates in a complex and dynamic environment. The administrator is responsible for understanding the holistic environment in which public policy operates. It is essential because it promotes an understanding of various streams so that different approaches that may influence public policy implementation gain applicability to a considerable level. Thus, Management, human resources, technology, and politics are critical in sustaining the New Public Administration. This feature is relevant since there are so many supporting functions to understand to perform the duties related to public administration.

### **2.12.5 Criticism of the New Public Administration**

- The New Public Administration is anti-theoretic and anti-management. Golembiewski (1977) argues that the New Public Administration is radical on paper but instills the status quo regarding skills and technologies. It poses a serious question in the public policy implementation dialogue. There needs to be more clarity between the aspirations of the public policy and the policy's actual performance. It must address the fundamental question of how one goes about the public policy implementation process. It does not demarcate the required degree of decentralization, delegation, and democratization to achieve policy-related goals.
- Governments have always experienced the same challenges when it comes to the allocation of resources in the provision of public policies. They always face complex problems, compelling them to make difficult decisions. This process involves making choices in a bid to address competing needs. It needs clarity regarding how it differs from the Classical Public Administration system.
- Cheung (1996) argues that in the 1990s, the officials used the term New Public Administration to refrain from fully utilizing public expenditure in a way that decreased public service provision. In a way, the time supplanted service delivery. The same excuse of promoting administrative efficiency held sway to limit bureaucracy's power.

The theory of the New Public Administration is the most relevant and applicable theory for the successful completion of this study. It puts the clients at the center of service delivery. The literature on the issues, goals, and features of the New Public Administration will benefit the study of the Frontline Monitoring and Support programs because it reflects on, amongst others, client participation and client orientation. One of the study's objectives is to examine the clients' perspectives. The study seeks to investigate the opinions and perceptions of the recipients of the services offered by the Government Employee Pension Fund.

## 2.13 CONCLUSION

Policy is a comprehensive plan of action adopted by the public and private sectors and individuals to drive the policy objectives (Anderson, 1994). Public policy is an official statement the political office bearer provides to respond to a specific societal problem.

One significant difference between the top-down and bottom-up approaches is that the former emphasizes rules and regulations. It is authoritarian since it measures what policy actors must do and how they should do it. On the other hand, the bottom-up approach strongly emphasizes the factors that may have contributed to the failure of the policy implementation process. It suggests that all policy actors understand the challenges they encounter at their levels of operation. The significant challenges and problems threatening the success of the public policy implementation process vary. Some obstacles and issues include choosing the wrong policy instrument, resulting in non-compliance with the public policy process.

The New Public Management approach's elements will benefit the study by reflecting on the essential elements that apply to the public service. Implementing the Frontline Monitoring and Support programs must take care of several elements for successful implementation. The New Public Administration's goals have connotations that include the societal problems that public administration practitioners experience daily. It originates from relevance, moral responsibility, ethical standards, client-oriented service provision, innovation, and social equity. The study seeks to investigate the opinions and perceptions of the end recipients of the Government Employee Pension Fund. It assists policymakers in designing public policies that are responsive to the client's needs. In a way, the new approach also conversely addresses issues of participation in public policy processes. The features of the New Public Administration support the study in that the Department of Planning, Monitoring, and Evaluation develops Frontline Monitoring and Support programs. As such, sector departments should customize their Monitoring and Evaluation policies relevant to their sectoral needs. The study also seeks to unpack those changes in the administrative environments. The design of Frontline Monitoring and Support programs is in such a manner that makes its operations decentralized and project based. There is a considerable degree of citizen interaction in each of the programs. The study further assesses the opinions and perspectives of the beneficiaries of the services offered by the Government Employee

Pension Fund. The study also looks at the implementation processes, precisely how the Government Employee Pension Fund delivers its services. The Frontline Monitoring and Support programs operate within the broader context of government functions.

## CHAPTER THREE: ANALYSIS OF THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES

### 3. INTRODUCTION

The previous chapter discussed the available literature on the public policy-making process to put the study into its contextual framework. The chapter is a continuation of the contextualization of the study, focussing on the literature on monitoring and evaluation processes. The study examines the implementation of Frontline Monitoring and Support programs in the Government Pension Administration Agency. The first subsection of this chapter commences with a discussion of the literature on monitoring and evaluation. The second part of the chapter looks at the legislative frameworks and policy environment for monitoring and evaluation in the South African Public Service. The third sub-section of the study provides an analysis of monitoring and evaluation policies in the Department of Planning, Monitoring, and Evaluation. It provides the context of the policy environment. That aspect seeks to address one of the research objectives: *to ascertain compliance with and conformity to the implementation of Frontline Monitoring and Support programs by the Government Pension Administration Agency*. The fourth sub-section looks at the policies and guidelines for monitoring and evaluation practices provided by the Department of Planning, Monitoring, and Evaluation. This literature provides the context of the first objective of this study, namely, *to understand the policies of the Department of Planning, Monitoring, and Evaluation regarding the implementation of Frontline Monitoring and Support programs*. The fifth sub-section of the chapter deals with monitoring and evaluation in the Government Pension Administration Agency. It will address one of the objectives of this study, which is *to reflect the implementation of Frontline Monitoring and Support programs as practiced through the contextualization of the practice of monitoring and evaluation in the Government Pension Administration Agency*.

### 3.1 MONITORING AND EVALUATION

Is the public policy delivering the intended results? What should policy actors improve to get better results? Are the development interventions making any difference? Monitoring and evaluation are tools that assesses policy implementation and answers these questions to organizations involved in development interventions.

This study discussed monitoring and evaluation under the topics: Definition of terms and Stages in the public policy-making process. The definitions of monitoring and evaluation show that the two terms serve different purposes at the various general policy-making stages. The terms have distinct features that describe their close complementary relationship. The definitions of monitoring discussed in the previous chapter suggest that the process is a continuous and regular collection of data needed to track the progress of the policy, program, or project. Gosling (2003) concurs with this view and further indicates that apart from collecting data to track progress in terms of the performance of a program, monitoring also involves process and impact monitoring. It establishes the processes involved, leading to changes in the program. It should also identify areas that need improvement in the program.

On the other hand, the definition of evaluation suggests that this activity is periodic and time-bound and systematically assesses the project's performance and relevance (Randel, 2002). Evaluation involves the process of examining the actual plans against the actual results. It also looks at the value and worth of public policy interventions. Thus, the two terms are complementary in that monitoring is an ongoing activity in the lifespan of the policy intervention. At the same time, evaluation is a post-event activity in the project implementation process. Thus, there is a striking similarity in the application of the two terms since they both provide continuous feedback to the project managers about the performance of the public policy intervention. Monitoring and evaluation is a process that provides constant feedback during and after the public policy implementation process. Policy implementers undertake the process of public policy implementation. Policy implementers encounter problems during the procedure that force them to make policy implementation adjustments by detecting hindrances. This process involves making judgments that support the successful implementation of the public policy. This process is evaluative. At the same time, when the policy implementers evaluate the policy implementation process, they use

information gathered through monitoring processes. The whole process depends on the critical information at a specific time. However, it should be emphasized that both functions are essential since they are complementary and contribute to the public policy implementation process. Kusek and Rist (2004) discuss the complementary role of monitoring and evaluation in the policy intervention environment.

### Monitoring versus Evaluation

Monitoring	Evaluation
Provides clarity of the objectives of the policy	Evaluates the reasons for achievement and non-achievement of results
Provides a linkage of activities and their resource needs to achieve objectives	Analyses the contribution of resources to the achievement of results
A systematic process of converting objectives to indicators and setting targets	Assesses processes involved in the implementation process
Regular data collection process to compare the actual results with targets	Provides an analysis of unintended results
Provides a platform for feedback and detection of problems	Provides lessons learned, an analysis of project improvements, and recommendations

**Table 3, Source: Researcher adopted from Kusek and Rist (2004).**

Table 3 above shows that the monitoring function provides the conducting of the evaluation function. The monitoring function provides information on what transpired during the implementation process. In contrast, the evaluation function utilizes that information to judge whether the policy intervention achieved its objectives. However, evaluation can be a valuable tool for informing future monitoring processes. The lessons learned from an evaluation exercise are critically important to inform future policy decisions. Kusek and Rist (2004) indicate that evaluation is a process that implementers undertake throughout the public policy implementation process. Public policy implementers should conduct evaluation

exercises at different stages of the public policy implementation process. The method of achieving these evaluation exercises should come at more than just the end of the project. Wimbush (2000) indicates that running the evaluation process is critical as it helps to identify the factors that generate the observed outcomes. This information is also essential since it guides future policy decisions. Thus, monitoring and evaluation are critical in the public policy implementation cycle. They are indeed distinct but complementary functions. The study intends to examine the performance of Frontline Monitoring and Support programs using the Government Administration Pension Agency as a case study. The study examines the processes of implementing Frontline Monitoring and Support programs. It further examines the evaluation processes in implementing the Frontline Monitoring and Support programs. Thus, the study transpires within the existing monitoring and evaluation policies. Therefore, discussing the purpose of conducting monitoring and evaluation is imperative.

### **3.2 THE PURPOSE OF MONITORING AND EVALUATION**

The monitoring and evaluation process assists institutions in providing feedback on the performance of the public policy to achieve the results. The purpose of monitoring and evaluation is to measure and assess the performance of public policies to manage policy outputs and outcomes. The United Nations Development Programme (2002) defines performance as the progress towards and achievements of results. The emphasis on the results has encouraged the need to increase performance. Consequently, there has been a renewed demand for developing sound monitoring and evaluation systems in the country's public offices to manage performance and get the desired results.

Mackay (2007) views monitoring and evaluation as the basis for designing the results-based management approach. The results-based management approach enhances transparency and accountability. The process provides a good foundation for evidence-based policy-making. Thus, the whole monitoring and evaluation process provides the basis for preserving good governance, where issues of transparency and accountability occupy the center of the public policy process.

World Bank (2004) indicates that monitoring and evaluation aims to allow policy actors to learn from the previously implemented policies. Government officials, policy implementers, and ordinary citizens can use the experience they would have acquired from the previous policies as the basis of future performance. As such, policy implementers are in a suitable position to improve their planning, delivery, and allocation of resources.

Morra and Rist (2009) indicate that the purpose of formative evaluation is to provide inputs for the implementation of the program before the completion of the project so that the obtained feedback stimulates the policy implementation process to perform better. Morra and Rist (2009) further indicate that evaluation assists policy implementers in providing information reflecting the project's performance. This information enables the policy implementers to make informed and better decisions regarding the policy. Thus, evaluation should be capable of providing information about what could happen in the project and the benefits of making certain decisions.

Annecke et al. (2008) have indicated that the monitoring and evaluation process assists organizations by identifying hindrances during the policy implementation process, allowing policy implementers to take corrective measures. It also allows the policy implementers to determine the best practices, further allowing for continuous improvements during the public policy implementation process. The monitoring and evaluation exercise collects information in the form of feedback on the performance of the policy. This feedback allows the policy implementers to make informed decisions about the progress of the policy implementation process. It also includes crucial information regarding the resources needed to implement the policy. As discussed earlier, monitoring is a continuous process that collects data throughout the policy implementation process. During the policy implementation process, the collected information assists policy implementers in ascertaining if the policy has achieved the intended objectives. Thus, policy implementers can make decisions based on the data collected and analyzed during the monitoring and evaluation.

The discussion on the purposes of monitoring and evaluation shows the various objectives of monitoring and evaluation. Rossi et al. (2004) indicate that monitoring and evaluation aims to improve a given policy, program, or project. It also enhances accountability in an organization, in addition to providing the platform for the generation of knowledge and the

provision of the opportunity to make informed decisions. The application of monitoring and evaluation purposes differ depending on the need at a particular time. Policy implementers use any purposes of monitoring and assessment they deem relevant to a specific situation.

### **3.3 SERVICE DELIVERY, MONITORING AND EVALUATION APPROACHES**

Service delivery involves a process by which the government of the day provides a service to the communities or citizens. Fox and Meyer (1995) maintain that service delivery involves providing and managing public services. The government is obliged to provide public services to address and satisfy the needs of its citizens. It implies that the government must conduct studies that help identify and determine the needs of the citizens. These studies include needs assessments and diagnostic evaluations. The aim of showing these assessments is to understand the needs and aspirations of the recipients of the public policy. The government should promote programs that enhance public participation to allow citizen involvement in service delivery through public policy. Monitoring and evaluating the quality of public service delivery is one of the most critical areas that ensure that the delivery of public services goes according to the plans. The South African Government has adopted several monitoring and evaluation service delivery approaches to support the delivery of public services.

- **Service delivery monitoring institutional arrangement.**

The South African Constitution, Chapter 10 (section 197 (1) and (2)), mandates the Department of Public Service and Administration (DPSA) to provide the Public Service of the Republic of South Africa with public administration functions. It must also implement all public policies approved by the government of the day (The Department of Public Service and Administration, 2017/18). Thus, the responsibility of the Department of Public Service Administration is to arrange public administration for the Republic of South Africa. Public administration involves the establishment of institutions that deliver government programs.

In this case, the Department of Public Service Administration must ensure that it creates a conducive environment for public administration within government institutions. Some of these institutions should monitor the implementation of government programs to ensure service delivery. According to the Department of Planning, Monitoring and Evaluation (2015-2020, p. 8), "The mission of the Department of Planning, Monitoring and Evaluation is to coordinate, guide and support planning, monitoring, and evaluation of government public policy programs to improve service delivery, outcomes and impact on society." The role of the Department of Planning, Monitoring, and Evaluation is to provide policy guidelines to assist other governmental institutions with the implementation of their programs. This approach is worth exploring since the study seeks to ascertain the Government Pension Administration Agency's compliance with and conformity to implementing Frontline Monitoring and Support programs.

- **Institutionalization of service delivery approach**

De Conning and Rabie (2014) describe institutionalization as involving organizational growth processes. The growth process may take place in various forms, including, amongst others, the organization's policies, strategies, structures, procedures, and governance. The culture and environment within which the organization operates play a significant role and influence the path of the growth process. Brynard (2005, p. 654) indicates, "South Africa has adopted the cluster approach to improve the policy coordination and the integration of service delivery." The approach adopted by the South African government is that it clusters different departments with similar and related functions to plan their activities together. Examples of clustered departments are the social cluster, the economic cluster, and the security cluster. The Government of South Africa established technical committees to coordinate joint planning and integrated service delivery. The Department of Planning, Monitoring, and Evaluation monitors the performance of the clusters. The Department has developed a coherent monitoring and evaluation system to assist departments as individuals and in groups to monitor and evaluate their service delivery programs. One of the study's objectives is to explore the Government Employee Pension Fund's compliance with and conformity to implementing Frontline Monitoring and Support programs. The approach is thus relevant in

the context of the study since it seeks to explore the institutionalization of the monitoring and evaluation function to ensure adequate public service delivery. The South African government adopted this approach to institutionalize service delivery.

- **The outcomes-based approach**

Mouton (2010) indicates that the outcomes-based approach advocates translating policy inputs into policy outcomes. The main thrust of the outcome-based course is the transformation of all input processes towards the intended policy outcomes. During the public policy service delivery process, the monitoring and evaluation practice assists by identifying and providing early detection of service delivery bottlenecks. The Department of Planning, Monitoring and Evaluation (2010, p. 9) reports that: "the outcomes approach is designed to ensure that government is focussed on achieving the expected real improvements in the life of South Africans. The outcomes approach clarifies what we expect, how we expect to achieve it, and how we will know whether we are achieving it." Therefore, this approach demands that the government go beyond its primary service delivery function and consider the services' impact. To manage this process follows the Logic Model that links the stages in the public service delivery process from inputs, activities, outputs, outcomes, and impacts. In the approach to public service delivery, monitoring establishes links between the results, actions, and policy assumptions. The process is backward planning since the focus is on outcomes and outputs and the importance of inputs and activities or techniques during the planning phase.

The Logic Model is thus a systematic way of planning and communicating the resources involved in public policy delivery. It manages the operational processes, from the planned activities to the intended results. The outcomes approach is relevant to this study because the study seeks to ascertain the adherence of the policy implementation process to the policies of the Department of Planning, Monitoring and Evaluation, that is, in this case, the inputs. The study seeks to analyze the Frontline Monitoring and Support programs implemented by the Government Employee Pension Fund. The study also aims to assess the performance of Frontline Monitoring and Support programs from the client's perspective because this

represents the outcome. Thus, the researcher hopes the approach will contribute towards the completion of this study. Figure 6 below illustrates the process.

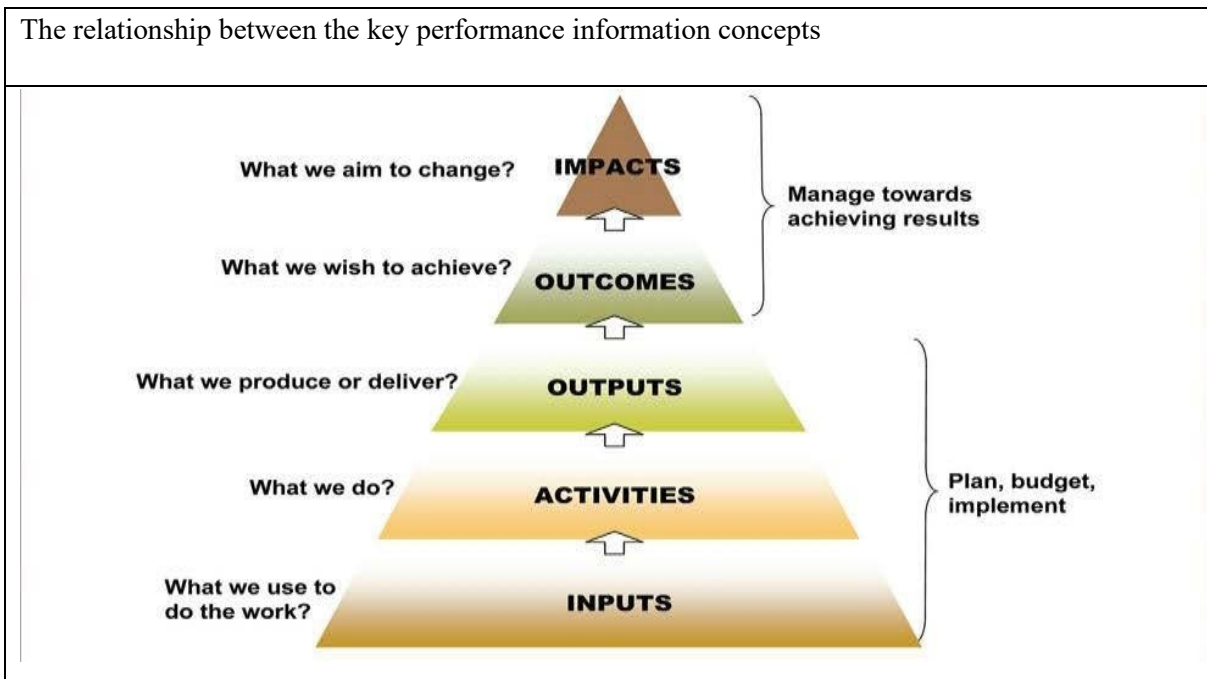


Figure 6, Source: (Presidency, 2007, p. 6).

- **The Results-based monitoring and evaluation approach**

Results-based Monitoring and Evaluation (M&E) is a management tool that assists governments in demonstrating accountability, governance, transparency, and results (Kusek and Rist, 2004). This management tool has become more relevant due to internal and external pressures for evidence-based information. Governments are responsible for providing all the stakeholders with evidential details on the performance of public policies. These stakeholders play a specific role in the public policy delivery process. Some of the stakeholders play a direct role, while others play an indirect role to achieve policy results. More importantly, combining their functions ensures that all the activities focus on and contribute to achieving the desired goal. The Results-based Monitoring and Evaluation serve as a tool capable of building confidence for political and financial support for public policy implementation. The evidence-based information provided through the Results-based Monitoring and Evaluation

tool helps governments to make informed decisions. These decisions serve as the basis of the government's knowledge hub.

In the same way, it also serves as the government's information hub, which means that it generates information reflecting how public policies are operating. This process leads to improved performance in public policy, accountability, learning, knowledge, and results. Kusek and Rist (2014) cite the importance of complementing monitoring and evaluation to realize public policy results. It implies no conflict between the two activities if they are results focused. Thus, the implication is that both monitoring, and evaluation play a significant role in the Results-based Monitoring and Evaluation approach. One of the objectives of this study is to assess the implementation of Frontline Monitoring and Support programs from the perspectives of the clients of the Government Employee Pension Fund. It guarantees valuable information about the results of all the processes and services involved in implementing Frontline Monitoring and Support programs.

This sub-section has discussed the various public policy monitoring approaches. Discussing these approaches is essential because it covers the relevant literature from the perspective of the policies, institutional arrangements, the public service environment, and monitoring and evaluation approaches from which the Frontline Monitoring and Support programs operate. It will provide the frame of reference for the data analysis the study seeks to focus on at a later stage. The following sub-section delves deeply into the institutionalization of Monitoring and Evaluation systems.

### **3.4 THE INSTITUTIONALISATION OF MONITORING AND EVALUATION**

De Conning et al. (2014) describe institutionalization as involving organizational growth processes. The growth processes often take place in various forms. These forms include, amongst others, the policies, strategies, structures, procedures, and governance within the organization. The culture and environment within which the organization operates play a significant role, and it becomes influential to the path of the growth process. Hlatshwayo et al. (2015) agree with this observation and further state that a growing culture is beckoning governments to institutionalize monitoring and evaluation systems to increase their skills

base, capacities, processes, procedures, and structures. Mackay (2007) also concurs, further stating that the success of the monitoring and evaluation system is highly dependent on institutionalizing the monitoring and evaluation processes within the organizational structures. He further notes that the success of the monitoring and evaluation system manifests itself through the utilization of policy results, the quality of monitoring and evaluation reports, and the sustainability of the underway public policies. Thus, institutionalizing monitoring and evaluation systems is a complex process involving a thorough engagement of internal and external stakeholders.

Boyle (2005) also maintains that institutionalizing monitoring and evaluation systems involves establishing rules, procedures, and structures that create a conducive environment for public policy implementation. This process legitimizes the monitoring and evaluation practice in the organization. The Monitoring and Evaluation process becomes formalized and part of decision-making processes. It thus plays a significant role in strengthening effectiveness in public policy delivery. Lopez-Acevedo et al. (2012) believe that the level of authority and independence of the monitoring determines effective monitoring and evaluation and evaluation tasks in the organization.

In South Africa, the design of the Monitoring and Evaluation system makes it compatible with the international best practices that are characterized and driven by the top-level ministry (Rabie, 2010). The current structure of the Monitoring and Evaluation system in South Africa comes from the top Ministry, that is, the Department of Planning, Monitoring and Evaluation. The Department of Planning, Monitoring, and Evaluation is responsible for providing policy guidelines on monitoring and evaluation of public policies. Since this study intends to examine the implementation of the Department's monitoring and evaluation policies by the Government Pension Administration Agency, the study will thus investigate the institutional arrangements and relationships to ascertain if government departments in South Africa implement monitoring and evaluation policies by the dictates of the existing approaches. Mackay (2006) summarizes the essential lessons South Africa draws from other countries, especially the developed countries, regarding the institutionalization of Monitoring and Evaluation systems.

The South African government's demand for institutionalizing the Monitoring and Evaluation system is essential for successful policy implementation. The critical question borders on how one creates the need for monitoring and evaluation in an organization or government. A lack of knowledge and understanding of the value of monitoring and evaluation is a barrier to the need for monitoring and evaluation. The response to this conundrum is to embark on education and awareness programs on monitoring and evaluation tools, techniques, methods, and associated benefits (Lopez-Acevedo et al., 2012). There is a possibility for an increase in the demand for monitoring and evaluation once the stakeholders in government are aware of the value of monitoring and evaluation systems in public policy delivery. Education and outreach campaigns are provided for monitoring and evaluation through training, handbooks, and processes. This process ensures an increase in the demand for the institutionalization of monitoring and evaluation in government.

Incentives play a critical role in advancing the demand for the institutionalization of Monitoring and Evaluation (Boyle, 2005). Using the findings on monitoring and evaluation suggests successful institutionalization in government. The availability of information on monitoring and evaluation without using it is immaterial and cannot improve public policy implementation. Program managers, Monitoring and Evaluation officials, and any other staff members involved in the monitoring and evaluation programs should ensure that the information generated through monitoring and evaluation reports is effectively utilized. Officials must refrain from believing the fallacy that the availability of information on monitoring and evaluation would lead to the use of that information. Thus, if officials use the data effectively, that acts as an incentive, thereby strengthening the institutionalization of the monitoring and evaluation system.

The success of the institutionalization of monitoring and evaluation needs a strong champion. The champion should have a high level of authority to persuade and influence the positioning of the monitoring and evaluation system in government. Engela and Ajam (2010) believe that a visible and persuasive champion is essential in advancing and mobilizing the support and buy-in for implementing the monitoring and evaluation of public policies. Monitoring and Evaluation systems are thus dependent on a powerful champion for the government to implement public policies successfully. Mackay (2006) indicates that Chile, Australia, and Colombia are typical examples of countries with mighty champions that have successfully

put the institutionalization of monitoring and evaluation systems on course. In South Africa, the Department of Planning, Monitoring, and Evaluation has been championing the institutionalization of the monitoring and evaluation system. To superintend this process, the government placed its office in the president's office to ensure that it has the authority to influence and persuade officials in public offices to appreciate the implementation of monitoring and evaluation policies in government.

Creating the whole-of-government monitoring and evaluation system is crucial to ensure the design of reliable data systems. This system can take the form of a system that acknowledges the development of a set of indicators or specifies the different evaluation types. This process eventually requires capable staff with the expertise to conduct and manage monitoring and evaluation programs. It also requires a formalized bureaucratic structure in possession of the knowledge and expertise on the type of evaluation to work, the specific issue to address in the evaluation programs, the establishment of data management systems, the documented lessons learned, the information sharing techniques and finally the processes of effecting monitoring and evaluation reporting systems. Bedi et al. (2006) state that a monitoring and evaluation system that operates closer to the center of government creates a platform for institutional capacity to take the lead in running monitoring and evaluation programs. The Department of Planning, Monitoring, and Evaluation in South Africa coordinated the development of a set of 14 outcome indicators. Different government departments are implementing some of these outcomes. It demonstrates the successful creation of a bureaucratic order with specific responsibilities to work towards a coordinated implementation of public policy. The government of South Africa also developed a policy document on evaluations. It also specifies the processes, procedures, approaches, and types of assessment an institution may conduct. According to the DPME (2011, p. 1), "Government is taking forward evaluations to improve government's performance and development impact, accountability, decision-making and to widen the knowledge base around government's work." Thus, the Government of South Africa has a proper structure that promotes the institutionalization of the monitoring and evaluation system in government.

There is a danger that the government may ultimately over-engineer its monitoring and evaluation system. It appears more accessible for the government to report fewer indicators when their volume is excessively high. Mackay (2006) indicates that in 2002, Colombia

accumulated its performance indicators to 940, which was extremely high, resulting in the collected information needing to be more robust to manage. The country was then forced to reduce its indicators to as low as 300 to control its hands effectively. Jacobs et al. (2010) argue that working with a wide range of hands is practically impossible as this often fails in the monitoring and evaluation system. Thus, the lower the number of indicators, the more manageable they are.

Governments should establish a building housing a reliable ministry that manages data systems. The problems manifest themselves in the collection of poor-quality information. In some countries, data collection happens at the lower levels, while the interpretation of data occurs at higher levels. There needs to be more feedback given to the lower levels relating to the excellent use of data to provide information about the performance of public policies. Many countries have loads of data, though they need practical information to influence and improve public policy implementation. Thus, governments need a reliable and credible monitoring and evaluation data system to help manage a compelling data collection.

The objective of conducting a monitoring and evaluation exercise is to establish facts about the performance of a public policy. The findings are only helpful if there is implementation of the recommendations. It is futile to have many monitoring and evaluation studies that seldom implement the results. Monitoring and evaluation studies focus on the real issues to execute the core function of the government or government department. It helps support the utilization of findings because it will address the core business of the government or a particular department. Mackay (2006) indicates that the utilization of results determines the success of a monitoring and evaluation system. Arguably, public policy continues to get funding if there is evidence pointing to progress in attaining policy objectives, failure of which, the funding structures become too sceptical to continue funding a fruitless program. Thus, it is equally important to note that the monitoring and evaluation system findings must be effectively utilized.

Structural arrangements ensure that the collected and generated data can produce reliable, objective, and credible reports. Some governments rely on internal and external audits that verify data's reliability, credibility, and objectivity. Mackay (2006) indicates that Chile relies on external audits, Australia relies on internal audits, Colombia relies on its central

government, and Argentina does not have an audit. Credibility, reliability, and objectivity are also critical aspects of the evaluations. Some countries will contract external service providers to conduct assessments on their behalf. They engage in this process to promote objectivity, reliability, and credibility. This process ensures that the entire contracting of the service providers is transparent. The disadvantage of this option is the ownership of the findings. Government departments disown the commissioned evaluations as they played a minimal role in producing the findings. However, the results may necessitate new department decisions and management changes. The Department of Planning, Monitoring, and Evaluation commissions several studies in each financial year conducted on behalf of sector departments. The Department of Planning, Monitoring, and Evaluation (2011) indicate that in the 2014/15 financial year, the total of evaluations conducted in the system stood at 38. These evaluations were either completed or running during that financial year. However, Government departments are also free to lead internal and external assessments. The policy on evaluations encourages departments to perform their sectoral evaluation studies (the next section discusses monitoring and evaluation policies in detail).

Experience from countries with credible Monitoring and Evaluation systems has established that institutionalizing monitoring and evaluation is a long-haul effort. It requires investments in terms of time, endurance, and perseverance (Lahey, et al.2005 in Mackay, 2006). It is time-consuming to develop monitoring and evaluation systems, create data systems, build capacity through the training of staff, recruit quality evaluators, undertake the management of evaluation studies, and disseminate information to the relevant authorities as well as establishing a formidable team who are expected to understand the day-to-day activities of the monitoring and evaluation functions. It is against this background that the institutionalization of the monitoring and evaluation exercise is a complex process that needs time for growth for it to yield successful results.

In conclusion, the successful institutionalization of the monitoring and evaluation system requires proper planning and intensive discussion that fosters the sharing of ideas, resulting in a credible monitoring and evaluation system. This process takes a long period because it relies on many complex processes to ensure all the critical integrities of the monitoring and evaluation process are considered. The stability of the political environment plays an essential role in enhancing the development of an effective monitoring and evaluation system. By its

nature, public policy can only undergo successful implementation in a stable political environment where the establishment supports public policies. Different countries respond differently to the performance of their monitoring systems. Some countries take longer and others shorter time to realize a fully functioning monitoring and evaluation system. Australia and Chile, for instance, spent only four to five years learning their fully functioning monitoring and evaluation systems.

On the other hand, Colombia spent almost a decade to realize its fully functional monitoring and evaluation system (Boyle, 2005). This literature benefits the study by examining monitoring and evaluation policies implemented in the Government Pension Administration Agency. It covers the institutional relationships between the Department of Planning, Monitoring and Evaluation and other sectors or departments. It further examines the public policy implementers' compliance with and conformity to the policy guidelines. The following sub-section discusses the challenges bedeviling the implementation of a monitoring and evaluation system. It further discusses the legislative frameworks supporting the South African Government's monitoring and evaluation systems.

### **3.5 THE CHALLENGES OF MONITORING AND EVALUATION**

Bamberger (1989) identifies some of the challenges that might have an impact on the implementation of the monitoring and evaluation system:

- The centralized monitoring and evaluation system is usually in an organization's central and higher offices. The design of the structural location of the monitoring and evaluation unit closely replicates the top-down approach. In this arrangement, the site of the monitoring and evaluation unit is a way of enhancing the organizational control of the tasks of program managers.
- The development of monitoring and evaluation systems occurs at the central level. It imposes itself on government departments and public entities. Implementers may need to be made aware of their contribution and support. This misunderstanding often results in a need for more buy-in. Minimal support consequently affects the quality of information and data produced.

- The top-down approach generally implies that some crucial stakeholders disappear during the planning and development of monitoring and evaluation policies. Sometimes, stakeholders feel obliged to comply with the government mandate regarding the performance of their monitoring and evaluation tasks. They must perform their duties for compliance rather than improve performance.
- Monitoring and evaluation are to collect performance-related information to influence policy decision-making. This information assists organizations in undertaking future planning, budgeting, and drawing lessons for improvements in the future. It only sometimes happens since, in most cases, data drawn from monitoring and evaluation processes needs to be more utilized.
- The failure of the plans and strategies of the monitoring and evaluation system to articulate the most important stakeholders to provide critical performance information undermines the whole policy implementation process. Leading to, and resulting in, a misunderstanding of the usefulness of the information derived from monitoring and evaluation processes.
- Monitoring and evaluation are the sole responsibility of, and the practice exclusively meant for, monitoring and evaluation practitioners. Program managers are not obliged to assume monitoring and evaluation tasks in their business units.
- Stakeholders need help understanding the reporting systems for monitoring and evaluation. Their lack of an understanding of the reporting systems manifests itself in their usual complaints about the long reports that they do not even find understandable.
- The information drawn from monitoring and evaluation activities sometimes reaches out to project managers as a threat. These managers are sometimes reluctant to provide information since these monitoring and evaluation reports may expose their level of performance.

Similar challenges also manifest in the South African Public Service. According to the discussion document on the principles and approaches reported by the Department of Planning, Monitoring and Evaluation (The Department of Planning, Monitoring and Evaluation, 2014), some of the challenges are:

- there is a lack of a culture of monitoring and evaluation in government.

- the monitoring and evaluation system functions as a policing and controlling mechanism.
- monitoring and evaluation is done for the sake of compliance rather than for learning and improvement purposes.
- There is limited understanding of the value of monitoring and evaluation by political and administrative organs of the state and
- Evaluation results do not effectively inform planning, policy-making, and budgeting.

The general concern is that the challenges obtained in the monitoring and evaluation exercise result from the need to understand the intentions of conducting such monitoring and evaluation exercises. The consequences of these misunderstandings and misconceptions are so enormous that they hinder the effective implementation of monitoring and evaluation policies, which often results in the failure of the public policy implementation processes, which implies that the loss of service delivery eventually fails the government. The Frontline Monitoring and Support programs are also facing similar challenges. The study examines the implementation of monitoring and evaluation policies in the Government Pension Administration Agency. The study seeks to establish if the performance of monitoring and evaluation policies in the Government Pension Administration Agency is experiencing similar challenges. The following sub-section looks at the legislative framework that buttresses the monitoring and evaluation system in the South African Public Service.

### **3.6 THE LEGISLATIVE FRAMEWORK OF MONITORING AND EVALUATION**

This chapter summarizes the South African legislative frameworks and the policy environment in which monitoring and evaluation occur in government. These pieces of legislation stipulate the procedures and processes to follow in monitoring and evaluating the implementation of public policies. It also specifies the authority and autonomy of the incumbents that must implement monitoring and evaluation activities. In this context, the literature on the legislative and policy framework is essential in contextualizing the research

study. The discussion of these pieces of legislation focuses on the frameworks that contribute to establishing and developing monitoring and evaluation systems.

### **3.6.1 The Constitution of South Africa (1996)**

The Constitution of the Republic of South Africa (1996, p. 99) is the highest law of the Republic of South Africa. It provides for the authority of state institutions, such as the parliament, to promulgate and develop rules and policies consistent with its provisions. The Constitution also provides for the promotion of an effective, transparent, and accountable Public Service. Chapter 10, sections 195 to 197, provides a public administration system linked with fundamental democratic principles. Some of the principles are:

- the promotion of high levels of ethical standards.
- the promotion of effective, economical, and efficient utilization of resources.
- promotion of the developmental-oriented approach.
- the provision of services in a fair, equitable manner; the fostering of transparency and accountability.
- Provision of regular feedback to the citizenry.
- the provision of accurate information and
- the encouragement of public participation in policy-making.

The South African Constitution (1996) provides for these fundamental democratic principles to guide and ensure the development of developmental and progressive policies that respond to the growing needs and aspirations of the citizens. Other developed legislative measures and procedures support the Constitution by promoting a widespread social transformation. The Constitution further emphasizes the importance of providing regular feedback and enhancing public participation processes. It enables and safeguards the democratic principles governing public administration. Frontline Monitoring and Support programs offer the opportunity to solicit input from the Government Employee Pension Fund members regarding its service delivery.

### **3.6.2 The White Paper on Transformation in the Public Service (1995)**

The 1995 White Paper on Transformation in the Public Service stipulates that Government departments should develop strategies that encourage excellence and quality in service delivery. The policy document (The White Paper on Transformation of Public Service Delivery) provides guidelines on how Government departments should deliver public services. It focuses on the imperativeness of placing citizens at the core of public service. The White Paper on Transformation in the Public Service is called "Batho Pele, meaning "people first." "Batho Pele" encourages government departments, including national, provincial, local, and public entities, to have a performance monitoring system with clear performance indicators (DPSA, 1997). It emphasizes how citizens should have access to services, information about services, treatments of service recipients, and issues of accountability to the citizens, and it stresses that there should be reasons for not providing services according to the set standards (some of these principles will be evaluated and analyzed in Chapter 5). The Government Employee Pension Fund's core business administers its members' benefits. As the agency is part of the government, it is, therefore, supposed to put members at the center of service delivery. Regular monitoring and evaluation activities at the service delivery point or client interface level are critical for sustaining and improving service delivery. Thus, conducting monitoring and evaluation activities at the client level provides feedback information regarding the status of client satisfaction. It allows government departments and public entities to plan and implement their shared policies within the confines of the needs and aspirations of the clients. The design of the Frontline Monitoring and Support programs provides a platform for interaction between government officials and their clients. One of the study's objectives is to assess the level of client satisfaction from the client's perspectives at service delivery points.

### **3.6.3 The Public Finance Management Act (Act 1 of 1999)**

The Public Finance Management Act (Act 1 of 1999) upholds the establishment of modernized financial management practices in the public sector. It premises its provisions on the fact that the government operates under the strict limitations of scarce resources. The

issue of scarcity should determine the process of financial decision-making. It assumes that the government needs more resources to spend on many citizens. The government spends its limited resources by providing goods and services to its citizens. The Public Finance Management Act promotes and ensures government resources' efficient and effective utilization. It enforces compliance and accountability through regular performance monitoring and reporting. Mkhize and Ajam (2006) agree that the Public Finance Management Act promotes accountability. It focuses more on the results and the principle of value for money than enforcing compliance and procedural accountability. Government institutions focus on an input-based budgeting system and an output-based, results-driven financial management system. It should be part of the whole performance management system. However, this system requires a strict and well-defined set of roles and responsibilities at any level of commitment with specified measurable objectives as reflected by the departmental vote (The Public Finance Management Act, 1999). The Government Pension Administration Agency operates within the perimeters of the Public Finance Management Act by being a public entity. It is supposed to comply with the provisions of the Public Finance Management Act to ensure effective and efficient management of the public policy implementation process.

#### **3.6.4 Government-Wide Monitoring and Evaluation System**

(GWM&ES, 2007), the South African Government developed an overarching and comprehensive framework termed the Government-Wide Monitoring and Evaluation System. This monitoring and evaluation policy framework intends to provide policy guidelines to the South African Public Service to strengthen public policy monitoring and evaluation practices. The Government-Wide Monitoring and Evaluation System comprises three major components. It provides program performance information. It also provides social, economic, and demographic information; lastly, it gives the element of evaluations (GWM&ES, 2007). These components implement their policy frameworks that support the implementation of the performance monitoring and evaluation system. The policy frameworks manage program performance information, the Statistics South Africa Quality Assessment Framework. These policy frameworks promote good governance practices,

public service accountability, and service delivery improvement. Presidency (2007) indicates that the Government-Wide Monitoring and Evaluation System details the public sector's monitoring and evaluation standards and principles. It serves as a tool that supports implementing government programs and public policies. It provides a platform for generating information supporting public policy decision-making. Thus, the framework should be used by managers or decision-making authorities to make informed policy decisions. According to the DPME (2007, p. 4), "it is a statutory requirement that the accounting officer of a department or municipality, or the chief executive officer of a public entity, is required to establish a monitoring and evaluation system for the institution." Government departments and other public entities must comply with the provisions of the framework that dictate that all government institutions must establish and align their monitoring and evaluation functions to the Government-Wide Monitoring and Evaluation Framework to have a standardized system of reporting the operations of government programs. As an overarching monitoring and evaluation policy framework, the Government-Wide Monitoring and Evaluation Framework is relevant to this study because it seeks to examine the implementation of Frontline Monitoring and Support programs as one of the monitoring and evaluation policies in the Public Service of South Africa.

### **3.6.5 The Framework for Managing Programme Performance Information (FMPPPI), 2007**

The Framework for Managing Programme Performance Information (FMPPPI) came into existence in 2007 by the Department of National Treasury to clarify the principles, structures, and methods required to compile performance information. The aims of the frameworks are as follows:

- To ensure that performance information is clear and of acceptable standards to support audits of non-financial information.
- To ensure effective and efficient utilization of principles, structures, and methods to improve performance information.
- To provide clarity of the roles and responsibilities for performance information.

- To provide quality information to critical stakeholders like parliament, legislatures, municipal councils, and citizens (The Treasury, 2007).

To these bodies, accounting for the performance information of the government programs assists all role players involved in the public policy implementation system to track progress on the performance of government programs. Thus, accounting can inform program managers of the areas that need remedial actions. Program managers also use performance information to enhance planning, budget allocations, and reporting purposes. It ensures that government programs are results-oriented and supply delivery management. It is, therefore, important to discuss this policy framework as it provides guidelines for performance information. It analyzed the information collected from the frontline monitoring and evaluation support programs to monitor government performance programs.

### **3.6.6 The National Evaluations Policy Framework (NEPF), 2011**

The Cabinet in South Africa approved the National Evaluation Policy Framework in 2011. The framework made provisions for developing the National Evaluation System and the National Evaluation Plan. The rationale for developing this framework was to introduce mechanisms that improve the quality of information, ensure an improvement in providing effective and efficient policy implementation processes, and have an articulated impact on government programs. The framework assists the Public Service by assessing public policies and establishing whether government intervention achieves the planned outcomes. This way, managers can generate credible and evidence-based information as a resource base for making policy reviews, planning, budgeting, and program management decisions to improve and enhance performance. The framework also guides how the Public Service should implement evaluation activities. Introducing this policy framework ensures consistency on the part of the evaluation approach in government departments and other public entities while developing sectoral systems that accommodate their unique circumstances. The aims of the National Evaluation Policy Framework are to:

- improve the performance of policies by providing feedback to the managers.
- provide accountability and uphold the principle of value for money.

- allow opportunity for decision-making by identifying what works or does not work and
- form the basis of learning and increasing knowledge to make informed policy decisions.

The framework also provides an evaluation approach and the types of evaluation to conduct in the Public Service.

In conclusion, the conduct of these types of evaluations is relevant at any stage of the public policy implementation process. It implies that evaluations can occur before, during, and after the implementation of the public policy, depending on the need for that evaluation. This general policy framework intends to assist public sector institutions to improve their performance in delivering public policy. The National Evaluation Policy Framework guided the development of Frontline Monitoring and Support programs because it also conducts evaluation projects through client satisfaction surveys. Thus, understanding the framework is essential; it adds value to this study. The study consulted the first law of the country, that is, the Constitution of South Africa. The study reflected on the relevance of the basic principles underpinning Public Administration. The study referred to the principles of "Batho Pele." The study further discusses the monitoring and evaluation policies relevant to this study as of the Department of Planning, Monitoring, and Evaluation provisions. The following subsection focuses on the Department of Planning, Monitoring, and Evaluation as the custodian of monitoring and evaluation policies in the Public Service of South Africa.

### **3.7 THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION**

The formation of The Department of Planning, Monitoring, and Evaluation in South Africa dates to 2014. The establishment of this unit resulted from a thorough consultative process that led to the merging of two teams in the office of the President, the National Planning Commission, and the Department of Performance Monitoring and Evaluation. According to the Department of Planning, Monitoring and Evaluation (2015-2020), "The intention is to create a seamless value-chain between planning, monitoring, and evaluation related to National Development Plan in one institution to ensure effective implementation." It further

states that "Our mission is to facilitate, influence and support effective planning, monitoring, and evaluation of government programs aimed at improving service delivery, outcomes and impact on society" (The Department of Planning, Monitoring and Evaluation, (2015-2020). The rationale for establishing the Department of Planning, Monitoring, and Evaluation was to support other departments by developing national policy frameworks that provide guidance and direction on how these departments should implement their programs.

### **3.7.1 The key mandate of the Department of Planning, Monitoring, and Evaluation includes:**

- Facilitating and monitoring the development of the Government's outcomes delivery agreements.
- ensuring the alignment of departmental strategic plans and annual performance plans to address long-term and short-term results.
- Provide monitoring and evaluation activities to the National, Provincial, and Local governments.
- ensuring the monitoring of the Frontline Monitoring and Support programs and
- supporting the Monitoring and Evaluation practices and effective planning in the Public Service.

This study specifically looks at the performance of bullet four, which is "ensuring monitoring of the Frontline Monitoring and Support programs." This mandate is relevant since the study intends to examine the implementation of monitoring and evaluation policies in the Agency, explicitly referring to Frontline Monitoring and Support programs.

### **3.7.2 The Role of the Department of Planning, Monitoring and Evaluation**

The Department of Planning, Monitoring and Evaluation (2012) reported that as the custodian of monitoring and evaluation policies in the South African Public Service, its responsibilities include the following:

- Developing monitoring and evaluation policies to strengthen government performance.
- Supporting the Government at National, Provincial, and Local levels and other government agencies by developing guidelines, tools, and standards for the implementation of monitoring and evaluation policies and
- They support government institutions by providing technical expertise and advice in implementing the monitoring and evaluation policies and guidelines.

The Department must provide this support throughout the public policy implementation process, which covers planning, implementation, data collection tools, data analysis, interpretation of results, findings, and recommendations. The whole value chain intends to improve the performance of the Government, especially in the provision of public service. According to the Department of Planning, Monitoring and Evaluation (2007, p. 4), "it is a statutory requirement that the accounting officer of a department or municipality, or the chief executive officer of a public entity, is required to establish a monitoring and evaluation system for the institution." Government departments and other public entities must comply with the provisions of this framework. All government institutions must establish their monitoring and evaluation functions and align them with the Government-Wide Monitoring and Evaluation Framework to strengthen and improve the performance of government programs in general. However, the Department of Planning, Monitoring and Evaluation's guideline for monitoring and evaluation components as enshrined in the National government departments indicate thus: "this document has been updated accordingly after consultation with the National Monitoring and Evaluation forum on 27 February 2014, and the Department of Planning, Monitoring and Evaluation kindly requests departments to implement therefore (The Department of Planning, Monitoring and Evaluation, 2012, p. 1). The point is that the departments must comply with the obligation to establish monitoring and evaluation structures and systems for their institutions. However, these departments are not equally obliged to implement the monitoring and evaluation guidelines as provided by the Department of Planning, Monitoring and Evaluation. The departments can only conform to the implementation of policies, which assists in standardizing the system of reporting that improves government performance and service delivery.

### **3.7.3 The role of central monitoring and evaluation in national departments**

National departments must establish their own monitoring and evaluation units to enhance the monitoring of their sectoral public policies. The primary role of central monitoring and evaluation units is to integrate reports from the various departmental branches to preside over the control of the reporting function. Monitoring and evaluation units perform the following positions.

- The national departments must develop monitoring and evaluation frameworks that set out their specific plans and indicate how they intend to monitor their projects. The national departments, therefore, collect and analyze the relevant information to their sector. The information may come from different sources, including, but not limited to, the provincial and the local Government.
- The national departments must generate reports on the annual performance plans. They are supposed to set yearly goals and monitor the achievements of their predetermined objectives.
- The national departments ought to report on the delivery agreements on the outcomes to which they make valuable contributions. The Government introduced 12 delivery outcomes that link with each national Department which must report on progress and achievements against each delivery outcome.
- The departments are also generally required to report to Parliament and other Chapter 9 institutions. The national departments should also ensure updated departmental reporting. The central monitoring and evaluation system should collect and analyze information from all departmental sources for departmental reporting purposes.
- The departments must report on the Frontline Monitoring and Support programs. The Department of Planning, Monitoring, and Evaluation has developed several Frontline Monitoring and Support programs to monitor the quality of service delivery.
- The central monitoring and evaluation units should also work with other departmental teams to improve the departmental management systems; this also considers information flows, business processes, and data management.

- The national departments are also supposed to conduct evaluation studies to assess the relevancy of departmental programs. The expectation is that they should use these evaluation results to inform departmental decision-making.

#### **3.7.4 The location of monitoring and evaluation units**

- The central monitoring and evaluation units are effective, provided they are in the office of the Director General (The Department of Planning, Monitoring and Evaluation, 2012). It creates the perception that the Director General is personally involved in managing the reporting function. The monitoring and evaluation system commands respect from all departmental business units.
- The central monitoring and evaluation units also function if they are in the office of the Chief Operating Officer in the departments where this officer oversees the Director General's office. It allows for the flow of the reporting function within one central office.
- There are instances where different departments report to a specific function as a sector. The departments may have a robust monitoring and evaluation unit that deals with the reporting function in that function. It represents a case where several departments report to a unique tracking and evaluation branch. A typical example is the Employee Public Works Programme, attached to the Department of Public Works. It was necessary to establish this branch because several departments are reporting on the Employee Public Works Programme.

The above sub-section discusses the role of the Department of the Public Service of South Africa. It emphasizes that the Department of Planning, Monitoring, and Evaluation is the custodian of monitoring and evaluation policies in Government. It provides guidelines and direction on the monitoring processes undertaken by government institutions. It further discusses the role of monitoring and evaluation units in government departments. It emphasizes integrating reporting functions to ensure coordination for quality monitoring and evaluation results. Lastly, it suggests that the location of the monitoring and evaluation unit should be in the Director General's office to ensure effectiveness in the reporting function. The following sub-section discusses the Frontline Monitoring and Support programs. It is

essential to discuss each of these programs to contextualize the intention of each of these four programs.

### **3.8 FRONTLINE MONITORING AND SUPPORT PROGRAMMES**

In the past two decades, the Department of Planning, Monitoring, and Evaluation developed several monitoring and evaluation policies, and among them are the Frontline Monitoring and Support programs. The guidelines provided in the Department of Planning, Monitoring and Evaluation (2018-2019, p. 6) indicate that the "Department of Planning, Monitoring, and Evaluation has undergone a strategic reorganization and streamlining of its programs in line with dynamic service delivery landscape to improve efficiency and ability to deliver on its mandate." It signifies the strategic paradigm shift that has redirected the focus of the frontline monitoring systems to four specific programs: the Citizen-Based Monitoring system, the Presidential Hotline, the Frontline Service Delivery Monitoring, and the Executive Monitoring Support (*izimbizo*). The rationale for streamlining these programs in this model was an attempt to respond to the challenges in the service delivery system.

Frontline Monitoring and Support programs result from a combination of four programs bound together by one common purpose of monitoring and evaluating the quality of service delivered to the citizens. The basis of reconfiguring these four programs was to streamline the service delivery processes to enhance efficiency. It is also an attempt to enhance the techniques that improve efficacy in government performance. This process improves the quality of service delivered to the citizens. The program thus puts the citizens at the center of service delivery. Service delivery is at the center and end of the whole chain of service provision. Therefore, Frontline Monitoring and Support programs focus on the systems and processes that support the flow of information between frontline officials and the beneficiaries of the service. The strategic position of the Frontline Monitoring and Support programs thus enhances the monitoring and evaluation of the provision of public services to the citizens at the service delivery point or the client interface level. The Department of Planning, Monitoring, and Evaluation introduced the four Frontline Monitoring and Support programs to facilitate improvement in service delivery by operationalizing its functions to

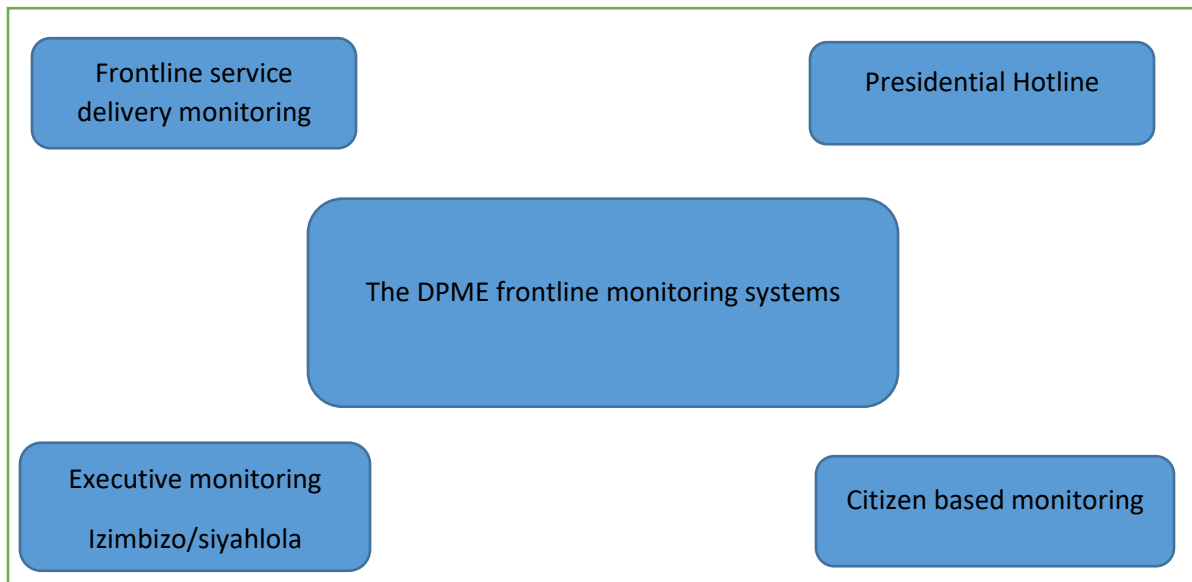
support the public policy implementation process. The DPME (2018-2019)) discusses the parts of the four Frontline Monitoring and Support programs as follows:

- To preside over the development of monitoring systems that respond to the needs of the beneficiaries at the facility and client interface levels.
- To manage political principles and the client consultation process by supporting the initiative to bring government services to the people through the Izimbizo and Siyahlola programs.
- To manage the implementation of the Citizen-based Monitoring program and
- The programs seek to establish and coordinate the Presidential Hotline program by implementing the Complaints Resolution Project.

### **3.8.1 Frontline Monitoring and Support Programmes**

The Frontline Monitoring and Support program consists of four programs that aim to monitor service delivery quality at the client interface level. These programs focus on gathering information from the clients to gain insights into issues and challenges experienced at the level of service delivery. These programs provide the opportunity to collect the information and evidence necessary to foster continuous improvements in the management of government policy implementation processes. Figure 7 below shows the structure of the Frontline Monitoring and Support programs.

## Frontline Monitoring and Support programs



**Figure 7, Source: Researcher.**

### 3.8.1.1 The Presidential Hotline

The Department of Planning, Monitoring and Evaluation (2009 -2013) reports that in September 2009, the former Head of State of South Africa, President Jacob Zuma, established the Presidential Hotline Programme to serve as a platform for the citizens of South Africa to raise complaints and concerns regarding the services they get from government institutions. This program serves as an apex government complaints system. It allows citizens to lodge queries that pertain to service delivery, complaints, comments, and compliments about the services offered by the Government. The system interconnects all government institutions, including the national, provincial, and municipal governments. It has an allocated toll-free number (17737), which receives queries related to service delivery. The Department of Public Service Administration resolution states that officials should address the complaints within 25 days of the lodging of the report. Citizens register their challenges with the President's office after all other complaint mechanisms are exhausted. The system employs dedicated client liaison officers to service each Department and the provinces to manage the Presidential Hotline. The system allocates the opportunity for the citizenry to direct their

queries to the relevant government institution for resolution. The client liaison officers monitor each case and the allotted time for passing the solution until the report reaches the clients. They conduct client satisfaction surveys after the case resolutions to establish client satisfaction regarding each case's process and outcome.

### **Objectives of the Presidential Complaints Initiative**

- To promote the principles of responsiveness and caring in Government through encouraging public participation.
- To foster the implementation of the “Batho-Pele” principles in government institutions to enhance quality service delivery.
- To ensure that Government is accountable to its citizens by discouraging laziness and incompetence in the service delivery system.
- To allow the citizens of South Africa to express their minds regarding service delivery as it is part of human rights and
- To initiate outreach programs to educate citizens about service delivery.

### **The implementation processes.**

The Call Centre is the most utilized Presidential Hotline system. There is a dedicated Call Centre staff, and that staff member assists clients only when they can provide immediate responses to the clients. In cases where they cannot provide answers, the Call Centre staff members log a call and refer the query to the relevant Department for further investigation. The client receives a reference number for follow-up calls. In addition, a response team responds to letters, faxes, and emails. They also log and issue a reference number for further investigations. Lastly, the public liaison officers further communicate with the complainants to investigate and respond to the client's complaints. This program is essential as it fosters the completion of this study because one of the objectives is to evaluate the implementation of Frontline Monitoring and Support programs from the perspectives of the Agency. The researcher hopes to get exciting views and experiences of the clients serviced under the complaint's unit of the Government Employee Pension Fund.

### **3.8.1.2 The Citizen-Based Monitoring System**

The Cabinet approved the Citizen-Based Monitoring framework in 2013. The program's establishment sought to promote citizen involvement in the delivery of public services. The Citizen-Based Monitoring program is an approach that monitors government departments' performance by collecting information on the experiences and perceptions about service delivery (The DPME, 2013). This program aims to enhance public accountability, focusing on continuous improvements in service delivery. The Citizen-Based Monitoring programs support public participatory approaches by encouraging active participation of the citizens in the public policy implementation process. The program provides a platform for citizens to assume active participation in shaping the methodology of monitoring plans and programs, designing the monitoring processes, and the nature of interpretations and action plans that can be derived from monitoring processes. Thus, the program involves a continuous and routine collection of data to allow and take into consideration the views and experiences of citizens in the service delivery mechanism. The expectation from the program is specifically to achieve the following benefits:

- To strengthen and supplement the Government's existing monitoring and evaluation systems.
- To support program effectiveness to improve service delivery.
- To enhance the performance of government institutions, monitoring and evaluation processes and systems.
- To build public confidence in government processes; and
- The program seeks to improve efficiency in government budgeting and planning processes.

#### **The implementation processes.**

The Department has a well-developed set of tools that enhance the implementation of the Citizen-Based Monitoring program. The sector departments are at liberty to utilize any of the developed tools that are relevant to their specific environments. The program's performance involves collecting information from the communities and the frontline staff members. The

DPME (2013) indicates that the Citizen-Based Monitoring approach draws from several participatory approaches, one of which is the client satisfaction survey. Information collected through the client satisfaction surveys reflects the citizens' views and experiences at the service delivery level. Conducting these surveys allows the program management to make informed decisions about the citizens' identified priorities. The program encourages developing and implementing action plans derived from the collected information. Lastly, the program promotes monitoring the commitments regarding the engagements with the citizens. This policy framework is essential for completing this study because one of the objectives is to evaluate the implementation of Frontline Monitoring and Support programs from the perspectives of the clients of the Government Employee Pension Fund. It will benefit the study by getting the views and experiences of the clients benefiting from this program.

### **3.8.1.3 The Frontline Service Delivery Monitoring**

The Frontline Service Delivery-Monitoring programme commenced in 2011. The program monitors government facilities at the level of service delivery. The program intends to conduct regular monitoring activities at service delivery points to demonstrate value addition through monitoring results. Monitoring activities' results positively improve service delivery at the service delivery points. Sector departments develop norms and standards at their service delivery points to strengthen this planning and monitoring of service delivery. These norms and measures should be realistic and be continuously monitored. The program thus aimed at enhancing the monitoring activities at the service delivery point to support the decision-making process occurring at the management point. The program intends to:

- provide sector departments with evidence from, and the value of, field visits concerning the reported results.
- show the benefits of collecting balanced information from different sources, including staff and monitors, to produce balanced monitoring results and
- show the value of collecting monitoring information to inform service delivery improvements.

### **The implementation processes.**

The program provides for conducting unannounced visits to evaluate the quality of service delivery at various service delivery points. It shows questionnaires to establish facts about the quality of service at specific service delivery points. It runs questionnaires with both the staff and the citizens receiving the service. It presents monitoring results in the form of scorecards. It then communicates feedback to all the relevant stakeholders in the sector. The officials involved will then develop an improvement plan. The next step involves meeting with key stakeholders to devise a strategy for implementing the improvement plan. The meetings also discuss the challenges arising from the action plan. It continuously assesses improvements in the facility almost every year. These assessments provide the trends of improvement over different periods. The program monitors the facility, location and accessibility, dignified treatment, and citizen experiences. This program is relevant as it enhances the completion of this study since one of the study's objectives is to explore the Government Pension Administration's conformity to and compliance with the policies of the Department. It is imperative to ascertain whether the Frontline Service Delivery Monitoring program serves to improve and enhance service delivery.

#### **3.8.1.4 The Executive Monitoring Support (Izimbizo)**

The political will and leadership play an essential role in delivering public services from the President to the Ward Councilor level (The DPME, 2018-2019). This program uses political leadership as the vehicle that accelerates the delivery of services to the citizens. It seeks to create and foster relationships between the Government and its citizens in the service delivery system. One of the initiatives developed to unblock challenges in the service delivery system is through Izimbizo. The Izimbizo program is a public participation program that focuses on redirecting the Government toward its citizens. It provides a platform for creating dialogue between the Government and its citizens. In this way, a meaningful degree of public accountability exists where public representatives engage citizens on pertinent service delivery issues. The political principals visit the citizens in their villages and residential areas to exchange views on the status of service delivery in their communities. It allows them to contextualize the service delivery challenges experienced in their areas. The Izimbizo

initiative offers the opportunity to develop robust engagements that foster the Government and its citizens to make commitments that improve service delivery. Monitoring these commitments occurs continuously to ensure improvement in the delivery of public services.

### **The implementation processes.**

The process begins with the preparatory arrangements, where stakeholders discuss the issues related to the area the political principals intend to visit. The planned meetings are critical as they discuss all the necessary inputs for the Imbizo visit. The visit necessitates generating a detailed monitoring report and giving recommendations and implementation plans. It also discusses the commitments of the implementation plans with all the relevant stakeholders for buy-in. The interventions are actioned, and a formal report is submitted to the political leadership and the management on the project's performance. Finally, there is a handover and closure of the project. This program is relevant because it fosters the completion of this study since one of its objectives is to explore the Government Pension Administration Agency's conformity to and compliance with the Department of Planning, Monitoring, and Evaluation policies. It appears imperative to explore if utilizing the Izimbizo program is efficacious in improving and enhancing service delivery.

The above sub-section summarizes the Frontline Monitoring and Support programs. It does not attempt to provide a detailed account of the four programs but only affords a brief history of what each involves. It is important to note that the similarity between these programs is two-fold; firstly, it puts the citizens at the center of service delivery. They all allow the assertion of the voices of the citizens. Secondly, it aims to provide feedback about the quality of public services spearheaded by the Government. The following sub-section briefly accounts for the Agency as a case study chosen for this research project. The subsequent sub-section looks at the Government Employee Pension Fund and the mandate of the Government Employee Pension Fund with an inclination towards monitoring and evaluation policies.

### **3.9 THE GOVERNMENT PENSIONS ADMINISTRATION AGENCY: CASE STUDY**

The creation of the Government Pensions Administration Agency separated the Government Employees Pension Fund from its pension administrative component in 2010. The Government Employee Pension Fund was established as a government component in Section 7A (4) of the Public Service Act (1994), effective 1 April 2010. The Government Pensions Administration Agency reports to the Minister of Finance and administers funds and schemes on behalf of the Government Employees Pension Fund. It helps the pension affairs of approximately 1 million and 700 hundred government employees and the beneficiaries of the Government Employee Pension Fund, which are pensioners, member spouses, and orphans. The Government Pension Administration Agency operates within the confines of the broader Public Service legislations and policies; amongst others, it operates within the provisions of the Public Service Act (PSA), the Public Finance Management Act (PFMA), and the Framework for Government-Wide Monitoring and Evaluation (GWM&E). This study interchangeably uses the Government Employee Pension Fund and the Government Pensions Administration Agency.

#### **3.9.1 The Mandate of the Government Pension Fund**

The Government Employees Pension Law (1996) (Proclamation 21 of 1996) reflects on the administration of the Pension Fund. It involves the management of contributions made to the Government Employees Pension Fund. It also focuses on the members' benefits and all the rules and regulations related to the pension processes. It also deals with arrangements undertaken when effecting transfers between different funds, the various kinds of withdrawal from the fund, and the rights and obligations of members and pensioners, member spouses, and orphans. There is a continuous interaction between the Administration of the Government Employee Pension Fund and its members. According to the Government Employee Pension Fund (2017/19, p. 16), the vision is "to be a leading, people-centric benefits administrator in government." It further states its mission is "to serve clients by paying benefits accurately and timeously." It justifies the need to conduct monitoring and evaluation activities to track

progress and get customer feedback about the quality of service delivered by the Government Employee Pension Fund service.

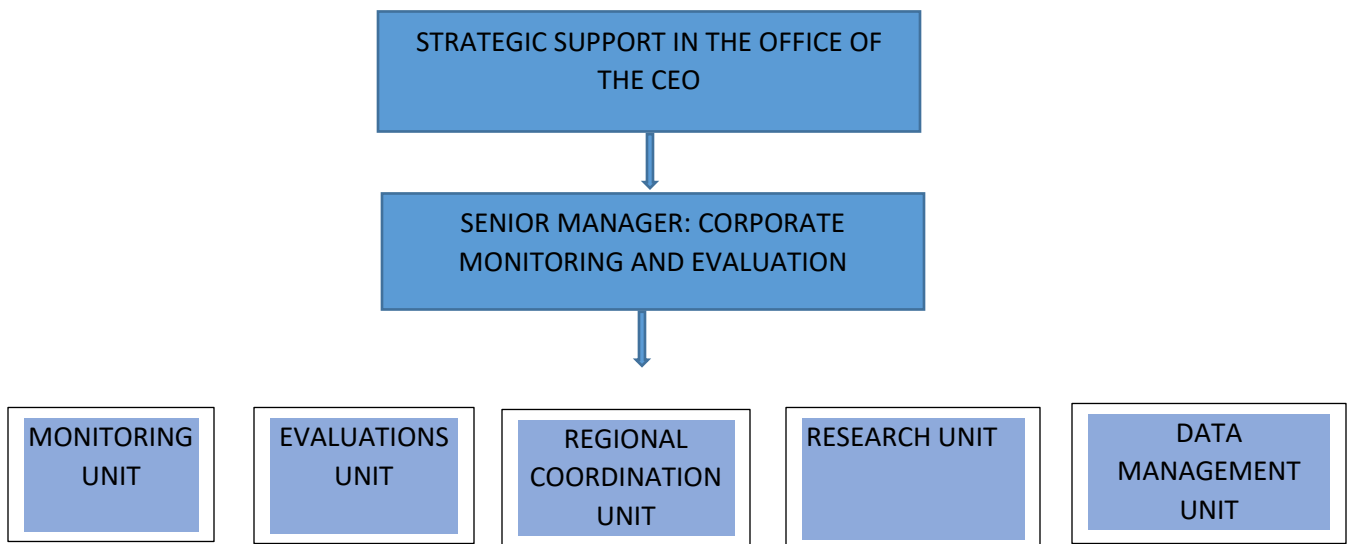
From 2007 to 2009, the Government Employee Pension Fund established the Monitoring and Evaluation Unit and developed the Corporate Monitoring and Evaluation Framework. This initiative followed the Government-Wide Monitoring and Evaluation policy framework, which states that "it is a statutory requirement that the accounting officer of a department or municipality, or the chief executive officer of a public entity, is required to establish a monitoring and evaluation system for the institution" (DPME, 2007, P. 4). The motivation behind developing this policy framework was to monitor and evaluate progress toward achieving strategic goals and enhancing service delivery initiatives in the pension administration system. The Government Employee Pension Fund has embarked on a program that promotes public participation through conducting robust client surveys in the Frontline Monitoring and Support programs, namely, Community-Based Roadshows, Human Resource forums, a Complaints Management system, and the appointment of Regional and Satellite Offices in all the nine provinces of South Africa. Establishing the Corporate Management and Evaluation Unit in the Government Employee Pension Fund is in line with the Batho Pele Principles, which aim at enhancing the quality and accessibility of government services. There is further affirmation of the emphasis on the need to consult citizens and stakeholders on the nature, quantity, and quality of service provided to understand the needs and expectations of the policy users. Customer surveys and monitoring exercises ensure that clients and stakeholders are consulted on the service they require from a particular organization. It is essential to discuss the location of the Monitoring and Evaluation unit within the Government Employee Pension Fund to establish the relationship between these initiatives and service delivery.

### **3.9.2 The Location of the Monitoring and Evaluation Unit at the GEPF**

The organizational structure of the Government Pension Administration Agency locates the Monitoring and Evaluation Unit in the Chief Executive Officer's office. It forms one of the business units under the Strategic Support program. Business units under the Strategic

Support unit, program 1.4, in terms of the organizational structure are the Monitoring and Evaluation Unit, the Communications Unit, the Facilities Unit, and the Human Resource Management Unit. It is an office with some level of influence per the guiding recommendations of the Department. The Chief Director heads the Programme's Strategic Support. It has different business units, including the Senior Manager: Corporate Monitoring and Evaluation. This business unit has five sub-business units: the Monitoring Unit, the Evaluations Unit, the Regional Coordination Unit, the Research Unit, and the Data Management Unit. Regarding the organizational structure, the Complaints Unit does not fall under the Monitoring and Evaluation Unit. Figure 8 below illustrates the organizational structure.

**The organizational structure of the Monitoring and Evaluation Unit**



**Figure 8, Monitoring and Evaluation unit structure**

According to the Standard Operating Procedures of the Government Employee Pension Fund, the responsibilities of the units attached to the above organizational structure of the Monitoring and Evaluation Unit are as follows:

### **3.9.3 The Role of the Corporate Monitoring and Evaluation at the Government Employee Pension Fund**

What guided the establishment of the Monitoring and Evaluations Unit in the Government Employee Pension Fund are, among other things, legislative frameworks such as the National Treasury's Framework for Strategic Plans and Annual Performance Reports and the Framework for Managing Programme Performance Information. The Corporate Monitoring and Evaluation in the Government Employee Pension Fund is a vehicle that tracks how the implementation has progressed and ascertains whether the intended outcomes have been achieved. It uses the Result-Based Monitoring and Evaluation approach to undertake its activities. According to Kimweli (2013), research conducted by the World Bank in 2004 indicated that monitoring and evaluation methods promote active involvement in decision-making for the stakeholders involved in the program or project from the monitoring and evaluation results and recommendations. Otonde and Achayo (2017) point out that the Monitoring and Evaluation system is a set of planning, information gathering, and reporting processes that contribute to decision-making and learning. Using the Monitoring and Evaluation initiative could significantly assist in planning, policy-making, and improvement in program management in an organization (AL-Busaidi, 2018). He further points out that evidence-based policy-making has generally worked with evidence-based decision-making as by-products of the Monitoring and Evaluation system. Thus, the Corporate Monitoring and Evaluation unit is a critical function in the Government Employee Pension Fund as it plays an oversight role. Its primary role is to assess the institutional performance of the Government Employee Pension Fund, apart from assisting the Agency to fulfil its legislative mandate and achieve its strategic goals. The Corporate Monitoring and Evaluation Unit comprises five sub-units: Monitoring, Evaluations, Research, Regional Coordination, and Data Management.

#### **3.9.3.1 The Monitoring Unit**

The role of the Monitoring unit is to monitor, measure progress made, and report on the organization's performance against the Annual Performance Plan. Performance Monitoring

is a critical sub-unit that enables the Government Employee Pension Fund to fulfil its constitutional mandate of serving its two primary customers, the Government Employee Pension Fund, and the National Treasury. The programs of the GEPF should report, every quarter, on their achievement against the set targets. The responsibility of the Monitoring Unit is to stay on the organization's performance. The Monitoring Unit developed a set of indicator protocols to measure organizational performance. It also created a monitoring tool for data collection purposes. It collects performance information from business units and verifies it against the evidence provided. It analyses this information and conducts feedback sessions with relevant business units. Quarterly reports are compiled, and an annual report is produced at the end of the financial year detailing the organizational performance from quarter one (1) to quarter four (4) in every financial year. The Corporate Monitoring sub-unit further monitors the Service Level Agreements and Entity reports. The Monitoring sub-unit assists the organization in checking itself continuously to ensure the attainment of the goals that it has set itself to provide efficient, effective, and economical administration of pension benefits.

### **3.9.3.2 The Evaluation Unit**

The Evaluations Unit evaluates the relevance, sustainability, effectiveness, efficiency, and impact of the projects and programs in the Government Employee Pension Fund. The Evaluations Unit conducts the needs assessment to determine the evaluation needs of the organization. It is thus a demand-driven process where the current evaluation needs are considered. Once it identifies the information gap, it develops the terms of reference that help determine the scope of evaluation work. It then creates the concept note presented to the relevant business units that the study affects. It conducts an evaluation study involving literature review, data collection, data capturing, data analysis, and report writing. The team also manages the outsourced evaluation studies. It conducts the business case and the bid specification process. It also engages the supply chain process until the appointment of the service provider. The process then presents the final approved report with improvement plans to the relevant authorities as feedback to improve the service delivery process. The unit must follow up with the implementation of improvement plans.

### **3.9.3.3 The Regional Coordination Unit**

The responsibility of the Regional Coordination Unit is to monitor the provision of services by the Government Employee Pension Fund at the service delivery level, that is, at the client interface level. It develops the regional office monitoring plan. It conducts the frontline service monitoring exercise in the regional offices. The Regional Coordination Unit conducts client satisfaction surveys on the five (5) communication channels of the Government Employee Pension Fund, that is, walk-in centers, mobile offices, and call centers, as well as email and outreach activities (roadshows, retiring member campaigns, Human Resource forums). The information generated by the Regional Coordination sub-unit is shared among the relevant management to inform decision-making and facilitate change in areas that require improvement. The Regional Coordination sub-unit works closely with the Client Relationship Management Unit to aid in quality assurance from an objective perspective. In conducting evaluations, the unit follows the normal evaluation process of completing the evaluation study, which involves literature review, data collection, data capturing, data analysis, and report writing. The final step is presenting the final approved report with improvement plans directed to the relevant authorities as feedback to improve the service delivery process. The unit must embark on the implementation of the improvement plans.

### **3.9.3.4 The Research Unit**

The Research Unit involves conducting and guiding literature reviews for specific research projects, producing articles, conducting research studies, and identifying research gaps within the Government Employee Pension Fund. The Research Unit performs a needs assessment to determine the organization's research needs. Thus, considering the organization's current research needs, it is a demand-driven process. Once it identifies the research gap, it develops the terms of reference that help determine the research work's scope. It then creates the research proposal for the relevant business units affected by the study. It conducts the research study involving literature review, data collection, data capturing and analysis, and report writing. The final step is presenting the approved report with findings and a recommendation plan to the relevant authorities for decision-making. The results assist the

organization to remain at par with its counterparts on the global scale while also ensuring that it adheres to the best practices in administering pensions.

Furthermore, the unit is a center for helping academic research requests from inside and outside the organization. Employees who would like to utilize the data obtained from the Government Employee Pension Fund to conduct scholarly research or publications can make their requests in writing to the office of the Acting Senior Manager: Corporate Monitoring and Evaluation. The relevant authorities review the submissions and may approve meeting all the relevant criteria. The findings also inform decision-making at the management level.

### **3.9.3.5 The Data Management**

The responsibility of the Data Management Unit is to develop data management systems for the Monitoring and Evaluation Unit. It sets monitoring and evaluation data requirements. It also designs a monitoring and evaluation system to automate reporting. The system provides tools for automated data collection and data capturing. For example, the Data Management Unit generates the links the Corporate Monitoring and Evaluation sent out to programs for quarterly reporting and survey completions. The Data Management Unit also does the data verification process. The system can also verify performance information against the information generated by the system. This support unit serves to provide data management services to other sub-units. The unit boasts expertise in Information Technology that assists Corporate Monitoring and Evaluation to store, manage, and analyze complex data in simplified formats. The Data Management Unit also supports other business units, like Human Resources, in automating largely manual data collection tools for easy reporting. The Corporate Monitoring and Evaluation Unit in the Government Employee Pension Fund accepts requests from various business units to assist, if a need arises, for a survey, study, or any research work as far as the budget and operational plan of the team allows. The unit acts as a mirror of the organization as it offers an opportunity for the organization to embark on an introspective examination of its operations to determine whether it needs adjustment, changes, or to maintain the status quo. The Corporate Monitoring and Evaluation Unit provides information that helps the organization to improve and avoid advancing in the wrong

direction. It is imperative to note that if the Monitoring and Evaluation exercise is effective, the organization accomplishes its mission of serving clients by paying out their pension funds accurately and timeously. Ultimately, the product is realizing the vision to ensure that the organization has satisfied, served, valued, dignified, cared for, and empowered the client base.

### **3.10 FRONTLINE MONITORING AND SUPPORT FOR THE GEPF**

#### **3.10.1 COMMUNITY ROADSHOWS PROGRAMME**

Investopedia (2014 Internet source) states that a roadshow is a process of engaging the business clients through reaching out to and educating the clients about the business benefits. It affords educational presentations to potential clients and stakeholders across the country. It also provides a platform that measures the client's level of satisfaction regarding the services the business has been offering. Such a survey typically includes questions relating to accessibility, courtesy, professionalism, and service delivery. The purpose of community-based road shows is to assist the communities in understanding the various benefits the Government Employees Pension Law provides. It also includes information on accessing the benefits under the theme: "*partnership in service delivery.*" The roadshows are part of the concerted effort by the Government Employee Pension Fund to get closer to its clients and stakeholders to build cordial relationships that promote an understanding of the services and processes of the Government Employee Pension Fund by its members. By coordinating community road shows on behalf of its customers, the Agency can reach out to members, pensioners, and beneficiaries, which allows for the promotion of its customers' core services and an enhancement of direct interaction with communities.

#### **The objectives of roadshows**

- To increase the footprint of the Government Employee Pension Fund organization,
- To improve accessibility to the clients,
- To create a platform for face-to-face interaction,
- To empower and educate clients on the GEPF benefits,

- To enhance GEPF branding awareness and educate clients on other pension-related issues and services,
- To provide clients with information from the GEPF's stakeholders, such as SARS, GEMS, and FSB, which affect their pension matters and
- To introduce GEPF as a pension fund administrator.

### **Implementation process**

The responsible agency unit identifies the area of the roadshow visit. The relevant business units hold the planning meeting in preparation for the holiday. The panel discusses the roles each business unit must play. It also discusses the program of that day, including the executive leadership, the number of members expected, stakeholder invitations, program directors, and all other relevant aspects. The appropriate business units conduct presentations on the Government Employee Pension Fund services. There is an opportunity for a question-and-answer interaction, and later, one-on-one consultation with the client liaison officers punctuates the interface show. All the units' reporting processes record all these proceedings accordingly. The Monitoring and Evaluation Unit conducts observations and later performs a client satisfaction survey to assess the level of client satisfaction regarding the whole event. The next step involves compiling the final report for submission to the relevant authorities. There are no follow-up meetings held to implement the action plans. This initiative closely relates to the Executive Monitoring program (Izimbizo). It is essential to convey this initiative to the existing guidelines developed by the Department to establish conformity. On top of that, it also shows if these reports seek to influence improvements in service delivery.

### **3.10.2 GOVERNMENT EMPLOYEE PENSION FUND WALK-IN CENTRE OFFICES**

The Government Employee Pension Fund administers the pension affairs for almost 1 million 300 active members and about 400 pensioners, spouses, and orphans. The membership of the Government Employee Pension Fund spreads throughout the country. The Walk-In Centre thus must provide the services of the Government Employee Pension Fund to all the members scattered in the nine provinces of South Africa. To provide the highest level of service to all

the members, regardless of where they reside, the Government Employee Pension Fund established its offices in all nine provinces. It has expanded its representation by introducing seven additional satellite offices to serve its members, pensioners, and beneficiaries. The Walk-In Centre offices aim to address inquiries and provide GEPF services at a central point closer to the clients residing in the region.

### **The objectives of the Walk-In Centre offices**

- To increase the footprint of the Government Employee Pension Fund organization,
- To improve accessibility to the clients,
- To create a platform that fosters face-to-face interaction,
- To empower and educate clients on the GEPF benefits,
- To enhance the GEPF branding awareness and educate clients on other pension-related issues and services and
- To allow clients to rearrange their plans.

### **The implementation processes.**

The Government Employee Pension Fund has offices throughout the country. Initially, it had nine offices in all the provinces in South Africa. However, it has increased its footprint through the additional seven satellite offices necessitated by client demand. The membership of the Government Employee Pension Fund and the location of the offices are some of the criteria used to determine the need for the office of the Government Employee Pension Fund in a specific area. The Government Employee Pension Fund established these offices to bring its services closer to its clients. These offices deal with different inquiries at the regional and local levels. The Government Employee Pension Fund employs client liaison officers and trains them to administer the office. The resolution of some of the inquiries occurs on the spot. The client liaison officers refer other questions to the national office for further investigation. These referral regional and satellite offices are equipped with the resources to deliver the Government Employee Pension Fund's services effectively. Amongst other systems, the Government Employee Pension Fund installed the Queue Management System, which records the service providers' interaction with the client from entry to exit points. In

addition to that, the Government Employee Pension Fund installed the Client Satisfaction Device in each regional office. The clients that visit the regional office complete the device after they receive the service. At this point, the client can reflect on their experience regarding the quality of the service delivered. This information is analyzed quarterly to establish the performance of each office. Sharing reports with regional offices informs service delivery improvements and serves management as the basis for decision-making. This initiative closely relates to the Frontline Service Delivery-Monitoring program. It is imperative to describe this initiative to the guidelines developed by the Department of Planning, Monitoring, and Evaluation to establish conformity. Further, the initiative seeks to establish if these reports are of meaningful benefit in terms of improvements in service delivery.

### **3.10.3 THE HUMAN RESOURCE FORUM PROGRAMME**

The Human Resource Forum aims to find effective ways of working with stakeholders to benefit members, pensioners, and beneficiaries. The primary purpose of these Human Resource forums is to highlight challenges faced by the Agency in dealing with claim processing and to seek proposals from stakeholders on how they could assist in addressing the challenges. This information sharing strengthens the performance of the Government and eventually improves the level of service delivery.

#### **The objectives of Human Resources Forums are:**

- To increase the footprint of the Government Employee Pension Fund organization,
- To improve accessibility to the stakeholders,
- To create a platform for face-to-face interaction with stakeholders,
- To enhance the Government Employee Pension Fund's branding awareness and educate stakeholders on other pension-related issues and services and
- To share information with the GEPF's stakeholders, such as SARS, GEMS, and FSB.

## **Implementation process**

The Client Relations Unit identifies the area of the Human Resources Forum to visit. All the relevant business units hold the planning meeting preparing for the visit. The panel discusses the roles each business unit ought to play. It also discusses the day's program, including the expected number of members, stakeholder invitations, program directors, and all the relevant aspects. On the day of the event, the appropriate business units present the expectations of the Government Employee Pension Fund from the perspectives of employer departments. It also provides statistics reflecting the provincial departments' performance processing the Government Employee Pension Fund documents. It provides a platform that enables a discussion of the challenges experienced by the employer departments in delivering the Government Employee Pension Fund services. There is an opportunity for a question-and-answer session where stakeholders raise queries about service delivery by the Government Employee Pension Fund. All the involved units record the proceedings. The Monitoring and Evaluation Unit conducts observations and later conducts the client satisfaction survey to assess the level of client satisfaction regarding the whole event. The next step is compiling the final report for submission to the relevant authorities. The Agency does not hold meetings to plan for implementation of recommendations. This initiative closely links with the Citizen-Based Monitoring program. It looks at the relationships and the involvement of the employer departments in the Government Employee Pension Fund service delivery chain. It is interesting to establish how the Government Employee Pension Fund interacts with its based forums to integrate its service delivery, considering their daily experiences in service delivery. This interaction should result in improved or enhanced service delivery by the Government Employee Pension Fund.

### **3.10.4 THE COMPLAINTS MANAGEMENT UNIT**

The Complaints Management Unit receives most of the complaints channelled through emails. The Complaints Management Unit receives and assesses the complaints to determine the relevant business unit that should address complaints. For example, if the complaint relates to services rendered by the Client Relations Management Unit, the team handles it. The

Complaints Unit officials must gather sufficient information from the complainant to investigate and resolve the complaint. The relevant business unit then embarks on a comprehensive investigation. During this process, the business unit forwards an acknowledgment notice to the complainant, updating them about the status of their complaint. Then, remedial action takes place after the conclusion of a full investigation. The discussion and implementation of the change process occur with the relevant stakeholders. The sender gets detailed feedback within 48 hours of receipt. In complex cases, the investigating official sends interim input in the form of an email reporting on progress and indicating that the investigation of the matter is still underway. The client liaison officer forwards an email to the relevant Department, which is supposed to respond within 24 hours of receipt of the complaint for investigation. Submitting the responses from departments to the Client Relations Management occurs within 24 hours after the Department has received the complaint from the Client Liaison officer, which would have included the categorization of the complaint. In complex cases, the relevant officers communicate through telephone, email, or letter, notifying the complainant about the progress made indicating that the matter is still under investigation.

The above sub-section has discussed the Government Employee Pension Fund mandate with specific reference to monitoring and evaluation policies. Firstly, it contextualizes the Government Employee Pension Fund, its functions, and its relationship with service delivery. The Government Employee Pension Fund administers the services it provides to its clients. The sub-section briefly discusses the initiatives the Government Employee Pension Fund implements to monitor and evaluate its public policy mandate. The study has examined the Community Road shows, Human Resources Forums, Walk-In Centre offices, and the Complains Unit. The study has attempted to link these initiatives to the Frontline Monitoring and Support guidelines provided by the Department. The sub-section also discusses the structure of the Monitoring and Evaluation Unit within the enormous system of the Government Employee Pension Fund. In addition to these aspects, the study examines the responsibilities of the various sub-units operating under the Government Employee Pension Fund's Corporate Monitoring and Evaluation Unit.

### 3.11 CONCLUSION

The discussion on the purposes of Monitoring and Evaluation shows that the initiative has various meanings. Rossi et al. (2004) indicate that Monitoring and Evaluation aims to improve a particular policy, program, or project, enhance accountability in the organization, provide a platform for generating knowledge, and provide the opportunity to make informed decisions. The discussion on the service delivery, monitoring, and evaluation approaches is critical because it allows for literature on policies, institutional arrangements, public administration, the Public Service environment, monitoring, and evaluation methods from which the Frontline Monitoring and Support programs operate.

The successful institutionalization of the monitoring and evaluation system requires proper planning and intensive discussion to share ideas that foster a credible development of the monitoring and evaluation system. This process takes a long period because it involves many complex processes to ensure the consideration of all the essential integrities of monitoring and evaluation. The general concern is that the challenges in Monitoring and Evaluation result from failure to understand the rationale for conducting a monitoring and evaluation exercise. The consequences of these misunderstandings and misconceptions are so enormous that they hinder the effective implementation of Monitoring and Evaluation policies. The results of the failure of the public policy implementation processes imply the loss of service delivery, which eventually fails the Government. The public policy implementation process operates within the parameters of legislation, laws, regulations, policies, and guidelines. It is then imperative to contextualize the study within the rules and procedures the public policy delivery system operates under. The study consulted several relevant policies, including the country's first law, the Constitution of South Africa.

The Department is the custodian of the Monitoring and Evaluation policies in Government. It provides guidelines and direction on the monitoring processes undertaken by government institutions. It continues to discuss the role of Monitoring and Evaluation units in various government departments. It emphasizes integrating the reporting function to ensure coordination for quality Monitoring and Evaluation results. The Government Employee Pension Fund administers the fund, providing services to its clients. The final sub-section discusses the Government Employee Pension Fund's initiatives to monitor and evaluate its

public policy mandate. The study examined the roles and the operational issues around Community Road shows, Human Resources Forums, Walk-In Centre offices, and the complaints unit.

## **CHAPTER FOUR: RESEARCH METHODOLOGY**

### **4.1 INTRODUCTION**

This chapter discusses the processes and procedures followed in undertaking this study. Research methodology is one of the basic principles required to conduct and achieve reliable conclusions about the chosen topic. Method refers to how the researcher thinks and intends to study social phenomena (Corbin & Strauss, 2008). Research methodology assists researchers by providing a scientific process for collecting and discussing relevant information. Thus, research is generally based on a specific method that generates appropriate information to contribute to the body of knowledge about the research topic.

The first part of the chapter discusses the research approaches employed in the study. As a case study, the study used a qualitative approach to examine the implementation of frontline monitoring support programs in the Government Employee Pension Fund. This research approach was necessary to get in-depth and rich information regarding the life experiences and interpretation of the officials and recipients of the Frontline Monitoring and Support programs. Thus, the study was conducted within the interpretivism paradigm and was exploratory. Data were collected through primary and secondary methods. In doing that, the study utilized documentary analysis and interviews as data collection tools. The study used thematic analysis to analyze the qualitative data, with graphs and percentages as part of the data analysis.

### **4.2 RESEARCH PARADIGM**

The research paradigm assists researchers by providing guidelines in the inquiry process (Clarke, 1999). It provides the basis for the joint practice that directs researchers to use research methodologies relevant to the phenomena under investigation. Terre-Blanche and Durrhein (2006) concur that a research paradigm is a set of beliefs and practices that guides

researchers in understanding and addressing problems. According to Guba (1990), research paradigms can be characterized through three dimensions. These are ontology, epistemology, and methodology.

#### **4.2.1 Ontology**

Ontology focuses on the nature and origins of reality about the study phenomena. It is preoccupied with the spirit of claims and assumptions that form the basis of constructing reality about the social world. Blaikie (2000) indicates that ontology focuses on enquiring about what exists, how it is structured, and how the interrelated components of reality interact. The study seeks to investigate what exists: an investigation of the Frontline Monitoring and Support program's position in the South African public sector. It also seeks to establish if there is adherence by sector departments to the monitoring and evaluation policies and, lastly, the interrelations within the different structures in the Frontline Monitoring and Support programs. Berger (1967) believes that the basis of social construction is reality. Reality construction is through human experience, meanings, and understanding that eventually becomes the social construct of the world.

The study's first objective is to understand the Department of Planning, Monitoring, and Evaluation policies on implementing Frontline Monitoring and Support programs. The study examined the reality of monitoring and evaluation policies in the Department of Planning, Monitoring, and Evaluation. The literature review, particularly in chapter three, discusses the Frontline Monitoring and Support policies of the Department of Planning, Monitoring and Evaluation. Thus, chapter three confirms that the Department of Planning, Monitoring, and Evaluation has policies informed by the Frontline Monitoring and Support programs.

### **4.2.2 Epistemology**

Epistemology tests whether what people take as an assumption for reality can be known as reality. It is concerned with generating knowledge about the existing facts. Developing proficiency in any social context will keep changing, as several factors interacting within the social world influence researchers. One of the study's objectives is to ascertain the implementation of Frontline Monitoring and Support programs as practiced in the Government Employee Pension Fund. This objective intends to discover the implementation processes of frontline monitoring and support at the Government Employee Pension Fund. Thus, the study unpacks the methods of generating knowledge about implementing frontline monitoring and support. The literature reveals that the Agency has the Frontline Monitoring and Support programs. Understanding is influenced and constructed by those involved in the research process (Mertens, 1998). Grix (2002) indicates that the theory of knowledge concerns how knowledge is gathered. This study seeks to examine the implementation of Monitoring and Evaluation policies in the public sector. Thus, it follows a scientific approach to pick new knowledge about implementing monitoring and evaluation policies in the public sector.

### **4.2.3 Exploratory research**

Exploratory research is conducted to obtain an in-depth understanding of the subject matter study under investigation. Burns and Grove (2001) indicate that an in-depth knowledge of a phenomenon allows the researcher to gather enough information to help increase the knowledge base of the subject. The study examines the implementation of Frontline Monitoring and Support programs at the Government Employee Pension Fund. The study examined the available literature on monitoring and evaluation policies in the public service. It also explored whether the Government Employee Pension Fund is implementing the Frontline Monitoring and Support programs according to the guidelines of the monitoring and evaluation policies. Mouton (2008) asserts that a literature review is regarded as the first part of exploratory research. The data gathered during the literature review assists the researchers in identifying gaps and areas that need thorough investigation. This way, the

researcher can identify gaps and provide data on implementing Frontline Monitoring and Support programs at the Government Employee Pension Fund.

#### **4.3 RESEARCH APPROACH: Qualitative and quantitative methodology**

The mixed method technique was used in the study, which included qualitative and quantitative methodological methods. It emphasized qualitative research designs over quantitative designs. According to (Blanche, 2006, p. 47), qualitative research obtains data by collecting written or spoken material recordings, open-ended semi-structured questionnaires, and performing observations. Rubin and Rubin (1995) agree that the qualitative research approach focuses on people's stories about their experiences. It implies that researchers gather information through formal engagements with people who know about the study phenomena. The researcher had formal meetings with Government Employee Pension Fund management about the purpose and objectives of the study. The researcher was permitted to use the Government Employee Pension Fund as a case study. The study's primary goal is to examine the implementation of monitoring and evaluation policies in the Government Pension Administration Agency. In doing this, the study examined the Department of Planning, Monitoring, and Evaluation policies, which in this case was documentary analysis.

Christiansen (2010) indicates that qualitative research is also based on textual and graphic data. The notion is that qualitative methodology will be utilized when the study under investigation requires an in-depth analysis of the phenomena. This methodology thus allows research participants to express their experiences, feelings, and perceptions on a particular subject matter with a maximum level of subjectivity (Sarantakos, 2005). The study interviewed officials from 9 Government Employee Pension Fund monitoring and evaluation units to establish if the Government Employee Pension Fund is complying and conforming to the Department of Planning, Monitoring, and Evaluation policies. The interviews allowed research participants to share their experiences, perceptions, and feelings about the implementation of monitoring and evaluation policies in the Government Employee Pension

Fund. Mathews and Ross (2010) share that qualitative methodology allows the researcher to interact with the research participants on the narratives about experiences and understanding of individual and group constructs. The study also conducted a survey to assess the satisfaction of the 40 Government Employee Pension Fund clients who benefited from the Frontline Monitoring and Support programs. This part examined clients' perceptions and experiences about Government Employee Pension Fund services.

Bold (2015) shares the view that narratives are written and told stories that explain how certain things happened as the events that occurred at a specific time. Thus, qualitative researchers can make more sense from collected data through qualitative methodologies. These researchers can collect detailed and in-depth data from research participants in a much more relaxed environment designed to capture the absolute truth in action (Blaxter et al., 2006). The study also interviewed the 9 Government Employee Pension Fund business unit managers. The study was conducted on a few people. However, Corbin and Straus (2008) confirm that a small sample has the potential to produce the study results containing the depth and significance of the research problem. It is also a cost-effective research method since it will cost less because it focuses on a few people. The only challenge that (Mathews and Ross, 2010) indicate with the use of qualitative methodology is that it cannot generalize a small group of people's thoughts, behaviours, and experiences.

Although the study placed more emphasis on qualitative research design, the study also contained the elements of quantitative methodology. The quantitative part constitutes the analysis of figures in the form of percentages and graphs. Quantitative analysis solely supplements qualitative rather than quantifying data (Bloomberg & Volge, 2012). This study used quantitative data collection methods and analysis elements to collect and analyze data about the level of client satisfaction in Frontline Monitoring and Support programs. The 40 Government Employee Pension Fund clients serviced in one of the four frontline monitoring and evaluation programs were the subjects of the study, and the quantitative analysis of this data involved percentages, tables, and graphs. The quantitative analysis was pertinent to support the qualitative research, so there was minimal use of the quantitative methodology.

#### **4.4. RESEARCH DESIGN: Case study**

Bromley (1990, p. 302) defines case study research as “a systematic inquiry into an event or a set of related events which aims to describe and explain the phenomenon of interest.” Thus, the case study research method is a practical inquiry that examines observable facts (Yin, 2014). The application of case study methods is usually in a real-life context when the researcher explores the phenomena under investigation. Chapter One mentions that the Government Employee Pension Fund is a government agency. Using a case study approach was adequate to generate an in-depth understanding of implementing monitoring and evaluation policies in the public sector. The study seeks to understand how the Agency implements different procedures.

This study utilized instrumental case study design to understand and gain insight into a specific topic. The subject under investigation contributes to the understanding of the subject. Through the instrumental case study design, the researcher gathered extensive information about the organization, policy, or program the study seeks to address, that is, to implement monitoring and evaluation policies at the Government Employee Pension Fund.

Some researchers have criticized the case study design, arguing that case study designs are more of a single case and thus cannot be generalized conclusions. However, Nieuwenhuis (2007) counter-argued that the main objective of a case study is not to generalize. However, to gather extensive information and insight about the case under investigation. For Hamel (1993), the case study allows researchers to investigate the phenomena in a closed local setting with a global perspective. Thus, the case study design allows the researcher to get an insight into the situation; it gets to the personal feeling, which is impossible in statistical studies, as it provides information about the situation's complexity by examining the behaviour in question. It involved critical stakeholders in the implementation of Frontline Monitoring and Support programs. These policies guide the public sector departments in implementing Frontline Monitoring and Support programs. The study also interviewed agency managers and their clients. These stakeholders are critical participants in implementing Frontline Monitoring and Support programs.

#### **4.5 GAINING ACCESS TO THE RESEARCH SITE**

The researcher wrote a formal letter to the gatekeeper to request access to conduct a research study at the Government Pension Administration Agency. The memo was sent through the Research office, which deals with all requests about research in the Government Employee Pension Fund. Several executive managers sign off the message to ensure that the study meets the policy requirements of the Government Employee Pension Fund. On 30 July 2018, permission to conduct a study using the Government Employee Pension Fund as a case study was granted on the condition that the research report should be shared with Government Employee Pension Fund management after the survey.

In January 2019, the UKZN Human and Social Sciences Research Ethics Committee granted the ethical clearance letter to the researcher. In May 2019, the researcher distributed the electronic interviews through the Government Employee Pension Fund research office. The research office coordinates all studies conducted at the Government Employee Pension Fund. The questionnaire explained the purpose of the research and was also coupled with the informed consent. Additional information about confidentiality and consent was added to the e-mail. Two sets of questionnaires were directed to the Government Employee Pension Fund officials; the first was sent to the monitoring and evaluation unit of the Government Employee Pension Fund, and the second was sent to the managers heading different business units. The researcher requested the data management unit of the Government Employee Pension Fund to develop an electronic data collection tool that would allow the research participants to respond and submit easily. The questionnaires were transferred to the electronic data collection tool, and a link was developed for accessibility. Questionnaires were thus distributed through e-mail to the sampled population. Upon completion, the research participants submitted the questionnaires. The responses were delivered to the data management unit through electronic submission. The data management official who was responsible forwarded the answers to the researcher. Although the response rate was reasonable, there was a challenge with the return rate of the questionnaires. April and May are the busiest months in the public service. The Agency management is usually active with strategic planning sessions, annual performance plan sessions, and the development of performance agreements, which was the reason for late responses to the questionnaire.

The third part of the questionnaire involved the Government Employee Pension Fund. The Agency members include active members, pensioners, and other beneficiaries. Active members are people that the Government Employee Pension Fund currently employs. Pensioners are members who have retired but earn their pensions from the Government Employee Pension Fund. Other beneficiaries are orphans and spouses who are also getting benefits. The same questionnaire was conducted for four different groups. Thus, questionnaires were completed in the walk-in center, community roadshows, complaints management, and human resource forums.

In the walk-in center, face-to-face interviews were conducted. The researcher went to the Pretoria walk-in-centre office and explained the purpose of the research to the office manager. The researcher was allowed to interview clients visiting the office because there was also a gatekeeper's permission memo. The researcher explained the purpose of the research and requested permission to conduct the study. The researcher recorded all responses from researchers who were willing to participate because other participants did not have time to respond.

On the human resource forum, the researcher accessed the lists of members who had attended the discussion from the monitoring and evaluation unit. The official called the sampled population to request them to participate in the research. He explained the issues of confidentiality and informed consent—the researcher then sent the electronic questionnaire to the research participants. The response rate was low in that not all sampled populations responded. The researcher opted to conduct telephonic interviews, eventually reaching the sampled target. The responses were recorded and later transcribed.

The community roadshow and complaints management questionnaire were conducted through telephonic interviews. The researcher realized that these members might need access to e-mail. Thus, electronic interviews were discarded, and only telephonic interviews were conducted. The official called the sampled population to request them to participate in the research. He explained the issues of confidentiality and informed consent. The responses were recorded and later transcribed. Thus, the researcher noted that most of the interviews were telephonic. It was not a diversion because it was also one of the data collection methods.

#### **4.6 STUDY POPULATION**

According to Polit and Hungler (1999), the population is the total of all subjects, objects, or individuals who meet a particular set of requirements. The population was split up into three categories for this investigation.

- In the first category, Government Employee Pension Fund (Monitoring and Evaluation) Officials, the staff complement of the Monitoring and Evaluation unit is eleven, and the study only targeted nine officials because the two officials were new interns and, therefore, had minimal exposure.
- The second category was the Government Employee Pension Fund unit managers. The staff complement of unit managers is twenty-six, but this investigation only considered the unit managers personally responsible for monitoring functions. The target was eleven, but only nine officials responded to the questionnaire.
- The third category was Government Employee Pension Fund Clients from all programs, e.g., Human Resource Forums, Hotline Services, Community Roadshows, and Walk-In-Centre. The total population of Government Employee Pension Fund Clients is one million and two hundred as of 2019. It includes retired members, active members, spouses, and orphans. However, the average number of people visiting the GEPF services is one hundred to two hundred across the programs. The study randomly selected ten clients from each program.

#### **4.7 SAMPLING TECHNIQUES**

Selection of the study population is one of the essential processes of conducting research. (Given, 2008) indicates that the researcher must provide reasons for selecting the study population in qualitative research. The author further explains that the study population involves a group or groups of people with a particular characteristic of interest to the researcher. Burns (2003) concurs and states that the study population involves all elements with common traits for inclusion. The Government Employee Pension Fund was selected to conduct this study. It was chosen because it is one of the public service departments (Agencies) governed by government laws, legislation, and policies. It must thus comply with

the broader public sector policies. This study examined the implementation of monitoring and evaluation policies by the Government Employee Pension Fund. The Government Employee Pension Fund is a Government Agency operating at the national level. It provides pension services to clients in various contact offices in the provinces. There is, thus, a client interface at the contact office level.

(Higson-smith and Bless, 1995) indicates that sampling is the process of selecting relevant cases for the study. It allows the researcher to decide which people, areas, and behaviours to observe. In qualitative studies, the sample size is usually smaller than in quantitative studies. The sample should be designed to cover all essential research participants. The researcher must ensure that the model is manageable so that data is varied and manageable. The study selected the Government Employee Pension Fund officials and its Frontline Monitoring and Support clients to conduct this study. This selection is informed by (Cohen et al., 2001), who point out that purposive sampling is deliberately selective. Thus, a sample study should only partially represent the population. However, it should consist of individuals with rich information and knowledge providing valuable ideas, opinions, and experiences about the subject under investigation.

The study utilized a non-probability judgemental or purposive sampling design. Qualitative research samples are purposive by nature (Carter & Little, 2007). Purposive sampling involves selecting subjects with a specific purpose in mind. There is prior knowledge about the population under investigation and the relevancy to the study. When using purposeful sampling, the participants are selected because they have specific characteristics that will provide relevant data for the analysis. Cohen et al. (2001) concur that purposive sampling is indeed done in a deliberately selective manner. Thus, a sample study should only partially represent the population. However, it should consist of individuals with rich information and knowledge providing valuable ideas, opinions, and experiences about the subject under investigation. In category 1, the study interviewed nine research participants from the Monitoring and Evaluation unit. Electronic interviews were conducted with officials currently working in the Monitoring and Evaluation unit. All nine officials responded to the questionnaire. Welman and Kruger (1999) indicate that interviewing subjects with an acceptable position and experience is better than interviewing the whole group. These officials had rich information about implementing frontline monitoring and evaluation

policies in the Government Employee Pension Fund. It addresses one of the objectives of this study, which is to establish whether the Government Employee Pension Fund complies or conforms to monitoring and evaluation implementation directives. In Category 2, there were of planned interviews was 11, but only nine responded. These participants comprised Government Employee Pension Fund business unit's managers directly involved and reporting to the monitoring and evaluation unit. Ruben (1983) states that purposeful sampling involves a limited number of the study population that can provide in-depth information. (Cresswell, 1994) also concurs that purposeful sampling selects those individuals or objects that can answer questions on details *vis-à-vis* the subject under investigation. The participants of this category provided rich information concerning the implementation of monitoring and evaluation policies in the Government Employee Pension Fund. It also addresses one of the objectives of the research study, which is to analyze the implementation of Frontline Monitoring and Support programs as practiced in the Government Pension Administration Agency.

The third category, three interviews, comprises four different participant groups based on the four programs. The study interviewed 40 research participants in total. A list of Government Employee Pension Fund members was sourced from the monitoring and evaluation unit. This list comprised Government Employee Pension Fund members who have either attended the Government Employee Pension Fund event or visited the Government Employee Pension Fund offices for pension services. The researcher selected available research participants. Thus, the study used convenient or accidental sampling. The other term for suitable selection is "*man in the street interview*" (Tichapondwa, 2013, p. 123). This sampling technique was relevant as the researcher selected its sample from participants who were voluntarily available while conducting the study. Convenience sampling uses the first open data source without any requirement. It uses conveniently available research participants. Electronic, face-to-face, and telephonic interviews were conducted with research participants in the four programs: human resource forum, community roadshow, walk-in-center, and complaints management. Thus, ten interviews were conducted with participants from each of the four programs, which was 40 interviews in total. These participants are beneficiaries of Government Employee Pension Fund services from different programs. This category

provided information about the experiences and perceptions of beneficiaries. Table 4 below summarises the research participants.

**The summary of Government Employee Pension Fund officials and Government Employee Pension Fund members who participated in the study.**

<b>Research participants</b>	<b>Target</b>	<b>Achieved</b>
Government Employee Pension Fund (Monitoring and Evaluation) Officials	9 (Electronic interviews)	9 (Electronic interviews)
Government Employee Pension Fund unit managers	11(Electronic interviews)	9 (Electronic interviews)
Government Employee Pension Fund Clients (Human Resource Forums)	10 (Electronic interviews)	10 (Electronic and telephonic interviews)
Government Employee Pension Fund Clients (Hotline Services)	10 (Telephone and electronic interviews)	10 (Telephone interviews)
Government Employee Pension Fund Clients (Community Roadshows)	10 (Telephone and electronic interviews)	10 (Telephone interviews)
Government Employee Pension Fund Clients (Walk-In-Centre)	10 (Face-to-face)	10 (Face-to-face)
<b>Total</b>	<b>60</b>	<b>58</b>

## **4.8 DATA COLLECTION**

(Leedy, 2001) states that data is the grouping of different pieces of information that the researcher observes in the research process. The departure point of data collection is when the researcher decides where, how, and from whom to get information (Talbot, 1995). The study utilized two sets of data, which are primary and secondary.

### **4.8.1 PRIMARY DATA**

Primary data involves the original observations collected by the researcher for the first time for any investigation. The direct data approach provides an in-depth search for relevant information. It explores the truth about the reality of issues in the current setting by investigating and finding answers from opinions, perceptions, and experiences regarding the phenomena. The study conducted interviews with 58 research participants. Interviews were conducted with both Government Employee Pension Fund officials and the Government Employee Pension Fund members. The interviews contained both open and closed-ended questions in both primary data sources.

#### **4.8.1.1 Interviews**

The study utilized interviews to collect data. Interviews are used in most case studies since they can source the perceptions and experiences of the participants. (O'Sullivan, 2002), indicates that interviews allow the researcher to get more data, probe more deeply into the subject, and ask more sensitive and valuable questions. (Hallett, 1999) states that interviews are an acceptable style that provides the opportunity to elicit genuine views and feelings from participants. An interview was generated after a thorough literature search to ensure that a gap was established in the body of knowledge.

The interview guide contained semi-structured interviews to gather information. (Fox, 2007) states that semi-structured interviews are unstructured in that they ask broad questions and allow the researcher to choose the questioning procedure to obtain the required information.

All three sets of questionnaires contained semi-structured interviews. The aim was to solicit in-depth details about the experiences in implementing the Government Employee Pension Fund's frontline monitoring and evaluation policies.

Using interviews as a data collection method has various advantages and disadvantages. The advantages are:

- It provides personal views and explanations,
- the researcher can gather data systematically,
- it ensures that no data is omitted because it allows the researcher to probe further and get detailed information,
- Lastly, the researcher can validate the data.

The disadvantages associated with the interviews as a data collection method are:

- participants may give the researcher what he wants to hear;
- it is costly to manage compared to conducting a survey.
- Lastly, interviews are shallow and limited to the sample population. Interviews are relevant when sourcing sensitive information.

The advantages of conducting interviews supported the study. In the face-to-face and telephonic interviews, the researcher could probe and further elaborate in cases where the question was not understood. Trust developed between the researcher and the subjects through interview interactions, allowing the participant to disclose sensitive information.

The questionnaire contained closed, open-ended questions about implementing Government Employee Pension Fund policies. Open-ended interviews do not use one-word answers; they allow participants to express themselves (De Vos, 2011). The questionnaire directed to the Government Employee Pension Fund monitoring and evaluation officials and Government Employee Pension Fund business units contained open-ended questions. The aim of constructing the questionnaire in this manner was to ensure that the questionnaire was able to solicit in-depth information about the implementation of monitoring and evaluation policies at the Government Employee Pension Fund. The study also conducted electronic, telephonic, and face-to-face interviews. All participants in this study had some level of understanding about implementing policies. The questionnaire directed to the Government

Employee Pension Fund members contained closed and open-ended questionnaires. “Closed-ended questions are characterized by short, yes, no, or do not know or specific answers, e.g., Date of birth” (Pierce, 2008, p. 118). The questionnaire also used the Likert scale of agree, undecided, and disagree to evaluate client satisfaction after receiving the Government Employee Pension Fund service. The same questionnaire was conducted on 40 research participants. The other part of this questionnaire was open-ended. The open-ended questionnaire was intended to allow participants to further elaborate on their responses. The Complaints Management Unit was not interviewed in the second part of the questionnaire because the researcher felt it was irrelevant.

The researcher conducted all 40 interviews. It included face-to-face as well as telephonic interviews. The research participants were informed that the conversation was recorded. There was no objection to that from all the respondents. The researcher conducted a telephone conversation to introduce himself and the purpose of the research study to all clients. The researcher also asked permission to complete the survey before resuming the questionnaire. The researcher viewed the authorization to proceed with the research questionnaire as like signing the informed consent. Some of the research participants needed the facility to complete and send the informed consent, while some did not complete it, fearing the exposure of their identity. It happened in the complaints management community roadshow while few still needed to complete the human resource forum program and Government Employee Pension Fund unit managers. Monitoring and evaluation officials and the walk-in center program signed all informed consent.

#### **4.8.2 SECONDARY DATA**

The secondary data collection primarily comprised an analysis of the most relevant documentation. This study collected data from books, journals, government policies, and newspapers. (Sarantakos, 2005). Secondary data are collected by others and used by others. The researcher analyzed relevant document sources, especially the monitoring and evaluation policies.

#### **4.8.2.1 Documentary analysis**

Documentary data collection is used to categorize, examine, and interpret physical data sources from the private and public domain. Khan (2003) indicates that documents are written records created by those who participated in and observed the event. It involves analyzing documents that comprise information about the phenomenon under investigation. It is used to supplement interviewing by providing information that is used daily. These documents include minutes of meetings, policy documents, and other relevant documents that will be useful in understanding the research setting. Mason (1996) indicates that in documentary data collection methods, researchers should consider some critical issues relating to the level of information provided by documents, whether the documents provide relevant information, who and for whom were the documents prepared, and whether the information provided is accurate and verified. This study utilized appropriate monitoring and evaluation policies, annual reports, monitoring and evaluation plans, and performance plans. It allowed for triangulation because document analysis was used to supplement this study's other data collection methods. Fitzgerald (2007) indicates that one of the advantages of using documentary analysis as a data collection method is that it provides essential information about the organization's culture. He further states that information can be accessed at any time or conveniently to the researcher. Yin (2009) is concerned that information can be accessed at any time. He indicates that researchers should think that available documents should be assumed to be something other than the true reflection of the observed events. There is a possibility that documents may be changed to protect the organization's or the elite's interests. Triangulation is thus essential in providing a balanced interpretation of the actual situation in the organization. This study benefited from triangulation because it utilized documentary analysis and supplemented the interviews as another data collection method.

### **4.9 DATA ANALYSIS**

The data collected from research participants through interviews was analyzed using thematic analysis. Thematic analysis is one of the most used methods of qualitative analysis. It emphasizes pinpointing, examining, and recording patterns (or themes) within data. Themes

are patterns across data sets that are important to describe a phenomenon and are associated with a specific research question. The themes that emerged during the data collection process were used to provide the analyses of findings. De Vos *et al.* (2011) further indicate that qualitative data analysis involves sifting raw information, reducing it to smaller patterns, and constructing it into meaningful data. (Schwandt, 2007). Also, qualitative data analysis makes sense through interpreting data. He further indicates that data analysis aims to summarize what the researcher would have found. All data obtained from documents and interviews was analyzed for the researcher to conclude. After data familiarization, the researcher coded data into specific categories. The categorization of codes allows a rich and in-depth focus on concepts. The study assessed corroborating and divergent views between participants until it categorized all relevant images. The details of this process varied and depended on the circumstances in which the research was conducted. The quantitative data was analyzed using the Micro-Soft Excel data processing package. Data was analyzed into graphs and tables to illustrate averages of the levels of client satisfaction with the services rendered.

#### **4.10 TRUSTWORTHINESS OF THE STUDY**

The trustworthiness of data occurs when data accurately reflects the participants' experiences. It is also a measure of the quality of research. It thus measures the ability and the extent to which the data collection methods and analysis techniques are trustworthy. The qualitative research analysis uses criteria comprising four aspects of ensuring trustworthiness: credibility, dependability, transferability, and conformability (Shenton, 2004).

Credibility in qualitative research refers to the ability and the extent to which the data collection methods and data analysis techniques are believable and trustworthy. This study utilized triangulation; one criterion used in qualitative research to increase credibility. Triangulation encourages using multiple data collection methods to increase the credibility of the study phenomena. Dependability in qualitative research refers to how conducting the same analysis would yield the same results in a similar situation. Merriam (1998) indicates that it is the consistency that the research findings can thus be replicated in the same problem.

Thus, the study refers to the extent to which the results from the study on examining the implementation of Department policies in the public service using the Agency as a case study can be replicated in other public service departments or government agencies. Transferability in qualitative research refers to the extent to which the research findings or results can be used in a new and similar context outside the actual study environment. It relates to how identical research results can be extended to a similar climate and setting to the one under investigation (Maxwell, 2002). One of the research questions for this study is what lessons can be learned from the implementation of monitoring end evaluation at the Government Employee Pension Fund. The study is thus looking at whether the research findings can be transferred to other government Departments or Agencies. Confirmability in qualitative research refers to the extent to which the research can be confirmed. The research study will keep data collection records per the University policy for five years. This information will be stored in the University archives and the researcher's filing. It will ensure that information will be retrieved at any time should findings be challenged. These criteria guided the trustworthiness of the research findings.

#### **4.11 ETHICAL CONSIDERATION**

Ethical considerations are a cross-cutting activity in the lifespan of a research process. It starts from planning, data collection, data analysis, reports compilation, and dissemination of findings (Tichapondwe, 2013). The researcher ensured that the research participants were not exposed to psychological and physical maltreatment during the research process (Ormonde & Leedy, 2001).

The researcher distributed the electronic interviews through the research office of the organization to Government Employee Pension Fund officials. The questionnaire explained the purpose of the study and was also coupled with the informed consent. Additional information about the confidentiality of the research was added to the e-mail. The research participants were informed that further clarity would be provided on the researcher's contact details that were provided. There was a conversation with some of both Government

Employee Pension Fund unit managers and Monitoring and Evaluation officials about clarity points. Upon completing the questionnaire, the research participants submitted the questionnaire and signed the informed consent form.

The other part of the questionnaire involved the Government Employee Pension Fund members. The Agency members are active pensioners and other beneficiaries. Active members are people that the Government Employee Pension Fund currently employs. Pensioners are members who have retired but earn their pensions from the Government Employee Pension Fund. Other beneficiaries are orphans and spouses who benefit from the Government Employee Pension Fund. The same questionnaire was conducted for four different groups. The groupings were based on the category within the frontline monitoring and support program. Thus, questionnaires were completed in the walk-in center, community roadshows, complaints management, and human resource forums. The researcher conducted a telephone conversation to introduce himself and the purpose of the research study to all clients. The researcher also asked permission to investigate before he could resume with the questionnaire. Participants were also informed that the conversation was recorded. There was no objection from all the respondents. Thus, the researcher viewed the permission to proceed with the research questionnaire as like signing the informed consent. Some of the research participants needed the facility to complete and send the informed consent, while some did not complete it, fearing the exposure of their identity. It happened in complaints management community roadshows while few still needed to complete the human resource forum program and Government Employee Pension Fund unit managers. The researcher also conducted face-to-face interviews in the walk-in center. The researcher also explained the purpose of research and voluntary participation. The research participants were also informed that the interviews were recorded. Research respondents willingly participated in the research process, and all participants signed off the informed consent form.

#### 4.12 THE LIMITATIONS OF THE STUDY

The study highlights factors that posed limitations that might impact the conclusions, findings, and recommendations. It is the researcher's responsibility to inform the reader about the study's shortcomings. Some research participants needed help relating their experiences with the Government Employee Pension Fund. One case was a pensioner who had experienced unfair administration of her pension case. The researcher experienced difficulties conducting interviews in an organized manner because the research participants were very emotional about the treatment of their cases. The researcher had to listen to detailed information irrelevant to the study. However, the researcher was able to redirect the conversation and picked only relevant information for completing the survey.

The interviews were structured in English. Some of the researcher participants showed to be comfortable in their language, mostly Zulu. The researcher translated questionnaires from English to Zulu to accommodate the research participants. Some of the participants are pensioners and have no conduct of English. Switching to Zulu from English was easy for the researcher because he has good behaviour in the Zulu language.

Some research participants needed help relating to the unfair administration of their pension cases. The researcher experienced difficulties conducting interviews in an organized manner because the research participants were very emotional about the treatment of their patients. The researcher had to listen to detailed information irrelevant to the study. However, the researcher was able to redirect the conversation and picked only relevant information for completing the survey.

Some of the research participants needed the facility to complete and send the informed consent, while some did not complete it, fearing the exposure of their identity. It happened in complaints management community roadshows while few still needed to complete the human resource forum program and Government Employee Pension Fund business unit managers. Monitoring and evaluation officials and the walk-in center program signed all informed consent. The other related shortfall regarding using electronic interviews was experienced when research participants deliberately hesitated to respond. Consequently, the researcher conducted telephonic interviews to ensure that all research participants responded to the

questionnaire. At the end of the data collection process, there was enough information to justify the successful data collection process.

In the interviews directed to the Government Employee Pension Fund business unit managers, the total number of planned interviews was 11, but only nine responded. These participants comprised Government Employee Pension Fund business unit's managers directly involved and reporting to the monitoring and evaluation unit. Although there were two outstanding responses in this category, the researcher felt that the research participants provided rich information concerning the implementation of monitoring and evaluation policies in the Government Employee Pension Fund. The researcher felt this shortage would not impact the final findings and recommendations of the research.

#### **4.13 CONCLUSION**

This chapter has discussed the details of the research methodologies employed during this research process. It outlined the research paradigm, methods, techniques, designs, sample procedures, participants, data collection, data analysis, trustworthiness, ethics, and study limitations. The study was qualitative and utilized interpretive case study designs. The next chapter will provide an analysis of the study findings and interpretation, which involves the presentation of both the analysis of official documents and in-depth interviews.

## **CHAPTER FIVE: RESULTS AND FINDINGS**

### **5.1. RESULTS AND ANALYSIS**

The first part of this chapter provides an analysis of the results and a discussion of the research study's findings. In contrast, the second part provides the conclusions and interpretation of the data collected during the research process. The study administered two sets of data collection methods. The first method used to collect data during the completion of this study was the documentary analysis. The study analyzes the monitoring and evaluation policies developed by the Department. The study also provides an analysis of the policies of the Agency. It was essential to analyze the two sources of documents, as the researcher believed that comparing the two would add value to the successful completion of this study. It is the researcher's conviction that the data analysis would provide the findings regarding adherence to the Department's monitoring and evaluation policy. The researcher executed the data collection exercise through the administration of interviews. The researcher developed two sets of semi-structured questionnaires. The first set of questionnaires targeted the Monitoring and Evaluation Unit officials. This sample is critical in completing this research study because it has rich information on the implementation of monitoring and evaluation policies at the Agency; hence, the study adopted the purposeful sampling technique. The second set of questions targeted the Agency business unit management officials. This sample was also crucial because this group reports directly to the Monitoring and Evaluation Unit. The aim of administering these two sets of questions was to solicit critical information about the implementation of monitoring and evaluation policies in the Agency. The researcher also collected data through close-ended questionnaires. The researcher conducted this questionnaire on the beneficiaries of the Agency. The administration of questionnaires from this group was also critical in that it provided the real and live experiences of the beneficiaries of the Agency. The research study analyzed the completed questionnaires and discussed the alignment of the research questions to the research analysis.

**Research question one (RQ1): What is the Department of Planning, Monitoring and Evaluation's policy directive regarding the government departments' implementation of Frontline Monitoring and Support programs?**

### **5.1.1. ANALYSIS OF THE FRONTLINE MONITORING AND SUPPORT PROGRAMME**

This sub-section looks at the implementation of the Frontline Monitoring and Support programs. The Department of Planning, Monitoring, and Evaluation has provided policy guidelines regulating the performance of the monitoring and evaluation policies. Therefore, government departments and agencies should use these guidelines to deliver services in their sectoral programs. Thus, this section examines the broader aspects of policy guidelines within the context of the Department of Planning, Monitoring, and Evaluation provisions compared to the policy implementation process of the Frontline Monitoring and Support at the Government Employee Pension Fund. This section addresses the first objective, discussing *the DPME policies on implementing Frontline Monitoring and Support programs*. It will look at the policy position proclaimed by the Department of Planning, Monitoring and Evaluation and the state of policy implementation at the Government Employee Pension Fund. Through the analysis of the Frontline Monitoring and Support program, the study will answer one of the research questions: What are the Department of Planning, Monitoring, and Evaluation policy directives *regarding the implementation of Frontline Monitoring and Support programs by the government departments?* The research seeks to establish if the Government Employee Pension Fund is implementing the Frontline Monitoring and Support programs, and if it is, is it implementing it according to policy directives?

Frontline Monitoring and Support programs combine four programs to monitor and evaluate the quality of service delivery offered to the citizens. The rationale for reconfiguring these four programs was to streamline the processes to enhance service delivery. It also attempts to enhance the operations of improving government performance. This process improves the quality of service delivered to the citizens. The program recognizes the centrality of the citizens in service delivery. It was thus appropriate to base this study on the New Public Administration Theory as it puts the clients at the center of service delivery. The literature

discussed in Chapter 2, depicting the issues, goals, and features of the New Public Administration system, supports the implementation of Frontline Monitoring and Support programs because it reflects on, amongst others, the democratic citizenship approach, client participation, public interest, and client orientation. The center of the service delivery process is the end of the service provision chain. Thus, the program focuses on the systems and procedures in place to support the flow of information between the frontline officials and the beneficiaries of the service. The strategic position of the Frontline Monitoring and Support programs enables them to monitor and evaluate the provision of public services to the citizens at the service delivery point or client interface level. The Department of Planning, Monitoring, and Evaluation (2018-2019)) discusses the functions of the four programs as follows:

- To oversee the development of monitoring systems that respond to the needs of the beneficiaries at the facility and client interface level.
- To manage the political principles and client consultation process by supporting the initiative of bringing government services to the people through the *Izimbizo* and *Siyahlola* programs.
- To manage the implementation of the citizen-based monitoring program and
- to establish and coordinate the Presidential Hotline program through the implementation of the Complaints Resolution Project.

As discussed previously, one of the Department of Planning, Monitoring, and Evaluation mandates is to ensure the monitoring of the Frontline Monitoring and Support programs. This mandate is thus relevant since the study intends to examine the implementation of monitoring and evaluation policies in the Government Employee Pension Fund with specific reference to the Frontline Monitoring and Support programs. The Department of Planning, Monitoring, and Evaluation's four Frontline Monitoring and Support programs are Citizen-based Monitoring, the Presidential Hotline, the Frontline Service Delivery Monitoring, and the Executive Monitoring Support (*Izimbizo*). Streamlining these programs in this model aimed to respond to the service delivery-related challenges. The research study analyzes the Department of Planning, Monitoring and Evaluation policy direction and the Government Employee Pension Fund policy position regarding implementing Frontline Monitoring and

Support programs. The research discusses each program to establish if policy directives perform Frontline Monitoring and Support policies.

#### **5.1.1.1 Frontline Service Delivery Monitoring/GEPF Walk-In-Centres**

The function of Frontline Monitoring and Support is to develop monitoring systems that respond to the needs of the beneficiaries at the facility and client interface level. The frontline service delivery and monitoring program commenced in 2011. The program monitors government facilities at the service delivery level. The program intends to conduct regular monitoring activities at service delivery points to demonstrate value addition through monitoring results. Monitoring results contribute positively to improving service delivery at the service delivery points. Sector departments develop norms and standards at their service delivery points to strengthen the monitoring of service delivery. These norms and standards should be realistic and continuously monitored. Thus, the program aims to enhance the monitoring activities at the service delivery point to support the decision-making process at the management point. The structural arrangement of the Government Employee Pension Fund ensures the provision of its offices at the regional level, enabling the membership of the Government Employee Pension Fund to spread throughout the country. It provides services to all the Government Employee Pension Fund members scattered in the nine provinces of South Africa. To provide the highest level of service to all its members, no matter where they live, the Government Employee Pension Fund established its offices in all nine provinces. It has expanded its representation in seven additional satellite offices to service its members, pensioners, and beneficiaries. The Walk-In Centre offices serve as the service delivery or client interface point for the Government Employee Pension Fund and its clients. It aims to address inquiries and provide the services of the Government Employee Pension Fund at a central point closer to the clients residing in the region. The policy guideline indicates that one of the intentions of Frontline Service Delivery Monitoring is to show the benefits of collecting balanced information from different sources, including the staff and monitors, to produce balanced results of the monitoring exercise. The Government Employee Pension Fund collects information from the staff and the clients visiting the service delivery facility. It also visits the service delivery facilities unannounced to establish the facts about the quality

of service delivery at the frontline desk. The Department of Planning, Monitoring, and Evaluation policy framework indicates that it collects data by administering questionnaires to establish facts about the quality of service at the service delivery points. It presents monitoring results in the form of scorecards. It communicates feedback to all the relevant stakeholders in the sector. The officials involved will then develop an improvement plan. The next step involves meeting the key stakeholders to devise the implementation strategy that executes the improvement plan. The meeting also discusses the challenges arising from the action plan. It continuously assesses improvements in the facility almost every year. These assessments provide the trends of improvements over different periods. The program focuses on monitoring the facility, amongst others, the location and accessibility of the facility, dignified treatment of citizens, and citizen experience. The Government Employee Pension Fund offices deal with and respond to different inquiries at the frontline service delivery point or level. The Government Employee Pension Fund employs client liaison officers and equips them with training that enables them to run the administration of pensions in these offices. The resolution of some of the inquiries occurs on the spot. The client liaison officers refer other inquiries to the national office for further investigation. These regional and satellite offices are equipped with the necessary resources to effectively deliver the Government Employee Pension Fund's services. A monitoring and evaluation official may visit the Frontline Service Delivery point to collect data from the staff and clients visiting the facility. The collected data reflects the readiness to deliver services shown by a particular Frontline Service Delivery point. The Government Employee Pension Fund also installed the Queue Management System, which records the interaction between the Government Employee Pension Fund and the clients from the entry to the exit points. In addition to that, the Government Employee Pension Fund installed the Client Satisfaction Device in each Frontline Service Delivery office. Clients visiting the regional office complete the device after completing the service offered by the Government Employee Pension Fund. At this point, the client can reflect on their experience of the service delivered by the Government Employee Pension Fund. These two sets of information are analyzed every quarter to establish the performance of each office. Regional offices share these reports since they inform service delivery improvements and serve management by providing the basis for decision-making.

### **5.1.1.2 The Presidential Hotline/Complaints Management**

The Department of Planning, Monitoring and Evaluation (2009 -2013) reports that in September 2009, the former South African Head of State, President Jacob Zuma, established the Presidential Hotline program to serve as a platform for citizens to raise complaints and concerns about the services they get from government institutions. This program serves as an apex government complaints system. It allows citizens to lodge service delivery-related queries, complaints, comments, and compliments about government services. The system interconnects with all government institutions, including national, provincial, and municipal governments. It has an allocated toll-free number (17737), which receives service delivery-related queries. The Department of Public Service Administration resolution states that officials should address the complaints within 25 days of reporting. After exhausting all other complaint mechanisms, citizens register their challenges with the President's office. The system employs dedicated client liaison officers to serve each Department and province to manage the hotline. The plan allocates queries to the relevant government institutions for resolution. The client liaison officers monitor each case and the resolution time until the appropriate authorities report the topic to the clients. After resolving the issues, they conduct client satisfaction surveys to establish the satisfaction level regarding each case's process and outcome. The Call Centre is the most utilized Presidential Hotline system. There is a dedicated Call Centre staff. The Call Centre staff assists clients only when they can provide immediate responses. In cases where they cannot provide answers, they log a call and refer the query to the relevant Department for further investigation. The client receives a reference number for follow-up calls. In addition, a response team responds to letters, faxes, and e-mails. They also log and issue a reference number for the client to pursue further investigations. Lastly, the public liaison officers communicate with the complainants to investigate and respond to the client's complaints.

The Government Employee Pension Fund established the Complaints Management Unit in 2014 to deal with all the submitted queries regarding the dissatisfaction experienced during the administration of the pension case. The Complaints Management Unit coordinates all the complaints related to service delivery with specific reference to the services offered by the Government Employee Pension Fund. The submission of the complaints occurs through two

channels. Firstly, the request appears through the Presidential Hotline. The complainant submits the complaint through the Presidential Hotline system at the Department of Planning, Monitoring, and Evaluation. Officials in the Department refer the cases to different departments for attendance. Follow-ups help in finalizing and reporting back to the complainant. In one of its quarterly reports, the Department of Planning, Monitoring, and Evaluation (2019) indicates that the resolution of new cases should occur within 25 days. The second channel involves the claims submitted directly to the Government Employee Pension Fund Complaints Unit. Upon receiving the complaint, the Complaints Unit first tries to resolve it. If it is impossible to settle the case, it refers it to the relevant client liaison officer or business unit for attendance and resolution. The Client Liaison Officers and the appropriate business unit should respond within 24 hours. The response could be about the progress of the investigated case or the resolve itself. The Complaints Unit will expedite the report back to the clients or complainant.

### **5.1.1.3 The Citizen-Based Monitoring/Human Resources Forum**

The Cabinet in South Africa approved the Citizen-Based Monitoring framework in 2013. The program's establishment sought to promote the citizenry's involvement in delivering public services. The Citizen-Based Monitoring approach monitors government departments' performance by collecting information about the experiences and perceptions related to service delivery (The Department of Planning, Monitoring and Evaluation, 2013). The purpose of implementing this program is to enhance public accountability, focusing on continuous service delivery improvements. The Citizen-Based Monitoring programs support public participatory approaches by encouraging the active participation of citizens in the public policy implementation process. The program provides a platform for citizens to assume active participation in shaping how to monitor plans and programs, how to design monitoring processes, and what can derive interpretations and action plans from the monitoring processes. The program thus involves a continuous and routine collection of data to consider the citizens' views and experiences in the service delivery mechanism.

The Department of Planning, Monitoring, and Evaluation has a well-developed set of tools for implementing the Citizen-Based Monitoring program. The sector departments can utilize any developed tools relevant to their specific environments. The implementation of this program is through the collection of information from the communities and frontline staff members. The Department of Planning, Monitoring, and Evaluation (2013) indicates that the Citizen-Based Monitoring approach draws from several participatory processes, including the client satisfaction survey system. The information collected through client satisfaction surveys captures the views and experiences of the citizens at the service delivery level. Through conducting these surveys, the program allows management to make informed decisions about the priorities identified by the citizens. The program encourages developing and implementing action plans derived from the collected information. Lastly, the program promotes monitoring the commitments arising from the engagements with the citizens. The Government Employee Pension Fund developed the Human Resource Forum. The Human Resource Forum aims to find and foster effective means of working with stakeholders to benefit the members, pensioners, and beneficiaries. The primary purpose of these Human Resource Forums is to highlight the challenges faced by the Government Employee Pension Fund in dealing with claim processing and to seek proposals from stakeholders on how they could assist in addressing the challenges. This information sharing strengthens the government's performance, eventually improving service delivery.

The Government Employee Pension Fund established the Human Resource initiative to regularly engage with the Department's Human Resources units. In this form, all the stakeholders discuss issues of common interests with the potential to improve the pension service delivery system. The Client Relations Unit identifies the area of the Human Resources Forum to visit. All the relevant business units participate in the planning meeting that does the preparatory work for the visit. The panel discusses the roles each business unit ought to play. It also discusses the day's program, including the number of members expected, stakeholder invitations, program directors, and all other relevant aspects. On the day of the event, the appropriate business units conduct a presentation on the expectations of the Government Employee Pension Fund from the employer departments. It also provides statistics reflecting the provincial departments' performance processing the Government Employee Pension Fund documents. It provides the platform for discussing the challenges

experienced by the employer departments in delivering services by the Government Employee Pension Fund. There is an opportunity for question and answer about any query related to the service the Government Employee Pension Fund provides. All the involved units record the proceedings. The Monitoring and Evaluation Unit conducts observations and the client satisfaction survey to assess client satisfaction with the event. The next step is compiling the final report for submission to the relevant authorities. There need to be follow-up meetings to implement the action plans. This initiative closely relates to the Citizen-Based Monitoring program. It looks at the relationships and involvement of the employer departments in the Government Employee Pension Fund service delivery chain. It is interesting to establish how the Government Employee Pension Fund interacts with its based forums to integrate its service delivery, considering their daily experiences in service delivery. This interaction should result in an improvement or enhancement in the Government Employee Pension Fund service delivery system.

#### **5.1.1.4 The Executive Monitoring Support (Izimbizo)/Community Roadshows**

The political will and leadership play an essential role in delivering public services from the President to the ward councilor level (DPME, 2018-2019). This program uses political leadership to accelerate the services provided to the citizens. It seeks to create and foster service delivery relationships between the government and its citizens. One of the initiatives used to unblock the challenges in service delivery is the Izimbizo program. The Izimbizo public participation program links the government and its citizens. It provides a platform for creating dialogue between the government and its citizens. In this way, there is a meaningful level of public accountability where public representatives engage citizens on pertinent service delivery issues. The political principals visit the citizens in their villages and residential areas to exchange views on the status of service delivery in their communities, providing the opportunity for both parties to understand the service delivery challenges experienced in the context of their areas. The Izimbizo program offers the opportunity to create robust engagements that foster commitments on the part of the government and the citizens and assist in enhancing service delivery improvements. The monitoring of these commitments occurs continuously to ensure progress in the delivery of public services. The

process begins with the preparatory arrangements. It discusses the issues related to the area the Izimbizo principals wish to visit. The planning meetings are critical since they discuss all the necessary inputs for the Izimbizo visit. After the visit, it prepares a detailed monitoring report, recommendations, and implementation plans. It also discusses the commitments of the implementation plans with all the relevant stakeholders for buy-in. It submits the interventions and formal report to the political leadership and management structures detailing the project's performance. Finally, there is a project handover and the closure of the project.

In 2009, the Government Employee Pension Fund established the community roadshows initiative to foster the continuous gathering of feedback on the level of client satisfaction with the services offered by the Government Employee Pension Fund. Investopedia (2014), an Internet source, describes a roadshow as a process that engages business clients by reaching out to them and educating them about the business benefits. It provides educational presentations to potential clients and stakeholders across the country. It also provides a platform for measuring the level of the client's satisfaction with the services the business offers. This survey typically includes questions about the accessibility of the service, the courtesy professionalism of the service providers, and the service delivery process itself. The purpose of community roadshows is to assist the communities in understanding the various benefits provided in the Government Employees Pension Law (GEPL). It also includes information on how to access them under the theme: "*partnership in service delivery.*" The roadshows are part of the concerted effort by the Government Employee Pension Fund to get closer to its clients and stakeholders to build relationships. These relationships promote a common understanding between the members and the services and processes of the Government Employee Pension Fund. By coordinating community roadshows on behalf of its customers, the Government Employee Pension Fund can reach out to its members, pensioners, and beneficiaries, which allows for the provision of the core services to its customers and the enhancement of direct interaction with communities.

The responsible Government Employee Pension Fund unit (the Client Relations Unit) identifies where the roadshow visit will occur. The relevant business units hold planning meetings in preparation for the holiday. The panel discusses the roles of each business unit.

It also discusses the program of the day, the executive leadership, the number of members expected, stakeholder invitations, program directors, the agenda of the day, and all the other relevant aspects. The appropriate business units conduct presentations on the services offered by the Government Employee Pension Fund. There is an opportunity for the question and answer session, and later, a one-on-one consultation with the client liaison officers takes place. The Monitoring and Evaluation Unit conducts observations and later conducts the client satisfaction survey to assess the level of client satisfaction regarding the whole event. The next step is compiling the final report for submission to the relevant authorities. There needs to be follow-up meetings held to implement the action plans.

**Research question one (RQ2): How is the Government Employee Pension Fund complying and conforming to implementing Frontline Monitoring and Support programs?**

This sub-section analyzes the Government Employee Pension Fund's compliance with and conformity to policy. It looks at specific operational policy areas that guide the implementation of Frontline Monitoring and Support programs. It first establishes if the Government Employee Pension Fund complies with the Department of Planning, Monitoring, and Evaluation's policy provisions. The previous sub-section discussed aligning the Government Employee Pension Fund policies to the Department of Planning, Monitoring, and Evaluation policy directive. This sub-section discusses specific factors the national departments should comply with and conform to while implementing monitoring and evaluation policies. The study has selected the most critical policy compliance and conformity areas in implementing monitoring and evaluation policies. The study discusses, amongst others, the role of monitoring and Evaluation, the location of monitoring and Evaluation, the institutional arrangement, communication of monitoring and Evaluation, and management support.

## **5.1.2 INTERDEPARTMENTAL OVERSIGHT**

### **5.1.2.1 The role of monitoring and Evaluation**

The role of the Department is to lead the country by developing legislative and policy frameworks that guide the planning and monitoring as well as the Evaluation of government programs across the different departments. Its responsibility is to ensure the entire government's coordination of public policy implementation. The Department develops policies, provides advice, and assesses department performance. It also supports policies, regulations, and guidelines for the Public Service's planning, monitoring, and Evaluation tasks to provide policy guidance for public policy delivery. The Department is also in charge of evaluating the many government-implemented programs. To enhance service delivery, policy results, and impact on society, Evaluation offers learning opportunities and opportunities for development.

The monitoring and evaluation unit's responsibility is to monitor and assess the business unit's operational plans and actions to see if they fulfil the organization's strategic objectives. It evaluates the organization's process flow to improve organizational performance. It also guarantees that the Department meets the agreed-upon goals at the beginning of each fiscal year by ensuring that the provided targets meet the requisite quality standards. It also offers strategic oversight for the execution of business operations. It also collects, analyses, and reports the performance of the organization's programs against the services provided under the service level agreement to Treasury as the primary.

### **5.1.2.2 Compliance and Conformity**

The Agency is fully compliant because it has developed the Monitoring and Evaluation policy framework and standard operating procedures for the Monitoring and Evaluation function in the Agency. The Monitoring and Evaluation Policy and the Strategic Planning Framework of the Government Employee Pension Fund are all the monitoring and Evaluation policies of the Department of Planning, Monitoring, and Evaluation. Although the Government Employee Pension Fund does not directly report to the Department of Planning, Monitoring,

and Evaluation, the organization guarantees alignment with government needs as directed by the Department of Planning, Monitoring, and Evaluation. Regularly monitoring these programs demands the creation of reports delivered to the National Treasury before their tabling in Parliament. However, some Monitoring and Evaluation Unit respondents stated that the Government Employee Pension Fund needs to follow the Department's policy processes. Because the two Departments are not working together, measuring performance is challenging. It would make sense to have formal interactions between the Departments in question to strengthen the relationships and confirm compliance. Some Monitoring and Evaluation Unit respondents needed to be made aware that the Department is the custodian of monitoring and evaluation policies. He believes that the Agency creates its own monitoring and evaluation policies. There needs to be more interaction between the two departments.

The Agency adheres to policy standards because it has process flow plans, operational plans, and performance agreements, among other things. The Agency always follows the evaluation framework, which aids in producing suitable feedback. Management provides regular employees with feedback, which aids in identifying areas of underperformance. This process helps the Government Employee Pension Fund identify developmental gaps that need immediate address to improve organizational performance. Thus, the Government Employee Pension Fund is fully compliant, as communication exists within the Government Employee Pension Fund business units about the submission of reporting information.

### **5.1.2.3 The purpose of monitoring and Evaluation**

The purpose of Monitoring and Evaluation policies is to measure the implementation and adherence to commitments made by the government of the day to its citizens. It helps to improve the government's program delivery outcomes and impact on society. It provides an opportunity for transparent service delivery. The application and use of monitoring and evaluation purposes differ depending on the need at a particular time. Policy implementers use any of the goals of monitoring and assessment relevant to specific situations. Monitoring and evaluation exercise provides information on the progress in the implementation of policies, projects, and programs and the Evaluation of the impact of these on the intended

impact outcomes, which helps to determine the achievement of results and to form the basis of accountability. The information collected during the policy implementation process assists policy implementers in assessing if the policy has achieved, or not achieved, the intended objectives. It thus provides crucial information about the resources needed to implement the policy.

Monitoring and evaluation exercises enhance the collection of information in the form of feedback on the performance of the policy. This feedback information allows the policy implementers to make informed decisions regarding the progress of the policy implementation process. It is a valuable tool in reflecting the business unit's performance against the set target as reflected on the annual performance plans. All the staff members share the results and collectively identify poor performance. In cases of poor performance, the relevant business units should take appropriate actions after deliberations to improve performance in the future. Monitoring and evaluation processes assist policy implementers by identifying the challenges departments face and suggesting remedial measures or continuous improvement in the areas where the departments excel. It thus helps policy implementers to provide information about the project's performance. This information enables the policy implementers to make informed and better decisions regarding the policy. Therefore, Evaluation should give information about what could happen in the project and take cognizance of the benefits of making certain decisions.

#### **5.1.2.4 Institutional Arrangements**

The relationship between the Department of Planning, Monitoring and Evaluation and other government departments is to assist in the planning, monitoring, and Evaluation as stipulated in the guidelines such as the Government-Wide Monitoring and Evaluation. It also monitors and evaluates the implementation of and adherence to commitments made by the government of the day to its citizenry. It assists other government departments in ensuring that members of the public receive quality services. The Department of Planning, Monitoring, and Evaluation should engage with other departments in leading, training, and ensuring that other departments adhere to the Monitoring and Evaluation framework. However, engagement has yet to happen, especially at the Agency. The monitoring and evaluation exercise works hand

in glove with the Strategy Unit in assisting and monitoring the implementation of an organization's strategic goals and objectives. It monitors performance by providing reports and evidence to indicators and targets. The role of business units is to provide proof of performance to the Monitoring and Evaluation Unit. The Monitoring and Evaluation Unit collates the data from other business units to capture the overall performance of the whole organization. The business unit must submit quarterly monitoring and evaluation reports to the highest organizational committee before their presentation. Business units also offer quarterly performance information to the Monitoring and Evaluation Unit.

#### **5.1.2.5 Monitoring and Evaluation Support**

The Department enable, influence, and support effective planning, monitoring, and Evaluation of government programs to improve service delivery, results, and societal impact. It provides policy guidelines in developing tools for programs such as Frontline monitoring Support. It also performs spot inspections at service delivery centers, and following these checks, it prepares quarterly monitoring and evaluation assessments in the form of feedback. There is considerable support between the Monitoring and Evaluation Unit and Business Units because there are quarterly performance reviews. The Agency developed an indicator protocol that assists with monitoring indicators for each business unit. These reports are helpful in the compilation of annual performance reports. The monitoring and evaluation unit physically visits the Regional Offices to monitor and evaluate the service delivery. The Agency gets customer feedback on service quality, which is supposed to help in the following strategic planning (after a visit to the Regional Office). It also tracks its progress toward reaching its goals and receives direction on performance achievements.

#### **Research question three (RQ3): How are Frontline Monitoring and Support programs implemented at the Government Employee Pension Fund?**

This section reflects on Government Employee Pension Funds' monitoring and evaluation practices. It examines critical policy implementation areas that oversee frontline monitoring

and promote program execution. The results address, among other things, management support, business units, communication, practice, the dissemination of reports, and Evaluation and feedback.

### **5.1.3. ORGANISATIONAL CULTURE**

#### **5.1.3.1 Monitoring Business Units**

The monitoring and evaluation unit supports the implementation of the Agency's monitoring and evaluation policy frameworks. National departments gather and analyze data necessary for their domains. The data might originate from various sources, including, but not limited to, the provincial and local governments. The duty is to monitor and assess regional and satellite offices to generate reports that can be used to improve service performance and customer satisfaction. Monitoring and Evaluation aims to gather, analyze, and report on indicators for various programs and initiatives. This data helps assess organizational performance. It also oversees the Government Employee Pension Fund's performance in implementing the yearly performance plan and adhering to Service Level Agreements with the Government Employee Pension Fund and the National Treasury. The entire value chain process aims to improve the performance of government programs, particularly service delivery. The function provides feedback to ensure that the reports accurately reflect what happened at the events or inside the organization. It also includes performance evidence for the monitoring and evaluation unit after checking the authenticity and veracity of the reports. It is vital to carefully review the submitted information and content to ensure quality assurance.

#### **5.1.3.2 Performance Improvements**

Monitoring and evaluation reports are neither used effectively nor communicated to organizational decision-makers. As a result, management actions may sometimes correspond to the suggestions in monitoring and evaluation reports. As a result, evidence of the studies' recommendations is uncommon. Respondents reported that monitoring and evaluation

reports are limited since suggestions are rarely implemented; nevertheless, specific business units adopt the requests, and there is evidence of progress in such cases.

The implementation of the recommendations could be swifter than one could expect, especially when client satisfaction levels ought to improve owing to the implementation of recommendations. The monitoring and evaluation reports, specifically organizational performance reports, help guide and provide inputs for the Agency's strategic planning process. The performance reports are also helpful for the Executive Management Committee (EXCO) to review the performance of all sub-program heads during midterm reviews. The executive management also uses performance reports to evaluate the business unit's performance at the end of each financial year. The Monitoring and Evaluation Unit officials occasionally visit the Agency's business units to undertake assessments. Although there is evidence of monitoring and evaluation system practice, there still needs to be more enforcement to ensure that business units comply with their operational level agreement. Monitoring and evaluation practices are adequate, while some adjustments at the individual level are required. Monitoring and evaluation authorities receive excellent training as employees and can assist business units. Business units gather information and provide it to the monitoring and evaluation unit, which then interrogates and corrects the data before submitting it to the Executive Committee of the Board of Directors.

### **5.1.3.3 Implementation of Recommendations**

There needs to be more enforcement as far as the implementation of the recommendations is concerned. Therefore, producing research and evaluation reports becomes futile unless the request is implemented effectively. Monitoring and Evaluation aims to collect performance information that can influence the policy decision-making process. This performance information assists organizations in planning, budgeting, and learning for future improvements. However, the reports need to reach decision-makers, which does not justify the purpose of establishing the Monitoring and Evaluation Unit, which is that conducting monitoring and Evaluation seeks to inform organizational decision-making. The research and evaluation studies must link with the organization's core business, which often produces

ineffective reports that do not enjoy the support of the Executive Management. In some cases, the officials tend to dispute the findings from research evaluation studies, especially when they have negative implications against them. Managers sometimes view monitoring and Evaluation information as a threat to project managers.

#### **5.1.3.4 Alignment of Evaluations to core business**

The Agency should align its monitoring and evaluation policies with the Department of Planning, Monitoring, and Evaluation guidelines. The Monitoring and Evaluation Unit should ensure that the Chief Executive Officer signs off the project plans before the commencement of the study. It guarantees the buy-in to the research or evaluation findings by the managers in the business unit. The Executive Committee should receive monthly reports from the managers in the business unit on the implementation of recommendations and the progress made to improve organizational performance. The managers in the business unit must ensure accountability and consider feedback sessions very seriously. There should be consideration of the attendance of feedback sessions as one of the manager's key performance indicators. There should be an extensive awareness exercise aiming at engaging the managers in the business unit concerning the importance of implementing the policies for the smooth running of the organization, cascading down to all the levels of the organizational hierarchy. The Monitoring and Evaluation Unit should educate and sensitize all employees regularly on what Monitoring and Evaluation involves and its value to the organization.

#### **5.1.3.5 Communication of Monitoring and Evaluation policies**

The Department forwards its monitoring and evaluation policies to the Chief Executive Officer's office, which cascades the information to the Monitoring and Evaluation Unit. The Department communicates its policies through the executive committee members through the interdepartmental committees. The Agency has, in the past, attended the quarterly sessions on the Monitoring and Evaluation forum. The Monitoring and Evaluation Unit had representation at the Department evaluation forum to ensure that the organization keeps abreast of the policy developments. Information dissemination occurs in the workshops,

conferences, and meetings with the Department of Planning, Monitoring, and Evaluation concerning policy discussions. However, other respondents indicated that according to their knowledge, there has never been an engagement between the Department and the agencies since 2016. No direct communication has occurred between the two Departments. Although there was never a formal session of the monitoring and evaluation policy framework, the monitoring and evaluation policies were documented and distributed to all units within the organization. The communication process is through platforms such as the Internet, Lentswe, e-mail, and Manco, but the policies stay in the policy office. On the contrary, one respondent stated that the aim of the presentation at the entire organization at some time before joining the Agency.

#### **5.1.3.6 Dissemination of Monitoring and Evaluation reports**

The business unit managers submit monitoring reports (annual reports) to the senior manager's office for input and signature. The senior manager will now send the messages to the appropriate clients. These reports are shared with the members of management, who subsequently prepare a plan to execute the service delivery improvement to implement the recommendations. Occasionally, the unit discusses results and recommendations and reaches and recommendations. Feedback sessions include quarterly evaluations, meetings, internal communication, the Government Employee Pension Fund notice board, and electronic information distribution. At the end of each reporting period, the Monitoring and Evaluation unit holds performance feedback among the sub-program leaders and their management teams and subsequently at the Executive Committee level. Employee newsletters occasionally write and publish articles on the organization's performance. The organizations publish performance reports through performance charts displayed on all the notice boards throughout the facility. On the other hand, clients witness the presentation of the findings and outcomes of the assessment studies following the completion of each evaluation research.

Monitoring and evaluation Reports are presented at official meetings called by the Monitoring and Evaluation Unit to offer input on the business unit's performance. First, it shares reports with direct subordinates (the Office Supervisor and the Senior Client Liaison Officer) in weekly meetings. They then share the information with office workers and the staff at monthly meetings. Reports are shared periodically through organizational structures,

while others claim they share reports or presentations via e-mails and paper copies to sign off for approval.

#### **5.1.3.7 Implementation Improvement**

The Monitoring and Evaluation Unit should ensure the Chief Executive Officer signs the project plans before conducting the evaluation study. The Chief Executive Officer must hold general managers accountable for implementing the recommendations. A reporting phase should indicate the progress made in improving service delivery. The Monitoring and Evaluation Unit should create a platform to discuss issues of common understanding concerning improvement in service delivery. The Agency's management should ensure the business units' involvement and participation in the monitoring and evaluation activities that are specifically relevant to them. It should be clear on how they implement the findings and recommendations while at the same time ensuring the accountability of managers from the various sections. The Monitoring and Evaluation Unit needs to form networks with other departments to learn and familiarise with processes involved in continuous improvement.

Implementing monitoring and evaluation policies could register improvements if all the managers exercise accountability for each business unit. The Monitoring and Evaluation Unit should concentrate on all business units because currently, it is concentrating on monitoring the Client Relations Unit. There is a need for the intensification of communication and awareness so that employees understand the functions of the Monitoring and Evaluation Unit. It is imperative to embark on the socialization of the aim and objective of monitoring and Evaluation and align them to organizational performance. Quantifying the monitoring and evaluation unit's human capacity and budget resources is inevitable.

**Research question four (RQ4): What are the experiences and perceptions of the clients of the Government Employee Pension Fund regarding the implementation of Frontline Monitoring and Support programs?**

#### 5.1.4. CLIENT SATISFACTION SURVEY

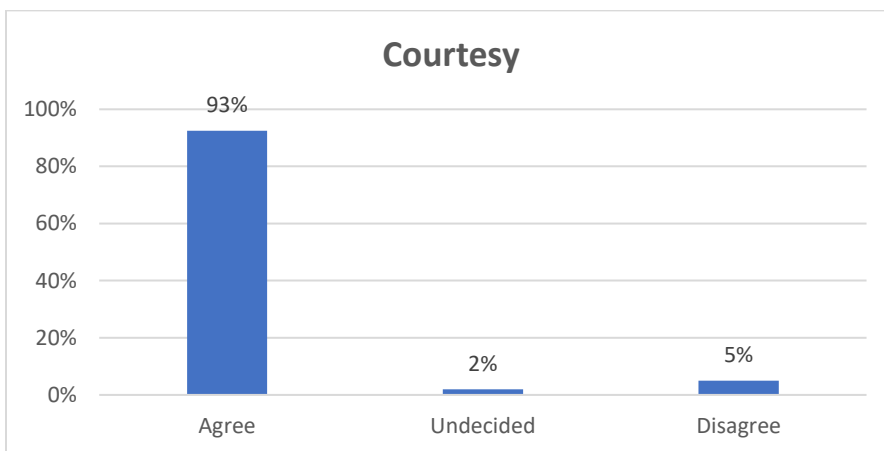
This sub-section provides an analysis of the information about the data collected from the clients of the Government Employee Pension Fund. The clients of the Government Employee Pension Fund are active members, pensioners, spouses, and orphans. The researcher administered a questionnaire to determine client satisfaction amongst the Government Employee Pension Fund clients experienced from interaction with the Government Employee Pension Fund's service delivery points. The nature of analysis has its basis in the provisions of the policy guidance: The White Paper on Transformation in the Public Service Delivery (1995), which helps evaluate the level of client satisfaction in the Public Service. The service delivery variables used to determine the level of client satisfaction in all four Frontline Monitoring and Support programs relate to the "Batho Pele" Principles, namely:

- **Courtesy**, politeness, and considerate behavior, citizens should be treated with courtesy and consideration, e.g., tools, measurements, and systems put in place to effect customer care.
- **Consultation**: To determine the end user's needs and expectations, all stakeholders should be consulted on the nature, quantity, and quality of services.
- **Information** citizens should be given complete, accurate information about the public services they are entitled to receive.
- **Service quality**: Citizens should be told what level and quality of public services they will receive so that they are aware of what to expect, service charter.
- **Service delivery** establishes a mechanism for recording public dissatisfaction, e.g., toll-free numbers, suggestion boxes, and customer satisfaction questionnaires.

The Government Employee Pension Fund's core business administers its members' benefits. As the Government Pension Administration Agency is part of the government, it is therefore supposed to put members at the center of service delivered to the citizens. Precisely, the program sets the citizens at the center of service delivery. The reviewed literature (Chapter 2), particularly the New Public Administration theory, confirms this view as it puts the clients at the center of service delivery. It discussed the issues, goals, and features of the New Public Administration theory. It also reflects, amongst others, the democratic citizenship principle,

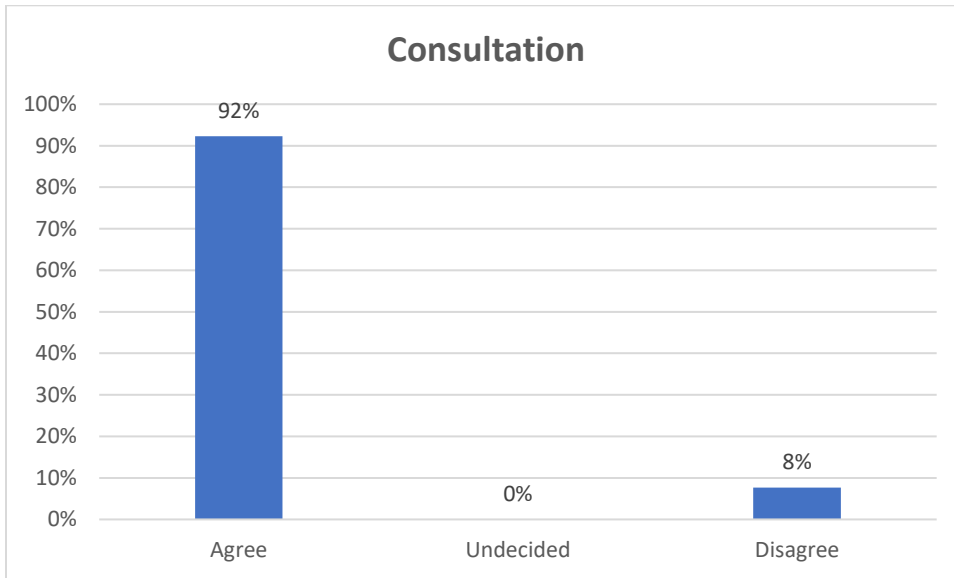
client participation, public interest, and client orientation. The center of service delivery is at the end of the whole chain of service provision. Regular monitoring and evaluation activities at the service delivery point or client interface level are critical in sustaining and improving service delivery. Thus, conducting monitoring and evaluation activities at the client level provides feedback on client satisfaction. Therefore, the research study selected the relevant service delivery variables to assess the level of client satisfaction in Government Employee Pension Fund service delivery or client interface. The service delivery variables determined client satisfaction in all four Frontline Monitoring and Support programs.

#### 5.1.4.1 Courtesy



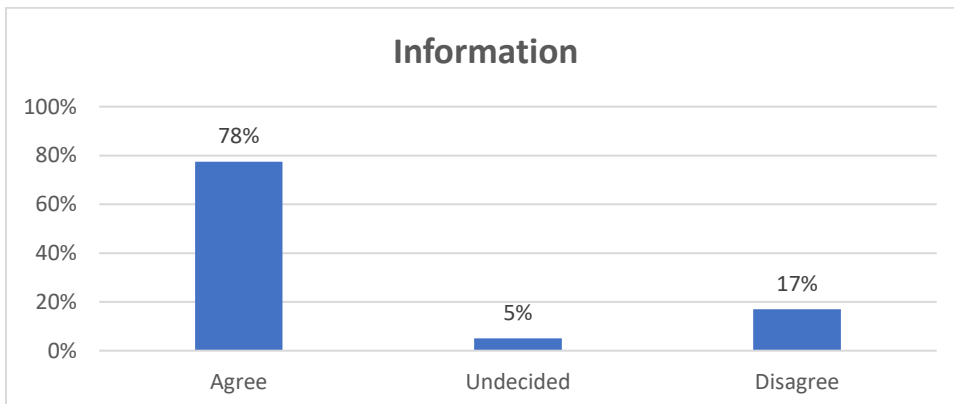
**Graph 1:** Most respondents, 93%, indicated they were handled with kindness in the Agency's contact centers, while 5% reported they were not. Only 2% of respondents were uncertain about contact center civility. Every quarter, the Agency trains officials who work on pension-related matters to be comfortable with in-service delivery. GEPF has presented a friendly environment, and the officials have shown a positive attitude.

### 5.1.4.2 Consultation



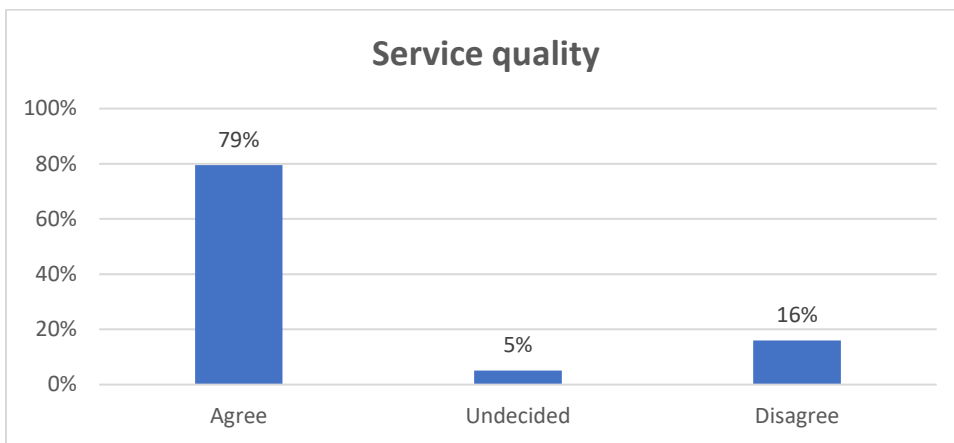
**Graph 2:** Most respondents, 92%, responded that they were consulted about the services in the Agency, while 8% disagreed with the view that there was consultation. The Agency regularly updates members on pertinent information, including benefit statements and general information about the fund. It also visits government institutions to respond directly to the members who need help to see their offices. Therefore, effective communication exists between the Agency, sector departments, and clients. The onus rests with government departments to update their records so the Agency can reach out to all members with the relevant information.

### 5.1.4.3 Information



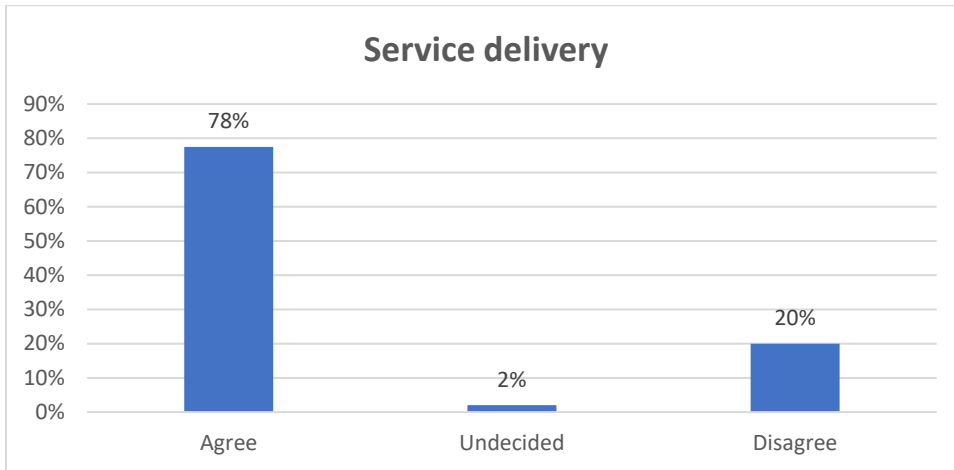
**Graph 3:** Most respondents, namely 78%, agreed that they provided information about the Agency services, while 18% disagreed with receiving information. Only 5% of respondents were still determining about receiving information. The Agency has offices scattered all over the country, which helps members to know that dependents will access care upon death and that member's monies are safe. The Agency must have leaflets or pamphlets written in all languages for accessibility by all clients.

#### 5.1.4.4 Service Quality



**Graph 4:** Most respondents, namely 79%, agreed to receive quality service in the contact centers, while 15% indicated that they did not receive quality service. Only 5% of respondents stated that they were undecided. The Agency has a powerful pension case management system, which is very helpful in processing payments and submitting documents. It needs to increase the number of helpdesks to answer the telephones to improve quality. It also must improve the integrated systems that will assist the Human Resources officers in getting information about the employees before they leave or terminate their services.

### 5.1.4.5 Service delivery



**Graph 5:** Most respondents, namely 78%, agreed to receive good service delivery, while 20% disagreed with excellent service delivered. Only 2% were still deciding whether the service provision was on time. The Agency ensures that all the members exiting the fund get their money. However, sometimes it takes too long to answer or respond to the telephone calls. There is a tedious delay whenever a reference case has to the legal section of their offices. Sometimes, there are unnecessary rejections of claims, even if there is valid evidence to support the claim. Sometimes, they request information in their database; the case is the fund membership.

## 5.2. FINDINGS AND DISCUSSIONS

**Research objective one (RO1):** To understand the policies for implementing Frontline Monitoring and Support programs. The study discusses the adherence of the Agency in implementing the Frontline Monitoring and Support programs established by the Department of Planning, Monitoring, and Evaluation.

### **5.2.1. ANALYSIS OF THE FRONTLINE MONITORING AND SUPPORT PROGRAMME**

This section looks at the implementation of the Frontline Monitoring and Support programs. The Department has provided policy guidelines regulating the performance of the monitoring and evaluation policies. As per the procedure, government departments and agencies should use these guidelines to implement sectoral programs. Thus, this section seeks to understand if the Agency implements Frontline Monitoring and Support according to the policy guidelines provided by the Department. The findings were based on the documentary analysis of Frontline Monitoring and Evaluation implementation from the two Departments. The results reflect the research in Chapters Three, 3.8, and 3.9.

#### **5.2.1.1 Frontline Service Delivery Monitoring/GEPF Walk-In-Centres**

The Agency adheres to the policy requirements established by the Department by implementing frontline service delivery monitoring; the Agency regularly monitors the frontline service delivery offices to improve performance and service delivery. For example, the results show that the frontline service delivery and monitoring program commenced in 2011, and it monitors government facilities at the service delivery level by conducting monitoring activities at service delivery points. Monitoring results contribute positively to improving service delivery. The GPAA (2018/2019) indicates in its Monitoring report that 424 586 clients assisted in the walk-in center offices, only 13% (56 470) completed the survey, with 96% indicating that they were satisfied with the overall service. The data analysis demonstrates a positive relationship between the Department's policy guidelines and adherence and the Agency. The Agency continuously conducts the client satisfaction survey through the Queue Management System in the walk-in center offices, which forms the foundation of the New Public Administration Theory.

### **5.2.1.2 The Presidential Hotline/Complaints Management**

Implementing the Presidential Hotline or the complaints management services adheres to the Department's policy requirements. The Agency has a functioning Complaints Management Unit that handles any complaints directed to it. For example, the results indicate that the program was launched in September 2009 to enable individuals to submit inquiries, grievances, feedback, and praises on government services relevant to service delivery. The DPME (2019), in its report on the performance of the Presidential Hotline, states that public institutions must maintain a 90% resolution rate for all documented calls through the Presidential Hotline. Furthermore, the report says that, in 2019, the Agency had a resolution rate of 99.62%. The Agency received 2380 complaints and resolved 2371, leaving only 9 cases since the start of the Presidential Hotline in 2009. According to the data, the agencies' adherence to the Department's and their policy guidelines is positively associated. The organization has frequently used the Presidential Hotline system to address its clients' problems. Using the Department's policy guidelines, the Agency resolved pension-related issues while improving service performance.

### **5.2.1.3 The Citizen-Based Monitoring/Human Resources Forum**

Implementing the Human Resources Forum adheres to the Department of Planning, Monitoring, and Evaluation's policy guidelines. For example, the results demonstrate that in 2013 the Department implemented the Citizen-based Monitoring framework to enhance public involvement. DPME (2013) states that the Citizen-Based Monitoring program gathers data on public views and experiences about service delivery to monitor the performance of public institutions. The Agency uses The Human Resources Forums to collect data about the citizens' opinions and experiences in the service delivery mechanism to improve performance. The GPAA (2017) monitoring report on Human Resource Forums indicates that from the 543 Human Resource practitioners, only 131 responded to the client satisfaction survey forums. 95% of respondents were happy about the service rendered, while only 5% were unhappy with the service delivery. The data suggests that the Agency has taken steps to

guarantee that the Department's policy requirements are followed, forming a positive relationship between the Department and the Agency. It conducts client satisfaction surveys to ensure continuous data collection and enhance responsive service delivery. The program places the opinions and experiences of the customers at the center of the delivery of public policy.

#### **5.2.1.4 The Executive Monitoring Support (Izimbizo)/Community Roadshows**

Implementing the Executive Monitoring Support/community roadshows shows that the Agency follows the policy guidelines established by the Department policies. The Agency conducts client satisfaction surveys during community roadshows to determine customer satisfaction at service delivery points. For example, the results indicate that this program uses political leadership to accelerate the services delivered to the citizens. It provides a platform for creating dialogue between the government and its citizens. In this way, there is a meaningful level of public accountability where public representatives engage citizens on pertinent service delivery issues. The monitoring report on Community Roadshows, GPAA (2018/19), indicates that it reached out to 9401 clients and conducted client satisfaction surveys to 831 in this program.

Furthermore, 98% indicated they were satisfied with the services rendered in the roadshow, 1% had no opinion about the event, and 1% disagreed with service provision. The data demonstrates the positive relationship between the two Departments. The Agency implements community outreach programs as per the provisions of the Department's policy guidelines and reaches out to its clients to solicit feedback about its service delivery. This analysis supports the theory of New Public Administration, which puts the service recipient at the center of service delivery.

In conclusion, the analysis of the implementation of the Executive Monitoring Support shows that the Government Employee Pension Fund adheres to the policy guidelines provided by the Department of Planning, Monitoring, and Evaluation. The Government Employee Pension Fund conducts client satisfaction surveys during the community roadshows to

establish client satisfaction at the service delivery points. The relevant stakeholders share the reports to effect improvements in the events of the community roadshows.

**Research objective two (RO2): The study ascertains the Government Employee Pension Fund compliance and conformity in implementing the monitoring and evaluation policies.**

This research identified five factors to determine whether the Agency complies and conforms to the Department's policy guidelines: The role of monitoring and Evaluation, conformity, compliance, management support, institutional arrangements, monitoring and Evaluation support, and Inadequate communication forums. The findings are based on the analysis of the interviews conducted by the Agency's officials and the Monitoring and Evaluations unit officials.

## **5.2.2 INTERDEPARTMENTAL OVERSIGHT**

### **5.2.2.1 The Role of the Department of Monitoring, Evaluation and Planning**

The Department enables, influences, and promotes effective government program planning, monitoring, and evaluation to improve service delivery. For example, during the key informant interviews, some participants indicated that the Department provides policy guidelines for developing instruments to monitor and assess performance, allowing for more transparent public service delivery and improving government program outcomes. The majority of the critical interview informants stated that:

*KII, 1,2,3,4 shared the same view (M&E officials): "The department of planning and monitoring plays an oversight role in the performance of the Government Department in line with the national development plan, and the monitoring of the SDG indicators targets to ensure that the country is on the right track in the reaching of these goals."*

*KII, 5,6,7,8 shared the same view (M&E officials): "DPME is responsible for government-wide monitoring, evaluation, and planning. They are responsible for leading the country by developing legislation and policy frameworks to guide the planning and M&E of government programs across the country and to ensure coordinated efforts by the whole government. They are responsible for developing the National Development Plan and ensuring all responsible sectors implement it. They are further responsible for monitoring the implementation of the National Development Plan through coordinating the monitoring of other government initiatives as guided by the NDP and other Planning documents. DPME is further responsible for conducting evaluation studies on various initiatives implemented by the government of the day".*

The data demonstrates that the Department is the custodian of policy-making, which offers policy guidance while the Agency oversees policy implementation. The DPME (2012) proposes that one of the responsibilities of the Department includes supporting the government at the National, Provincial, and Local levels and other government agencies by developing guidelines, tools, and standards for implementing monitoring and evaluation policies. Therefore, the finding demonstrates that the Agency's officials understand the role of the Department as part of the government service delivery machine. The Agency adheres to the policy guidelines, which assist in standardizing the system that improves government performance and service delivery. However, the Agency is still responsible for establishing its implementation strategies to ensure the adequate provision of its policies. Therefore, the finding demonstrates that the Agency's officials clearly understand the role of monitoring and evaluation. This analysis suggests that understanding the role of monitoring and evaluation improves the effectiveness and efficiency of public policy delivery.

#### **5.2.2.2 Compliance**

This finding concludes that the Agency is fully compliant since it established the Monitoring and Evaluation policy framework and standard operating procedures for the Agency's Monitoring and Evaluation function. For example, the results indicate that most key informant respondents echoed that while the Agency does not directly report to the

Department, it ensures compliance with the Department's directives. Further, in support of its mandate, the Agency regularly submits compliance reports as Annual performance plans to the National Treasury and Parliament. Some of the critical interview informants indicated that,

*KII, 3,4,5 (GPAA officials), "The GPAA is fully compliant since we have formulated the policy, framework, and standard operating procedures for the monitoring and evaluation function in GPAA. Our policy frameworks and SOP were developed using a Government-Wide Monitoring and Evaluation framework."*

*KII, 8 & 9 (GPAA officials), "The M&E Policy, M&E Framework, and Strategic Planning Framework of the GPAA are all aligned to the requirements of DPME. As much as the GPAA is not reporting directly to DPME, the organization ensures alignment with government requirements as guided by DPME." "It does comply as quarterly reports of the organization are submitted to the National treasury."*

The key informant from the monitoring and evaluation unit further supported and unanimously indicated that:

*To a greater extent, KII, 1,2,3,4,5,7 (M&E Officials) because we have process flow plans, operational plans, and performance agreements.*

However, one of the critical interview informants indicated that the Department provides monitoring and evaluation policy guidelines in the entire public service and that the Departments develop their own monitoring and evaluation policies.

*KII, 8, (M&E Officials), "I think GPAA implements their policies, was unaware they are from DPME."*

From the data analysis, the study confirms that the Agency complies with the Department's guidelines. However, the shortfall is that the Department needs a mechanism to measure compliance to ensure that its outcome contributes positively to service delivery. Foorthuis

(2012) suggests that the most effective strategy to promote compliance is to perform compliance assessments. Otherwise, failure to conduct compliance assessments may result in policy and practice conflicts, affecting public policy delivery. However, although compliance is essential, it should be separated from effectiveness because compliance reports do not guarantee achieving the intended end goals.

### **5.2.2.3 Conformity**

The Agency has implemented the Frontline Monitoring and Support initiatives to collect information on the delivery of public services per the Department's guidelines. It has developed four initiatives that follow guiding policies: human resources forums, community outreach, a presidential hotline, and a regional monitoring office. According to the available data obtained and analyzed, the Agency conforms to policy requirements since it implements four Frontline Monitoring and Support programs following the directives (DPME, 2014). However, during the key informant interviews, one of the respondents alluded that the Department develops monitoring and evaluation policy guidelines but still needs to ensure that the Agency conforms to them. One of the critical interview informants indicated that:

*KII, 1 (GPAA officials), "Measuring what is not documented is complex. The CM&E has not established a working relationship with DPME; therefore, it is impossible to check how well the GPAA is doing regarding abiding by the DPME policies."*

According to the data, there are no shared agreements about conformance assessment. There is no accountability, and the Agency can alter its policies as it pleases. As a result, guidelines that should be monitored may yield the desired results. Kauffmann (2016) concurs with this and points out that developing countries have virtually no mutual agreement for conformity assessment, and very few memorandums of understanding exist. Furthermore, the lack of reciprocal conformance assessments has resulted in dynamism and a lack of interest among members (Kauffmann, 2016). In summary, monitoring conformity to public policy implementation is essential and plays a significant role in the successful implementation of public policy; otherwise, specific stakeholders could ignore it. As a result, the finding indicates that, while the Agency conforms to the Department's policy guidelines, there needs to be more conformity measures, which might lead to policy and implementation disputes.

#### 5.2.2.4 Interdepartmental Arrangements

Inadequate collaboration between the Department and other public sector institutions. Departments, for example, are not required to report to the Department of Planning, Monitoring, and Evaluation, which serves as the custodian of Government monitoring and evaluation policy. As a result, the Department needs more adequate tools for assessing whether policies are being implemented following the guidelines. The key interview informants echoed that:

*KII, 7 (GPAA officials), "There should be some kind of engagement with other departments regarding leading, training, and ensuring that other departments adhere to the M&E framework. Still, I have not seen such engagement, especially in my Department."*

However, this contrasts with the performance of the presidential program. This initiative highlighted the Agencies and the Department's productive teamwork. For example, the Department coordinates the program, and a specialist client liaison officer serves the Agency. Client liaison officers track each case, and the time it takes to report it to the clients. They evaluate customer satisfaction after completing interactions. The Agency formed the complaints section to answer all requests from the presidential hotline. As a result, the synergy exists in the two Departments' working ties. The analysis demonstrates that the appropriate arrangement of the Departments' working relationships has the potential to be productive. In their findings, Kenneth et al. (2002) and Seasons (2006) indicate how organizational culture supports good management behaviours and, as a result, creates an effective monitoring system. Goldman (2013) found a gap in the institutional frameworks of monitoring and evaluation systems across African countries. Therefore, inadequate working relationships between government departments contribute to conflicts between policy and execution, impeding public policy delivery. Thus, in line with the hypothesis, the finding suggests that inadequate working relationships within the departments inhibit the implementation of effective monitoring and evaluation, which impedes public policy delivery.

### 5.2.2.5 Management and Reporting

The Department recommends that the monitoring and evaluation function reside in the Director General's office to ensure that reporting is considered an essential management task. The results demonstrate that the location of the monitoring and evaluation function in the Chief Executive Office suggests that the Agency follows a top-down strategy, with orders coming from the top and disseminated to lower levels of the organization. The critics have indicated the possibility of unfair and prejudiced reporting if the results hurt the Department. The World Bank (1997) warns about the risks and pressures governments with top-down decision-making processes have regarding corruption. One of the difficulties is that central office management prioritizes annual performance plan reporting above monitoring and evaluation reporting. The main management office aims to promote and maintain political will, whereas the administrative branch seeks to enhance effectiveness and efficiency in policy implementation. This is partly because reporting on yearly performance plans is a compliance problem, but reporting on monitoring and evaluation is non-compliance solely for learning and improvement. The key interview informants stated that,

*KII 1 (M&E Officials): Very limited. The GPAA management is more familiar with and reliant on the monitoring wing of the APP. Therefore, it ignores the other aspects of M&E, and not much support is rendered to the evaluation functions.*

*KII 5 (M&E Officials): "I think only APP monitoring gets much support from the leadership as it talks about their performance. Evaluations and research are not an area of interest for management. They only get interested when an instruction from above (e.g., GEPPF) needs research-related information.*

Central management reporting often focuses on outputs, whereas administrative reporting focuses on outcomes. Bakkeli's (2022) and Seasons's (2006) findings indicate that politicians are concerned with outputs while the administration is concerned with results. The data demonstrates the correlation between the location of the monitoring and evaluation function and the central management office. While the Department recommends the top-down

approach, the main management office only uses monitoring and evaluation reporting for compliance. The performance data needs to be more adequately utilized, because if not used, it contributes to inability to learn and improve. Although central office emphasizes high-level reporting, based on numbers, they should also pay attention to service quality, a vital part of service delivery. As a result, the centralization of the monitoring and evaluation role may threaten service delivery quality and, as a result, create tensions between policy and practice.

#### **5.2.2.6 Lack of formal communication forums**

The Department convened a monitoring and evaluation forum to discuss public sector monitoring and evaluation practices in the public service. For instance, the results show that the Monitoring and Evaluation Unit was represented in the Department's monitoring and evaluation forum, where they share information in workshops, conferences, and meetings. However, such a procedure was effective in 2016. One of the critical interview informants stated that:

*KII, 4, (M&E official), "I am not sure because I have not seen or heard of any engagements with GPAA in the last three or more years when they used to invite managers to their sessions."*

*KII, 8, (M&E official), "Although the monitoring and evaluation section is represented at the monitoring and evaluation forum to ensure that the organization is up to speed on policy developments, there is currently no link between the two Departments."*

The data demonstrates that a formal monitoring and evaluation forum intended to include representatives from every government agency, but it needs to be more operational. As a result, there needs to be better communication between the Department and the Agency's Monitoring and Evaluation practitioners. Therefore, lack of communication between the monitoring and evaluation practitioners in the public service contributes to the disputes between policy and practice, impacting the successful implementation of public policies. Sambo et al. (2022) stipulate that information sharing provides clients with information

services. Furthermore, it is essential to ensure that customers have ongoing access to credible information.

In conclusion, the results indicate that implementing Frontline Monitoring and Support programs shows that the Government Employee Pension Fund has good and bad practices. The results suggest that monitoring and evaluation officials understand the supportive role and responsibility of the Department of Planning, Monitoring, and Evaluation in the national departments. There are no shared agreements about conformance assessment. There is no accountability, and the Agency can alter its policies as it pleases. The study also confirmed that the Agency complies with the Department's guidelines. However, the shortfall is that the Department needs a mechanism to measure compliance to ensure that its outcome contributes positively to service delivery. The findings also indicate a need for more communication of monitoring and evaluation policies in all the structures. In addition, the ineffective working relationship between government departments contribute to conflicts between policy and execution, impeding service delivery. The results show no evidence of sufficient use of the monitoring and evaluation reports, making it challenging to inform performance improvements in the Government Employee Pension Fund. The centralization of the monitoring and evaluation role may threaten service delivery quality and, as a result, create tensions between policy and practice.

**Research objective three (RO): The study reflects on the practice of monitoring and evaluation policies in the Government Employee Pension Fund.**

This research identified five factors to determine whether the Agency complies and conforms to the Department's policy guidelines: Evaluation and feedback, implementation of recommendations, utilization of evaluations, training of monitoring and evaluation officials, monitoring units and business units, Communication of monitoring and evaluation, dissemination of information. These elements are shared perspectives of respondents who participated in the study. The findings are based on the analysis of the interviews conducted by the Agency's officials and the Monitoring and Evaluations unit officials.

### **5.2.3 ORGANISATIONAL CULTURE**

#### **5.2.3.1 Monitoring of Business Units**

The monitoring and evaluation unit collaborates with other business units, particularly the Strategy unit, to set departmental objectives and indicators. For example, most key interview informants contend that the two teams complement each other regarding their roles in creating the annual report. The strategy unit provides inputs, while the Monitoring and Evaluation unit actively makes the yearly report. The key interview informants indicated that,

*KII, 1,3,6 (GPAA officials): "Work hand in glove with Strategy to assist and monitor the implementation of the strategic goals and objectives through indicators and targets by the evidence produced."*

*KII, 7, 8 (GPAA officials), "Monitoring and evaluation form part of sub-program 1.4, which strategy is a party. The two units work hand in glove in compiling annual reports. The strategy provides inputs while monitoring and evaluation are involved in compiling the annual report."*

Furthermore, one of the interview informants indicated that the monitoring and evaluation unit's primary job is to monitor and prepare the Annual Performance Plans, a significant performance measuring tool in government. For example, the Monitoring and Evaluation Unit collects data from other business units to analyze the Agency's overall performance. The business unit delivers quarterly monitoring and assessment reports to the highest executive level for approval. Panitz et al. (2010) conclude that reporting on Annual performance plans is becoming increasingly crucial as stakeholder knowledge grows. As a result, businesses must adopt holistic reporting that meets the informational needs of all stakeholders. Some of the key interview informants indicated:

*KII, 2,4 "My Business Unit submits evidence of performance to Monitoring & Evaluation Unit, which collates the data from other business units to have an overall performance status for the whole organization (GPAA)."*

*KII, 5, "As internal audit, we audit the monitoring and evaluation quarterly reports before they can be presented at the highest organizational committees. Furthermore, we also submit our quarterly performance information for monitoring and evaluation."*

The data shows that the monitoring and evaluation unit has a strong working relationship with other GPAA business units; nevertheless, the implication is that these outstanding working relationships are far more common in compliance reporting, which is Annual Performance Plans, neglecting reporting on evaluations as an essential component of public policy delivery. Information on learning and improvement must be revised for policy and implementation disputes since policies cannot be reviewed for learning and progress.

#### **5.2.3.2 Training on Monitoring and Evaluation**

Inadequate government intradepartmental cooperation impedes information interchange in monitoring and evaluation procedures. The Department fails to lead and direct other Government Departments and hence fails to achieve its institutional role. For example, the results indicate that the Department needs to collaborate with other departments to lead, train, and ensure that different departments follow the Monitoring and Evaluation framework. As a result, coordination centers must be established to give standard information to government departments. One of the key interview participants indicated:

*KII, 7, (M&E Officials), "We need to constantly be on the lookout for new developments in monitoring and evaluation. We also need to form networks with other departments for continuous improvement. As I said earlier, let DPME be our guardian; we will achieve better than we thought we could."*

In contrast, one of the key interview informants pointed out that the Department trains Senior Managers in public service; however, the Agency has yet to be invited. Some of the key interview informants cited that:

*KII, 7, (M&E Official) DPME often offers training for senior government management; this is something that management can consider. Due to their experience in providing support to govt departments, GPAA may benefit if they can be invited to assist us in aligning our plans. It will then be cascaded down to all levels of the hierarchy. Educating and sensitizing all employees regularly on what M&E is about, its value-add to the organization, and its contribution to performance agreements.*

The study's data analysis demonstrates a need for more training in monitoring and evaluating developments due to ineffective interdepartmental collaboration, which the Department should lead. As a result, it is responsible for the poor performance in public service delivery. In support of this, Brynard (2009) indicates that policy implementers are more likely to continue performing well if they are confident about solving problems and finding solutions when transforming policy intentions into practice. Training is thus one of the critical determinants of successful policy implementation. The evidence presents that poor relationship is responsible for the tensions in the policy and implementation. Although one of the research participants is adamant that the Department provides training at some point, the Agency's Senior Managers have not been invited for some reason, reflecting a lack of coordination between the Department and the Agency.

### **5.2.3.3 Evaluation and Feedback**

Failure to implement feedback outcomes from public involvement programs such as Izimbizo and the Human Resource Forum exacerbates the effective delivery of public policy. For example, these two programs adopt a bottom-up approach to collect data from service delivery points. The bottom-up approach states that the implementation process occurs at the operational level (Culley et al., 2016). This level analyses the challenges and issues encountered at the service centers through feedback, with the primary objective of improving feedback through government engagement in local communities while also adding to the complexity of service delivery (Linders, 2012). Therefore, failure to utilize feedback conveys central management's unwillingness to learn and improve from evaluation reports. Some of the key research informants stated that:

*KII, 1 (GPAA Official), "No enforcement on implementation of recommendations. No involvement in the planning of projects and programs. Involvement in monitoring and evaluation at the last stages of projects means being unable to measure baselines, thereby failing to measure impact. Reports are not reaching decision-makers, and studies are not linked to the organization's core business."*

*KII, 8, (GPAA officials) "Low response rates for evaluation studies (associated to response fatigue)-officials disputing the findings from evaluation studies very minimal implementation of recommendations despite commitments made through an implementation plan."*

In their findings, Martin (2009) and Sukai et al. (2014) indicate management's unwillingness to endorse assessment outcomes that revealed unfavourable policy decisions. By implication, this means that the central control will favour evaluation outcomes that reflect the political will. The data shows the connection between the tendency to support evaluation results that promote political will and the ignoring to implement feedback results that promote implementation processes. Politicians see public participation programs as a forum to promote their political will, whereas administrators see public participation as a stakeholder involvement process. Cardini (2006) demonstrate that the state officials' differing perspectives on public involvement goals limit local participation. The Administrators consider public engagement as an opportunity for fostering stakeholder participation, whereas politicians regard public participation as a potential platform for expressing political will. As a result, governments resort to supporting evaluation outcomes that suit their interests, which is to blame for policy and practice disputes in the public policy implementation process. Taking feedback and evaluation seriously allows for learning and improvement, which is a critical and necessary component of public service delivery.

#### **5.2.3.4 Implementation of Recommendations**

Monitoring and evaluation reports are neither used effectively nor disseminated to organizational decision-makers. For example, the results indicate that management actions do not correspond to the recommendations in monitoring and evaluation reports. As a result, evidence of the evaluation studies' recommendations being implemented is uncommon.

Monitoring and evaluation reports are limited since suggestions are rarely enforced. In their findings, Proctor et al. (2013) stipulate that recommendations should encompass a detailed intervention description. Furthermore, he postulates that preliminary plans for intervention should include the specific steps to implement the intervention. Some of the key research informants stated that:

*KII, 2, (M&E officials) "No enforcement on implementation of recommendations. No involvement in the planning of projects and programs. Involvement in monitoring and evaluation at the last stages of projects means being unable to measure baselines, thereby failing to measure impact. Evaluation reports do not reach decision-makers, and studies are not linked to the organization's core business."*

The data demonstrates that the Agency needs to consider the implementation of recommendations. The Agency keeps conducting evaluations that could be more beneficial to the organization. However, it does not implement the recommendations. As a result, the Agency cannot learn and improve its public policy implementation strategies. This viewpoint highlights the inconsistencies between practice and policy since it may be possible to implement the evaluation's recommendations to improve the delivery of public policy significantly.

#### **5.2.3.5 Communication of monitoring and evaluation policies**

Information concerning monitoring and evaluation policies is communicated at the intradepartmental levels but needs to be appropriately cascaded to the Department's lower levels. For instance, the results show that the Department sends its monitoring and evaluation policies to the Chief Executive Officer's office, which transmits them to the Monitoring and Evaluation Unit. However, it does not go beyond that level, creating unfavourable outcomes. Dingley et al. (2008) that ineffective Communication among healthcare team members adds to patient damage and adverse events; treatments and implementation strategies become essential in reducing unfavourable patient outcomes. Some of the key interview informants indicated that:

*KII, 1, (M&E officials) "Communication is forwarded to the CEO's office, which cascades the information to the CM&E unit.*

*KII 2, "The Agency has previously attended the quarterly sessions on implementing the Monitoring and evaluation functions."*

*KII, 7,9 (GPAA officials), "This was ad hoc. I have not been in a formal session where this policy framework was explained. It was communicated before my time and workshopped throughout the organization."*

Furthermore, data analysis indicates that the intranet, e-mails, Lentswe magazine, and the internet are the standard communication mediums. Because this mode of Communication does not necessarily presume that employees are familiar with the policies, it is less effective than the contact communication channel. Some guidelines are considered at the management level, which does not reach the lower levels, leaving people in the dark. Some of the key interview informants cited that:

*KII, 3,4,5,8, (GPAA officials), "The policy is documented and distributed to all units within the organization, including ours, through the intranet, the internet, e-mails, Manco, and Lentswe Magazine."*

According to the data analysis, this study demonstrates the robust communication channels between Executive Officials and Senior Management. The information is then cascaded down lower levels via nonverbal modes of Communication, for instance, intranet and internet. It is a shortcoming because the degree of understanding the technical language at this level could be better if it is transmitted through contact workshops. Poor communication of monitoring and evaluation policies is thus one of the factors responsible for the conflicts between policy and implementation. Therefore, the finding concludes that ineffective communication strategies are accountable for policy and implementation conflicts. Adequate communication channels for monitoring and evaluation policies are essential in government departments, and organizations with clear communication channels are more likely to implement public policy delivery successfully.

### 5.2.3.6 Dissemination of Information

The monitoring and evaluation unit maintains effective information distribution systems for strategic reporting. For example, the results indicate that business unit managers submit performance monitoring reports to the senior manager's office for input and signature. The final words are then delivered to the monitoring and evaluation unit for compilation for presentation at the Executive Management level. Sambo et al. (2022) indicate that information distribution provides clients with information services. Furthermore, it is essential to ensure that customers have ongoing access to credible information. Some of the key interview informants cited that:

*KII, 1,2,5,6,8,9 (GPAA officials), "Performance feedback sessions are conducted with sub-program heads and their management teams at the end of each reporting period. Performance reports are also presented at EXCO. Publication articles on the organization's performance are published in the employee newsletters. Performance Charts showing the organization's performance are also published on all notice boards around the building (only at Head Office for now)."*

However, several key informants stated that, while there is evidence of monitoring and evaluation system practice, greater enforcement is required to guarantee that business units comply with their operational level agreement. Some of the key interview informants cited that:

*KII, 1, (M&E officials) "Attendance of quarterly review sessions by sub-program heads is poor. Late approval of reports, implementation of recommendations is not always done, monitoring and evaluation human resource capacity is inadequate."*

*RII, 2, (M&E officials) "non-adherence to reporting requirements (timelines, submission of sufficient evidence & narrations for under/over performance)-insufficient human resources for verification of performance data at the primary data sources, and finally, non-attendance of performance feedback sessions by some sub-program heads."*

This study confirms an adequate distribution of performance reports within the Agency from the analysis. However, this is only on the Annual Performance Reports. The Agency uses several dissemination channels to ensure that it reaches all employees. However, there are areas for improvement related to the quality of reports, time of submissions, human resource capacity, and non-attendance of feedback sessions. Therefore, monitoring and evaluation practices are adequate. At the same time, some adjustments at the individual level are required, and these adjustments are responsible for the conflicts between policy and practice in public policy delivery.

In conclusion, the decisions made at the management level sometimes derive from the monitoring and evaluation reports. It is thus unlikely to see evidence of the implementation of recommendations from the reports. The findings indicate that the Government Employee Pension Fund's management seems more interested in monitoring the Annual Performance Plans (APP) than the other monitoring and evaluation aspects. The managers in the Business Unit must take accountability and consider feedback sessions very seriously. The findings show several potential improvements in implementing monitoring and evaluation policies in the Government Employee Pension Fund. As such, the Monitoring and Evaluation Unit should create a platform to discuss issues of common understanding regarding improvement in service delivery.

**Research objective four (RO): To assess the performance of frontline monitoring and support programs from the perspective of the clients of the Government Employee Pension Fund.**

#### **5.2.4 CLIENT SATISFACTION SURVEY**

The assessment of client satisfaction adds an important aspect: the client's perspective in evaluating the services and systems of the Government Employee Pension Fund. Assessing client satisfaction allows consultations with clients about their experiences regarding the services rendered, in this case, the services offered by the Government Employee Pension Fund. Client satisfaction surveys provide how clients express their concerns and opinions

with reference to the benefits received and their views concerning the new services on demand. The questionnaire used the Likert scale of agree, undecided, and disagree to evaluate client satisfaction after receiving the Government Employee Pension Fund service. The study assessed five variables: courtesy, consultation, information, service quality, and service delivery. The same questionnaire was conducted on 40 research participants.

#### **5.2.4.1      Courtesy**

The Agency maintains good manners and courtesy during service delivery in contact centers. In the White Paper on Public Service Delivery Transformation (1995), civility entails more than just being friendly to clients; it also entails being kind, helpful, and treating everyone with decency and respect. For example, the data show that 93% of those surveyed stated they were treated kindly in the Agency's contact centers, while 5% said they were not. Only 2% of those polled needed clarification about politeness. Mofolo and Smith's (2009) article states that, besides the physical provision of services, Batho Pele principles necessitate that communities be treated with civility and attention when services are delivered across the counter. Some of the respondents indicated that,

*Respondent 1, "The in-depth knowledge of GEPF staff members is impeccable, and they have positive attitudes."*

*Respondent 2, "They acted very professional."*

*Respondent 3, "GEPF provides clarity to questions, and it is a friendly environment."*

According to the data analysis, most respondents reported that the officials were helpful, and that the Agency creates a welcoming environment where clients are treated with dignity. Although there are obstacles in the implementation processes that are accountable for policy and practice, some cases take time to resolve due to technical procedures, where they must submit extra documents. However, clients who visited the contact services were treated and handled respectfully. The finding suggests a positive relationship between service delivery and courtesy, demonstrating effective public policy delivery.

#### **5.2.4.2 Consultation**

The Agency conducts client satisfaction surveys regularly to see how it can best satisfy the demands of its consumers. Customer satisfaction surveys provide information that is utilized to enhance service performance. The White Paper on Transformation in Public Service Delivery (1995) indicates conducting surveys to consult with consumers about services and gather information to improve service delivery. The results suggest that 92% agreed they were consulted on the Agency's services, while 8% disagreed. Mofolo and Smith (2009) state that information may be disseminated through consumer surveys and stakeholder meetings as a platform for effective Communication. Some of the respondents said that,

*Respondent 1, Establishing CLOs, and mobile offices is the best initiative.”*

*Respondent 2, “The Agency provides proper services and their presentations in the roadshows (Izimbizo), human resources are good; please continue to do so.”*

*Respondent 3, “The Agency regularly updates members on pertinent information, including benefit statements and general information about the fund.”*

The data analysis shows excellent Communication between the Agency, sector departments, and clients. Government departments must update their data so the Agency may contact all members with pertinent information. Therefore, the finding demonstrates that effective consultation improves public policy delivery.

#### **5.2.4.3 Information**

The Agency guarantees that its consumers are constantly updated on the services offered. It employs various information-distribution methods, including roadshows, radio, posters, and pamphlets. According to the White Paper on Transformation in Public Service Delivery (1995), information is provided in various methods, including newspapers, radio, posters, and pamphlets, recognizing that different consumers have different requirements and considering other languages. 78% of those surveyed stated they supplied information about Agency services, whereas 18% disputed that they received news. Only 5% of those polled were

undecided whether they obtained information. According to Mofolo and Smith (2009), municipalities should give complete, accurate, and up-to-date information on their services and specify who is entitled to them. For the convenience of all clients, the Agency has brochures or booklets prepared in various languages. Some of the respondents indicated that,

*Respondent 1, "They should increase their offices in different towns so that it will be easy for beneficiaries or communities to access information."*

*Respondent 2, "They must have leaflets/pamphlets written in all written language."*

The data analysis shows that the Agency employs various strategies to guarantee that its clients have access to information. For example, the Agency uses Izimbizo roadshows, Client Liaison officers, and media to ensure information-sharing with clients. Therefore, the finding shows a positive relationship between service delivery and information sharing, implying effective public policy delivery.

#### **5.2.4.4 Service Quality**

The Agency has ensured that it brings innovation and improvements to guarantee that clients receive the best services possible utilizing the available resources. For example, the Agency has implemented a queue management system and pension case management; new strategies aim to eliminate human involvement and improve service delivery. The White Paper on Transformation in Public Service Delivery (1995) emphasized new and creative approaches to "doing things better." Innovation creates new ways of delivering better service, saving expenses, improving conditions, simplifying, and making improvements in general. According to the findings, 79% of respondents felt they would obtain quality service at contact centers.

In comparison, 15% of respondents said they did not receive good treatment. Only 5% of those polled said they were still determining. According to the findings of Mofolo and Smith (2009), community residents should be educated about the level and quality of municipal services by using local media and printouts of the Integrated Development Plans (IDPs). The

data analysis indicates that while most research respondents were satisfied with the service quality, some were unsatisfied. Some of the respondents noted that,

*Respondent 1, "The Agency has a powerful pension case management system, which is very helpful in processing payments and submitting documents through the system."*

*Respondent 2, "Queue management system is good."*

*Respondent 3, "It needs to increase the number of helpdesks to answer the telephones to improve quality."*

*Respondent 4, "It also has to improve the integrated systems that will assist the Human Resources officers in getting information about the employees before they leave or terminate their services."*

The data analysis indicates that most research participants are satisfied with the service quality. The Agency has implemented innovative systems to improve service delivery. The finding demonstrates the positive relationship between service delivery and quality, implying effective public policy delivery.

#### **5.2.4.5 Service delivery**

The Agency has consistently attempted to implement service delivery standards to improve service delivery; for example, delivering the Agency's service takes at least 8 to 15 minutes. The Head Office and Regional Offices must always uphold the service standards. The results show that 78% of respondents agreed to obtain decent service delivery, whereas 20% disagreed with excellent service delivery. Only 2% were still debating whether the services were delivered on time. Mofolo and Smith (2009) concur and indicate that service delivery should be enhanced, and that the public should have access to municipal services but that minimum cost-effective processes be developed. Some of the respondents stated that,

*Respondent 1, "The Agency ensures that all the members exiting the fund are getting their money. However, sometimes it takes too long to answer or respond to the telephone calls."*

*Respondent 2, "There is a tedious delay whenever a case has been subjected to the legal section of their offices."*

*Respondent 3, "Sometimes, there are unnecessary rejections of claims even if valid evidence*

*has been provided to support the claim.”*

*Respondent 4: ” Sometimes, they request information in their database, and the case is the fund membership.”*

According to data analysis, most customer participants were satisfied with the service delivery, but some were not. The implication is that clients who visited the contact center offices received services despite policy and practice constraints. Therefore, the finding supports the assumption that implementing Frontline Monitoring and Support programs in the public improves effectiveness and efficiency in public policy delivery.

In conclusion, the results show that 84% of the clients expressed satisfaction with the services rendered by the Government Employee Pension Fund. The implication is that the Government Employee Pension Fund has a functional Frontline Monitoring and Support structure that can be assessed against the provisions of the 1995 White Paper on Transformation in the Public Service delivery, which helps evaluate the level of client satisfaction in the Public Service. All service delivery variables assessed recorded above 75% level of client satisfaction.

The intention of this research study is not to evaluate the level of client satisfaction. The study examines the overall implementation of Frontline Monitoring and Support programs at the Government Employee Pension Fund. It was, therefore, essential to evaluate the Frontline Monitoring and Support program as it forms part of and is a crucial last stage in the public policy process. Considering all the vital aspects, the researcher only wanted to establish the complete functionality of the Frontline Monitoring and Support programs. Thus, a complete evaluation research study for Frontline Monitoring and Support is a study that should be conducted separately.

## **CHAPTER SIX: SUMMARY OF FINDINGS, CONCLUSIONS AND RECOMMENDATIONS**

### **6.1 INTRODUCTION**

This chapter provides a summary of findings, conclusions, and recommendations. The overall objective of this study was to examine the implementation of monitoring and evaluation policies in the Government Pension Administration Agency of South Africa. The study aimed at achieving four objectives, namely,

- To understand the guidelines for implementing Frontline Monitoring and Support programs.
- To ascertain the Agency's compliance and conformity to the implementation of Frontline Monitoring and Support programs by the Agency
- To reflect on the performance of Frontline Monitoring and Support programs practiced in the Agency.
- To assess the implementation of Frontline Monitoring and Support programs from the clients' perspectives of the Agency.

The study collected data using a semi-structured questionnaire, documentary analysis, and close-ended questionnaires. The study encountered challenges, such as refusal from some respondents who needed to be more comfortable answering research questions. A sample size of 60 respondents was targeted. However, only 58 respondents participated in responding to the study.

### **6.2 SUMMARY OF RESEARCH FINDINGS**

**The first objective:** The finding revealed that the Agency is implementing Frontline Monitoring and Supports four programs directly linked to the Department's policy guidelines. The results indicate that the Agency implements community road shows, human resource forums, a walk-in center, and a complaints management system. These programs directly link to the Frontline Monitoring and Support programs, which include Frontline Service Delivery

Monitoring, Citizen-Based Monitoring, the Presidential Hotline, and the Executive Monitoring Support (*Izimbizo*). The Government Employee Pension Fund has customized the implementation of the guidelines to suit its environmental circumstances. These programs use dashboards, scorecards, complaint registers, feedback forms, surveys, and reports to gather information on how satisfied clients are with the public services they receive. As a result, the study supports the New Public Administration notion, which centers service delivery upon the client's needs.

**The second objective:** An examination of the Agency's compliance and conformity with the policies within the context of the Department's Frontline Monitoring and Support programs revealed that the Agency recognizes the Department's role as the custodian of the monitoring and evaluation function in the Public Service. The study demonstrates a correlation between the two results; first, the Agency conforms to the Department's policy standards but lacks conformity procedures to avoid policy and implementation conflicts. Second, the Agency complies with the Department's policies and procedures. Conversely, compliance should be distinct from effectiveness because compliance reports do not ensure the achievement of the stated end goals. Inadequate working relationships within the departments inhibit the implementation of effective monitoring and evaluation, contributing to policy and implementation disputes. The centralization of the monitoring and evaluation function can compromise the quality of service delivery and, consequently, lead to conflicts between policy and practice; for instance, administrative reporting tends to focus on outcomes, while central management reporting usually focuses on outputs. Lack of Communication among public-sector monitoring and evaluation practitioners adds to policy-practice disagreements, jeopardizing the proper implementation of public policies.

**The third objective** is how Frontline Monitoring and Support programs are implemented at the Government Employee Pension Fund. According to the data, the monitoring and evaluation unit has a strong working relationship with other GPAA business units; however, these working relationships are far more common in compliance reporting, which is Annual Performance Plans, ignoring evaluation reporting as an essential component of public policy delivery. Similarly, data shows that a proper distribution of performance reports inside the Agency uses dissemination methods to guarantee that all employees see them. However, this

only applies to Annual Performance Reports, ignoring the distribution of evaluation reports. Unsurprisingly, management favours evaluation conclusions that benefit their interests. The Agency continues undertaking evaluations that may be more valuable to the organization. However, it does not implement the recommendations. As a result, the Agency cannot learn and improve its strategies for implementing public policy. Poor Communication of monitoring and evaluation procedures is thus one of the elements responsible for policy implementation conflicts.

**The fourth objective**, to assess the level of client satisfaction in the Frontline Monitoring and Support programs, indicates that an evaluation of the implementation of Frontline Monitoring and Support programs revealed that 84% of the participants in the sample of 40 clients from all four Frontline Monitoring and Support programs were satisfied with the services rendered, 3% were undecided, and 13% were not satisfied with the benefits of the Government Employee Pension Fund. In general, all four programs provide reasonable levels of client satisfaction. The Agency, by implication, has a functioning Frontline Monitoring and Support system. The findings confirm an upward correlation between service delivery and customer satisfaction qualities such as courteousness, consultation, information, service quality, and service delivery, proving efficacy and efficiency in public policy implementation.

**Based on these findings**, it is reasonable to conclude that the Agency has a functioning Frontline Monitoring and Support system. According to the data collected, all four Frontline Monitoring and Support programs collect data regularly to monitor client satisfaction with public service delivery. As a result, the research lends credence to the New Public Administration theory since it focuses on the function of government and how it offers services to citizens in the public interest through the implementation of public policy. Several policy-implementation problems were observed in bureaucratic procedures under interdepartmental oversight and organizational culture variables. Although these constraints inhibit public policy delivery, data demonstrates that public service delivery was relatively successful. For example, 84% of clients were satisfied with the services provided, while 3% were unsure and 13% were dissatisfied. Thus, the study shows that, while there are policy and implementation conflicts in the bureaucratic procedures, they do not substantially impact

public service delivery. As a result, the problem statement "ineffective implementation of monitoring and evaluation policies has resulted in inadequate public policy delivery" is rendered invalid. Surprisingly, the results of implementing Frontline Monitoring and Support programs following the Department's policy guidelines positively impacted the serviced clients, as detailed in Chapter Five. As a result, despite rigorous monitoring and evaluation procedures, the Department's policy guidelines for implementing the Frontline Monitoring and Support programs positively influenced public policy delivery.

### **6.3 CONCLUSIONS**

*Chapter 1* identified a problematic situation regarding implementing the monitoring and evaluation policies in the South African Public Service, mainly using the Agency as a case study. The transition to the democratic dispensation in 1994 witnessed South Africa continually developing its monitoring and evaluation policies to improve government performance and public policy delivery. The reviewed literature reveals that although there are several good monitoring and evaluation policies, there is evidence of a cluttered understanding of the importance of monitoring and evaluation in implementing public policy. The chapter also discussed the research background, rationale, scope, objectives, methods, and approach, as well as the structure of the thesis.

*Chapter 2* discussed the conceptual framework of the study. It provides the definition of terms and stages in public policy implementation. Public policy also appears as an official statement issued by the political office bearers to respond to a specific societal problem. The policy implementation process follows both the top-down and bottom-up approaches. Brynard (2005) indicates that the 5C protocol discussed in this chapter provides information about the challenges and influences involved in the implementation processes. Successful policy implementation is a process that depends on executing a set of activities to achieve a specific pre-determined goal and the elements of the New Public Management system.

*Chapter 3* discussed the literature on monitoring and evaluation and implementing monitoring and evaluation policies in the Department and the Agency. The discussion on the service delivery monitoring and evaluation approaches is critical because it allows for

literature on policies, institutional arrangements, public administration, public service environment, and monitoring and evaluation approaches. The public policy implementation process works within the parameters of the South African Government's legislation, laws, regulations, policies, and guidelines. It discusses the different initiatives the Agency implements to monitor and evaluate its public policy mandate. The study examines the role of the Community-Based road shows, the Human Resources Forums, Walk-In Centre offices, and the Complains Unit.

*Chapter 4* has discussed the details of the research methodologies employed in undertaking this research process. It outlined the research paradigm, methods, techniques, designs, sample procedures, participants, data collection, data analysis, trustworthiness, ethical considerations, and study limitations. The study was primarily qualitative but used quantitative to support qualitative research and utilized the interpretive case study design. It involves presenting the analysis of both official documents, semi-structured and closed-ended interviews.

*Chapter 5* discussed the research findings and analysis. The results revealed that the Agency has a functional Frontline Monitoring and Support system.

*Chapter 6* discussed the summary of findings, conclusions, and recommendations. Decisions have resulted from a rigorous analysis of the implementation of Frontline Monitoring and Support programs using the Agency as a case study. The chapter also provides the recommendations drawn from the research study's findings. The chapter sums up by giving suggestions for future research.

## **6.4 RECOMMENDATIONS**

### **Intergovernmental relationships**

Improve collaboration among government agencies to ensure more effective monitoring and evaluation implementation. The Monitoring and Evaluation Unit must develop networks with other sector departments to learn about and become acquainted with the continuous improvement processes.

### **Implementation of evaluation results**

The Agency stresses high-level reporting, primarily focused on outputs, which are statistics; however, it should also focus on outcomes, which are service quality, an essential aspect of service delivery. Inadequate use of performance data contributes to the failure to learn and develop. Management must make critical interventions to implement recommendations promptly and effectively.

### **Interdepartmental Communication**

Lack of communication among monitoring and evaluation practitioners in the public sector adds to policy-practice disagreements, jeopardizing the successful implementation of public policies. Clients receive information services because of information sharing. Furthermore, it is critical to guarantee that customers continue to have access to reliable information.

#### **Utilize feedback.**

The failure to use feedback demonstrates top management's unwillingness to learn from and improve on evaluation reports. Managers of business units must hold themselves responsible and take feedback reports and sessions seriously. Managers should include Attendance at feedback meetings and sessions as one of their key performance metrics to improve program performance.

#### **Use effective communication strategies.**

Adequate communication channels for monitoring and evaluating policies are critical in government departments, and organizations with clear communication channels are more likely to implement public policy delivery successfully.

## **6.5 FUTURE RESEARCH**

The research examined the monitoring and evaluating policy implementation in the Government Employee Pension Fund. The study focused on implementing Frontline Monitoring and Support programs in the Government Employee Pension Fund. The researcher wanted to establish the complete functionality of the Frontline Monitoring and Support programs in the Government Employee Pension Fund, including an evaluation of the

programs. The research thus provided a brief review of the Frontline Monitoring and Support programs as they form part of and are the crucial and last stage in the public policy implementation process. Thus, the researcher recommends a complete and comprehensive summative evaluation study for the Frontline Monitoring and Support programs, especially considering that the Government Employee Pension Fund is already fully engaged in implementing the Frontline Monitoring and Support programs.

## **6.6 SUMMARY OF CHAPTER**

This chapter forms the conclusion of the research thesis, rounding up the study with the decision and the recommendations drawn from both the primary and secondary data collection methods. The chapter provides the conclusions drawn from each branch of the entire research. The research findings also depict a convincing case that the Government Employee Pension Fund has a functional Monitoring and Evaluation system. The results and recommendations can inform the implementation of Frontline Monitoring and Support programs in other national or government agencies. Though it faces implementation challenges, the Government Employee Pension Fund has a well-integrated Monitoring and Evaluation system. The study recommends some improvements in implementing recommendations to improve the performance of Frontline Monitoring and Support programs. It also suggests the need for improvements in interdepartmental engagements and dealing with the challenges obtaining in the communication strategies of the monitoring and evaluation processes within the environment of the Government Employee Pension Fund. The research study focused on the background of the Government Employee Pension Fund; however, it is anticipated that the research findings and the recommendations can be relevant to other national and government agencies since implementing similar programs. The chapter also suggests conducting a comprehensive summative evaluation study for Frontline Monitoring and Support programs, considering that the Government Employee Pension Fund has already fully implemented the Frontline Monitoring and Support programs.

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## 8. LISTS OF APPENDICES

### APPENDIX A: GATEKEEPERS APPROVAL



**the gpaa**

Department:  
Government Pensions Administration Agency  
REPUBLIC OF SOUTH AFRICA

| YOUR BENEFITS our responsibility |

#### MEMORANDUM

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**FOR ENQUIRIES:** enquiries@GEPF.gov.za

**NAME:** Nkosinathi Qwabe

**POSITION:** Acting Senior Manager

**DATE:** 28 June 2018

**EMAIL ADDRESS:** Nkosinathi.qwabe@GEPF.gov.za

**EXTENSION:** 1353

**OFFICE NUMBER:** D204

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**MR KRISHEN SUKDEV**

**CHIEF EXECUTIVE OFFICER**

**GOVERNMENT PENSIONS ADMINISTRATION AGENCY**

**SUBJECT: REQUEST FOR APPROVAL TO CONDUCT A PHD RESEARCH STUDY (EXAMINING THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE GOVERNMENT PENSION ADMINISTRATION AGENCY WITH SPECIFIC REFERENCE TO FRONTLINE MONITORING AND SUPPORT PROGRAMMES).**

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**1. PURPOSE**

The purpose of this memo is to request the GEPF Chief Executive Officer to grant permission to Mr Thabani Khanyile, a student from University of Kwa-Zulu natal to conduct a study at the GEPF for academic purposes. The study will be examining the implementation of frontline monitoring and support programmes at GEPF.

**2. BACKGROUND**

Mr Thabani Khanyile is a student at UKZN. He is studying towards PHD degree in the field of public policy. As part of PHD degree structure, he is expected to complete a research report on an identified topic and his selected topic is: Implementation of monitoring and evaluation policies in the government pension administration agency with specific reference to frontline monitoring and support programmes.

**3. DISCUSSION**

- Mr Thabani Khanyile wishes to conduct research on the implementation of frontline monitoring and support programmes using GEPF as a case study. The aim of the study is to examine the challenges/gaps in the implementation processes of frontline monitoring and support programmes. The study will also recommend suggestions to

improve performance practices and service delivery improvements. The findings of this research study will contribute to the existing international body of knowledge about monitoring and evaluation. It will test the validity of the current implementation processes in the South African public sector.

- UKZN ethical clearance policy requires the gatekeeper's permission to conduct a study as part of ethical clearance documentation. A gatekeeper's letter is attached here-under to request approval to conduct research in your Department. The research is strictly for academic purposes. Information gathered through this will solely be used for the purposes of completing this study. All information to be used in this research study will pass through correct channels in accordance with the GEPF policies.
- Participation in the study will be on voluntary basis. This will be done in line with UKZN approved ethical guideline. The proposal and a set of questionnaires have been reviewed by the UKZN humanities and social sciences committee and found to be in line with the purpose of research. The expected responses are not deemed to infringe on the respondent's rights or place their positions in jeopardy.
- Mr Thabani Khanyile indicated that he will sign non-disclosure forms to ensure that only specified people will have access to information and data to be used.
- The final document will be made available to the relevant authority at the GEPF.
- Mr Thabani Khanyile will sign the ethical clearance forms in line with the ethical considerations of the research study. This will be available on request to relevant authorities.
- The Corporate monitoring and Evaluation unit has perused the student's proposal, the proposed questionnaire and has not identified ethically sensitive information.
- Although the study is for academic purposes, GEPF may benefit from the study through the feedback that will be provided.

#### **4. FINANCIAL IMPLICATIONS**

- The study aid from the GEPF has already been granted for the purpose of this PHD degree in the form of a bursary. Any other financial implication relating to gathering of information for the purposes of this research will be at student's expense.

**5. RECOMMENDATION(S)**

5.1. It is therefore recommended that

Approval be granted by the CEO for Mr Thabani Khanyile to conduct research at GEPF for the purposes of his PHD degree in public policy as part of his career development and that permission letter be issued.

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***PREPARED BY***

**NAME: Ms Priscilla Mphahla**  
**POSITION: Deputy Director**  
**Corporate Monitoring and Evaluation**  
**DATE: 28/06/2018**

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**Approved/Not approved**

**Comments:**

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**NAME: MR KRISHEN SUKDEV**

**DESIGNATION: CHIEF EXECUTIVE OFFICER:**



the gpaa

Department  
Government Pensions Administration Agency  
REPUBLIC OF SOUTH AFRICA

| YOUR BENEFITS our responsibility |

## MEMORANDUM

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**FOR ENQUIRIES:** [enquiries@gpaa.gov.za](mailto:enquiries@gpaa.gov.za)  
**NAME:** Krishen Sukdev  
**POSITION:** Chief Executive Officer  
**DATE:** 30 July 2018  
**EMAIL ADDRESS:** [Krishen.Sukdev@gpaa.gov.za](mailto:Krishen.Sukdev@gpaa.gov.za)  
**EXTENSION:** 1088  
**OFFICE NUMBER:** C211

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**Mr. SST Khanyile**  
**Deputy Director: Corporate Monitoring and Evaluation**

Dear Thabani,

**SUBJECT: APPROVAL TO CONDUCT A PHD RESEARCH STUDY (THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE GOVERNMENT PENSION ADMINISTRATION AGENCY OF THE SOUTH AFRICAN PUBLIC SERVICE).**

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It is a pleasure to inform you that your request to conduct the abovementioned research in the GPAA has been approved.

We have received documentation provided by you in this regard and are satisfied with the contents thereof. You are hereby requested to provide GPAA results of the research after completion of your project.

The person who will oversee your request is Mr Nkosinathi Qwabe from our Corporate Monitoring and Evaluation unit. He can be contacted on (012) 319 1353 or [nkosinathi.qwabe@gpaa.gov.za](mailto:nkosinathi.qwabe@gpaa.gov.za).

Approval to conduct a PHD research study (The implementation of monitoring and evaluation policies in the government pension administration agency of the South African public service).

## APPENDIX B: INFORMED CONSENT AND DECLARATION

### GOVERNMENT PENSION ADMINISTRATION AGENCY

DATE: 28/06/2018

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#### INFORMED CONSENT DOCUMENT

Dear Participant,

My name is Sizwe S. T. Khanyile (9263096). I am a PhD candidate studying at the University of KwaZulu-Natal, Howard College Campus. The title of my research is: **The implementation of monitoring and evaluation policies in the government pension administration agency of the South African public service.** The aim of the study is to examine the implementation of monitoring and evaluation policies formulated by the Department of Planning, Monitoring and Evaluation using the Government Pension Administration Agency as a case study. I am interested in interviewing you so that you share your experiences and observations on the subject matter.

Please note that:

- The information that you provide will be used for scholarly research only.
- Your participation is entirely voluntary. You have a choice to participate, not to participate or stop participating in the research. You will not be penalized for taking such an action.
- Your views in this interview will be presented anonymously. Neither your name nor identity will be disclosed in any form in the study.
- The interview will take about 10 to 20 minutes.
- The record as well as other items associated with the interview will be held in a password-protected file accessible only to myself and my supervisors. After a period of 5 years, in line with the rules of the university, it will be disposed by shredding and burning.
- If you agree to participate please sign the declaration attached to this statement (a

separate sheet will be provided for signatures)

I can be contacted at: School of Social Sciences, University of KwaZulu-Natal, Howard College Campus, Durban. Email: [Khanylesst@gmail.com](mailto:Khanylesst@gmail.com).

Cell: 27 72 6565481. My supervisor is Dr Jayanathan Govender who is located at the School of Social Sciences, Howard College Campus, Durban of the University of KwaZulu-Natal. Contact details: email [Govenderj1@ukzn.ac.za](mailto:Govenderj1@ukzn.ac.za) Phone number: +27 31 260 1409.

The Humanities and Social Sciences Research Ethics Committee contact details are as follows: Ms Phumelele Ximba, University of KwaZulu-Natal, Research Office, Email: [ximbap@ukzn.ac.za](mailto:ximbap@ukzn.ac.za), Phone number +27312603587.

Thank you for your contribution to this research.

### DECLARATION

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

I understand that I am at liberty to withdraw from the project at any time, should I so desire. I understand the intention of the research. I hereby agree to participate.

I consent / do not consent to have this interview recorded (if applicable)

SIGNATURE OF PARTICIPANT

DATE

.....

## **APPENDIX C: INTERVIEW GUIDES**

### **QUESTIONS FOR THE OFFICIALS FROM THE GOVERNMENT PENSION ADMINISTRATION AGENCY.**

#### **THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE GOVERNMENT PENSION ADMINISTRATION AGENCY OF THE SOUTH AFRICAN PUBLIC SERVICE.**

**Name of the Researcher: Mr SST Khanyile**

**Date completed:**

Dear Monitoring and evaluation Manager/official

Thank you for agreeing to participate in the study. Please note that participation is voluntary. Kindly respond to questions set here to the best of your knowledge. The information provided in the questionnaire will be kept confidential and will only be used in the analysis of the responses to the questionnaire.

The objective of this study is to examine the implementation of frontline monitoring and support programmes in the South African public service using Government Pensions Administration Agency as a case study. Literature reveals that the government continues to face challenges in the implementation of public policies. The challenges subsist in the translation of policy inputs into policy results. In response to this, the Department of Planning, Monitoring and Evaluation has developed a number of polices to monitor and evaluate the performance of government programmes to improve public policy implementation process. This study seeks to examine if the departments and government

agencies (Government Pension Administration Agency) are implementing the frontline monitoring and support programmes according to policy stipulations.

1. What is your understanding of the role of Department of Planning, Monitoring and Evaluation in government?
2. What is your understanding of the relationship between the Department of Planning, Monitoring and Evaluation departments and government agencies?
3. What is the purpose of monitoring and evaluation in the public sector?
4. What is the nature of support provided by the Department of Planning, Monitoring and Evaluation to Government Pension Administration Agency?
5. How was the Department of Planning, Monitoring and Evaluation policies communicated to you as monitoring and evaluation unit?
6. To what extent is Government Pension Administration Agency conforming and complying with the Department of Planning, Monitoring and Evaluation policies?
7. What is your role as custodian of monitoring and evaluation policies in Government Pension Administration Agency?
8. To what extent is the Government Pension Administration Agency monitoring and evaluation system supported by the departmental management and leadership?
9. How do you share the monitoring and evaluation reports with business units after completion?
10. To what extent are monitoring and evaluation reports produced by monitoring and evaluation unit able to inform and improve the performance of the Government Pension Administration Agency?
11. How do you think monitoring and evaluation is practiced in Government Pension Administration Agency?
12. What challenges do you encounter with regards to the implementation of monitoring and evaluation policy?
13. What do you think are possible solutions to the challenges encountered in the

implementation of monitoring and evaluation policies in Government Pension Administration Agency?

14. What do you think should be improved in the implementation of monitoring and evaluation policies?
15. Is there anything you would like to share with me which was not covered by the questionnaire or anything that is related to the monitoring and evaluation policy processes?
16. According to your understanding, do you think the implementation of monitoring and evaluation policy is a success or failure in GEPF? Why?

**QUESTIONS FOR THE OFFICIALS FROM THE GOVERNMENT PENSION ADMINISTRATION AGENCY (UNIT MANAGERS).**

**THE IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE GOVERNMENT PENSION ADMINISTRATION AGENCY OF THE SOUTH AFRICAN PUBLIC SERVICE.**

**Name of the Researcher: Mr SST Khanyile**

**Date completed:**

Dear Unit Manager

Thank you for agreeing to participate in the study. Please note that participation is voluntary. Kindly respond to questions set here to the best of your knowledge. All responses will be treated as confidential.

The objective of this study is to examine the implementation of frontline monitoring and support programmes in the South African public service using Government Pensions Administration Agency as a case study. Literature reveals that the government continues to face challenges in the implementation of public policies. The challenges subsist in the translation of policy inputs into policy results. In response to this, the Department of

Planning, Monitoring and Evaluation has developed a number of policies to monitor and evaluate the performance of government programmes to improve public policy implementation process. This study seeks to examine if the departments and government agencies (Government Pension Administration Agency) are implementing the frontline monitoring and support programmes according to policy stipulations.

1. What is your understanding of the role of monitoring and evaluation unit?
2. What is the relationship between Government Pension Administration Agency monitoring and evaluation unit and your business unit?
3. For what purpose is monitoring and evaluation used in your business unit?
4. What is the nature of support provided by the Government Pension Administration Agency monitoring and evaluation unit in your business unit?
5. How was monitoring and evaluation policy framework of Government Pension Administration Agency communicated to you?
6. To what extent is your business unit conforming and complying with the Government Pension Administration Agency monitoring and evaluation framework?
7. What is your role in the production of monitoring and evaluation reports?
8. Are the monitoring and evaluation reports shared with your office after completion?
9. To what extent is monitoring and evaluation information produced in your office able to inform and improve the performance of the business unit?
10. How do you think monitoring and evaluation is practiced in Government Pension Administration Agency?
11. What challenges do you encounter with regards monitoring and evaluation reports from your business unit?
12. What do you think are possible solutions to the challenges encountered in the implementation of monitoring and evaluation policies in your business unit?
13. What do you think should be improved in the implementation of monitoring and evaluation policies?
14. Is there anything you would like to share with me which the questionnaire did not cover or anything that is related to the monitoring and evaluation policy processes?

15. According to your understanding, do you think the implementation of monitoring and evaluation policies in the business unit is a success or failure.

**IMPLEMENTATION OF MONITORING AND EVALUATION POLICIES IN THE GOVERNMENT PENSION ADMINISTRATION AGENCY OF THE SOUTH AFRICAN PUBLIC SERVICE.**

**Name of the Researcher: Mr SST Khanyile**

**Date completed:**

Dear GEPF client

Thank you for agreeing to participate in the study. Please note that participation is voluntary. Kindly respond to questions set here to the best of your knowledge. All responses will be treated as confidential.

The objective of this study is to examine the implementation of frontline monitoring and support programmes in the South African public service using Government Pensions Administration Agency as a case study. Literature reveals that the government continues to face challenges in the implementation of public policies. The challenges subsist in the translation of policy inputs into policy results. In response to this, the Department of Planning, Monitoring and Evaluation has developed a number of policies to monitor and evaluate the performance of government programmes to improve public policy implementation process. This study seeks to examine if the departments and government agencies (Government Pension Administration Agency) are implementing the frontline monitoring and support programmes according to policy stipulations.

**CLIENT SATISFACTION SURVEY**

**Please rate GEPF services by ticking on appropriate box below where:**

**1 = Agree, 2 = Undecided, 3 = Disagree**

1. Was the official helpful and courteous (well mannered) during the delivery of the service?
2. Did the official understand your query/problem/concern/question?

3. Did the official respond satisfactory to your query/problem/concern/question?
4. Did the quality of service meet your expectations?
5. Were you happy about the time taken to deliver service?
6. What was your overall level of satisfaction about the service?
7. How would you like to receive the GEPF service in future?
8. What do you think you like about GEPF services?
9. What do you think you don't like about GEPF services delivery?
10. What do you think GEPF must do to improve its service delivery?
11. Is there anything you would like to share with me which the questionnaires did not cover or anything that is related to the GEPF service delivery?
12. According to your understanding is monitoring and evaluation as success of failure at GEPF? Why?

## APPENDIX D: ETHICAL CLEARANCE



07 January 2019

Mr Sizwe Sebastian Thaboni Khanyile (9263095)  
School of Social Sciences  
Howard College Campus

Dear Mr Khanyile,

Protocol reference number: HSS/1970/018D

Project title: The Implementation of monitoring and evaluation policies in the Government Pension Administration Agency of the South African Public Service

### Approval Notification – Expedited Application

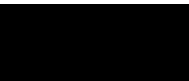
In response to your application received on 24 October 2018, the Humanities & Social Sciences Research Ethics Committee has considered the abovementioned application and the protocol has been granted **FULL APPROVAL**.

Any alteration/s to the approved research protocol i.e. Questionnaire/Interview Schedule, Informed Consent Form, Title of the Project, Location of the Study, Research Approach and Methods must be reviewed and approved through the amendment/modification prior to its implementation. In case you have further queries, please quote the above reference number. PLEASE NOTE: Research data should be securely stored in the discipline/department for a period of 3 years.

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

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

Yours faithfully



Professor Shenuka Singh (Chair)

/ms

Cc Supervisor: Dr Jayanathan Govender  
cc Academic Leader Research: Professor Maheshvari Naidu  
cc School Administrator: Ms Noahlanhla Radebe

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Humanities & Social Sciences Research Ethics Committee  
Professor Shenuka Singh (Chair) / Dr Shamila Naidoo (Deputy Chair)  
Westville Campus, Govan Mbeki Building

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



Founding Campuses: Edgewood Howard College Medical School Pietermaritzburg Westville