

GOVERNMENT FUNDING OF CIVIL SOCIETY FOR SOCIAL DEVELOPMENT IN EKURHULENI

By

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ABSTRACT

The Department of Social Development developed the Monitoring and Evaluation Unit in 2007 to improve the way government and organisations implement the Public Finance Management Act and Policy on Financial Awards established in 2005 by the National Office of Social Development. The Social Workers in the Department of Social Development were previously conducting the monitoring and evaluation services, including finances of the organisations. The aim of this report is, therefore, to determine whether monitoring and evaluation of government funding of non-governmental organisations with regard to policy on the financial awards is effective or not.

Secondly, it analyses the tool utilized by the Unit in the implementation of the policies to ensure that there is no mismanagement of funds, and to regulate financial management in the provincial and regional government. Furthermore, it aims to ensure that all revenue, expenditure, assets and liabilities of government are managed effectively and efficiently. Finally, it aims to establish whether service providers are implementing effective, efficient and transparent financial management and internal control systems after the Unit's establishment by the Department of Social Development.

The researcher developed questions that will assist in determining whether the monitoring and evaluation methods and tools used have made any impact since their introduction to the Department. A discussion on Monitoring and Evaluation drawing on both international and local experience is used to demonstrate development of civil societies at different levels, and how government funding is a resource in the empowerment of civil societies for development and to become self-reliant. Improving accountability in the use of government resources is one aspect of this empowerment process that the report aims to examine.

DECLARATION

I declare that this research report is my own unaided work. It is submitted in fulfilment of the requirements of the degree Masters of Management in the field of Public and Development Management at the University of the Witwatersrand, Johannesburg. It has not been submitted before for any degree or examination at any other university.

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THOLOANA A. DUBE

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DATE

DEDICATION

This study is dedicated to all the Social Workers and Monitoring and Evaluation team in the Department of Social Development in Gauteng Province, in recognition of their contribution to the empowerment of civil society in order to improve people's lives and reduce their reliance on government.

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ABBREVIATIONS AND ACRONYMS

ABET	Adult Basic Education and Training
CPD	Community Planning and Development
DSD	Department of Social Development
DQA	Development of Quality Assurance
GDP	Gross Domestic Product
HIV/AIDS	Human Immuno Virus/Acquired Immuno Deficiency Virus
IDP	Intergrated Development Plan
IFAD	International Fund for Agricultural Development
JSE	Johannesburg Securities Exchange
MDG	Millennium Development Goals
M /E	Monitoring and Evaluation
MEC	Member of Executive Committee
NEPAD	New Partnership for Africa's Development
NGO	Non-Governmental Organisation
NPO	Non-Profit Organisation
ODP	Organisational Developmental Plan
PFMA	Public Finance Management Act
PTA	Parent Teacher Association
SAB	South African Breweries
SMART	Simple Measurable Attainable Realistic Timebound
SMMEs	Small Medium and Micro Enterprises
UNAIDS	United Nations Programme on AIDS
UNDP	United Nations Development Programme

CHAPTER ONE

INTRODUCTION

1.1 INTRODUCTION

This research report aims to determine whether the monitoring and evaluation of government funding of non-governmental organizations (NGOs) with regard to policy on the financial awards is effective or not. Chapter one of the report will define the concept of development. Thereafter background information will be provided on economic, social and political development through regulations and legislation, for example, the Public Finance Management Act. Included in this research is the different contributions by the state, business and civil society. The relationship between the state and the civil society at the global level will be examined, then the continental level and explain how other countries conduct their monitoring and evaluation when funding is provided for non-government organizations.

The research will examine the Republic of South Africa as a country and finally focus on the Ekurhuleni region. The motivation for this research will be outlined, followed by the purpose of this research which is to discuss tools for monitoring and evaluation to show effectiveness or ineffectiveness of use of funding.

The review of literature will focus on the background to the research, namely the role of the state in relation to development, the role of business in development and the role of civil society with regard to non-governmental organizations. The purpose statement and research questions will be discussed after the problem statement. The literature will look into local, national and international examples. The research

methodology will include explanations of the research approach, data collection, analysis and presentation of data, significance, limitations of the study. Finally, the time schedule will be presented.

1.2 DEFINITIONS OF CONCEPTS

Development is described as a process of social change and it is the results of society's capacity to organize human energies and productive resources in order to meet the challenges and opportunities that societies experience. It is further explained that economic development is the increase in the standard of living in a nation's population with sustained growth from a simple, low income economy to a modern, high income economy. It is further explained that if local quality of life could be improved, economic development would be enhanced. Economic development involves improvement in a variety of indicators such as literacy rates, life expectancy and reduced poverty rates. A country's economic development is related to its human development, which encompasses aspects such as health and education. These factors are closely related to economic growth so that development and growth often go together.

Social Development summarily is described by Jacobs and Cleveland (1999) as the process of organizing human energies and activities at higher levels to achieve greater results. Development increases the utilization of human potential. They further said that society develops in response to the contract and interaction between human beings and their material, social and intellectual environment, which involves external threats, the pressure of physical and social conditions, the mysteries of physical nature and complexities of human behaviour that prompt humanity to experiment, create and innovate.

Political development is described as enhancement of the state's capacity to mobilize and allocate resources, and to process policy inputs into implementable outputs. This assists with problem solving and adaptation to environmental changes and goal realization. The contemporary notion of good governance also dwells on efficient, effective and non corrupt public administration. Political Development is further described by the Department of National Treasury under regulation through legislation, for example, Public Finance Management Act (PFMA), (1999) Act, and No.1 of 1999, as one of the most important pieces of legislation passed by the first democratic government in order to maximize service delivery through the effective and efficient use of the state's limited resources.

Its objectives are to modernize the system of financial management in the public sector, to enable public sector managers to manage, but at the same time be held more accountable, and lastly to eliminate waste and corruption in the use of public assets. The Act further describes the business sector's influence over the community when it meets the needs and desires of individuals by providing goods or services at a price. The public response is to make voluntary payments for products and services, and from this support business continues to meet community needs and wants, and make a profit for themselves in the process.

The State or Government, according to the Non-Profit Organization Act No. 71 of 1997 is where all of society expresses its political life and the supervision of community life. The State is voted into power through elections, and performs services in the community, and these activities are funded by taxes on individuals and institutions. This revenue is supplemented by foreign aid in the form of either grants or loans.

“Monitoring” is defined as the continuous assessment of project implementation in relation to agreed schedules, and of the use of inputs,

infrastructure and services by the project beneficiaries (World Bank, 1996: p.1).

Monitoring therefore:

- provides managers and other stakeholders with continuous feedback on implementation, and
- identifies actual or potential successes and problems as early as possible, to facilitate timely adjustment to project operations. The benefit of monitoring is that it ensures effective use of resources and delivery of quality services, and it further strengthens accountability regarding funds allocated to the service provider (National Family Policy, 2005: p.1).

The World Bank (1996, p.2) defined “Evaluation” as the periodic assessment of a project’s relevance, performance, efficiency and impact (both expected and unexpected) in relation to stated objectives. Project managers undertake interim evaluations during implementation as a review of progress and a prognosis of a project’s likely effects, as a way to identify the adjustments required in project design. Terminal evaluations, however, conducted at the end of a project, are required for project completion reports. They include an assessment of a project’s effects and their potential sustainability.

1.3 BACKGROUND

Historically, both government and civil society organizations have rendered social welfare services in South Africa (Barker, 2000). Some of these organizations go back as far as 1937, although government has also provided financial support to organizations through subsidization. These are regarded as welfare organizations. Barker explains that the manner in which this was done has now been reviewed in order to promote efficiency, accountability and value for money, and transformation in order

to improve service delivery to the poorest of the poor and vulnerable people in our country.

Furthermore, monitoring and evaluation is aimed at guiding the country's response to the financing of service providers in the social development sector, to facilitate transformation and reprioritization of services to the poor, previously disadvantaged groups and vulnerable sectors of communities. Government today is still faced with the challenges of providing the best possible service to the poorest and most vulnerable sectors of society.

Historically, social welfare services have been a joint responsibility of government and civil society, with government providing financial support to organizations through subsidization (Skweyiya, 1997). The current realities of the country demand that government reviews the manner in which it is expanding its resources to ensure that there is equitable redistribution to the historically disadvantaged. Skweyiya further stated that the policy and legislative framework of the country has created a conducive climate for the Department of Social Development to achieve its mission, especially with regard to the equitable distribution of resources.

Developmental Social Welfare focuses on the maximizing of human potential and on promoting self-reliance and participation in decision-making. It also emphasises services that are family-oriented, community-based and integrated (United Nations, 1987). It is the view of the author that these are mostly people who are living below the poverty line, and by their participation in the projects in partnership with government they are meeting the government in maximizing their human potential, which can lead to changes in their disadvantaged condition.

The Code of Good Practice for South African Non-Profit Organizations issued in terms of section 6(1)(b)(l) of the Non-profit Organizations Act

(1997) stipulated that “The non-profit sector suffered from global isolation, restrictions, limited resources and inadequate relationships with other sectors. In order to overcome this burden, it is vitally important to address relationships, service delivery, transparency, accountability, governance and management to ensure development in our country”.

1.4 PROBLEM STATEMENT

The Monitoring and Evaluation Unit is a fairly new section aimed at rendering monitoring services in the Department of Social Development. The unit has been running for four years but there are problems with regard to inter-departmental collaboration among the three sections involved (Community Planning and Development and Finance and Partnerships from provincial office) in terms of communication, strategies to monitor finances of funded non profit making organisations (NPOs), and corrective measures to taken against those who do not comply with the regulations of the PFMA as a guiding document in awarding of finances.

From the researcher’s own observation and from anecdotal evidence, it seems that there is lack of proper monitoring of funds awarded to NPOs to render services on behalf of the government, a lack of communication between the three units, lack of knowledge about the services rendered by counterparts, failure to recognize and forge linkages with each other in terms of service delivery, which may result in failing the government and beneficiaries of those financial awards to benefit the poor citizens that these units are responsible for and are supposed to assist.

The Monitoring and Evaluation unit’s experience gained within the short space of time in which it was introduced means that it should be operating smoothly. However, it appears as though the three units are working individually rather than collectively to reach the goals of the Department, and that the three units did not get together to plan the most effective

method of the monitoring of funds awarded to NPOs. For example, some organizations are awarded funding that they did not request hence the misuse and displacement of government financials. Another example is that there are no measures used to see whether funding provided to organizations has been effective in transforming the standard of living of community members that these organizations serve. Since there is lack of communication and structured and agreed strategies to be used in the monitoring of funded organizations, these units step into other areas of specialization and provide conflicting messages to the organizations.

According to the Annual Financial Statements (2008) of the Department of Social Development, 70% of its budget is allocated to Non Government Organizations within the programme of Public Private Partnerships to render services on its behalf. Government was hoping that this development finance model where the state shares the risk and responsibility with private firms, but ultimately retains control of assets, will improve services, while avoiding some of the pitfalls of privatization: unemployment, higher prices and corruption (Farlam, 2005). Despite this huge allocation of money, the Department is still experiencing a huge backlog in service delivery.

Identifying the factors contributing to this dilemma is very fundamental for policy and decision-makers to make informed decisions about budget allocation and appropriate ways of monitoring the use of public monies.

There has been little research done on Monitoring and Evaluation other than an attempt by the Provincial Department of Social Development in April 2008 to establish if officials in the different units were aware of the effectiveness of the introduction of the new unit in the Department. Questionnaires were distributed by the Monitoring and Evaluation Unit but the findings thereof have not yet been publicized. This research is therefore needed to establish whether funding of NPOs by the Department

of Social Development is effective or not in the development of the communities.

1.5 PURPOSE STATEMENT

The purpose of research study is firstly to investigate the lack of factors in monitoring and evaluation of funding of NPOs in Ekurhuleni Region by the Department of Social Development. Secondly, the purpose is to present the findings, interpret and analyze the findings, and lastly to recommend strategies for consideration in the future. Further, the research purpose is to determine whether the “Procedure Guidelines for Implementation of the Policy on Financial Awards to Service Providers”, established in 2005 by the National Office of Social Development, were implemented with effect with regard to the Non Governmental Organizations receiving funding from the government.

This will be done by looking at the initial objectives of ensuring effective and efficient services to the poor and vulnerable sectors of society with the aim of improving development.

The objectives of the Policy on the financial awards to service providers are:

1. To establish the funding relationship between the department and service providers who render developmental social services.
2. To determine the requirements and mechanisms for making financial awards to service providers rendering developmental social welfare services.
3. To provide a tool to facilitate the transformation of social welfare service delivery.
4. To facilitate transformation through the development of the capacity of emerging and previously disadvantaged organizations that do not

have the resources but understand and could meet the needs of the communities.

5. To provide a basis for the redistribution of resources in a more equitable manner.

Furthermore, to examine whether the monitoring and evaluation tools i.e. Development of Quality Assurance (DQA) (1998) used were effective enough to ensure that service providers do not mismanage funds from government.

DQA has been developed to assist with the assessment of effectiveness of monitoring and evaluation services of funding in the NPOs. It is also important to look into the recommendations of the Organizational Developmental Plan developed from the assessment tool which the Department conducts in terms of the problems encountered in the organizations.

1.6 RESEARCH QUESTIONS

The research seeks to establish whether Non Governmental Organizations are utilizing funding from the government effectively and in accordance with policy on financial awards to service providers.

- What are the factors leading to the lack of monitoring and evaluation in Ekurhuleni?
- What are the trends in the monitoring and evaluation of funding of civil society?
- What are the strategies for consideration in monitoring and evaluation of funding of NPOs by the Department of Social Development?

1.7 CONCLUSION

Development is defined as a social change for the society's capacity to organize productive resources to meet its challenges and opportunities. This includes social development which increases the utilization of human potential in response to interaction between their material and intellectual environment. The political development is for the state's capacity to allocate resources which will assist in solving the problems of environmental changes. Furthermore, the PFMA (1999) supports the transformation of civil society in maximizing service delivery through effective and efficient use of the allocated resources.

The problem statement is the focus of the research in terms of determining whether monitoring and evaluation in the Department of Social Development is effective or not with regard to organisations funded by government. Hence, the role of business in development globally, continentally, regionally and locally, is discussed in order to attain a better understanding.

In the next chapter literature review will be discussed starting with its definition, theoretical framework will be clarified according to formative, process, outcome and impact evaluation.

CHAPTER TWO

LITERATURE REVIEW

2.1 WHAT IS LITERATURE REVIEW?

According to Neuman (2006), literature review is based on the assumption that knowledge accumulates and that people learn from, and build on, what others have done. Reviewing the accumulated knowledge about a question is an essential early step in the research process, no matter which approach to social science is being adopted. Neuman (2006) further elaborated that scientific research is a collective effort of many researchers who share their results with one another as a community. He explains that although some studies may be especially important and individual researchers may become famous, a specific research project is just a small part of the overall process of creating knowledge. Neuman (2006) concluded that today's studies build on those of yesterday and researchers read studies to compare, replicate or criticize them for weaknesses.

Neuman (2006) explains that reviews vary in scope and depth contend different kinds of reviews are stronger at fulfilling one or other of four goals. According to Neuman (2006), the goals are stated as being 'to demonstrate a familiarity with a body of knowledge and establish credibility. A literature review tells the reader that the researcher knows the research in an area and grasps the major issues. A good review increases a reader's confidence in the researcher's professional competence, ability and background. Secondly, the goal is to show the path of prior research and how a current project is linked to it. He elaborated that a review outlines the direction of research on a question and shows the development of knowledge. A good review places a research project in

context and demonstrates its relevance by making connections to a body of knowledge. The third goal was established as being to integrate and summarize what is known in an area in which a review pulls together and synthesizes different results.

Furthermore, a good review points out areas where prior studies agree, where they disagree, and where major questions remain. It collects what is known up to a point in time and indicates the direction for future research.

The last goal is to learn from others and stimulate new ideas. A review, as clarified by Neuman (2006), tells what others have found so that a researcher can benefit from the efforts of others. A good review identifies blind alleys and suggests hypotheses for replication that divulge procedures, techniques and research designs worth copying so that a researcher can better focus hypotheses and gain new insights.

The first step in the review is that the researcher decides on a topic, how much depth to go into and the kind of review. There are six types review that may be drawn on. Context review is the type to be contacted as it is a common type of review where the specific study is linked to a larger body of knowledge. The author refers to it as it often appears at the beginning of a research report and introduces the study by situating it within a broader framework and showing how it continues or builds on a developing line of thought or study. Historical review is referred to as a specialized review in which the author traces an issue over time. In his explanation, Neuman (2006) said that it can be merged with a theoretical or methodological review to show how concept, theory or research method is developed over time. The third type of literature review, which he termed the integrative review, is a common type of review in which the author presents and summarizes the current state of knowledge on a topic, highlighting agreements and disagreements within it.

The methodological review follows as the fourth type of review and is regarded as a specialized type of integrative review in which the author compares and evaluates the relative methodological strength of various studies and shows how different methodologies account for different results. Self-study review is defined as a review in which the author demonstrated the familiarity with a subject area which is often part of an educational programme or course requirement.

The last type of literature review is termed theoretical review; this is a specialized review where the author presents several theories or concepts focused on the same topic and compares them on the basis of assumptions, logical consistency and scope of explanation.

Systematic literature review can be conducted by defining and refining a topic, designing a search and locating research reports.

2.2 MONITORING AND EVALUATION IN MANAGEMENT

As mentioned in the problem statement, the researcher observed and from anecdotal evidence assumed that seemingly there is a lack of proper monitoring of funds awarded to NPOs to render services on behalf of the government, lack of communication between the three units, lack of knowledge about the services rendered by counterparts, failure to recognize and forge linkages with each other in service delivery, which may result in failing the government and beneficiaries of those financial awards to benefit the poor people that these units are responsible for and are supposed to assist.

Monitoring and evaluation processes vary across government funders. The “voice of the voluntary sector, action points for public services” states good monitoring and evaluation processes have the potential to be effective tools in improving the performance of civil society. However, the

majority of processes are burdensome and disproportionate to the amount of funding provided. According to the evidence reported by the “voice of voluntary sector”, it is suggested that improvements in monitoring and evaluation practice since 2002 have been limited, whilst many community organizations have experienced an increase in the monitoring and evaluation burden.

In 2002 a Treasury cross-cutting review recognized the need for improvements in funding relationships for service delivery between government funders and the NPOs. As the report continues, most monitoring focuses on quantitative outputs and outcomes; this is welcomed by NPOs where it is appropriate for the type of service being delivered. However, for some services, other monitoring and evaluation methods will be more appropriate for measuring soft outcomes.

Furthermore, monitoring is not always proportionate to the amount of funding provided. For example, funds are inadequate to cover what has been planned in the business plan, and thus, they will be used inappropriately because there are many issues to cover with the funding received from government. The “voice of voluntary sector” gave clarity that funding streams have been devolved to local areas that now have their own monitoring requirements for each locality. This increases the burden on NPOs who deliver services across more than one local area. Pressure on funders to achieve government targets and meet monitoring requirements shapes the way in which monitoring and evaluation processes are designed and they came to a conclusion that this can lead to unrealistic or inappropriate targets being set.

2.2.1 Levels of Monitoring

There are different schools of thought regarding monitoring and evaluation. Monitoring is defined as, according to Madolo (2009), a

process that involves regular collection of data that tracks whether the inputs and outputs are meeting the expectations of the implementation plan. As he explains, it is a process of determining whether the implementation or intervention is on target, under-achieving or over-achieving and lastly, it is a process of determining the productivity of the plan or intervention, i.e. efficiency and effectiveness. Evaluation is defined as the process of assessing the impact of the plan or intervention.

Madolo (2009) described the levels in which monitoring and evaluation is done. Firstly, monitoring is done at three levels, namely goal (outcome level), objectives (output level); and activities (input level). Madolo (2009) explains that it is not every piece of information that is useful and not everything requires information; it is firstly important to know what one would like to measure. He further stated that it is useful to decide on the unit of analysis. Before developing indicators, it is important to make a decision on the unit of measurement, i.e. what exactly is one tracking or measuring. Indicators are then developed for that specific unit of measurement.

At input level, there is tracking of the staff inputs, resources and time. At output level, there is tracking of beneficiaries, the number of houses built, or people who have received training, for example. These indicators are further defined as that which provides data on what is measured; an indicator provides information on whether there is change on what is measured, assessed or evaluated. It provides data that indicate whether there is progress towards meeting targets, and that they should be developed in terms of the SMART principle: Simple, Measurable, Appropriate, Realistic and Timebound. The indicators should be developed for objectives, activities, standards, benchmarks and inputs.

Lastly, develop a monitoring and evaluation plan which includes the audit that has to do with establishing of facts, compliance, and correlation between standards, policies and legislation.

Audit findings could be used as a baseline for the development of the Monitoring and Evaluation Framework. It is useful to start with the kind of report required and for what purpose the report will be used when developing a monitoring and evaluation framework. Secondly, determine the kind of information, data required and variables to be measured, as well as the indicators.

2.2.2 Theory Based Evaluation

The Operations Evaluation Department of the World Bank (2004) states that the purpose of monitoring and evaluation of development activities provides government officials, development managers and civil society with better means for learning from past experience, improving service delivery, planning and allocating resources, and demonstrating results as part of accountability to key stakeholders.

The Department clarified that the monitoring and evaluation overview discusses performance indicators, logical framework approach, theory-based evaluation, formal surveys, rapid appraisal and participatory methods, public expenditure tracking surveys, cost benefit and cost effectiveness analysis and impact evaluation.

It is stated that the list is not comprehensive, nor is it intended to be that some of these tools and approaches are complementary while some are substitutes. The choice of which is appropriate for any given context will depend on a range of considerations.

These include the uses for which monitoring and evaluation is intended, the main stakeholders who have an interest in the monitoring and evaluation findings, the speed with which the information is needed, and the costs. The Department discussed performance indicators that they can set for performance targets, in order to assess progress towards achieving them, identifying problems via an early warning system to allow corrective action to be taken, and indicating whether an in-depth evaluation or review is needed. They further discussed its advantages and disadvantages, including the costs.

The advantages are that there are effective means to measure progress towards objectives and facilitate benchmarking comparisons between different organizational units, districts, and over time. The disadvantages include poorly defined indicators that are not good measures of success, a tendency to define too many indicators or those without accessible data sources, making systems costly, impractical and likely to be under-utilized.

The last disadvantage is that there is often a trade-off between selecting the optimal or desired indicators and having to accept the indicators which can be measured using existing data. The costs under performance indicators were clarified in that they can range from low to high, depending on the number of indicators collected, the frequency and quality of information sought, and the comprehensiveness of the system.

In the monitoring and evaluation process , the Operations Evaluation Department of the World Bank (2004) further mentioned the logical framework approach which it believes helps to clarify objectives of any programme, project or policy and aids in the identification of the expected causal links in the programme logic in the following results chain: inputs, processes, outputs, outcomes, and impact. The logical framework is regarded as a vehicle for engaging partners in clarifying objectives and

designing activities, and also serves as a useful tool to review progress and take corrective action during implementation.

The use of the logical framework is that it improves the quality of project and programme designs by requiring the specifications of clear objectives, the use of performance indicators, and assessment of risks. The advantages are that it ensures that decision-makers ask fundamental questions and analyze assumptions and risks; the disadvantage is that if managed rigidly, it stifles creativity and innovation.

Theory-based evaluation can be used for mapping the design of complex activities and improving planning and management. The advantage is that it provides early feedback about what is or is not working and why; the disadvantage is that it can easily become overly complex if the scale of activities is large, or if an exhaustive list of factors and assumptions is assembled.

2.2.3 Principles of funding

Monitoring and Evaluation is crucial for measuring the quality of services rendered to the communities by Non Profit-Making Organizations. Each organization in partnership with the Department of Social Development is expected to be responsible for monitoring the services they render, while the Department of Social Development should be responsible for the overall monitoring and evaluation to ensure integrated service delivery to the communities through Non Profit-Making Organizations funded by government. This is specific to those organizations which are mainly funded by the Department of Social Development. Furthermore, it is for the purpose of practicing the principles of transparency and being accountable for the finances allocated to those organizations to render services.

As is the case internationally, public and private donors are demanding accountability for the programmes they fund, including measures of efficiency. Monitoring and Evaluation ensures that planned activities are completed and targets are met, and it measures the outcome of the programmes in order to adapt strategies as needed. The benefits of monitoring are that it provides the opportunity to compare inputs and outputs with the project plan in case of any deviations, so that corrective action can be taken. It can further ensure effective use of resources and delivery of quality services, and it also strengthens accountability.

The purpose of monitoring and evaluation is to monitor transformation and ensure the rendering of quality, equitable social service in Gauteng Province and to establish effective mechanisms aimed at monitoring the impact of funded programmes. It aims to identify gaps that exist in the way the department operates and to standardize work processes. They further ensure that welfare resources are distributed equally to correct the imbalances of the past. The services to the clients should be empowering and create a sense of competence and self-reliance. Furthermore, services should be delivered by a multi-disciplinary team wherever appropriate.

2.3 THEORETICAL FRAMEWORK

2.3.1 Formative, Process, Outcome and Impact Evaluation

The Formative, Process, Outcome and Impact Evaluation has been chosen as the theoretical framework for this study. Bernard & Solis (2004) mentioned the following: Formative Evaluation which is described as the initial assessment of the target populations and contextual environment in order to develop appropriate, effective programmes. It determines concept and design, for example proposal evaluation for programmes and projects. This is relevant to the criteria utilized by the Department of Social

Development as it funds programmes and projects for organizations which are providing services to the most disadvantaged communities.

Process Evaluation, on the other hand, is described as the focus on the actual implementation of the project/programme, with the aim of identifying the extent to which planned activities have been achieved, and assesses the quality of the activities or services. The writer aims to clarify that when implementing a project, it is a process by which several steps are undertaken in accordance with the planning stage where all the requirements will be laid down to achieve the intended results. This is further assessed for quality assurance so that there are no challenges that will hamper the results expected at the end of the implementation process.

Bernard and Solis (2004) further explained the Outcome Evaluation as it examines specific programme outcomes and accomplishments. This type of evaluation follows the process evaluation where the results are closely examined to give clarity to what changes were observed and their meaning for the project, and finally to see if changes are a result of the interventions. They furthermore clarify the Impact Evaluation as impact assessment which measures exactly the programme's overall impact and effectiveness. The main aim of impact assessment is to strengthen the design and replication of effective programmes and strategies, such as benchmarking. As the researcher understands it, it assesses either the situation of the people the project was intended to assist when it was implemented and whether the situation has changed for the better or for worse.

Good practices in Monitoring and Evaluation may be defined as understanding and effective application of standard monitoring and evaluation procedures, adapting already established practices according to local contexts and environment, and developing innovative methods to obtain and utilize useful information regarding monitoring and evaluation.

The following key elements of good practice monitoring were drawn from the report of the Auditor General on the inquiry into public funding of organizations associated with Huata (2003). The report stated that the ongoing monitoring gives the funder and the funded organisation confidence that the terms of the contract will be met, and that the process protects all partners by alerting them to any problems early. The key elements listed are that the government agencies need to incorporate NPOs in their plans when they monitor funding arrangements with Non Governmental Organisations.

There should be an agreement in advance that includes monitoring and reporting plans that are fair and reasonable, and address the key risks. Government should be assured that the NGO has the capability to meet the reporting requirements.

The report further stated that the delivery of the agreed services or results should be measurable, to ensure all monitoring and reporting requirements are carried out. The documentation to show compliance with contractual obligations under the contract or other agreement, the results of site visits and management meetings, and lastly all significant issues that arise during the funding relationship, and how these are handled should all be documented.

2.3.2 The Role of the State in Development

The then United Nations Secretary-General, Kofi Annan, called on world leaders to reach a new global deal to tackle the challenges of development, security and human rights, and to overhaul the United Nations (Department of Economic and Social Affairs, 2005). In his report '*In larger freedom*', Annan encouraged member states to adopt far-reaching reforms, emphasizing that development, security and human

rights must go hand-in-hand if the world is to achieve development for all. Annan observed that the current generation has resources and technology to make the right to development a reality for everyone and to free the entire human race from want and to attain the Millennium Development Goals (MDGs). These goals range from halving extreme poverty to putting children into primary school and stemming the spread of infectious diseases such as HIV/AIDS, all by 2015. They have become globally accepted as benchmarks of broader progress, embraced by donors, developing countries, civil society and major development institutions alike.

At the international Conference on Financing for Development in Mexico (2002) and the World Summit on Sustainable Development in Johannesburg (2002), the global partnership for development was reaffirmed in 2005 with an emphasis on implementation (Department of Economic and Social Affairs, 2005).

The report further stated that the partnership is grounded in mutual responsibility and accountability – developed countries must support these efforts through increased development assistance, and a new development-oriented trade around wider and deeper debt relief. There were four priority areas for action stated for 2005: National Strategies, Financing for Development, Trade and Debt Relief, and the key policy and institutional priorities were tabled as prevention of nuclear, chemical and biological weapons, reduction of prevalence and risk of war and use of force.

The national strategy clarified that developing countries with extreme poverty should begin to implement a national development strategy to meet the targets of the MDGs by 2015 with a stronger emphasis on public investments and policies, gender equality, the environment, rural

development, urban development, health systems, education, science and technology, and innovation.

The global state played a role with regard to development through the establishment of forums on reinventing government; these included aspects of public service ethics and trust in government, governance-oriented innovations to enhance State capacity, access to services for all through participation and transparency, auditing for social change, representative democracy, participatory methods and capacity, development for responsible politics, corporate governance, market economy, and accountability.

There are further projects developed with regard to development in a global state. The World Education Projects by sector-civil society development also had a 'brighter futures programme in Nepal where a four year project to combat child labour through education was implemented in two levels, in communities where children come from or where they live and work, and secondly at a the policy level with government and international agencies.

Another project established by the global state for development involved capacity-building for local and international NGOs in Cambodia. World Education provided participatory training of trainer programmes in a variety of technical sectors, applying the latest adult teaching methods and practices to programmatic and organizational challenges in health education, sustainable agriculture, human rights work, community development, and project and organizational management.

In Benin (2003-2006) Civil Action in the School Environment strengthened the legal environment for civic participation in education and improving gender equality in education. The project in Guinea was 'combating exploitive human trafficking through education and civic participation'. The

project works to improve access to quality education and practical training programmes for youth as a prevention and protection strategy from human trafficking. Lastly, the Women's Empowerment through literacy and livelihood development (2003 -2007) project was established in India.

The World Education organization worked with the Society for Participatory Research in Asia where a literacy curriculum was developed which integrates literacy with concepts of savings and credit group formation and management, and livelihood improvement. The World Education organization provided technical assistance to organizations in India that wanted to use the project to meet the needs of women who participated in their microfinance programmes. Through the use of these materials women became active members of independent, self-sustainable savings and credit groups and moved towards making more informed choices about their livelihood activities.

According to the World Development Report (2011), '*Conflict, Security and Development*', much of the world has made rapid progress in building stability and reducing poverty in the past sixty years, but areas characterized by persistent violence and by fragile institutions are being left far behind. The report further stated that economic growth is compromised and human indicators stagnant. For the World Bank and its clients, violent conflict, thus remains a central developmental concern and an issue across all regions and income levels. For South Africa as part of the region, unemployment remains one of the central development concerns as more of the working force is in poverty and there is limited contribution to the country's economy.

The aim of the World Development Report for 2011 is to stimulate a wide spectrum of debate and to capitalize on the current surge in attention to conflict and fragility. One of the early findings, as the report explains, is that there was a deficit of international support that is coherent, flexible

and well targeted. Building of the national capability is regarded as paramount but external support can be essential to achieve this.

However, international supplementary capacity is plagued by fragmented strategy between political, security and development actors, unpredictable and inflexible aid flows, unrealistic timelines for progress and a lack of global measures to track progress. It is further reported that in an action agenda, new instruments for prevention and regional action to manage conflict need to be applied, investment in under-resourced sectors increased, strategy better co-ordinated, the performance of international assistance improved and outcomes monitored through simple global measures of actual levels of violence and popular perceptions of progress toward stability for the international community to track progress.

2.3.3 The State and Development in Africa

The state is a critical player in the development process of any country; however, it is not the only player. Private and civil society sectors play important roles in development alongside the state (Kauzya, 1997). Kazuya mentioned a number of roles the state has to play in development through building a capable, intelligent and effective state, namely: restoring stability, peace and security including building capacity to prevent, manage and resolve all conflict, and enforcing constitutionalism and the rule of law. Kauzya added that also through modernization and strengthening national judicial systems to ensure fair, accessible and affordable justice for all will further develop the country. Other roles to play by the state are ensuring respect for human rights including protection of the vulnerable, ethnic minorities, women and children. These are followed by promoting popular participation and strengthening institutions of participatory democracy and local governance, strengthening the capacities of the public sector especially for effective delivery of services, and lastly creating and sustaining trust and legitimacy of state institutions

through leadership, ethics, integrity, professionalism, transparency and accountability. Kauzya (1997) reiterates that it is not enough for Africa to build capable states, but that it must build effective and intelligent states.

Kauzya (1997) observes that there are challenges in Africa as it is caught up in a complex development situation that emanates from the desperate need to develop African people and shift them out of poverty. The challenge in Africa, according to Kauzya (1997), is enormous given the extent of poverty on the continent, since Africa is largely poor by all standards.

According to the United Nations, most countries classified as ‘Least Developed Countries’ are in Africa, that is most African countries fare very badly in relation to the rest of the world in terms of income, nutrition, access to health services, access to potable water, life expectancy, access to education, human physical security, and environment. This does not overlook the achievements that have been registered in a number of countries in Africa in developing their societies, but rather emphasises that much remains to be done and whatever achievements have been realized thus far need to be used as stepping stones and building blocks for further development. In all fairness the challenge of eradicating or at least reducing poverty belongs to the state, leadership and people of Africa primarily, although global development partners can assist. Furthermore, Kauzya (1988) observes that the most urgent need in eradicating poverty and fostering socio-economic development is dependent on democracy and governance.

In the 2000 Declaration of the African heads of state meeting in Durban, South Africa, they expressed the challenges of poverty eradication and socio-economic development were acknowledged. This related also to democracy, political, economic and corporate governance, and the long term strategic vision of many countries in Africa. There is a need to

enforce the rule of law, ensure equity and equality, equal opportunity, individual freedoms for all citizens before the law, and practice honest, transparent, accountable and participatory government and probity in public life.

Furthermore, it was noted that corruption both retards economic development and undermines the moral fabric of society. There is a need to restore stability, peace and security including building capacity to prevent, manage and resolve all conflict; ensuring respect for human rights including protection of the vulnerable, women and children; and promoting gender equality to enhance the potential of women.

Furthermore, South Africa's state-owned enterprises are now involved in infrastructural development in Africa (Akinboade & Lalthapersad-Pillay, 2004). This is facilitated by the establishment of trade offices in African countries and signing trade deals allowing South African firms to produce electricity and install water, rail, road, and telecommunications infrastructure in Nigeria, Uganda, Malawi, Mali, Mozambique and Rwanda, amongst others. Bjorvatn (1999) observes that firms prefer to locate their industrial activities in countries with good infrastructure, since both the quality and quantity of infrastructure affect the operation of business ventures. He continues that a good infrastructural base helps to lower transaction costs by facilitating the flow of information and goods, and is a means of attracting and keeping foreign direct investment. This would improve the economic status of the people especially those in disadvantaged circumstances, and will lessen the load the government has to carry in the development of people.

2.3.3.1 Building a capable, intelligent and effective state

There are challenges in building capable, intelligent and effective states. Kauzya (1988) defined capability as the state of strength while

effectiveness refers to the dynamic application of strength to achieve the intended objectives through successful and effective performance of the necessary tasks.

A capable state will be an effective state only when its capability is used intelligently to engineer collective action to satisfy the general interest in areas such as law and order, security of person and poverty or any other areas collectively agreed as critical to the well-being of the population in question.

In the African context in order to eradicate poverty, an intelligent state is one which goes beyond the traditional roles, functions and institutional structures of the state, such as strong institutions of governance and the rule of law, respect for human rights and freedom. An intelligent state that aims to fight poverty should also promote a focus on the needs of the poor, an intolerance of corruption, and commitment to transparency and accountability in the management of public affairs. Furthermore, it should aim to create an enabling environment for the private sector and civil society, and an environment for people-centred development, public and private sector partnerships in the promotion of business with an emphasis on micro-industries, small and medium-size enterprises and promotion of technological and infrastructure development.

The state has to work with the private and civil society sectors to redefine and agree upon its mission and mandate as well as the challenges. The aspirations of the country in terms of socio-politico-economic development and challenges must be analyzed, diagnosed, discussed and agreed through consultations and participation of a cross-section of the population. Therefore, according to Kauzya (1988), the state institutions in Africa need to realize that they are operating within the context of relatively weak civil society and the private sector and they need to support the growth of such sectors so that they can eventually be capable and

effective partners in the development and governance processes. There is also a need to put the challenge of building capable intelligent and effective states in Africa into proper historical perspective, where a search for appropriate strategies for building effective states should start from an accurate understanding of the historical perspectives of governance and public administration institutional development on the continent.

Kauzya (1988) observes that it is understood that the problem of state institutional development in Africa is more one of inadequacy than of absence. By inadequacy is meant two things: firstly the existing state institutions have within them weaknesses which have to be corrected in the process of developing state capability, intelligence and effectiveness. Secondly, there are areas where institutions do not exist or exist in inadequate numbers calling for institutional creation as part of the measures.

Kauzya (1988) clarifies that it is mostly the case in institutions that would create strong collaborative and participatory linkages among government, civil society, the private sector and the citizens themselves in the act of governance and public administration. He therefore concludes that for Africa to lift its people out of the poverty trap there has to be significant sustained improvements in the capability, intelligence and effectiveness of the state in each country. It is thus the role of the state to continuously improve its capability, intelligence and effectiveness for the further development of its people.

According to Marrakech (2002), in terms of building institutions, people need to bear in mind that they are treating a fairly complex sphere. He further refers to governance as a concept that is wider than state institutions and state action. Firstly, taking this into account they need to guard against considering only institutions of government that complete collaboration, involvement, consultation and participation of all

stakeholders in all sectors (public sector, private sector and civil society) in the act of governance. Secondly, institutions are social constructs which encompass not only temporal structurally conditioned behaviour but also tendencies that are products of socio-politico-economic and historical conditions of the context in which they operate.

Marrakech (2002) emphasized that it is important to view the state institutional development in Africa by looking at not only the historical conditions that shaped them, which may offer some explanations as to their strengths or weaknesses, but also the future perspectives that create imperatives and directions for developing appropriate institutions that will lead African countries into the 21st Century. In his conclusion regarding building institutions and governance, he cautions that people must guard against the temptation to write about state institutions in Africa as if Africa was one homogeneous entity.

The reality is that institutional development in the various countries of Africa is at different stages and this has to be taken into account especially when one is looking at institutions at national and local levels. Kauzya (1988) and Marrakech (2002) concur that the genesis of the state institutions in the majority of African countries lies in the colonization of the continent. They take into account that it is an historical fact that without seeking to engage in a debate as to whether it was wrong or right, fair or unfair, basically colonialism sought to entrench sufficient bureaucratic structures of administration that would permit it to accomplish its mission of subjugation and resource exploitation. Furthermore, colonialism, to a great extent, as explained by Kauzya (1988) and Marrakech (2002), supplanted or suppressed the various traditional administrative organizations, and with them their administrative cultural values.

In most parts of Africa, the traditional administrative organizations were eroded and replaced by bureaucratic organizations styled after the system

in the mother country. In this the civilizing mission of the colonial masters had limited scope; it was mainly concerned with pacifying the natives for purposes of facilitating exploitation of natural resources. As such, little investment was made into the development of complicated administrative infrastructures; the administrative systems consisted of skeletal organizations, only large enough for the purposes of extracting revenues and ensuring orderly governance (Mutahaba *et al.*, 1993). In the context of the above, colonization imposed legal, political and administrative institutions and systems alien to African local realities. After independence, most countries did not experience stable politico-administrative institutions such that contradictions between liberalized politics and socialist policies culminated into single-party authoritarian regimes relying heavily on 'strong men'.

Mutahaba, *et al.* (1993) states that many of these regimes were later toppled by military coups, thereby further consolidating the culture of strong personalities as the basis for exercise of power and public authority. In their opinion, institutions that would promote representation, consultation, involvement and participation of the people in governance and public administration did not have room to grow. They reiterate that this has been the deep root in the call for a second liberation in Africa which gave birth to liberation movements on the continent, where some of them have had some success and others are actually still engaged in power struggles that give rise to violent conflict on the continent.

At the national level in many countries, as a result of the personalization of power and of the neo-patrimonial nature of the state, the tendency has been towards institutional decay rather than development.

Kauzya (1988) observes that, as regards the role of the state in development in Africa, it should promote capable, effective and intelligent states to overcome the severe governance challenges in order to

effectively support efforts of poverty eradication. He further points out that poor governance inhibits economic activity and therefore leads to poverty. His example is that failure to manage conflict may lead to violence and wars, disrupting people's economic activity and social safety nets and aggravating poverty. Furthermore, failure in public policy analysis, formulation and implementation may lead to poor delivery of essential public services such as health and education. In a similar way, failure in investment in infrastructure such as roads, communication, electricity, etc. can result in the discouragement of entrepreneurship and investment, thus curtailing opportunities for employment and economic growth. A capable, effective and intelligent state is most likely to practice good governance and to mobilize resources and energies of the population as well as external development partners towards reducing poverty.

2.3.4 The Role of Civil Society in Development at Global Level

For Blair (1997); Howell and Pearce (2001), McIlwaine (1988), and Taylor (2004), the concept of civil society is dynamic and ambiguous; it is changing in scale and scope depending on the time period and geographic location. They define the term civil society as the formal or informal social and advocacy associations inhabiting the space between individuals and the state and/or market. It was further framed within recent NGO and United Nations' efforts to incorporate non-government stakeholders into international sustainable development policy efforts.

Civil Society was traditionally conceived at the national level; however, the presence of a global civil society has emerged with increased ties and networks between NGOs and IGOs at a supra-national level (Taylor, 2004; Van Rooy, 1997, 2004). Taylor (2004) said that the power shift to multilateral organizations and the international network of NGOs is interrupted by some as a way to broaden hegemonic power within the context of neoliberal globalization. Further, the global civil society can

represent the actors that aim to challenge the undemocratic and incapacitating practices of neoliberal globalization. Those adhering to the mainstream political sociology with state-centric politics found within the social movement theory (e.g. Mc Adam *et al.*, 1996) argue that the structural preconditions for the genesis of a global civil society are lacking – primarily because there is no global state and the power and influence of the nation-state remains dominant (Taylor, 2004, p.4).

On the other hand, Halperin and Laxer (2003, p.13) argue that the state remains the central locale of power and potential control whilst national politics remains the most effective vehicle for anti-globalism resistance. Despite the contestable nature of the effectiveness of a global society, it is clear that the NGO-ization of the political landscape impacts the relation between Developed World NGOs and their Less Developed Country beneficiaries (Lipschutz, 2000; Khondker, 2001; Edwards, 2002).

Civil society has become increasingly common in discourses of environment, society and development, partly due to the increased role of NGOs in augmenting state responsibilities. The role of civil society is that it influences government by enhancing political responsiveness by distilling the desires of the public through non-governmental associative groups and by protecting the public against arbitrary government abuse (Schmitter, 1997; Lipschutz, 2000).

Practices of civil society are ambiguous, both in geographic and temporal scope. Gibbon (2001) and Loy (2001) have shown the informal associations provided to check the state power as citizens fill the interstices of space between states and individuals. Further example by Buddhist philosophy purported that civil society's role was to ensure individual freedoms by holding accountable the liberal political and economic spheres, especially the increasing actions of the territorial state. In its pure form, according to Tocqueville, civil society consists of non-

governmental organizations and associations operating freely and distinctly from the state.

The international relief-and-development effort impacts the international state system which is evidenced by the fact that NGOs now dispense more money in aid and development than the World Bank and the United Nations (The Economist, 2000; Tvedt, 2004).

The top-down traditional aid paradigms and the growing chasm between national and global structures from individuals, and a celebration of the 'local' has emerged in the civil society rhetoric of international organizations (Blaikie, 2000; Mohan, 2002). An emphasis on the local also threatens to undermine efforts to combat globally pervasive structures in the local places worldwide that are implicated in unequal access to resources, such as rural land availability and employment opportunities (Nyamugasira, 1988; Ikelegbe, 2001).

As regards the role of civil society in development, Korten (1999) partly agrees with Edwards (1999) that people should shift definitely from the foreign aid paradigm towards a new idea of international co-operation, based on broad alliances between the different actors and institutions involved in the struggle against global poverty and exploitation. Building global alliances or constituencies for change, he argues, would enable human beings to co-determine their futures on the world stage. He notes that it is evident that only through mutual engagement can any real difference be made: debate needs to be encouraged, to explore what does and what does not work. However, international co-operation cannot be based on concealing the divergence of values, interests, political positions and the power to pursue them within the present global order.

Edwards (1999) calls for a form of co-operation that is democratic and rooted in dialogue, not based on any universal model imposed from

above, but on the politically feasible goal of a more humanized capitalism. Whaites (1999) argues, however, that the nature of the debate on the relationship between states, markets and civil society had evidently advanced qualitatively by the end of the 1990s with the state making a comeback. He suggested that development must be seen as nurturing a strong civil society, while ignoring the weakness of an ineffective state. His argument on redressing such imbalances is that the aim should be that of development, on the understanding that an effective government structure is essential to development as a strong civil society.

The United Nations Stakeholder Forum Implementation Conference was convened to integrate civil society stakeholders into global deliberations on sustainable development and to marshal their forces in the implementation of the World Summit on Sustainable Development accords in August to September 2002. The role played by civil society in development globally was the development of the Implementation Forum and it is important as the first civil society forum to be formulated to consider emerging questions that relate to the effectiveness in achieving civil society objectives (Carr & Norman, 2007). It was designed to mobilize stakeholder participation and facilitate the implementation of commitments embodied in the Agenda 21 Declaration on Sustainable Development. It included representation from government, NGOs, the private sector and the scientific community where increasing challenges in environmental degradation and sustainable development were addressed.

Clark, *et al.* (1998) specified that the aims are to bring global attention to the burgeoning civil society movement, to influence decision-making at the World Summit on Sustainable Development, the language of World Summit on Sustainable Development documents and to enhance the successful implementation of World Summit on Sustainable Development outcomes as stated in the Plan of Implementation and Type II Partnership Initiatives (United Nations, 2002).

Carr and Norman (2008) concluded that the larger scale, global summits such as the World Summit on Sustainable Development and corresponding Implementation Conference necessitates equitable representation. They maintain that providing for the people's voices the world over to be heard is an integral part of the civil society process at this scale; without this level of representation, not only is the spirit of the forum lost, but global powers are reified and voices silenced. Thus, when investigating participation at the Implementation Conference, they maintain that a successful conference means equitable representation.

The World Education project by sector-civil society development in South Africa established Community Involvement in Primary Education (2001-2005). The project aims to assist national government to successfully expand primary school enrolment, where the education sector faces the challenge of providing quality education to a growing population of new students.

The project addressed this critical issue by mobilizing communities in Malawi, Mozambique, Angola and Zambia to become actively involved in the education of children. It worked through the local NGOs in each country by providing training and small grant assistance to parent association (e.g. PTA's and school committees) at the community level, thus building their capacity to improve the quality of education in their schools.

2.3.5 The Role of Business in Development

The World Business Council for Sustainable Development has reported that the United Nations General Assembly convened world leaders, civil society and the private sector in New York to review progress made and accelerate action on the Millennium Development Goals (MDGs), a set of

internationally agreed targets to eradicate poverty and other social challenges by 2015. The MDGs were adopted in 2000 at the Millennium Summit. It is further mentioned that business is well aware that poverty and inequality in many countries remain critical challenges for sustainable development and global stability.

The United Nations is concerned about meeting the basic needs of a growing and increasingly urbanized population in developing countries. The aspirations of their middle classes will increase demand for energy and natural resources which will in turn exacerbate the growing pressure on the world's ecosystems. The report stated that as a global community, they already have the financing, technologies and scientific knowledge needed to carry out a transition towards a sustainable future.

Business as an engine of growth and development, according to the report by the United Nations, has a critical role to play in accelerating progress towards the Millennium Development Goals through increasing investment, creating jobs, increasing skills and developing goods, technologies and innovations which can make people's lives better. This includes the private sector's role as a source of capital for developing countries. The report highlights the need to improve energy and resource efficiency to meet the rising demands for food, health care, shelter, energy, mobility, water and sanitation which are defining development challenges. It is recommended that companies that take up those opportunities are those that anticipate trends and respond with smart solutions, and the ones whose leaders are not only leading their companies but also help guide society toward major investments in sustainability.

According to the European Business Review (September 2010), business has to play its part for development to be sustainable and poverty to be eradicated. Even though business is well intentioned, it cannot meet the

challenges alone and will need the support of a transition towards a more sustainable and inclusive future, with the appropriate legal, institutional and financial framework to be in place. This includes promoting a fair and competitive global market that is non-discriminatory, establishing regulatory frameworks that uphold property rights, accelerating entry to the formal economy and rooting out corruption.

The appropriate legal, institutional and financial framework conditions need to be in place that includes capacity-building and general education, facilitating access to finance and investment risk mitigation instruments particularly for small medium enterprises, and finally securing the necessary investments into core infrastructure such as roads, energy systems, telecommunications and ports. In conclusion, with regard to the report, the United Nations believes that the leading companies of the future will be those that align profitable business ventures with the needs of society. It continues to clarify that business should therefore not be viewed as a mere provider of resources by governments and civil society, but as an enabler of social and economic progress and as a key partner in a common effort to achieve inclusive and sustainable development.

As noted by Te Velde, the programme leader of the Overseas Development Institute's Investment and Growth Programme in Devex (2010), "Good state-business relations can help improve governance and strengthen economies in Africa".

However, the fact that African growth prospects had already turned around in the mid-1990s long before the more recent upturn in commodity prices emerging markets, should make civil society reconsider what Africa has been doing right all along. In joint research by the Overseas Development Institute and the Institute for Pro-Poor Growth programme, effective state-business relations, industrial policy and economic growth as well as structural factors have helped African countries to grow, highlighting in

particular the nature and scope of state-business relations as a key institutional feature behind the growth process.

The role of business in development as introduced by the president and chief executive officer of the Initiative for Global Development in Washington (2010) observes that the partner countries achieve their development goals through private sector-led growth by enhancing the return on investment (ROI) and improving the efficiency and sustainability of their programmes. Potter (2010) elaborated by mentioning that looking ahead their plans call for the achievement at the transactional level, and that in order to achieve their mission of poverty reduction through economic growth they require targeted partnerships which will enable them to increase the scope and scale of investments and address development challenges.

Furthermore, there is a need to mitigate risks for investors and other market participants and to accelerate the transfer of technical or managerial expertise into a developing market while also exploring new development partnerships from stand-alone investments to parallel and co-investments that will be commercially viable and sustainable. It was presented that the innovative way of applying existing successful investment models to frontier markets should involve traditional investment partners like non-governmental organizations, social investors, foundations and other donors to deliver economic and social development returns. According to Potter (2010), sustainable development with so many poor communities will not come from hands-outs of assistance but rather change will come when they use development resources as a springboard to empower entrepreneurs, and attract business and investors.

Potter (2010) further notes that the reason the Millennium Challenge Corporation is committed to deepening the engagement with the private

sector is because together they can invest in programmes that offer opportunity, hope and prosperity for the world's poor. It was concluded that by bringing everybody together the average growth rate has been almost twice as fast over the last decade than that of the wealthier countries, and the projections released by the International Monetary Fund are for them to grow maybe three times as fast as the rich countries.

Alexander, secretary of state for international development in the United Kingdom observed in 2009 that governments around the world must carry out their duty to protect citizens from the worst excesses of corporate greed – whether that is the tax evasion that drains public funds, the bribery that rewards corruption, or the working conditions that exploit the poor.

Alexander (2010) further stated that this partnership challenges business not to increase their charitable works in developing countries, but to put the core business of their companies to use in the service of generating jobs, encouraging innovation and providing the kind of global benefits they need to see if they are going to reach the MDGs. Businesses have signed up to the Business Call to Action in which each has made a commitment to help change lives for the better, including Wal-Mart, which will source around an extra \$60 million worth of fresh produce from Africa over the next five years. Vodafone has already provided mobile phone banking to six million people, many of whom do not have access to any other type of bank, and Coca Cola has set up over 700 new small independent distribution businesses across Africa, creating more than 4 500 new jobs. Furthermore, while these initiatives are charitable works, these companies are at the same time bringing benefits to the people and communities in developing countries by providing jobs, new services or demand for local produce.

In conclusion, Alexander (2009) notes that each of these companies enjoys a higher profile for their innovation, guidance from a team based at

the United Nations and a growing community of practice in which to share innovations and common lessons: in short, “A partnership that recognizes that the ties which bind humanity together are far greater than the differences that too often separate us.”

2.3.6 The Role of Business in Development in South Africa

In November 2010 a public dialogue was convened by the Development Bank of Southern Africa, with the aim of examining the challenges associated with making regional integration work for the poor and the specific role of South Africa in this endeavour. The report by the Development Bank of Southern Africa notes that the dialogue was designed to bring researchers, practitioners, stakeholders and policy makers together in public platforms on regional integration and poverty. Furthermore, it is designed to focus on regional integration in specific thematic areas that are relevant to particular sectors, and to generate mass media coverage of the specific issues raised in the discussions in order to widen and deepen dialogue to involve the general public. It also aims to build confidence amongst stakeholders in articulating views on regional integration and to establish an informal non-state actor's network on regional integration and poverty.

In conjunction with the Southern Africa Trust, the Development Bank of Southern Africa aimed to deepen the understanding between business and development and engage the stakeholders including researchers, practitioners, policy makers and the media on responsible business practices. It was realized that in spite of all the efforts by government, the level of poverty in Southern Africa remains high and is exacerbated by new challenges such as external shocks, natural disasters, recurring problems like food insecurity, and youth violence. The report concluded that this is because the model of development has not taken the social dimension of growth into consideration and has failed to tap the potential

at the base of the pyramid. There is thus a need to re-engineer the development plans and policies at national and regional level to ensure there is an effective and inclusive approach to economic growth and development.

In order for development to succeed in the region, it can only be done in a comprehensive manner involving all stakeholders, especially the private sector, as there is widespread recognition that government alone cannot deal with the problem of poverty or achieve the Millennium Development Goals.

The report pointed out that government does not have the resources and capacity to deal with such complex issues, but business on the other hand has the potential to create positive impacts at several levels for people living in poverty. Government also needs to provide the enabling environment to win the confidence of business and to make the region an attractive destination for investments.

The report further stated that business as a key player can act responsibly by fulfilling their obligations in terms of national and international laws, including specific bilateral agreements. Business can also contribute to pro-poor development within their core activities by creating opportunities for the poor to change their livelihoods in a sustainable manner, as it is believed that with their knowledge and resources they can find new and creative ways to capitalize on innovations, products and services to benefit the poor.

Businesses that can be mentioned that brought about change for the poor include Unilever, Coca Cola, SAB Miller and Vodacom. These were seen to have been successful by uplifting the livelihoods of poor communities and contributing to sustainable development while at the same time leveraging financial gains. During the dialogue, it was agreed that the

private sector has recognized that working with and investing in pro-poor business models can bring about thriving markets. Companies around the world have introduced numerous profitable innovations to provide poor communities with access to health care, clean water, sanitation, communication technology, and financial services. Thus, new public-private partnerships and initiatives seek to improve access to education, empower women and eliminate gender inequalities.

Therefore, it is important to have a platform which allows state and non-state actors, in particular the private sector, to discuss openly how to make regional integration work for the poor and how South African business can play a leading role in the endeavour.

As regards skills development, the chief executive officer of the Bidvest Group Limited, Mr Brian Joffe, stated that they are facing a period of growing uncertainties in areas of common concern for all stakeholders – the economy, society and the environment. He explained that irresponsible management of credit, coupled with a shortage of energy worldwide has plunged markets into turmoil and undermined consumer as well as business confidence.

On the African continent, food shortages and unemployment compound the underlying poverty crisis and urgent action is needed. Government is also reliant on the communities to take the initiative to be involved in the operations of Non-Government Organizations where they receive subsidies as one of the strategies to deal with poverty and unemployment for development in the continent.

2.3.7 Gauteng Province

The Gauteng City Region includes the Metropoles of Johannesburg, Ekurhuleni and Tshwane, Mogale City to the west and Emfuleni to the

south. Gauteng is an integrated industrial complex with major areas of economic activity in sub-regional areas, namely Vaal Triangle with a strong manufacturing sector, West Rand which concentrates on primary mining and central Witwatersrand which is dominated by the manufacturing and finance sectors and mining. It is the economic engine of South Africa with excellent infrastructure manifested in well-maintained road, air and rail networks as well as power and telephone lines.

The province is the fourth largest economy in Africa and is responsible for one-tenth of Africa's Gross Domestic Product (GDP) (Akinboade & Lalthapersad-Pillay, 2004). It is responsible for more than fifty per cent of turnover of companies in the country. It houses the Johannesburg Securities Exchange (JSE), Africa's most sophisticated and most capitalized securities market with over 390 listed firms in Gauteng. It has a well-established manufacturing base, the largest and most diversified in Africa. Twenty six per cent of South Africa's clothing industry is located in the province (Moodley & Velia, 2002). This is also where government comes in with regard to funding of Non-Governmental Organisations to develop projects with the clothing industry to promote NGOs becoming independent and contributing in the country's economy.

The average annual household income in 2002 in the major cities in South Africa was about R19 000. In Johannesburg it was about R15 000 higher while in Tshwane it was about R19 000. higher (Trade & Industry Policy Secretariat, 2001). Hence most of the community members in Ekurhuleni and other regions applied for funding from government Departments including Social Development to develop programmes that will improve their household income.

2.3.8 Tripartite Partnerships

Chief Executive of the Business Trust, Mr Brian Whittaker, pointed out in a public dialogue series in South Africa held in Midrand in November 2010 that the role of business in development is complex as companies are regarded as the engine of growth; or as a resource for development; or as a subject of transformation. He indicated four major lessons learnt in its collaboration with the private sector, particularly the partnerships between government, business and other stake holders. Firstly, he said that business brings two things to development, and these are business-like approach and market acumen. His explanation for this was that it is because both generate considerable value for society as businesses risk their resources in pursuit of a profit resulting in employment and income, skills, public services capital, and opportunities. The second lesson learnt is that misleading public services on the part of the private sector cannot lead to effective partnerships, especially with government. He referred to the Business Trust which has been successful in improving public services by working closely with the public sector, even though there were misconceptions that government business believes that they know something that others don't know, that policies can be imposed on the administration, and that practice can be changed by demonstrating superior approaches.

Whittaker elaborated on these mistaken assumptions, observing that there is a need to change the mindset in the private sector to enable proper partnerships between business, government and other stakeholders and that a sustained contribution will need a shift to more commercial relationships which will require a change in the vision of the role of the state, and to achieve this there is a need to change the way external support is procured and managed.

Whittaker then observed that the market side of the development equation has received too little attention, particularly from business. He encouraged more inclusive markets as poor communities cannot be developed through government action alone, business cannot maintain a market economy that excludes a large part of the population and inclusive society cannot be built on a divided economy. These should be taken into consideration for the country to meet its national objectives. Finally, if the key players are to build more inclusive markets, they need to understand what models work, what institutional arrangements support a more market-based approach to development, how to respond authentically to local enterprise challenges and where markets are being created and destroyed.

Whittaker concluded by indicating that these lessons can be used in South Africa to achieve proper results and successful partnerships for improving service delivery. Lynette Chen, Chief Executive Officer of the New Partnership for Africa's Development (NEPAD) Business Foundation shares an understanding with Whittaker regarding business and development in South Africa. She explained that work and structure for development should be designed in such a way that there is access to information through networking and the environment.

Furthermore, Chen stated that co-ordination of partnerships between government and business is to be encouraged for development to be sustainable, and that everyone should be involved in project preparation i.e. government, business and civil society by facilitating project development to bankability by securing finances for the project opportunities for its members.

In addition, the aim of tripartite partnerships is to find programmes and projects with high potential to leverage additional opportunities for business including SMME development, crowding in investment and intervention by facilitating the pooling of resources to maximize impact and

ensuring alignment and integration of social development components within all projects.

2.3.9 The Role of Business in Development in Ekurhuleni

The East Rand, as it was known before 1994, has changed its name to Ekurhuleni Region which comprises 22 local authorities, including Alberton, Kempton Park, Benoni, Boksburg, Springs, Brakpan and Germiston, where regional offices are based. The Integrated Development Plan (IDP) approach was introduced in 1996 by the Department of Provincial and Local Government as a form of strategic planning and development for local government in South Africa. Its purpose is to foster better service delivery by providing the framework for economic and social development within the municipality which contributes towards eradicating the apartheid legacy.

In terms of the Integrated Development Plan (2003), the Ekurhuleni Metropolitan Municipality's vision, mission and values are described as "the smart, creative and developmental city" and the mission is described as "Ekurhuleni provides sustainable and people-centred developmental services that are affordable, appropriate and of high quality". The values include of performance excellence, through team work they strive to continuously improve their skills, processes and systems. They also include integrity by displaying honesty, respect, dignity and caring in their work and eradicating all forms of unfair discrimination and corrupt practices.

Community centredness is also informed by the principles embodied in *Batho Pele*, and promotes respect through involving communities and ensuring development. The IDP has mentioned transparency by ensuring that all stakeholders have access to relevant information that enhances partnerships; and lastly, co-operative governance where the municipality

will initiate, implement and evaluate legislation and programmes with other spheres of government.

Key development priorities for the Ekurhuleni Metropolitan Municipality with regard to the IDP (2003) are stated as the promotion of governance, urban renewal, poverty alleviation and addressing under-development, job creation, safety and security. The key performance areas constitute the different departments of the council, such as municipal infrastructure, roads, transport, and civil works. There is also financial management with developmental planning and local economic development, sports, recreation, arts and culture. There is also basic provision to the communities which includes housing, public safety, environmental protection and tourism.

The main objectives relate to the key performance areas as stated by the Ekurhuleni Metropolitan Municipality (2003), namely to manage expenditure and income in accordance with the approved budget, to prepare and implement a five-year capital investment programme, to improve socio-economic conditions and quality of life of all residents, and to improve customer care and service delivery. The Ekurhuleni Region is the heart of South Africa's manufacturing economy (metals production, metal working, chemicals, food and beverages, packaging).

The future of the region has become a national concern, since it forms the historic heart of the South African economy, but sees growing unemployment characterised by a shrinking of the metals cluster which has provided upward mobility for generations of workers. The Government's Growth Development and Redistribution policy could lead away from manufacturing in the metropolises and see a shift towards investment. Furthermore, other cities are better placed to compete for new investment.

The Centre for Development and Enterprise has indicated that many cities now have strategies and more effective governance structures for co-operation across the region. Bernstein (The Star, 4 June 1997) indicated that the research has shown that despite stagnation, the economy of the region can be revived, and that revival should not be postponed indefinitely.

Bernstein further pointed out that if real opportunities for growth are to be seized, the region will have to improve its low status to do business. At present it fails short in several crucial areas. In the discussion, the area is institutionally fragmented, i.e. individual towns compete rather than co-operate.

Furthermore, despite a manufacturing-based economy based on clusters of competitive and interlinked comparative sectors, governments do not seem to understand the advantages of co-operating. Such rivalry often inhibits responses to challenges. The Centre for Development and Enterprise highlights that the government elections held in 1995 have greatly changed the shape of the East Rand region; for example, in one development in Edenvale, Modderfontein; Kempton Park and Tembisa have chosen to combine a metropolitan area, the Iffiyalami Transitional Metropolitan Council, which stretches to Midrand and to the most dynamic parts of the area's economy.

The other remaining towns have amalgamated with their associated townships, forming new transitions, falling under the Eastern Gauteng Services Council, which now also has jurisdiction over another council. Furthermore, the region is also socially divided with enormous differences in social and economic conditions with initiatives such as the Kathorus Presidential Project which aims to improve social conditions.

Considerable public resources were put into the project for specifically deprived areas to maximize the effect of development. The Centre concluded that infrastructure development and service delivery must be viewed through the prism of growth if they are to provide sustainable steel ladders for the future. The Kathorus Presidential Project in the Ekurhuleni region cannot be successful without an effective economic strategy. The Centre for Development and Enterprise put into perspective that the lack of a cohesive business grouping concerned with its social, economic and political leaders rarely commens on the economy or future of the area.

Pamodzi Gold is an example of development in Ekurhuleni. Pamodzi Gold East Rand is based in Strubenvale in Springs and is the largest employer in the area. According to their annual report of July 2008, it provides job opportunities for more than 3 500 people at their gold mining, metallurgical plant and associated services, in an area where the official unemployment rate exceeds 40%. Pamodzi Gold views the empowerment of its workforce as an important ingredient for improved productivity and global competitiveness. It has committed itself to identifying and harnessing local and regional resources and opportunities to stimulate new economic and employment opportunities. They have been investing in communities and social infrastructures in Eastern Ekurhuleni and given preference to skills development of sustainable small medium and micro enterprises (SMMEs).

The annual report states that to achieve this, the Mine supports community projects in accordance with the needs identified within the community. They provide key social and economic development to communities within the areas in which it operates. These include primary health services that are provided by the company's clinic facilities; this includes HIV/AIDS counselling, community development initiatives, and environmental awareness campaigns. The organization supports Ekurhuleni and West

Rand District's approach to community development that aims for sustainable livelihoods.

The following specific projects were supported in the past for development in the region: the donation of coal to the Kingsway low-income housing complex, sports development at a school in Kingsway (2004/2005), sponsorship for the 2010 Soccer World Cup bid in the form of soccer balls to the Ekurhuleni Metro (2005), and monetary donation to Noah's Ark Care Centre (2005). Pamodzi Gold has reported in their annual report that there are still projects under way for development, such as a literacy and numeracy project which will be followed with life skills education to sixty community members in the Springs area as part of their Adult Basic Education and Training (ABET) Programme; furthermore ten learnerships have been registered in 2007 with the mining qualifications authority.

It is reported that Pamodzi Mine preserves the status of the environment as part of their responsibility towards society; they aim to provide sufficient resources for environmental protection to ensure that environmental risks are minimized and that the environment and public welfare are protected during and after their mining activities.

The environmental management and awareness projects observe the commemoration of World Wetlands Day with schoolchildren from previously disadvantaged communities. They also support Ekurhuleni's poverty alleviation strategies and are involved in an ongoing initiative to create job opportunities for previously disadvantaged communities in their mining area. Pamodzi Mine appreciates the need for SMME development and the important role that this sector plays in growing the economy, and where possible makes use of local businesses and labour in their mining projects.

Project Skukuza, for example, was initiated during 2003 as an entrepreneurial development initiative; it is an environmental management project which entails cleaning of roads along Pamodzi Gold transport routes. A local Black-owned company was awarded the project on condition that disadvantaged people from local communities are employed.

Pamodzi Gold aims to fulfil its social obligations as reported in the annual report (2008) and strives to achieve a balance between operating successful mining projects and caring for the environment and communities in which it operates. They strive to provide development support to both their employees and communities and to promote socio-economic development by addressing unemployment, poverty, environmentally sustainable development, and a general improvement in quality of life.

In conclusion, their report states that it is their belief that their strategic development framework, which focuses on both internal and external opportunities, will enable them to achieve their goals.

In South Africa, all development related legislation passed since 1994 requires participative processes in plan formulation. The Municipal Systems Act (2000) redefines the concept of a municipality to include the community, which emphasizes the need for the collaborative setting of local development priorities (DPLG, 2000).

2.4 CONCLUSION

In conclusion, Huata (2003) reported that another element is that government should ensure that project milestone reports and final project reports are received promptly to align with instalment payments to actual delivery of services or results with evidence of performance. Finally, there

must be assurance that required site visits, milestone checking and annual reviews do occur.

Other elements in the reports were that government should include independent reviews for large and/or sensitive contracts, with follow-up to be ensured on issues identified from the reports, reviews or site visits, and lastly to ensure follow-up on any non-compliance with the terms and conditions.

The World Bank and Department of Social Development have a common understanding with regard to monitoring and evaluation which mainly is to look into cost effectiveness analysis and impact evaluation. Lastly, government has shown to rely on its principles of funding as to avoid discrimination in terms of resource allocation.

In chapter three the researcher will introduce the type of methodology to be utilised in this report, also other types of methods will be discussed to show the difference between all these methods.

The research approach mainly talks about the tools used by the community planning and development and monitoring and evaluation units within the Department of Social Development.

Lastly to be discussed in the next chapter is data collection where other methods such as observation and structured and unstructured interviews will be used.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

It is a requirement for the report to state which methodology will be used based on the research topic and information expected to be acquired when questions are asked. This chapter will define the difference between the research methodology and research methods, different types of research design, research approach and different types of data collection.

3.2 WHAT IS RESEARCH METHODOLOGY?

There is a difference between research methods and research methodology. Research Methodology is a systematic way to solve a problem. Rajasekar (2006) clarified that it is the science of studying how research is to be carried out. He explained that the procedures by which researchers go about their work of describing, explaining and predicting phenomena are termed research methodology. It is also defined as the study of methods by which knowledge is gained and its aim is to give the work plan of research.

Rajasekar (2006) explains that the importance of research methodology in research study is that it is necessary for a researcher to design a methodology for the problem chosen, and that one should note that even if the method considered in two problems is the same, the methodology may be different.

Furthermore, it is important for the researcher to know not only the research methods necessary for the research undertaken but also the

methodology. The example provided is that a researcher not only needs to know how to calculate mean, variance and distribution function for a set of data, how to find a solution of a physical system described by mathematical model, how to determine the roots of algebraic equations, and how to apply a particular method.

Furthermore, it is important also to know which is a suitable method for the chosen problem, what the order of accuracy of the result of a method may be, and what the efficiency of the method is. He concludes by confirming that the consideration of these aspects constitutes research methodology. Rajasekar (2006) continues that more precisely, research methods help to find a solution to a problem, whereas on the other hand research methodology is concerned with the explanation of the questions such as why a particular research study is undertaken, how a research problem has been formulated, what types of data were collected, and what particular technique of analysis of data was used.

Research methods are the various procedures, schemes and algorithms used in research (Mahanti, 2003). He explains that all the methods used by a researcher during a research study are termed research methods. They are essentially planned, scientific and value-neutral and they include theoretical procedures, experimental studies, numerical schemes and statistical approaches. According to Mahanti (2003), research methods help researchers to collect samples, data and find solutions to a problem. In particular, Mahanti referred to scientific research methods which call for explanations based on collected facts, measurements and observations and not on reasoning alone. Mahanti concludes that they accept only those explanations which can be verified by experiments.

For the purposes of this research, qualitative methodology will be utilized. Qualitative research provides a means through which a researcher can

judge the effectiveness of particular policies, practices or innovation (Neuman, 2003).

This study intends to establish whether monitoring and evaluation of government funding of non-governmental organizations is ineffective with regard to the policy on financial awards to service providers, which leads to members of the civil society possibly committing fraudulent acts.

3.3 RESEARCH DESIGN

3.3.1 Qualitative Research Design

Shuttleworth (2008) describes qualitative research design as a research method used extensively by scientists and researchers studying human behaviour and habits. It is useful for product designers who want to make a product that will sell and it is often regarded as a precursor to quantitative research.

The explanation given by Shuttleworth (2008) is that it is often used to generate possible leads and ideas which can be used to formulate a realistic and testable hypothesis. Further explanation regarding this hypothesis is that it can then be comprehensively tested and mathematically analyzed with standard quantitative methods. For these reasons quantitative methods are often closely allied with survey design techniques and individual case studies, as a way to reinforce and evaluate findings on a broader scale.

According to Shuttleworth (2008), qualitative methods are probably the oldest of all scientific techniques, with Ancient Greek philosophers qualitatively observing the world around them and explaining their observations. He also stated that the design of qualitative research is probably the most flexible of the various experimental techniques,

encompassing a variety of accepted methods and structures. Furthermore, he concluded that from individual case study to an extensive survey, this type of study still needs to be carefully constructed and designed, but also makes the researchers aware that there is no standardized structure. In his observation, case studies and survey designs are the most commonly used methods.

There are advantages and disadvantages regarding qualitative research design. Shuttleworth (2008) described the advantages of qualitative techniques as being extremely useful when a subject is too complex to be answered by a simple yes or no hypothesis. These types of designs are much easier to plan and carry out, and they are also useful when budgetary decisions have to be taken into account.

The disadvantages noted by Shuttleworth (2008) are that whilst not as time- or resource-consuming as quantitative methods, careful thought and planning is still required to ensure that the results obtained are as accurate as possible. Another disadvantage reported is that qualitative data cannot be mathematically analyzed in the same comprehensive way as quantitative results, so can only give a guide to general trends. It is a lot more open to personal opinion and judgment, and so can only ever give observations rather than results. Lastly, any qualitative research design is usually unique and cannot be exactly recreated, meaning that they lack the ability to be peer-reviewed.

3.3.2 Quantitative Research Design

Quantitative research design is the standard experimental method of most scientific disciplines (Shuttleworth, 2008). These experiments are sometimes referred to as true science and use traditional mathematical and statistical means to measure results conclusively. Shuttleworth's findings clarify that they are most commonly used by physical scientists,

although social sciences, education and economics have been known to use this type of research; furthermore, it is the opposite of qualitative research. Quantitative experiments all use a standard format with a few minor inter-disciplinary differences related to generating a hypothesis to be proved or disproved. The report further states that this hypothesis must be verifiable through mathematical and statistical means, and is the basis of the whole experiment.

Shuttleworth (2008) explained that randomization of any study group is essential and a control group should be included wherever possible. A sound quantitative design should only manipulate one variable at a time or statistical analysis becomes cumbersome and open to question. Shuttleworth concluded that, ideally, the research should be constructed in a manner that allows others to repeat the experiment and obtain similar results.

The advantages of quantitative research design as described by Shuttleworth (2008) provide an excellent way of finalizing results and proving or disapproving a hypothesis and that the structure has not changed for centuries, so is standard across many scientific fields and disciplines.

Furthermore, the advantage of quantitative technique is that a comprehensive answer is reached after statistical analysis of the results and the results can be legitimately discussed and published. Quantitative experiments also filter out external factors if properly designed and the results can be seen as genuine and unbiased. Furthermore, quantitative experiments are useful for testing the results gained by a series of quantitative experiments, leading to a final answer and a narrowing down of possible directions for follow-up research to take.

The disadvantages of quantitative experiments include that they can be difficult and expensive and require a lot of time to perform. Shuttleworth

(2008) stated that they must be carefully planned to ensure that there is complete randomization and correct designation of control groups.

Quantitative studies usually require extensive statistical analysis which can be difficult due to most scientists not being statisticians. He explained that the field of statistical study is a whole scientific discipline and can be difficult for non-mathematicians.

In addition, the requirements for the successful statistical confirmation of results are very stringent with very few experiments comprehensively proving a hypothesis; the explanation is that there is usually some ambiguity which requires retesting and refinement to the design. This means another investment of time and resources must be committed to refine the results. His last disadvantage reported is that quantitative research design also tends to generate only proven and unproven results, with little room for grey areas and uncertainty. For the social sciences, namely education, anthropology and psychology, human nature is more complex than just a simple yes or no response.

The researcher will make use of the qualitative method of enquiry. Qualitative research provides a means through which a researcher can judge the effectiveness of particular policies, practices or innovation, according to Neuman (2003). This study intends to establish whether monitoring and evaluation of government funding of non-governmental organizations is ineffective with regard to the policy on financial awards to service providers and the extent to which this may or may not contribute to corruption.

3.3.3 Research Approach

The researcher will use the qualitative approach to examine the extent of the inefficiency of monitoring and evaluation of government funding to

service providers. The researcher will look into the types of monitoring tools used by the Department of Social Development and to establish whether their evaluation process of programmes funded through service providers has been followed to show that these tools have been effective. Officials from the Monitoring and Evaluation unit in the Department of Social Development will be approached to discuss the management and implementation.

The researcher wishes to establish how effective the monitoring tool is and what influences service providers to act in a corrupt manner with regard to government funding.

3.4 DATA COLLECTION

The researcher is the primary instrument of data collection and analysis, and will prepare the questions for the interviews and conduct the interviews while simultaneously directly observing the officials. Policy on the Financial Awards to Service Providers was developed by the National Office of the Department of Social Development, and is implemented through the Provincial and Regional offices in Gauteng. The interviews will be done at regional level due to the fact that they are the people who are dealing directly with the service providers.

Furthermore, the Monitoring and Evaluation Unit at Regional Office reports to the Provincial Office where the Deputy Director collates all information received from all the regions. Two senior officials from the Regional Office will be interviewed in the Department of Social Development, one being the Regional Assistant Director of Monitoring and Evaluation Unit whose responsibilities include developing the regional annual budget of the NGOs in line with the Departmental priorities, and the other a Social Work Assistant Manager from the Community Planning and Development Unit who is responsible for managing all officials working directly with NGOs.

Two Social Workers from the Regional Office in the Community Planning and Development Unit will be interviewed since they are the officials monitoring the programmes rendered by the service providers. Two officials will be interviewed, an information officer responsible for monitoring the trends of beneficiaries in organisations to inform budgeting in terms of racial profile of NGOs and a senior administration officer who is responsible for implementing a developed monitoring and evaluation tools

The researcher will also interview one manager and the auditor working at the Provincial Office at the Monitoring and Evaluation Unit in the Department of Social Development. Lastly, two NGOs which are funded by the Department of Social Development will be interviewed to find out whether funds received from the Department have made an impact or not in the development of their organization. The secondary instruments of data collection will be literature from research reports, practice guidelines for monitoring and evaluation of NPOs, audit findings relating to NGOs, policies, and internet searches.

The sampling method to be used is purposive sampling. Bailey (1982, p.99) defined purposive sampling as the type of sampling where the researcher chooses the respondents who meet the purpose of the study. Eleven officials and managers from the Provincial and Regional offices will be interviewed. The officials will be Assistant Director at the Regional level and Social Work Assistant Manager working directly with officials in the Monitoring and Evaluation and Community Planning and Development Units, Social Workers, information and senior administration officers will be selected based on the knowledge of the Unit and their job description. Co-ordinators of the NGOs will be interviewed based on their experience in managing the organisations.

Semi-structured interviews will be conducted whereby a mix of more structured and less structured questions will be asked (Merriam, 2002, p.13). By selecting the officials mentioned above will assist in identifying how the monitoring and evaluation is done at management and implementation level and how it impacts on the organisations.

Challenges, if any, might be seen to be different at management level compared to the view of the official working directly with service providers, including the views of the auditors from the Provincial Office.

The researcher has to code the data, present it and analyze it when dealing with data (Birley & Moreland, 1998). They further elaborated that data should be collated and presented in such a manner that it would be understood by the researcher as well as other readers. The respondents should also be coded to be easily identifiable in referencing yet still maintain anonymity. According to Birley & Moreland (1998), data should be sorted into broader themes and outcomes and related to the research questions and literature outcomes.

To ensure the confidentiality of respondents, names of the respondents will not be used but only their positions in the Department of Social Development. The presentation will be through a detailed report. The questions will be divided into interview questions, analytical questions and research questions for the purpose of analysis. They will also be divided into senior managers at provincial office, managers at regional office, officials working directly with NGOs from Community Planning and Development, and Monitoring and Evaluation units.

The interview questions are:

- What is the purpose of your unit in the Provincial and Regional Department of Social Development?

- What methods are used in monitoring and evaluation by the provincial and regional offices in Ekurhuleni?
- Are the Monitoring and Evaluation methods used by the provincial and regional office officials, according to your records, serving the purpose of ensuring that NGOs utilize funding according to the development of communities.
- How well, or not, is the monitoring & evaluation working in the provincial and regional offices? Please give examples.
- How do you rate your working relationship between provincial and regional offices in terms of monitoring and evaluation services to the NGOs?
- What can be done to improve the working relationship between regional and provincial offices in the implementation of monitoring and evaluation services in the communities in Ekurhuleni?
- What methods of communication are used by the senior managers in the provincial office with regard to the implementation of monitoring and evaluation services to the regional office?
- What strategies are used in funding of NGOs?
- According to you, has the establishment of the monitoring and evaluation unit made any difference in how government funding is utilized by the NGOs? Please give examples.
- What can be done to improve the impact of programmes funded by government to NGOs in the development of the communities in Ekurhuleni?

The research questions are:

- What are the trends in the monitoring and evaluation of funding of civil society (NGOs)?
- What are the strategies for consideration in monitoring and evaluation of funding of NPOs by the Department of Social Development?

- What are the factors lacking in monitoring and evaluation in Ekurhuleni?

Appendix A shows interview questions in relation to the research questions.

3.4.1 Observation

Other data was collected by observing the conduct of monitoring and evaluation regional task team meetings, meetings between regional and provincial teams, and presentations of the monitoring and evaluation annual report at a workshop conducted by the Department of Social Development. Valadez *et al* (1994, p.346) pointed out that observation can provide valuable consistency checks on data from surveys, key informants or secondary sources. However, data gathered from meetings also helped in substantiating evidence from other sources of data.

The aim of observation was to obtain additional data to describe the activities that took place on the project and the people who participated in these activities. Direct observation is useful and beneficial as it offers first-hand experience. It plays a key role in the development of converging lines of inquiry (Yin, 1984), during the process of gathering data. The researcher was part of the various meetings such as the monitoring and evaluation regional task team to see how the team deals with organizations, with most challenges and resolutions taken in relation thereto helping to improve the working relationship between the Department and recipient NGOs.

3.4.2 Unstructured Interviews

According to Taylor and Bogdan (1975), interviews assume a conversation between equals, rather than a formal exchange of questions and answers.

The role of the researchers therefore entailed not merely obtaining answers, but learning what questions to ask and how to ask them. Unstructured interviews were also conducted in pursuing the research. The method has been selected due to the flexibility it has as it would not restrict the interviewee and allows for latitude to probe until there is clarity. Interviews are essential, given the time constraints and the speed of collecting data.

Interviews were targeted at a full range of stakeholders and role-players which includes NGOs funded by the Department, members of the community, members of the executive committees, Social Workers and managers in the Department of Social Development, regionally and provincially.

Respondents were contacted telephonically prior to the interviews so as to provide background of the research and to set appointments.

3.5 CONCLUSION

The clarity between research methodology and methods assisted the researcher in understanding that there is a systematic way of solving a problem and how to find a solution. The use of qualitative methods contributed in the report by helping the researcher to make judgement of the effectiveness of particular policies and practices as stated by Neuman (2003). Interviews as a primary instrument of data collection and analysis intended to obtain information required for this report which was established. The people which were selected for sampling were a perfect fit for this study and what it has intended to acquire.

The next chapter will be dealing with the presentations of findings, presented in terms of themes A- G. Data will be analysed in steps 1 – 5.

CHAPTER FOUR

PRESENTATION OF FINDINGS

4.1 INTRODUCTION

This chapter will focus on presenting data obtained from the respondents. Interviews were held with two officials from each level of the Department responsible for Monitoring and Evaluation based on their involvement in the unit within Ekurhuleni Region. The researcher is expected to collate and present data clearly so that it can be understood by the researcher and readers.

According to Birley and Moreland (1998), the researcher should give the data codes, present and analyze the findings. People who have been used in the sampling stage should be given codes and references so as to be identified easily and still maintain their anonymity. They further stated that data should be sorted into broader themes and outcomes which are related to the research questions and literature outcomes.

The researcher used different levels of positions and their responsibilities in the Monitoring and Evaluation and Community Planning and Development units of the Department of Social Development's structure, regionally and provincially. Confidentiality was assured of the people who took part in the research and in the presentation of data.

4.2 RESPONDENTS

Table 1: Respondents, department, position and responsibility

Department	Position	Responsibility
Social Development- Provincial office	Auditor – Monitoring & Evaluation	Verification of statistics received from funded NGOs.
Social Development- Provincial office	Community Development Practitioner	Implementation of the Monitoring & Evaluation programme.
Social Development- Regional Office	Deputy Director –Community Planning & Development	Manager of the Monitoring & Evaluation Programme.
Social Development – Regional Office	Assistant Director - Community Planning & Development	Manager of the Monitoring & Evaluation Programme.
Social Development – Regional Office	Two Social Workers – Community Planning & Development	Monitoring and evaluation of programmemes rendered by NGOs
Social Development – Regional Office	Assistant Director -Monitoring & Evaluation unit	Supervision of information officers and senior administration officers -
Social Development – Regional office	Information officer and senior administration officer - Monitoring & Evaluation Unit	Monitoring finances and trends of beneficiaries in the NGOs.
Non-Government Organisation (NGOs)	Two co-ordinators	Managing the organisations

4.3 ISSUES DISCUSSED

Table 2: Issues discussed based on questions asked

Purpose	Methods	Impact	Relationship	Communication
Purpose of Monitoring & Evaluation unit –Provincial - Regional (CPD) - Regional (Monitoring & Evaluation) Theme A	What type of methods are used in monitoring and evaluation Theme B	How well or not is the monitoring and evaluation working Theme C	Working relationship between provincial and regional office Theme D	Level of integration Theme E
Strategies	Difference			
What strategies are used in funding NGOs Theme F	Since the establishment of the unit what is the difference made Theme G			

4.3.1 Theme A: Purpose of Monitoring & Evaluation

The respondents from both units, Monitoring and Evaluation and Community Planning and Development, declared that monitoring and evaluation provides the Department of Social Development with relevant information on whether organizations are meeting or achieving their objectives, plans, activities and that they are implementing them within a specified time period and budget. They further stated the purpose of monitoring and evaluation within the Department, regionally and provincially, to ensure that there is no mismanagement of funds, also that the organizations are compliant with the requirements of PFMA No. 29 of 1999 and Treasury Regulations. The Deputy Director in the monitoring and evaluation unit from provincial office further mentioned in the draft monitoring and evaluation tool that these are to regulate financial management in the provincial and local governments, to ensure that all revenue, expenditure, assets and liabilities of those governments are managed effectively and efficiently. Lastly, the purpose was described as being to ensure that the service providers implement effective, efficient and transparent financial management and internal control systems.

4.3.2 Theme B: Type of methods used in monitoring and evaluation

According to Assistant Director, information and senior administration officers from the monitoring and evaluation unit responded that the types of monitoring methods comprise of the compliance documents, these are the business plan, progress report, constitution of the organization, letter of assurance, NPO certificate and on-site report which are requirements from the organizations funded by government. Further, they stated that they make use of the audit report, quarterly financial expenditure reports, to make sure that the organization does not exceed or under-spend the budget as allocated to them.

As they continue, they mentioned that some of the organisation do not adhere to the regulations as required by the Service Level Agreement signed between themselves and the Department Social Development. These documents, especially financials are submitted after due dates even when they were reminded on time.

Other methods used, as mentioned by the Assistant Director, Community Planning and Development unit, are on-site visits (scheduled and unscheduled) and registers of staff and beneficiaries of services from NGOs.

The Annual Audited Financial Statement is using a monitoring method in which the Department is looking at the overall funding of the organization and how it was spent for that financial year.

Furthermore, claim forms are a requirement to be submitted on a monthly basis to verify whether allocation of funds for the organization has benefited those they were intended for. Lastly, questionnaires are other forms of monitoring and evaluating the organization, where some of the questions asked are: what type of programme is funded, how much is budget allocation per programme, how many beneficiaries are funded, and how many beneficiaries received services.

According to the records of the Monitoring and Evaluation Unit in the regional and provincial offices, methods utilized when monitoring the organizations are serving the purpose of making sure that funding is used for the development of the communities. It is further stated that training is provided for the organizations on compliance and requirements including finances, internal control and governance; hence methods used serve the purpose in ensuring compliance by the organizations.

4.3.3 Theme C: Impact of the programme in the region

The respondents from the Department of Social Development, regionally and provincially, had different views regarding the impact of the monitoring and evaluation programme. At the regional level, information and senior administration officers from the monitoring and evaluation unit had a positive view about the impact of the establishment of the Unit. The most evident response was that NGOs which are funded are now utilizing funding as agreed in the agreement contract, and documents are now submitted on time to the Department on monthly and quarterly basis. They also stated that funds allocated for that financial year are no longer carried over to the next financial year, as was a norm before the Unit was established.

This was found to be a different view from the Social Workers working with the same organisations funded by the Department that documents such as progress reports and audited financial reports submitted after due date even though there were some improvements as compared to the years before monitoring and evaluation unit was introduced in the Department.

Further, it was an improvement for the Department to recall funding which does not have records on how it was spent. Usually the Department used to conduct internal audits or DQA (Developmental Quality Assurance) which is the tool used to monitor the organization when there may be financial mismanagement in the organization, where a developmental report will be established to attend to the developmental areas. In this case the organization will be monitored until all the developmental areas are addressed, but no money will be recalled which leads to most of the funds from the Department being lost.

Furthermore, the Unit finds a positive impact in that they are able to identify organisations which are mismanaging government funds.

This has led to urgent intervention by the Department to assist with funds being managed well.

The Department of Social Development regionally, the Social Work Manager and Social Workers from the Community Planning and Development unit responded that most of the organisations have not complied fully with the requirements of the PFMA and the Regulations of Treasury. The Unit is responsible for development of the organization in terms of programmes. Since the Department is funding for services rendered, not the structure, these programmes have to improve the lives of people the Department is serving.

The impact can be seen when the lives of people have changed for the better. This means the Department of Social Development has an agreement with the NGOs to render services on behalf of the Department; hence they provide funding for them. The Department assesses the changes that resulted in the communities and whether people are no longer reliant on government for subsidy. Even though the Unit depends on the number of people reached as monitoring tool, it also considers their lives and whether they have changed or are still the same or worse in terms of development.

The respondents from the provincial office did not have the same view as the officials from the region. They responded according to their senior positions in the monitoring and evaluation unit, that they are not fully satisfied with the results they were planning to accomplish when the Unit was established in 2006. They believe that there is still a long way to go for communities to be fully developed. This is because the organisations are still not compliant in terms of the PFMA and the Regulations of Treasury. Since the provincial office is dependent on regional office for NGOs to comply, the officials from the region are still struggling to make

NGOs submit the correct statistics and documents with full information required.

Most of the reports from the NGOs are still not meeting the requirements as stipulated by the memorandum of agreement between themselves and the Department. However, since the monitoring and evaluation unit has been established, there is some progress in terms of control in the mismanagement of funds by the organisations. There are not many of the NGOs whereby funding has to be recalled because it had not been used as agreed in the contract. They further acknowledged that working relationships have improved due to the fact that officials from the regional office now understand what is required from them to make the NGOs comply with the requirements of the PFMA.

4.3.4 Theme D: Working relationship between provincial and regional office

Regional and provincial officials and management both responded that they have an open relationship with regard to providing services to the communities by working together. This is clarified in terms of the Social Workers, information and senior administration officers from regional office who have to recommend funding for the organizations to be funded because they are directly working with organizations from grassroots level. On the other hand, the provincial office is reliant on the regional office for information that is required to make a decision with regard to funding; hence it is important for the offices to have a good working relationship. Respondents from both offices, regional and provincial monitoring, and evaluation units indicated respect for each other's job descriptions in terms of implementing the PFMA and Treasury Regulations. Protocol is followed so that there is no misunderstanding regarding the execution of duties.

The Assistant Director (Community Planning and Development) responded by saying that it is all about the beneficiaries of services in the

communities for the Department of Social Development to exist, and not about the personalities of officials who are employees of government. According to the auditor from the provincial office, they still experience some challenges regarding a working relationship with officials from the region, even though they mentioned that it has improved from when they did not understand what was required from them to qualify for good performance. Sometimes the officials from the regional office, especially Social Workers, did not honour the appointments requested by the auditor's office when they have to verify and present the statistics on a quarterly basis.

Officials from the auditor's office and the provincial office mentioned that it was agreed in their monthly meetings that each Social Worker should be the one who verifies and presents their programmes. The working relationship, as they continue in their response to rate their working relationship with the regional office, is still professional rather than personal and that is how it is being viewed by the regional office officials from both units, Monitoring and Evaluation and Community Planning and Development.

4.3.5 Theme E: Communication – Level of integration

The provincial and regional monitoring and evaluation units communicate through e-mails, telephone calls, and letters which have to be signed by the supervisor at regional office before sending it to the provincial office. In terms of communication, senior managers, Assistant Director (Community Planning and Development) and Assistant Director (monitoring and evaluation unit), reported that protocol is always observed from the regional office officials but it is not always followed by senior managers in the provincial office. As an example, they mentioned that when there is an urgent report required by the office of the MEC (Member of Executive Committee) and senior officials, either the Deputy Director or Assistant

Director responsible for that unit is not available; they then contact the lower level personnel working directly with organisations for information.

Furthermore, communication is conducted through monthly internal meetings between information and senior administration officers, Social Workers and both Assistant Directors from the units; Community Planning and Development and Monitoring and Evaluation, where representatives from the provincial office are invited to discuss funding for NGOs, those with challenges and how to assist them. All respondents further mentioned that diversion of funds is usually discussed in these meetings when NGOs wish to utilize allocated funds for programmes other than the intended programmes. These monthly meetings are regarded as beneficial to the team because there is clarity of issues that emerge when monitoring NGOs.

Open communication, though, is not the same between the Monitoring and Evaluation Unit and Community Planning and Development in the region. It is challenging due to the fact that both teams work in silos, and both teams are working in the same building/region and do not communicate well while serving the same NGOs.

This puts a strain on the working relationship as NGOs are the ones who suffer. For example, officials from the Monitoring and Evaluation Unit conduct on-site visits on different days than the officials from the Community Planning and Development Unit and in most cases are looking for the same documents. It would better if they could go together on the same day and work as partners together with the organization. Lastly, managers from both regional and provincial offices are provided with mobile phones so that they can be reached at all times, and they can also have easy access to information when it is needed urgently.

4.3.6 Theme F: Strategies used in funding NGOs

Social Workers from the Community Planning and Development Unit are responsible for monitoring of programmes rendered by the NGOs. Their responses regarding the strategy used by the Department of Social Development in funding NGOs is that they must comply with the requirements of the Public Finance Management Act No. 1 of 1999 and Treasury Regulations. Compliance means honouring the requirements as stipulated in the policies, legislation, memorandum of agreement and/or service level agreement between the NGOs and the Department.

They further stated that it is standard procedure for the organizations to submit documents such as a business plan with financial statements, constitution, NPO and Health Certificate which can be obtained from local government in order to be considered for funding. Furthermore, the Assistant Director adding to the Social Workers' responses is that the newly established NGOs can be developed into a state of compliance by registering and recommending funding for them.

4.3.7 Theme G: Difference

The establishment of a Monitoring and Evaluation Unit in the region has made a lot of difference according to the information from senior administration officials, Social Workers and Assistant Directors provincially and regionally.

They mentioned examples such as being able to identify if there is mismanagement of funds on time, also that it is now possible for the Department to recall funds from the organization by paying back the money which has been mismanaged. Furthermore, the organizations are now submitting the required monthly documents on time and/or inform the relevant official if they cannot manage to do as expected from them.

Even though the officials in the monitoring and evaluation units have more cases each, they reported that they are able to give the necessary attention to the organization and provide all the assistance they needed as compared to the time when it was only Social Workers in the Community Planning and Development unit who were monitoring them. Both units have reported that there are fewer cases of mismanagement of funds from the NGOs due to regular trainings conducted by the Monitoring and Evaluation and Community Planning and Development Units regionally with assistance from the provincial office.

4. 4. DATA ANALYSIS

Henning (2004:128) defined data analysis as the process of resolving data into its constituent components to reveal its characteristic elements and structure. Another method of data analysis used was literature related to the topic. Qualitative data was analysed with regard to theory and practices of implementation systems of monitoring and evaluation of NGOs funded by the Department of Social Development in Ekurhuleni. The data used also comes from the research proposal, internet searches and guidelines of the roles of monitoring and evaluation document, including the communities of the regional monitoring and evaluation task team. The researcher analyzed the data manually, categorizing it based on the research questions.

The findings from the data were presented in the following process:

Step 1

Data was summarized and packaged by collating same answers into one paragraph.

Step 2

All the answers were repackaged again in order to relate and place them in accordance with the research questions.

Step 3

Data which was gathered during interviews were correlated with the observation and participation in the internal meetings between the different units, monitoring and evaluation and capacity planning and development team. This was to check the consistency of the information.

Step 4

To verify data gathered from the respondents from different units within the region and provincial offices other internal documents were analysed, such as guidelines manual, monitoring and evaluation tool for the Service Level Agreement and the Department of Social Development Strategic Plan.

Step 5

The last step was putting together answers gathered from interviews in responding to the research questions for the final results.

4.5 CONCLUSION

The choice of the research is determined by the nature of the research, purpose, challenges and information received. The researcher used qualitative methodology which provides a means through which a researcher can judge the effectiveness of particular policies, practices or innovation (Neuman, 2003). Shuttleworth (2008) regards qualitative methodology in the research design as useful for product designers who want to make a product that will sell and it is often regarded as a precursor to quantitative research. The researcher was the primary instrument of data collection and analysis; and prepared the questions for the interviews

and conducted the interviews, while at the same time directly observing the officials during internal meetings.

The findings in terms of respondents from both units, monitoring and evaluation and community planning and development seems to have mutual agreement regarding relevant information provided by the organisations. They mentioned that information is relevant in achieving their objectives as stated in the annual plans that are submitted to the Department of Social Development.

Chapter five will be dealing with the interpretation and analysis of the findings based on monitoring and evaluation, areas of improvement and factors which consist in identification of gaps that exist in the civil society organisations.

CHAPTER FIVE

INTERPRETATION AND ANALYSIS OF THE FINDINGS

5.1. MONITORING AND EVALUATION

Monitoring and evaluation is a powerful public management tool that can be used to improve the way governments and organizations achieve results. With the advent of globalization, according to Kusek and Rist (2004), there are growing pressures on governments and organizations around the world to be more responsive to the demands of internal and external stakeholders for good governance, accountability and transparency, greater development effectiveness, and delivery of tangible results. Government, citizens, the private sector, non-governmental organizations (NGOs), civil society, international organizations, and donors are among the stakeholders interested in better performance.

Kusek and Rist (2004) provided the example that it is not enough to simply implement monitoring and evaluation programmes and assume that successful implementation is equivalent to actual improvements in public funds. One must also examine outcomes and impacts. This will depend on a given organization's resource availability, access, needs and time constraints.

The establishment of the monitoring and evaluation unit in 2006 by the Department has made a lot of difference with regard to writing good reports from the information received through the new methods introduced in monitoring and evaluation of the NGOs. The respondents mentioned that Social Workers and the team of the monitoring and evaluation unit are able to identify organisations that are mismanaging government funds

earlier before more damage can be done. The communication system has also changed for the better, as reported by the respondents from both units in the Department, Community Planning and Development and Monitoring and Evaluation. This has improved the management of finances by the NGOs, as well as their reporting systems.

5.2 AREAS OF IMPROVEMENT

The areas of improvement for monitoring and evaluation in the Department of Social Development in Ekurhuleni is that roles of the Social Workers, information and senior administration officers should be clearly clarified for everyone who is working with the NGOs to know their responsibilities. It is important not to confuse the NGOs in terms of who are they supposed to report to. They should work as a team in conducting on-site visits to the NGOs in order to identify all the developmental areas together and structure a programme that will benefit the organization. The team has to work together and this can be established through frequent meetings to discuss the strategy to assist the NGOs to reach the required state of compliance, which is submission of quality reports on time. There should also be constant consultation with the NGOs to give direction. It is important for the team to read the financial statements together in order to arrive at the same conclusion.

Community Planning and Development and Monitoring and Evaluation units should also share information, both internal and external. Documents of the NGOs are to be shared among officials and a functioning human resource system that works for all should be maintained.

Lastly, training of management and board members of the NGOs should be structured and implemented together; this is to provide important information for both units. Social Workers are responsible for monitoring of the programmes in the organization while information and senior

administration officers are mainly responsible for monitoring of finances and assisting the organisations to comply with the requirements of the PFMA.

5.3 FACTORS

Ms Bathabile Dlamini, the Minister of Social Development, in her foreword derived from the Annual Performance Plan for 2011/2012 budget stated that in response to the challenges of development and service delivery as a whole, government has now shifted its planning approach towards results-based management. According to the Minister, this approach is progressive and focuses on results that improve the lives of citizens and is facilitated through the outcomes approach and performance agreements signed with the President of the country. Thus, the implementation of the strategic plan must be closely monitored, taking into account the existing legislative environment, institutional arrangements, funding and related issues. The minister is stating that the lives of citizens must be improved, which is the reason the researcher is conducting the research on monitoring and evaluation to find out whether the tools developed by government are effective or not in monitoring the use of funding allocated to the civil society.

Monitoring and Evaluation are important tools to track progress and facilitate decision-making (Sera & Beaudry, 2007). The purpose is to monitor transformation and to ensure the provision of quality, equitable social service in Ekurhuleni, and to establish effective mechanisms aimed at monitoring the impact of funded programmes. Furthermore, factors also consist of identification of gaps that exist in the civil society organisations and in the way the departments operate and to standardize work processes. Hence, there should be teamwork in the implementation of these tools to the beneficiaries by empowering and creating a sense of competence and self-reliance. Most of the officials who responded to

questions regarding relationship and communication, and this proved that these are crucial in achieving the objectives stated in relation to monitoring and evaluation purposes.

5.4 ANALYSIS OF THE RESULTS

The purpose of this chapter is to present the findings of the research gathered during the interviews held with officials from Monitoring and Evaluation and Community Planning and Development Units in the Department of Social Development, also from the internal documents reviewed with regard to monitoring and evaluation. Data was collected with the direction of the research questions as stated in chapter one of the research report, where the research attempts to establish whether NGOs are utilizing funding from the government with regard to policy on financial awards to service providers effectively. The data was gathered and analyzed in accordance with the themes tabled in chapter three.

5.5 INTERPRETATION OF THE RESULTS

Chapter 4 presented the findings of this research while the purpose of this chapter is to interpret these findings in terms of the information gained from the individual interviews of staff from the Department of Social Development regionally and provincially, in the context of the literature review. This chapter will be analyzed and interpreted according to the themes used in categorizing the research questions: purpose of the monitoring and evaluation unit, type of methods used, impact, relationship, communication, strategies and the difference made by the establishment of this unit in the Department.

This research aims at determining whether monitoring and evaluation of government funding of non-governmental organizations with regard to

policy on the financial awards to service providers is effective. The three main questions are:

- What are the factors lacking in monitoring and evaluation in Ekurhuleni? What are the trends in the monitoring and evaluation of funding of civil society?
- What are the strategies for consideration in monitoring and evaluation of funding of NPOs by the Department of Social Development?

5.5.1 Purpose of Monitoring and Evaluation & Community Planning and Development Units

The two units in the Department of Social Development have the same purpose but have different performance indicators to achieve the same objectives as stated in the Annual Performance Plan of the Department. The Monitoring and Evaluation unit's main responsibility is to monitor and evaluate the impact of funding within the NGOs and to provide information regarding the continued funding of relevance of programmes. The responsible people are information and senior administration officers. They are dealing with the management of finances in the NGOs.

The Community Planning and Development Unit comprises of the Social Workers whose responsibility is mainly to develop the NGOs to meet the minimum requirements in terms of the relevant Acts, such as the Children's Act for Early Childhood Development facilities, Older Person's Act for old age homes and service centres, and norms and standards for people with disabilities. Their main concentration is to develop and monitor the programmes in the NGOs. The two units are complementing each other to benefit the NGOs and beneficiaries.

The development of a monitoring and evaluation unit in Ekurhuleni region

was to strengthen monitoring and evaluation systems. Their purpose is further clarified as being to capacitate human resources in NGOs such as drawing up of job descriptions and contracts. They also monitor compliance and statistics. Social Workers are not specializing in finances; hence senior administration officers assist them because before the unit was established, they used to include financials in their performance.

5.5.2 Monitoring & Evaluation Methods

The officials make use of common methods of monitoring the NGOs, these can be on-site visits, monthly claim forms, progress reports analysis of statistics according to the performance indicators stipulated in the Annual Performance Plan of the Department, case audits and Development Quality Assurance (DQA).

5.5.3 Impact

The statistics and the monitoring tool used by the monitoring and evaluation unit shows that there is an impact in funding of the organization by the Department of Social Development. This is evident in the NGOs responses in their reporting. It is also noted that programmes run by the Social Workers have made a huge difference in the development of the organisations and the lives of the beneficiaries have significantly changed for the better.

5.5.4 Relationships

Officials in the Department of Social Development have developed good working relationships. Even though it was not clear what the information and senior administration officers' roles were since the duties to be performed were conducted by the Social Workers who felt threatened by

their presence.

5.5.5 Communication

Communication is done through writing letters, telephones and mostly through e-mails because it is the easiest method of communication. The e-mails are written and maintained as proof of communication to be part of the progress report. Managers are provided with cellular phones so as to be easily reached when urgent matters arise.

5.5.6 Strategies

Targets are set for the year through the Annual Performance Plan and regulations in line with that of the Minister as presented during the budget speech for the Department. Applications for funding are assessed and evaluated subsequent to an on-site visit to the organization that is applying for funds from the government. Depending on the availability of funds, funding is recommended for the organisations that have met the requirements of the Department.

5.5.7 Difference

There has been a difference seen since the establishment of the monitoring and evaluation unit in Ekurhuleni. Officials are now planning their work accordingly, Social Workers now concentrate on the development of the NGOs while the information and senior administration officers' focus is the finances of the NGOs' funding from the Department.

5.6 CONCLUSION

The themes used by the researcher, purpose of monitoring and evaluation, methods used by the Unit in monitoring, impact made in funded organisations by funds from government, working relationships among officials from both units, i.e. Senior Administration Officers and Social Workers and whether it has improved, whether open communication has developed which makes service delivery to organisations much easier to achieve, strategies in terms of setting targets for the annual performance plan are in line with that of the Minister of Social Development. Finally, the difference which has been shown by the establishment of the monitoring and evaluation unit was drawn on by the researcher in order to respond to the problem statement regarding the effectiveness of funds allocated to the organisations and the tools used by the newly established monitoring and evaluation team.

Chapter six is the last chapter of this report and it provides conclusions and recommendations based on the analysis of the findings.

CHAPTER SIX

CONCLUSIONS AND RECOMMENDATIONS

6.1 SUMMARY

The Monitoring and Evaluation Unit in the Department of Social Development was established in order to improve and strengthen the monitoring and evaluation function in the Department which had previously been conducted by Social Workers in the Community Planning and Development unit. The aim of this study was, therefore, to determine whether monitoring and evaluation of government funding of civil society organisations by the Department of Social Development with regard to policy on the financial awards is effective or not.

Management in the Department of Social Development has realized that Social Workers did not have enough training on financial matters and the monitoring and evaluation unit was established to assist the Social Workers to concentrate more on the programmes and the development of the organization. The organisations which are funded by the Department were not provided with adequate monitoring and evaluation support necessary to benefit the clients that the funding was meant for.

The roles of the Social Workers within monitoring and evaluation functions includes acknowledgement of receipt of business plans from organisations, inviting them to come for panel meetings, and assessment of those reports after on-site visits have been conducted. This will assist the Department in determining whether the organization has followed the funding criteria as set by the Department. They also have to acquire baseline data to assist in determining the impact of the service and to

demonstrate in-depth knowledge of projects in accordance with priority needs in particular. This will ensure that services are directed to the areas of greatest need.

Finally, the Social Workers have to recommend programmes that are responsive to the needs that are central to the organization's mission, and to ensure equitable distribution of resources to both new and old organisations applying for funding.

6.2 FINDINGS

The findings of this research were that monitoring and evaluation in the Department of Social Development is largely effective, with the development of the specialized unit that assesses the impact of funding provided by government in the development of civil society in Ekurhuleni region. Furthermore, the monitoring and evaluation unit cannot manage without assistance of other partners and needs to improve on the working relationship with Social Workers who are responsible for the development of NGOs (programmes) while the monitoring and evaluation unit is responsible for finances. Together they build a healthy civil society in which government is fulfilling its mandate of improving the lives of the all citizens, and specifically the residents of Ekurhuleni Region.

The findings of the research are that the role of the Senior Administration Officer is to implement the developed monitoring and evaluation tools which comprise monitoring the implementation of the outputs and objectives of all funded organisations as stipulated in the business plan. They also monitor service level agreements that were signed between the Department and board members of the organisations. It is also to provide assistance to the organisations to utilize funding according to the agreement. The findings of this research also indicated that the team should monitor and evaluate closely the impact of funding with Social

Workers and the provincial office by providing information regarding the continued funding and relevance of the programmes. Hence the research topic was to establish whether monitoring and evaluation in Ekurhuleni is really effective or not.

With the roles of the team in the monitoring and evaluation unit, it has been proven that it is effective due to the fact that one of the responsibilities of the unit is to facilitate the development of new NGOs in under-developed and under-serviced areas. This is done through redirecting services to those areas of need as identified. The policy on financial awards is implemented with service providers which leads to commitment on transformation issues that are imperative to redress the imbalances of the previous minority government. Lastly, on financial matters, the organizations together with monitoring and evaluation team prepare monthly and quarterly financial reports so as to be transparent towards the communities being served.

6.3 ANALYSIS

The main responsibility of the Monitoring and Evaluation & Community Planning and Development Units is to monitor and evaluate the impact of funding within the NGOs and to provide information regarding the continued funding and relevance of programmes. Both units have shown team work in providing services in the organisations.

The officials make use of common methods of monitoring the NGOs; these can be site visits, monthly claim forms, progress reports, or analysis of statistics according to the performance indicators stipulated in the Annual Performance Plan of the Department, even though for monthly and quarterly reports, narrative and financial, they use their different monitoring and evaluation tools developed by each unit, and relevant to the specifics required in the compliance report.

It was also shown in the statistics received from the monitoring and evaluation unit that there is an impact in funding of the organization by the Department of Social Development which is evident in the reporting by NGOs. Even though there was no clarity regarding the purpose of the development of the monitoring and evaluation unit, the relationship between the Social Workers and information and senior administration officers has improved significantly since it was realized by both teams that their responsibilities towards organisations are complementary. Communication has also become easier with more resources provided by the Department, such as computers and cellular phones.

The strategies for funding of the organizations has been accommodating to new organisations applying for funding in the Department because most of these business plans come from the disadvantaged areas. Since government also wants to reach the poorest citizens in improving their lives, strategies in funding criteria were extended to poor areas. The difference has been recognized since the establishment of the monitoring and evaluation unit in Ekurhuleni. Officials are now working smart instead of safeguarding their positions in fear of the newly established unit.

Furthermore, monitoring and evaluation tools, such as the Dependency Questionnaire (1998:DQ98), which is an assessment form used for admission to old age homes for frail persons, and support service requirements for older persons has been developed by the National Department of Social Development as one of the tools used by the Social Workers together with senior administration officers. It is effective when properly implemented in conjunction with the organizational developmental plan (ODP) as an assessment method especially, for residential facilities such as old age homes. It was important to discuss the civil society in terms of development economically (financial), socially and politically, which includes regulations and legislation. To further promote the

development of civil society, social welfare services need to accept joint responsibility with government and civil society, with government providing financial support to NGOs through subsidization.

6.4 RECOMMENDATIONS

The purpose of this chapter was to make recommendations on how to further improve on the effectiveness of monitoring and evaluation of government funding of civil society organisations by the Department of Social Development in the Ekurhuleni Region.

6.3.1 Regional Recommendations

Communication:

This is the key to a good working relationship. The Department of Social Development has imposed the regionalization process onto officials, especially the Social Workers. This means that the DSD had individual offices operating in Ekurhuleni, for example, Benoni, Springs, Nigel, Boksburg, Kempton Park and Germiston. All these were clustered together in 2006 with the Germiston office as regional head office, reporting to the provincial head office in Johannesburg. It was important for the Head of Department to communicate the changes to be implemented regionally. This is because Social Workers were not involved except when they were informed of the new team and that they were expected to work with them. This has caused a lot of tension and reluctance, whether they still had employment or not.

It is understood that change makes people uncertain of the future but if people are adequately prepared, then change is good for everyone. Officials in the Department should be allocated manageable case loads of files so as to implement the policies and legislation of the government properly. This leads to effective monitoring and evaluation of the NGOs

which improves the functioning and management of finances. There should also be clarity in terms of protocol to be followed when reporting. Information received from the provincial office is directed to the lower level officials who do not, sometimes, have the authority to action the request. Hence, the information does not reach the intended respondents and leads to miscommunication in the office between the managers and officials.

Development and Strategic Planning:

Monitoring and development should be integrated into strategic planning in terms of vision and mission of the Department, goals and objectives, and how and when the implementation is expected. This will eradicate the tendency of working in crisis mode, which happens in many cases with the Department's management and officials. The monitoring and evaluation system could then become more effective and efficient.

6.3.2 Provincial Recommendations

Communication:

This has been a major challenge at the provincial level. In this regard, it is recommended that managers in both monitoring and evaluation and auditing units should design the monitoring and evaluation communication plan around the information needs of NGOs (IFAD, 2002, pp.4-20). NGOs should receive the correct information from officials so as to implement the programmes in accordance with the agreement and the budget provided. The content and format of data reports should vary, depending on whether the reports are to be used to monitor processes or for other purposes. It is expected from the funded NGOs in order to establish whether programmes are being implemented efficiently. The reports submitted to the Department by the NGOs can also be used for conducting strategic planning for in future especially in terms of budget for more NGOs to be funded by government. Through these reports, problems can be identified

at an early stage and corrective measures applied before more damage is done.

Financial Compliance:

It is necessary to fully comply with the requirements of financing policy and the PFMA. Communication should be both ways, that is, top-down and bottom-up. Management should also report back to officials about the outcomes in respect of information received from the reports submitted by officials or NGOs.

6.3.3 National Recommendations

Capacity Building:

The lack of capacity in developing countries such as South Africa is one of the main constraints to achieving the Millennium Development Goals (Monitoring and Evaluation of Capacity and Capacity Development, 2009). According to the Public Service Commission (2006:74) National government needs to provide assistance to provincial departments to develop their capacity for monitoring and evaluation. It further proposed the development of Monitoring and Evaluation policies to ensure uniformity of purpose among government departments, and lastly to create a framework within which Monitoring and Evaluation units can be established.

According to Mr Collins Chabane, the minister in the Presidency responsible for performance, monitoring and evaluation, it is important to improve performance (SabinetLaw, 2009). He declared that the new department would strive to strengthen and stimulate the performance of government in an effort to ensure that government programmes, including those of NGOs, attain the desired goals. It is recommended that government should specify the programmes, as well as indicators, to promote more effective monitoring and evaluation. This should also be

time-bound in order to measure progress. Chabane (2009) further noted that the Department of Performance, Monitoring and Evaluation would also play a role in identifying what types of activities were needed in each sector in order to produce positive results.

Civil society should be involved in the identification of activities since the programme was developed to improve service delivery and to promote a spirit of transparency and accountability.

6.3.4 Continent-wide Recommendations

Good governance:

Good governance and lack of effective service delivery features prominently as crises of governance in Africa (Mafunisa, 2004). Democratic political and governmental institutions could play a role in reducing such social factors as high rates of illiteracy and poverty. The researcher agrees with Mafunisa (2004) that the rule of law should prevail and civil society be allowed to participate at political, social and economic levels. Good governance will be strengthened by effective and efficient monitoring and evaluation systems in the continent where civil society and governmental institutions can jointly reap positive results.

6.3.5 International Recommendations

Efforts to develop M&E systems have spread to developing countries, many having been driven by the desire to meet specific donor requirements, international development goals, or, in some cases, both external and internal social and economic pressures. Internationally, there is no single recognized industry standard for assessing the quality of a monitoring and evaluation system (International Fund for Agricultural Development (IFAD), 2002, pp.4-20). Therefore, it is recommended that the four key criteria below be considered:

Utility:

The proposed monitoring and evaluation system should be designed to serve the practical information needs of the specific country according to their demographics, budget and environment.

Feasibility:

The methods, sequences, timing and processing procedures proposed should be realistic, prudent and cost-effective according to that particular country, whether developed or developing.

Propriety:

The monitoring and evaluation activities should be conducted legally, ethically and with due regard for the welfare of those who might be affected by the results.

Accuracy:

The monitoring and evaluation outputs should reveal and convey technically adequate information to be used by other countries that might benefit from the information, especially those still considered as developing countries. Those which have already developed could potentially improve on their outputs.

A further recommendation is based on the indicators of the programme, especially those funded by the government, that they should be easy to interpret and explain, timely, cost-effective and technically feasible.

According to the SMART principle, each indicator should have validity, i.e. be able to measure the intended concept accurately and reliably through yielding the same data in repeated observations of a variable (IFAD, 2002, pp.4-20). Indicators developed by, for example, United Nations on Acquired Immuno Deficiency Syndrome (UNAIDS), the United Nations

Development Programme (UNDP) Millennium Development Goals and Demographic & Health Surveys have been used and tested extensively.

Finally, it would be appropriate to identify outlets and media channels for communicating monitoring and evaluation data, with internal and external reporting to be considered. In terms of internal reporting, progress reports to donors should be submitted as agreement has stipulated and externally, public forums, news releases, international conferences and internet websites are effective to reach a broad international audience.

6.4 CONCLUSION

The study has reached the conclusion that monitoring and evaluation of government funded civil society organisations is effective due to the fact that the manner in which an organisation conducts its business has surely improved. For example, the reporting system has shown good results in the Departments' monthly and quarterly statistics. This is shown in the programmes rendered by the organisations, which have a significant positive impact on the lives of the majority of citizens.

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