

**SITUATIONAL ANALYSIS OF THE ROLE OF DPME AND OTHER NATIONAL
AND PROVINCIAL ORGANISATIONS IN INSTITUTIONALISING EVALUATION IN
METROPOLITAN MUNICIPALITIES**

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Submitted by

CLEAR-AA
2 St Davids Place
Parktown
South Africa
Tel: +2711 717 3157
Web: <http://clear-aa.co.za/>

Submitted to:

Matodzi Amisi
Director: Evaluation
The Presidency: Department of Performance Monitoring and Evaluation
Private Bag X944
Pretoria 001, South Africa
Tel: + 27 12 312 0161
Email: Matodzi@dpme.gov.za
www.thepresidency-dpme.gov.za

Abbreviations

APC	Audit and Performance Committee
CBM	Citizen Based Monitoring
CLEAR-AA	Centre for Learning on Evaluation and Results, Anglophone Africa
COGTA	Department of Cooperative Governance and Traditional Affairs
COGTA	Cooperative Governance and Traditional Affairs
CSP	City Support Programme
DCOG	Department of Cooperative Governance
DPME	Department of Planning, Monitoring and Evaluation in the Presidency
DPSA	Department of Public Service and Administration
FSDM	Frontline Service Delivery Monitoring
FMPPI	Framework for Managing Programme Performance Information
GWM&ES	Government Wide Monitoring and Evaluation System
GWMEF	Government-Wide M&E Framework
IDP	Integrated Development Plan
IGR	Intergovernmental Relations
IUDF	Integrated Urban Development Framework
LGMIM	Local Government Management Improvement Model
LGSETA	Local Government Sector Education Training Authority
LGTAS	Local Government Turnaround Strategy
M&E	Monitoring and Evaluation
MASP	Municipal Audit Support Programme
MFIP	Municipal Finance Improvement Programme
MFMA	Municipal Finance Management
MSCOA	Municipal Standard Charts of Accounts
NCOP	National Council of Provinces
NDP	National Development Plan
NGO	Non-Governmental Organisations
OTP	Office of the Premier
PARI	Public Affairs Research Institute
PM	Performance Management
PME	Performance Monitoring and Evaluation
PMS	Performance Management System
PPC	Presidential Coordinating Council
SACN	South African Cities Network
SALGA	South African local Government Association
SCODA	South African Cities Open Data Almanac

Executive Summary

Background and purpose of the research

After 1994, South Africa made impressive inroads into the legacies of apartheid in many areas, such as providing access to potable water, health care and social grants. Nevertheless, despite high levels of expenditure on addressing these legacies, there were indications that the outcomes and impacts on communities could be improved. Community dissatisfaction with local government service delivery manifested itself in increasing levels of violent service delivery protests, often related to local government service delivery.

These pressures resulted in a greater commitment of the ruling party and government to being frank about the quality of public services and to improving government performance and outcomes. Monitoring and evaluation was increasingly adopted as one of the mechanisms for implementing this commitment. The government needed to ensure measurable results from its policies, programmes and projects, and monitoring and evaluation tools can assist in this regard.

Monitoring is well established at local government level in South Africa, through a legislated system, which requires the setting of indicators and targets and measuring, and reporting progress against these targets. However, to date there has been little consideration of monitoring as a means of collecting data to inform policy and programme evaluation.

Evaluation is the systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability. It goes beyond monitoring, in that it asks evaluative questions such as whether programmes are achieving their intended outcomes and impacts and the reasons for achievement or non-achievement. There is a large body of knowledge on evaluation methodology, which must be rigorous for outcome and impact evaluations to be useful.

Since the establishment of the Department of Planning, Monitoring and Evaluation (DPME) in 2010, the use of evaluation has increased at national and provincial level. However, DPME has not yet attempted to systematically promote evaluation at local government level. The National Evaluation System (NES), which the department has spearheaded, has not yet been extended to local government. Nevertheless, DPME has been receiving requests from municipalities for support and advice regarding institutionalising evaluations.

It is against this background that DPME has collaborated with the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA) of the University of the Witwatersrand to conduct a situational analysis of the role of DPME and other national and provincial organisations in promoting evaluation practice in the metropolitan

municipalities (metros). Part of the reason for selecting CLEAR AA for this collaboration was its recent engagement with the City of Johannesburg in conducting a readiness assessment of its M&E capacity.

The aim of the study was to determine the extent to which selected national agencies/departments that have mandates to support local government promote evaluation practice, provide support to municipalities for the institutionalisation of evaluation and engage in evaluation capacity development with municipalities. The principal national agencies involved in supporting municipalities are the Department of Cooperative Governance (DCOG, part of the Ministry of Cooperative Governance and Traditional Affairs (COGTA), National Treasury and South African Local Government Association (SALGA).

DPME aims to use the findings to identify opportunities and gaps in the existing institutional support system to metros. Further, the DPME will use the information to structure its own response to the increasing interest from metros in institutionalising evaluation.

Methodology

The situational analysis was carried out through an extensive document review, which included a review of literature, strategic documents, annual plans, periodic reports, and various pieces of legislation. This was supported by qualitative data collected through using face-to-face in-depth interviews with fourteen respondents drawn from purposively selected institutions. The institutions are national and provincial CoGTA, SALGA, the Office of the Premier (OTP) in KwaZulu-Natal, DPME, the South African Cities Network (SACN), National Treasury and the Local Government Sector Education and Training Authority (LGSETA).

Although the primary data collection was relatively limited, the document review was extensive. The findings from the document review show a degree of consistency that gives confidence of the validity of the findings and conclusions of the situational analysis.

Research findings

The functions of local government are enshrined in Section 155 (6) of the Constitution of the Republic of South Africa (Act No. 108 of 1996), which also describes the roles of national and provincial government in relation to local government. It is specified that the Department of Local Government in a province must establish its own mechanisms, processes and procedures to monitor municipalities in the province in managing their own affairs, exercising their powers and performing their functions. Further, the Municipal Systems Act (MSA) and the Municipal Finance Management Act (MFMA) mandate CoGTA and National Treasury to work directly with the metros and to support them.

The MSA and MFMA have created a system of planning at local government level, including setting performance indicators and targets (predetermined objectives), and monitoring and reporting against these targets. The Auditor General audits the accuracy of municipal reporting against predetermined objectives. Municipalities focus on quarterly and annual monitoring and reporting against the indicators in the Service Delivery and Budget Implementation Plan (SDBIP), as required by the MFMA.

The quarterly and annual reports are monitored by the Mayoral Committee as well as Section 79 Committees of Council, provincial Treasury, National Treasury and provincial COGTA. The system of reporting and monitoring against predetermined objectives at municipal level is similar to national and provincial level, which focuses on performance against targets for indicators in the Annual Performance Plan. At the municipal level, however, there is more focus on quarterly reporting and monitoring, in addition to annual reporting and monitoring, than at national and provincial level. This is due to the emphasis on quarterly targets and reporting against these in the MFMA.

The reports against predetermined objectives often do not provide sufficient data to enable programme evaluation, because the predetermined objectives in the SDBIP are usually activity and output-based, and are rarely outcome or impact-based. This is partly because it is often difficult to measure outcome or impact indicators on a quarterly or annual basis. It is therefore likely that municipalities will need to monitor additional outcome or impact indicators for evaluation purposes.

From the interviews and document reviews, it appears that none of the other bodies which support or monitor municipalities are engaged in the institutionalisation of evaluation practice in municipalities. However, several of the bodies are involved in supporting municipalities with the implementation of the regulated planning and reporting requirements described above. One respondent indicated that a reporting reform process is underway, and that there is an awareness that reporting is currently too focused on activity and output indicators, and not enough on outcome and impact indicators. There is potential for DPME to engage with this reform process from the perspective of enabling municipalities to carry out evaluations.

Conclusions

The MSA and MFMA provide guidance to municipalities regarding performance management and performance oversight, and allocate responsibilities to different government institutions for monitoring and intervention in this regard. However, the legislation does not contain any prescriptions regarding evaluation.

Institutions working with municipalities generally recognise and welcome the value of DPME facilitating evaluation practice at local government level. All institutions expressed a need for DPME to support metros with institutionalising evaluation. However, in doing this, DPME will need to work with the other national and provincial departments or institutions to avoid duplication or undermining the efforts of other

organisations. This will also ensure integration of evaluation with existing local government systems of planning and performance monitoring. The Intergovernmental Relations Framework Act provides a platform through which DPME can collaborate and cooperate with other institutions in this regard.

The study concludes that metropolitan municipalities enjoy a wide range of support from a network of state institutions. It is therefore critical that, as DPME works with municipalities to institutionalise evaluation, it works in close consultation and collaboration with the existing support programmes and initiatives, with careful consideration of the roles played by the other institutions.

Recommendations

The key recommendations are:

- a) DPME should champion and drive the evaluation agenda at metro level. This can be done within the existing legislative and regulatory frameworks.
- b) DPME staff engaging with metros should understand the legal frameworks governing municipalities and the roles and responsibilities of the various stakeholders. Any interventions by DPME will have to be consultative and collaborative, given the complex dynamics of inter-governmental relations at metro level.
- c) The Mayoral Committee and the Section 79 Committees should play important roles in the institutionalisation of evaluation in the metros. The Committees could create demand for evaluations and ensure that they are resourced. They could also provide oversight over the utilisation of findings and development and implementation of improvement plans.
- d) In expanding the National Evaluation System to the local level, the coordinating departments and agencies discussed in this situational analysis report should be consulted. DPME should endeavour to collaborate with the other stakeholders, particularly regarding the links between evaluation planning, and monitoring. (Other institutions have legislative authority over planning and monitoring and are implementing support initiatives related to these functions.)

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1. INTRODUCTION AND BACKGROUND

The Cabinet-approved Government-wide Monitoring and Evaluation System (GWMES) provides for evaluation to be used as a tool for improving policy and programme performance across the three tiers of government. Local government delivers tangible public services directly to citizens. It has been the subject of numerous interventions and support strategies over the past two decades with the aim of a “turn-around” in ineffective and inefficient service delivery. Some of the interventions included support for improving monitoring and reporting against predetermined objectives.

Monitoring and reporting against predetermined objectives is highly regulated at local government level. The national government passed the Municipal Finance Management Act and the Municipal Systems Act, which resulted in the institutionalisation of reporting against predetermined objectives with the aim of improving accountability and bureaucratic efficiency, as per the uptake of New Public Management (NPM) principles following democratization in 1994. There is now a need to also institutionalise evaluation, to further improve efficiency and to improve effectiveness, which builds from NPM to include new public governance principles.

The introduction of the Outcomes-Based Approach in 2009 at the national level of government drew attention to the importance of results and reflected governments increasing concern with improving its performance and the outcomes and impacts of its policies and programmes. Since 2009, there has also been a growing awareness within government for evaluations to be a distinct instrument in improving policymaking, planning and implementation. This resulted in DPME putting in place the National Evaluation System and National Evaluation Policy Framework in 2011. In 2012, several national departments were involved in putting the first national evaluation plan in place. More recently, provincial evaluation plans and individual departmental evaluation plans have also been put in place. However, the systematic institutionalisation of evaluation has not yet been extended to local government level.

It is against this background that DPME has collaborated with the Centre for Learning on Evaluation and Results Anglophone Africa (CLEAR-AA) at the University of the Witwatersrand to conduct a situational analysis and diagnostic assessment of the existing institutional support system for metros, in relation to evaluation. It was selected to undertake this collaboration due to its recent engagement with the City of Johannesburg readiness assessment on M&E, a perspective deemed valuable in what could be extended to other Metropolitan areas. The report will determine what the best form of support to metros on evaluation is and where this should be located.

The research also included a one-day workshop with three metropolitan municipalities to carry out a rapid assessment of their evaluation capacity. The findings of the report are closely aligned with the issues raised in the rapid assessment in Annexure 2¹.

2. STRUCTURE OF THE REPORT

The following Section 3 describes the research questions of the study and Section 4 is a description of the research methodology. Section 5 contains a literature review. Section 6 of the report provides empirical findings for each support institution with respect to where it draws its mandate to work with the metros from and the kind of support it offers to the metros. The conclusions of the study are provided in Section 7 and the recommendations are provided in Section 8. A report on the outcomes of the workshop that carried out a rapid diagnostic of evaluation capacity in the three metros is provided in Annexure 2.

3. RESEARCH QUESTIONS

The research aimed to answer the following questions:

- i. Which institutions are currently providing support to municipalities? What informs their work (legislative mandate or cooperative agreements?) What kind of support are they providing? How could DPME work within this existing system?
- ii. What institutional support mechanisms are currently being provided to metros?
- iii. Are there any legislative issues that DPME needs to consider in working with metros?

4. RESEARCH METHODOLOGY

The design adopted for the situational analysis and diagnostic assessment is that of a cross-sectional study. A mixed methods approach was used to respond to the research questions. A purposive sample was drawn up which included the National Department of Cooperative Governance in the Ministry of Cooperative Governance

¹ It must be noted that the original motivation for the CLEAR/DPME collaboration on what was entitled, “The Four Cities” Project, was to develop and test a rapid assessment tool of M&E readiness at the Metropolitan level. This was planned to target four Metro’s, including Tswane, eThekweni, Cape Town and Ekurhuleni. For a variety of reasons, some related to unresponsiveness from the Metro’s themselves, this objective did not transpire. A one day workshop where three of the four metro’s came together for a rapid assessment, drawing on DPME’s PMEAT methodology was carried out, the analysis of which forms Annexure 2.

and Traditional Affairs (CoGTA), National Treasury, Offices of the Premier (OTP), DPME, SALGA, and the South African Cities Network (SACN). The key informants were chosen based on their position within the selected institutions, as well as their knowledge and insight on the support that their institution provides to metros.

The situational analysis was mainly qualitative in nature to understand and explain the institutional support activities rendered to the metros. Diverse research methods were used to ensure reliability and validity. The main research method was document review, which was supplemented by interviews. The document review included a review of literature, strategic documents, annual plans, periodic reports, and various pieces of legislation.

To complement the document review and to test some of the gathered information, face-to-face interviews were carried out with 14 key informants from the 19th of July 2017 to the 20th of September 2017 (see Table 1 below). It is acknowledged that non-probability methods such as purposive sampling (used for this situational analysis study) are not free from bias, because institutions were selected often on grounds of convenience or based on established rapport with DPME. The strength of the in-depth interviews is that it gave rich meaningful evidence as viewed through the lens of the key informants (or the insider perspective). The interviews were flexible and allowed for probing, and this stimulated conversations which produced insights not considered initially before the start of interview. Despite this flexibility, the interview guideline provided a thematic consistency across interviews and therefore offered the basis for comparative analysis across interviews. The interviews were carried out by both DPME and CLEAR-AA.

Table 1: List of sampled institutions

Sampled Institution	Number of people in the interview	Date of Interview (2017)
SACN	1	19 July
SALGA	2	28 July
LGSETA	1	28 July
KZN OTP	1	01 August

National CoGTA	3 ²	03 August
Provincial CoGTA	3 ³	20 September
DPME	2	18 August & 31 August
National Treasury	1	15 August
Total	14	

Table 2 below is a matrix that was used to inform the in-depth face-to-face interview guideline. The matrix was constructed by utilizing the three key objectives/questions underpinning the situational analysis study. Themes from CLEAR’s six Spheres model, Gorgen’s 12 Components and DPMEs Planning, Monitoring, Evaluation, Assessment Tool (PMEAT) were utilized. An “x” in each box indicates where the model/framework or tool theme covers an objective of the situational analysis.

Table 2: Conceptual framework

Objectives	CLEAR’s 6 spheres framework						DPME’s PMEAT						Gorgen’s Components			
	Logistical	technical	Contextual	Social	Political	Value system	Enabling Environment	Organisational capacity	Planning	Data Management	Evaluation	Use of M&E Information	People	Partnerships		
	1	2	3	4	5	6	1	2	3	4	5	6	1			
1. Institutional support mechanisms	x	X	x					X			x		x			
2. Institutions providing support			x	X	x	X	X		x				x			
3. Legislative issues			x				X									

Methodological limitations

² The interview with National CoGTA constituted of 3 key informants who were interviewed as a group. For reporting purposes the interview is treated as one.

³ The interview with Provincial CoGTA constituted of 3 key informants who were interviewed as a group. For reporting purposes the interview is treated as one.

There are some methodological and logistical limitations to the research. Firstly, the sample size of the institutions, which were interviewed, is small. For instance, out of the nine provincial departments of CoGTA, only one provincial department of CoGTA (Gauteng) was interviewed. Furthermore, out of the nine Offices of the Premier, only one in KwaZulu Natal was interviewed. The views of the selected interviewed institutions or departments are not representative of the entire departments. The findings are valuable, but not conclusive.

Secondly, there was a slow response rate. During the time of fieldwork, CLEAR-AA and DPME experienced difficulties in securing interviews with sampled institutions. The study was meant to be a rapid analysis, but it took time to schedule interviews and this prolonged the fieldwork.

Thirdly, government protocol put limitations on the fieldwork. During the phase of securing interviews, communication was sent from DPME to the selected departments through emails and followed-up with telephonic calls. However, some interviews could not be secured due to approvals being required to conduct interviews. Hence, the study relied on the interview from the Office of the Premier in KwaZulu Natal.

5. LITERATURE REVIEW

5.1. Performance Management, Monitoring and Evaluation

Monitoring is a continuous function that involves the systematic collection of data on specified indicators to provide management and other stakeholders of a development intervention with indications of the extent of progress and the achievement of objectives and progress in the use of allocated funds (Kusek and Rist 2004:12). Monitoring involves collection, analyzing and reporting data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management. Monitoring aims to provide managers, decision makers, and other stakeholders with regular feedback on progress in implementation, results and early warning signs that need corrective measures. Monitoring reports on the actual progress against what was planned or expected (Presidency, GWM&ES, 2007).

Performance management is a set of self-correcting processes, grounded in real time data measuring, monitoring and analysis that an organisation uses to learn from its work and to make tactical and strategic adjustments to achieve its goals and objectives (van Dooren, Bouckaert and Halligan 2010). Performance monitoring is monitoring that can be used for performance management purposes.

Evaluation is defined as the periodic, systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues, such as relevance, performance and value for money, efficiency,

effectiveness, impact or sustainability and recommend way forward (Rossi and Freeman 1993). Evaluation also refers to the process of determining the worth or significance of an activity, policy and programme. DPME (2011:3) notes that “...monitoring asks whether the things we planned are being done right, while evaluation is asking are we doing the right things, are we effective, efficient, and providing value for money, and how can do it better”.

5.2 Public Service Reform and M&E

Government implemented a series of public sector reforms after the advent of democracy in 1994. These reforms were influenced by principles of economy, efficiency and sound financial management, driven primarily by the Public Finance Management Act (PFMA) No 29 of 1999, followed by the Municipal Finance Management Act (MFMA) No 56 of 2003. This approach put more emphasis on financial accountability and in recent years, has evolved to greater demands for demonstrating value for money through linking budgeting and planning processes.

The Municipal Systems Act (MSA) No 32 of 2000 was aimed at similarly improving efficiency and effectiveness at local government level, and included requirements for institutional performance monitoring systems in municipalities, as did the MFMA. As prescribed by the MSA, municipalities must establish a performance management system that is in line with the priorities, objectives, indicators and targets contained in their Integrated Development Plans (medium-term plans, linked to the term of office of the Council).

The MFMA requires municipalities to produce an annual Service Delivery and Budget Implementation Plan (SDBIP), which must set out what a municipality intends to achieve and provide quarterly and annual service delivery targets against performance indicators. While the MFMA indicates that the targets and indicators in the SDBIP should take account of those in the IDP, there may be some difficulties in aligning the quarterly and annual targets and indicators in the SDBIP with the longer-term targets and indicators in the IDP. This is because it may not be technically possible to measure the longer-term indicators more frequently and because different indicators may be chosen for short-term monitoring than for long-term monitoring. The Auditor General audits the accuracy and reliability of municipalities’ reports of their performance against their targets and indicators in the SDBIP. Both the Municipality’s report of its performance against the SDBIP indicators and targets and the Auditor General’s report must be published in the municipality’s annual report. Neither the MSA nor the MFMA include any requirements for evaluation. There is also no legal requirement for monitoring information to be used to inform improvements.

Through the MFMA and Systems Act, National Treasury and COGTA became the custodians of institutional performance monitoring at municipal level. Most municipalities around the country responded to the promulgation of the MSA and MFMA by establishing performance-monitoring units to address the heightened focus on statutory reporting on performance.

In 2005, Cabinet approved a memorandum on the development of the Government-Wide Monitoring and Evaluation System (GWM&ES) and subsequently approved the Government-Wide M&E Framework (GWMEF). The GWMES is a “system of systems”, which draws on existing government M&E systems. The aim of the GWM&ES was to develop a system for monitoring, evaluation, early warning, data collection & verification.

The GWMES allocated responsibility to the Presidency for the development of the evaluation component of the system and subsequently DPME developed the National Evaluation Policy Framework which was approved by Cabinet in 2011, aimed at institutionalising evaluations in government. The NEPF “provides for the development of annual and three year national and provincial evaluation plans, minimum quality standards for evaluations, and the development of improvement plans to address evaluation findings”.

The NEPF is silent on the institutionalisation of evaluation at municipal level, but the national evaluation system has since matured sufficiently for DPME to now consider the institutionalisation of evaluation in metros. The NEPF contains principles, norms and standards for evaluation, which are also applicable at municipal level. The process-oriented parts of the NEPF relating to national and provincial evaluation plans could be adapted for metros, in the form of evaluation plans approved by the Mayoral Committee. Evaluation reports and improvement plans could also be submitted to the Mayoral Committee.

The GWMES allocated responsibility for developing the Framework for Managing Programme Performance Information (FMPPI) component of the GWMES to National Treasury. As indicated above, it has put in place regulations for strategic planning and annual performance planning, as well as systems and regulations relating to in-year and annual performance reporting by national and provincial government departments. The FMPPI stresses the significance of performance information as a management tool and describes the role of performance information in planning, budgeting and reporting⁴.

Much work has been done in supporting the integration of budgeting, planning and reporting in local government in general, particularly in response to more sophisticated

⁴<http://www.treasury.gov.za/publications/guidelines/FMPI.pdf>.

requirements from the Auditor General to demonstrate such alignment in accountability documents (such as IDPs and SDBIPs). This support has come from Treasuries, Offices of the Premier as well as national and provincial Departments of Cooperative Government. This kind of support has also increasingly been offered by audit firms, which regularly support municipalities in long-term “annuity-type” contracts to improve audit outcomes.

5.3 The Focus on Results: Outcomes-Based Monitoring and Evaluation

The Outcomes-Based Approach, introduced by Cabinet in 2009, coincided with the establishment of the new Performance Monitoring and Evaluation Ministry, which began to articulate a new discourse around results-based planning and M&E. Cabinet (initially 12, now 14) approved a set of national outcomes. Outcome 9 specifically focused on the local government sphere: “*A Responsive, accountable, effective and efficient local government system*”. In addition to introducing a more systematic and integrated approach to monitoring and reporting, it allowed periodic evaluations to be carried out to inform decision-making and improve government performance.

National government has implemented several policy frameworks, support interventions and programmes over the last decade and a half to improve the performance of local government, such as Project Consolidate, Siyenza Manje and Back to Basics. Some of these reflect a move towards focusing more on outcomes and results.

The following section provides an overview of some of the key issues related to the legislative and regulatory frameworks that guide performance management, monitoring and evaluation in municipalities, which DPME would need to consider in designing the evaluation strategy for the metros.

5.4 Local Government Legislative, Regulatory and Policy Framework

Monitoring in municipalities has largely been a response to the legislative and regulatory requirements in respect of planning, budgeting and reporting. The unintended mechanistic interpretation of what is required from the planning, monitoring and reporting regulations has often reduced monitoring to a technical exercise of collecting and managing information for reporting purposes (reporting against predetermined targets for KPIs in the SDBIP), with very little utilisation of such information for reflection, learning, policy adjustment, decision-making and service delivery improvement.

One of the key challenges in local government is the burden of reporting. CLEAR’s diagnostic on M&E readiness for the City of Johannesburg (2016) provides ample evidence of this. This difficulty is partly caused by the emphasis on quarterly reporting

on performance against the targets and indicators in the SDBIP. At metro level, these quarterly reports often must be made to various structures, including Mayoral Subcommittees and section 79 Committees. Municipal human resources dedicated to monitoring are often over-extended in their responsibilities for measuring and reporting, with limited time left for evaluative thinking and learning. The COJ diagnostic revealed the degree to which staff resources spent on reporting on the SDBIP and IDPs was at the expense of being able to track the City's longer-term development plans, in this case the Joburg 2040 strategy. The indicators for tracking performance against the SDBIP and IDP were focused on activities and outputs that were not aligned to what was needed to track the progress of performance against the city's immediate and wider outcomes (CLEAR 2016).

A respondent from the Cities Support Programme (CSP), introduced by National Treasury in 2012, indicated that local government regulations and guidelines are outdated; in some cases, they create regulatory obstacles that deter the accomplishment of desired developmental outcomes. Part of the mandate of the CSP is to align the regulations and guidelines to global best practices. DPME should work together with the CSP in the relevant metros towards addressing some of the challenges related to monitoring and reporting where they affect institutionalizing evaluation.

According to Engela and Ajam (2010), the GWMES was designed to specifically focus on monitoring with the intention to progressively strengthen coordination and alignment across different sectors and spheres of government. However, this has been difficult in the context of the challenges in intergovernmental relations, powers and functions in the public service. The M&E coordination mandate has also been spread across key departments such as the DPME, National and Provincial Treasuries and the provincial and national departments of Cooperative Government and Traditional Affairs (CoGTA), in addition to sector departments (such as Human Settlements). This has resulted in a range of M&E systems that "work hard" but do not necessarily "work smart" (Engela & Ajam, 2010: 23).

National departments have wide discretion to design, organise and resource monitoring and reporting activities in their sectors, leading to diversity within spheres, sectors and departments in terms of policy, approach, concepts, frameworks and organisational arrangements for monitoring and reporting (Umlaw & Chipeto, 2015). The resultant multiplicity of data collection, monitoring and reporting activities has led to "reporting fatigue" and lost opportunities for reflection and utilisation to improve performance and decision-making. There are simply too many indicators that metros need to report on to national government, which are difficult to manage (Phillips, 2014), and there is a prevailing sense that there is no time or room for evaluation. Thus,

Dlamini and Migiro (2016:381) argue, “local government finds itself delivering too many indicators that are not in line with its budget and this creates a local government that always fails to deliver in terms of its mandate”. This point was corroborated in CLEAR’s research in the City of Johannesburg, where due to data collection for reporting being paper-based rather than digitized, the time-lags to get the relevant information for quarterly reports left little time for appropriate levels of analysis or learning on what was actually being reported (CLEAR 2016). The learning for the city from this diagnostic was a consensus in wanting to move towards outcome monitoring. This was to involve an alignment to determine what data was being collected quarterly that would be relevant for tracking longer-term outcomes as set out in the City’s strategic plan.

Against this background, it is important for DPME to approach the institutionalization of evaluation in metros in a way that allows the metros to continue to comply with the regulated reporting requirements, while creating an enabling environment for the utilization of existing sets of information rather than the creation of new ones for evaluation, as far as possible. However, where key information required for evaluation is missing, such as data on outcome and impact indicators, this will need to be put in place over time. As mentioned earlier, this does not necessarily require changes to the monitoring and reporting regulations – data required for evaluation can be collected over and above the data collected for the activity and output indicators in the SDBIP. In principle, however, the number of indicators should be kept to a minimum, due to the amount of effort required to monitor indicators accurately.

Monitoring systems provide data for evaluation, and it is therefore necessary to work towards integration and synchronisation of monitoring and evaluation. Any dysfunction in the monitoring and reporting system will have an impact on the successful implementation of an evaluation system. However, although the lack of measurement of outcome and impact indicators from the start of policies or implementation programmes makes their evaluation difficult, this has not stopped DPME from pursuing the institutionalization of evaluation at national and provincial level. There has been an ongoing engagement between DPME, National Treasury and the Auditor General regarding possible improvements to the institutional performance management system at national and provincial level and the same should happen between DPME and the relevant stakeholders at municipal level. DPME needs to work closely with other support institutions, which are focusing on improving monitoring and reporting in municipalities, to ensure that evaluation concerns are addressed as part of these improvements.

5.5 Constitutional mandates of local government

Local government derives its mandate from the Chapter 7 of the Constitution, which establishes local government as the third sphere of government with its own powers and functions. The local government sphere works in collaboration with national and provincial government. This collaboration is guided by Chapter 3 of the Constitution which prescribes the principles of cooperative governance allows the national, provincial and local government spheres to function and co-exist as ‘distinctive, interdependent and inter-related entities’.

While the three spheres of government co-exist, section 154(1) of the Constitution provides for the national and provincial governments to support and strengthen the capacity of municipalities to manage their own affairs, exercise their powers and perform their functions. Information on the state of each respective municipality is generated through monitoring and reporting.

Section 195 of the Constitution provides principles of public administration, which cover all three spheres, including that resources should be used efficiently, economically and effectively. Evaluation is a key tool for measuring and increasing effectiveness, economy and efficiency. Hence, the Constitution provides an implicit mandate for municipalities to undertake evaluations.

5.6 Municipal Systems Act (32 of 2000)

The Municipal Systems Act no. 32 was promulgated in 2000, and is the primary piece of legislation upon which municipalities base their performance monitoring and reporting systems (particularly sections 38, 39 and 41). Section 38 of this Act requires that each municipality develop a performance management system that includes:

- Setting targets monitor and review performance based on indicators linked to the IDP
- Publishing an annual report on performance for the councilors, staff, the public and other spheres of government
- Incorporating and reporting on a set of general indicators prescribed nationally by the minister responsible for local government
- Conducting an internal audit on performance before tabling the report
- Having the annual performance report audited by the Auditor-General
- Involving the community in setting indicators and targets and reviewing municipal performance.

The provisions for institutional performance management in municipalities are spelt out in more detail in the Municipal Planning and Performance Management Regulations of 2001, issued under the Municipal Systems Act.

The system decentralizes goal setting, indicator development and monitoring and requires each municipality to establish its own indicators based on its Integrated Development Plan (IDP), developed with extensive public participation.

Municipalities produce section 46 reports, and Section 47 reports by the provincial Members of Executive Councils (MECs) require a consolidated performance report of all its municipalities, each of which will have its own individual set of indicators.

Section 79 Oversight Committees of municipal councils monitor the implementation of the IDP and SDBIP. The Section 79 Committees further assess general service delivery performance in their respective portfolios and make recommendations to Council. As such, Section 79 Oversight Committees are ideal structures within which to build an understanding of the value of evaluation, as well as to build capacity for the oversight of an evaluation agenda for metros. COGTA is required to produce Section 48 reports, which are consolidated reports based on general key performance indicators.

Poor quality indicators, lack of alignment between budgets, plans and performance measures, poor data collection systems and poor alignment between various datasets are some of the challenges that are experienced in Section 46, 47 and 48 reporting. The capacity constraints that affect routine reporting will have an impact on the implementation of evaluations in the metros.

5.7 Municipal Structures Act of 1998

The Municipal Structures Act provides for the establishment of municipalities in accordance with the requirements relating to categories and types of municipality. It establishes: criteria for determining the category of municipality to be established in an area; defines the types of municipality that may be established within each category; provides for an appropriate division of functions and powers between categories of municipality; regulates the internal systems, structures and office-bearers of municipalities and provides for appropriate electoral systems. Its relevance for the DPME is in the understanding of the categorisation of the metros as per the Act, and how this categorisation affects the functions of these municipalities and their institutional arrangements.

5.8 Municipal Finance Management Act of 2003

The MFMA gives effect to the constitutional principle that considers local government as a distinctive and independent sphere that has the power to determine its own budget and policies.

Similarly, to the Municipal Systems Act, Section 72 of the MFMA requires municipalities to carry out institutional performance assessments based on the indicators and targets in the SDBIP. These performance assessments are implemented through developing reports, which indicate which targets have been achieved and which have not been achieved, and the reasons for their non-achievement.

Section 121 (4d) of the MFMA states that the annual report of a municipality or municipal entity must include an “evaluation” of the municipality’s or entity’s performance against the pre-set and agreed-upon service delivery performance goals. Although the word “evaluation” is used, it is widely interpreted as a process of reflection on performance, rather than what is understood as an evaluation in the M&E field.

As indicated earlier, the indicators in the SDBIP are usually activity and output indicators and therefore do not enable evaluations of performance in terms of outcomes and impacts. Nevertheless, the MFMA requirements for performance assessment do provide an opportunity for DPME to promote evaluation as a more thorough and in-depth means of performance assessment than that which is currently carried out.

5.9 Public Audit Act of 2004

The Public Audit Act, 25 of 2004, makes provision for the Auditor General to provide reports on the accuracy and reliability of performance information provided by municipalities. As indicated in the FMPPI (2007), “the information related to the performance against pre-determined objectives, is subject to audit in terms of section (20)(2)(c) or section (28)(1)(c) of the Public Audit Act, 2004” (FMPPI, 2007). The Auditor-General has adopted a phased-in approach to compliance with these sections and envisages expressing an opinion on the accuracy of performance information published by organs of state from 2009/10 onwards”.

This is further expanded on in the Directive on Performance Information as published in Government Gazette No. 29919 on 25 May 2007, as well as the Technical Memorandum no. 42 of 2007 by the Auditor General, which states that; “the reporting of information relating to the performance against predetermined objectives is the responsibility of management”. The Gazette indicates that the audit of performance against predetermines objectives involves “evaluating the existence, consistency,

format and quality of performance information and comparing reported performance information to relevant source documentation and conducting limited substantive procedures to ensure valid, accurate and complete performance reporting”.

The requirements of the Auditor General regarding the accuracy and reliability of performance information are stringent and have dominated the concerns of the public service in the design of monitoring and reporting systems.

5.10 The 1998 White Paper on Local Government

The notion of Developmental Local Government was put forward in the 1998 White Paper on Local Government. To address the lack of effectiveness, efficiency and accountability that was the legacy of the apartheid state at local government level, the White Paper proposed more integrated, responsive and participatory systems of governance in municipalities. This included planning in an integrated manner with high levels of participation from residents and citizens, who would in turn hold the municipality accountable for its performance (South Africa, White Paper on Local Government, 1998). The White Paper further encouraged the participation of community members in the setting of priorities and KPIs, which would allow for more accountability.

5.11 Constitution of South Africa (1996)

Section 154 of the Constitution requires national and provincial governments to supervise and support municipalities. Section 139 provides a framework for intervention where necessary at a municipal level. Data gathered from the respondents of different institutions indicates that the National Treasury, CoGTA, DPME, and OTP derive their mandate to work with municipalities from the Constitution (discussed in greater detail in the subsequent sections). The Constitution provides for the supervision of municipalities as well as the coordination of local government service delivery and administration by provinces.

5.12 The Intergovernmental Relations Act 13 of 2005

The Intergovernmental Relations Framework defines intergovernmental relations as “...relationships that arise among different governments or among organs of state from different governments in the conduct of their affairs”. The Intergovernmental Relations Framework Act (IGRFA) gives effect to the principles of cooperative government as enshrined in Chapter 3 of the Constitution by establishing mechanisms for their enactment. It further opens lines of communication between and among the three spheres of government (Kahn et al. 2011:111).

Even though many of the Intergovernmental Relations (IGR) structures exist and meet regularly, there are still problems with integration of planning and coordination of

service delivery. There is a lack of collaboration, and what is colloquially called a “silo mentality” (i.e. each sphere or department acting independently and in its own interest). In addition, the agendas of IGR structures often do not address substantive issues of integrated planning and service delivery. IGR is also often viewed as a specialised function of IGR “units” within the three spheres of government, rather than the responsibility of the whole of government.

In terms of the IGRFA, as it works with metros to institutionalise evaluation, DPME should work closely with the other national and provincial stakeholders with the aim of ensuring that the different support initiatives with municipalities are coordinated and integrated with each other as far as possible. Data gathered from the National Treasury, CoGTA, DPME, OTP and SALGA indicates that they do now work together on financial and other matters to do with metros. DPME should establish similar collaborative working relationships with these stakeholders to address any coordination and integration challenges, which may arise as evaluation is institutionalised. Where appropriate, DPME should use the IGR coordination structures, such as the Premier’s Coordinating Fora to inform other stakeholders of its work and to seek coordination and integration.

5.13 Local Government Turn-Around Strategy (LGTAS)

LGTAS, adopted in 2009, was a countrywide intervention to improve performance, monitoring, governance, and accountability. LGTAS became the primary focus of Outcome 9 in 2010, which placed an emphasis on a “Single Window of Coordination”, and an inter-governmental coordination vehicle aimed at bringing about greater cohesion in the work of government. The main aim of the LGTAS was to ensure that all municipalities deal with the root causes of poor service delivery and to restore good performance. It raised the onerous reporting burdens placed on local government as well as the limited success of numerous capacity-building and support initiatives that were provided to municipalities as a concern. The LGTAS provides a framework for local government support and clearly articulates that the national government “should establish a single point of entry for the support, monitoring and intervention in Local government” (CoGTA, 2009:35). The implication of this for DPME is that it should consult national and provincial COGTA regarding its work to institutionalize evaluation with metros and keep COGTA informed of progress.

To enable monitoring, a set of specific indicators related to priority interventions have been developed for reporting progress on quarterly basis to provinces and other

intergovernmental structures⁵. The LGTAS puts emphasis on results/outcomes, which are valuable to the government, metros and the citizens.

5.14 Integrated Urban Development Framework (IUDF)

The Integrated Urban Development Framework (IUDF) is aimed at changing the spatial patterns that are part of the apartheid legacy. It aims at creating inclusive and liveable cities and towns. It is the only document in the country that begins to map out an urbanization strategy, and as such, has become a keystone of COGTA's efforts to support local government in thinking proactively around how to manage urbanization. The South African Cities Network is the implementing agent for COGTA in supporting the mainstreaming of the IUDFs concepts and approaches into Metropolitan practice.

To promote citizen's participation at local government level, the IUDF proposes several local level initiatives that are intended to create a space where government and civil society can engage. Some of these include completing the National Framework on Participatory Governance, which encourages properly funded, citizen-led, neighbourhood planning processes as well as establishing and maintaining public participation forums at various levels. Although these proposals are good, they do not necessarily "speak to the practicalities and complexities that local and provincial governments have to manage in everyday interactions with civil society organisations and citizens" (South African Cities Report, 2016:290). Learning from good practices in terms of citizen participation could be integrated into the strategy to strengthen evaluations in these municipalities.

5.15 Back to Basics

The Back to Basics is a programme that was initiated by CoGTA to revitalise and strengthen the performance of the local government sector. By implementing Back to Basics, CoGTA envisioned improved functioning of municipalities to better serve communities by getting the basics right. Back to Basics is characterised by five pillars namely putting people and their concerns first, supporting the delivery of municipal services at the right quality and standard, promoting good governance, transparency and accountability, ensuring sound financial management and accounting and building institutional resilience and administrative capability.

Respondents from provincial CoGTA pointed out that the department has developed a set of indicators to be reported against monthly, according to the different Back to Basics pillars. An oversight system was established to create real-time monitoring

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<http://taologasetsewe.gov.za/sites/default/files/strategies/TAS%20Implementation%20Guidelines%20Final%2020%20Jan%202010.pdf>

systems for all the five pillars of Back to Basics programme. The respondents from provincial CoGTA pointed out that the department has collaborated with National Treasury on this programme. In support of the Back-to-Basics programme, National Treasury has established standards and reporting requirements. Based on these standards CoGTA identified critical areas in the work of municipalities around which appropriate performance indicators can be developed and implemented. The provincial CoGTA respondents indicated that, through the Back to Basics programme, monitoring has been strengthened by continuously cross-checking the progress of the five different pillars.

6. FINDINGS

6.1 National and Provincial Government Support to Local Government

This section commences with a discussion of the constitutional mandate for supporting local government. This is followed by findings from the in-depth interviews with senior members of selected institutions, triangulated with literature review findings.

The study found that it has proven to be difficult to have coordination among the key departments working in the metros and avoid duplication of activities as each department tries to fulfil its legislative obligations. Engela and Ajam (2010) attributed this to the 'turf battles' between departments but it also reflects the differences in views on the nature and role of state and the best approach to public sector reform.

National and provincial CoGTA

National and provincial CoGTA's mandates to monitor and support municipalities are derived from Chapters 3, 5, 6, 7 and 9 of the Constitution. Chapter 3 of the Constitution gives effect to cooperative government and intergovernmental relations. Chapter 5 of the Constitution deals with national intervention in provincial administration when a province cannot or does not fulfil its executive obligation in terms of the Constitution or legislation. Chapter 6 of the Constitution deals with provincial intervention in local government, when municipalities are unable to fulfil their executive obligation. COGTA coordinates these interventions at both national and provincial level. Chapter 7 of the Constitution provides for COGTA, through legislation, to support and strengthen the capacity of municipalities to manage their own affairs, exercise their powers and perform their functions.

The primary mandate of CoGTA is therefore to:

- i. Develop and monitor the implementation of national policy and legislation to strengthen municipalities to fulfil their constitutional responsibilities
- ii. Develop, promote and monitor mechanisms, systems and structures to enable integrated service delivery and implementation within government
- iii. Promote sustainable development by providing support to and exercising oversight over local government and initiating interventions when necessary.

CoGTA is also mandated, through the Cabinet-approved “Local Government Turn Around Strategy” (LGTAS), to support municipalities by establishing a single window and entry point for the coordination of local government support and monitoring. Furthermore, the Framework for Managing Programme Performance Information (2007:19), issued by National Treasury, indicates that CoGTA is responsible for developing and implementing a monitoring system to support municipalities.

The respondents from both national and provincial CoGTA indicated that the support of national and provincial CoGTA’s to metros or municipalities is focused on monitoring, compliance and reporting. The national CoGTA highlighted that the department was reviewing its draft local government M&E framework; however, the emphasis is mainly on monitoring and reporting. Evaluations do not feature in the draft framework.

There was agreement from national CoGTA respondents to collaborate with the DPME and include evaluation in the framework. Furthermore, the respondents from both national and provincial CoGTA highlighted that they are currently unable to assist metros with evaluations. The national CoGTA welcomed DPME to work in this space while CoGTA is building its own evaluation capacity. However, the national CoGTA emphasised that both departments should collaborate on strategically framing evaluations in metros.

The respondent from national CoGTA indicated that the main responsibility for monitoring municipalities lies with the provinces. This is clearly stated in the Municipal Systems Act of 2000, chapter 10. Furthermore, the national CoGTA indicated that municipalities have requested guidance regarding monitoring and how it can be standardised for reporting purposes. Despite capacity building on monitoring performance indicators having been provided, the provincial CoGTA indicated that metros and municipalities are still struggling with basic monitoring and reporting.

Other key initiatives focusing on improving monitoring include the COGTA M&E Framework of the Community Works Programme, which is aimed at assisting municipalities to strengthen planning and monitoring together with the stakeholders and implementing agents involved in the Community Works Programme at national,

provincial and local level. Improving the participation of citizens in these processes is a key feature of the framework. It seeks to ensure standardisation in the collection of monitoring data for improved data collation and analysis; guide results-based programme planning and reporting processes; enhance the measurement and tracking of programme performance, impact and contribute to poverty reduction; and improve programme evaluation, the drawing of lessons and utilisation of monitoring information in improving programming.

Although CoGTA is the main custodian of the programme, there are responsibilities at the provincial and local spheres of government. The provincial departments of CoGTA are responsible for monitoring of provincial and local implementing agencies, while local municipalities are responsible for the provision of resources for the effective implementation of the programme. Implementing agents consolidate monthly output reports, tracking progress towards attaining indicators and targets. It is not clear how the performance measures, data collection and reporting systems align with the other existing systems, which collect similar data from municipalities.

The COGTA M&E Framework to support Cooperative Governance outlines a process, which the national and provincial Departments of Cooperative Government should follow to monitor municipalities. To this effect, CoGTA has developed a set of general key performance indicators (KPIs) that address the reporting requirements for municipalities. Although it is called an “M&E Framework”, it is just a monitoring framework – it does not provide a framework for evaluations of municipal policies or programmes.

In summary, CoGTA has established numerous systems or processes related to the monitoring of municipalities but has not yet taken any action to institutionalise evaluation in municipalities.

National Treasury

The National and Provincial Treasuries derive their mandate to work with local government from Sections 215 and 216 of the Constitution. National and provincial Treasuries are also mandated to monitor financial management (including budgeting, expenditure, and reporting against predetermined objectives) of municipalities in terms of the MFMA (see sections 5, 17(3) and 72). Section 121 of the MFMA states that the annual report of a municipality or municipal entity must include an assessment of the municipality’s or entity’s performance against the pre-set and agreed-upon service delivery performance goals.

The focus of National Treasury is on monitoring of public sector financial management and accountability as mandated by the Constitution. National Treasury has policies,

frameworks, procedures and institutional mechanisms to enable the execution of this function.

DPME already works with National Treasury on the evaluation of National Programmes and using the evaluation findings in the national budget process. National Treasury is one of the central strategic departments that DPME could work with to institutionalise evaluation in metros.

The Cities Support Programme (CSP)

Recognising the contributions that cities make to the national economy, National Treasury established the City Support Programme to strengthen the performance of cities. The CSP undertakes several activities at the city (metro) level. These activities include leadership development and technical support to metros to build leadership and technical capabilities for better spatial and land use planning, budgeting and management of city finances as well as to identify and implement catalytic projects.

The respondent from National Treasury indicated that the CSP programme is a demand-driven programme that covers a range of support mechanisms to metropolitan municipalities and the broader intergovernmental environment. National Treasury works in close consultation with the national Departments of Human Settlements, Transport, Cooperative Governance, Water and Environmental Affairs, and Energy, as well as Statistics South Africa around performance monitoring and measurement. The CSP is implemented within the broader framework of Outcome 9 of the outcomes framework of government, which aims to reverse under-development and unleash the potential of cities to drive economic growth. Moreover, the CSP was said to be informed by international benchmarks for improving city performance.

Of relevance to this situational analysis, the CSP provides technical support to metros regarding monitoring and reporting. The respondent from National Treasury indicated that the municipal results chain is congested with monitoring (at input, activity and output level); and that there are no indicators at outcome and impact level.

The CSP is hinged on four strategic pillars: governance and planning, human settlements management, public transport and climate resilience (To achieve the four strategic pillars, technical assistance is designed to strengthen municipal capacity and performance. For instance, the core city governance pillar has the sub-components of leadership and planning and reporting reforms. The leadership component imparts technical knowledge on selected topics relevant to the CSP. The participants apply their learning on projects or programmes in their respective metros and share their learning with other metros (peer-to-peer learning). Through collaboration between the CSP and DPME, this component could be used as a stream to support evidence-based programming, including evaluations.

The sub-component of planning and reporting reforms is pertinent too. The reporting reforms cover three primary areas i.e. a review of current practice, definition of principles and a conceptual framework, and the definition of draft indicators and reporting model. Currently, there is a strategic review of spatial planning frameworks, which include an assessment of the current planning regulatory environment in terms of costs imposed on the state and on the private sector.

National Treasury is currently driving a local government financial and budgeting reform process. The primary objectives of the reform process are to strengthen the links between transparency and accountability, promote 'good practice' in municipal financial reporting, ensure information is available and promote improved service delivery

Offices of the Premier (OTP)

The mandate of the OTP is embodied in the Constitution, Public Service Act, Intergovernmental Relations Framework Act, and other statutory provisions. The Constitution establishes the nine provinces of South Africa and defines the powers and structure of the provincial governments. In addition, Sections 154 (1), 155 (6) and (7) of the Constitution provide for the supervision, monitoring and support of local government by provinces. Since its establishment, DPME has worked closely with the OTP to promote both monitoring and evaluation in provincial departments.

DPME has developed Good Practice Guides that outline the role of Offices of the Premier in relation to M&E. According to DPME Guideline 3.1.6 (Functions and Institutional Structures of M&E units in the Offices of the Premier, 2012), Offices of the Premier should:

- i. ensure that the provincial priorities, the national outcomes, and the IDPs at local government are all aligned and integrated, and can be monitored and reported upon;
- ii. work with the Provincial Department of Local Government to ensure that local government IDPs are aligned with Delivery Agreements between the National Ministers and provincial MECs;
- iii. facilitate the monitoring and verification of local level data on performance via front-line service delivery monitoring and inspections;
- iv. work collaboratively with other transversal provincial and national departments in carrying out its M&E function as well as providing support to local government. The OTP should work with its internal and external stakeholders to ensure that duplication of reporting is minimized.

DPME (2013b) indicates that the OTP is responsible for coordinating M&E policies and practices in the provincial administration through developing a province-wide M&E

framework and implementation plan. A further function of the OTP is to produce M&E plans and to ensure that these plans encompass the priorities of the Provincial Growth and Development Strategy. This was confirmed in the interview with the KZN OTP. The OTP in KZN provides supervision, monitoring and support to local governments in its jurisdiction, particularly to the eThekweni Metro and other municipalities. This includes technical guidance and support to municipalities in building and implementing their monitoring and reporting systems, as well as monitoring the performance of individual departments at the local level. The OTP's focus on municipal monitoring and reporting responsibilities with no attention yet being given to evaluation of outcomes and impact of policies and programmes (Presidency, 2008:24).

Additionally, the respondent indicated that the OTP M&E Unit works with the provincial Department of Local Government to ensure that local government Integrated Development Plans are aligned with Delivery Agreements between the National Ministries and provincial MECs. During the interview, the respondent indicated that the OTP is generally fulfilling its Constitutional mandate as reflected in sections 154 (1), 155 (6) and (7).

The OTP facilitates monitoring and verification of local level data on performance via front-line service delivery monitoring and inspections. This is consistent with the functions and responsibilities of OTP indicated in government documents.

The KZN OTP indicated that they have not provided technical assistance to municipalities with respect to conducting evaluations. The main reason given for this is a lack of evaluation expertise within the OTP.

Some interviewees from the OTP and CoGTA at provincial and national level pointed out potential conflict between OTP's and CoGTA's. CoGTA interviewees indicated that CoGTA's mandate is to supervise and monitor the metros/municipalities. The OTP was viewed as political, with its mandate including both provincial departments and municipalities. The DPME has tended to work with OTPs. This was criticized openly in the interviews, particularly with provincial CoGTA. However, to date DPME's focus has only been on provincial departments, not on municipalities. It has therefore been correct for DPME to focus on the OTP's about provincial departments, because the OTP plays a similar role at provincial level to the Presidency and DPME at national level. However, the respondents are correct to point out that, as DPME starts to work with metros, it must work in consultation with the provincial COGTA's.

Respondents also referred to the importance of linking planning systems and M&E. The OTP in KZN highlighted the existence of good planning in the province, however,

the respondent acknowledged that the planning has not included planning of evaluations of programmes and projects.

The Presidency (2008:24) indicates that planning processes do not provide a sufficiently rigorous platform for effective monitoring. Challenges are experienced with the articulation of the IDP's and SDBIP's of municipalities and the Provincial Growth and Development Strategies of provinces, which makes monitoring against these plans challenging. There is misalignment between the provincial and local government planning and implementation.

However, these challenges do not mean that evaluation cannot be introduced at local government level. Similar challenges exist with planning at national and provincial level – the articulation of the strategic plans and annual performance plans of national and provincial departments is also often weak. There is also sometimes misalignment between national and provincial planning and implementation.

Notwithstanding these challenges with planning and monitoring, DPME has been able to successfully institutionalise evaluation at national level and to some extent at provincial level. When moving to work with metros, DPME needs to be aware of these challenges as they proceed with evaluations, find ways to work around them, and continuously engage with other stakeholders to highlight the challenges and work towards addressing them, as it has been doing at national level.

Department of Planning Monitoring and Evaluation

The DPME was established in 2009/10 to provide oversight of the Government Wide Monitoring and Evaluation System. As highlighted earlier, to date DPME has been directly involved in the institutionalisation of evaluation at national and provincial level, but has had limited involvement with local government about evaluation.

Respondents indicated that the mandate of DPME is driven from section 85 (1) and (2) of the Constitution. These sections provide for the President to exercise executive authority, together with the other members of the Cabinet, by:

- i. Implementing national legislation except where the Constitution or an Act of Parliament provides otherwise;
- ii. Developing and implementing national policy;
- iii. Co-ordinating the functions of state departments and administrations;
- iv. Preparing and initiating legislation; and
- v. Performing any other executive function provided for in the Constitution or in national legislation.

This means that DPME can play a coordinating role, on behalf of the President and Cabinet. Furthermore, the respondents indicated that the Presidential State of the

Nation Address of 2010/11, the Cabinet-approved Policy Framework for Monitoring and Evaluation: Our Approach, the Intergovernmental Relations Framework Act, the Cabinet-approved GWM&ES and the Presidential Coordinating Council (PPC) all provide mandates to the DPME to carry out certain functions. The findings of this study with reference to mandate of the DPME agree with Stolyarenko (2014:6) who argues that the sections of the Constitution relating to the executive powers of the President are the grounds on which DPME was established and mandated.

However, unlike COGTA and National Treasury, DPME is not mandated by legislation beyond the Constitution to work directly with local government. Nevertheless, this does not mean that DPME cannot do so. There are many government departments, which perform their functions based on mandates from the President or Cabinet, without legislative mandates. For example, the departments of Small Business Development and Rural Development do not have legislative mandates for parts of their work. Nevertheless, DPME needs to be careful to implement its mandate to promote evaluation across government in such a way that it does not contravene, undermine or duplicate any of the legislated roles of CoGTA and National Treasury.

There are many other national and provincial departments that have a role to play in the work of local government. This includes the Departments of Water Affairs and Sanitation (for the municipal water and sanitation function), Health (for municipal clinics), Human Settlements (for municipal housing), Rural Development and Land Reform; and Environmental Affairs (for landfill, waste management and other municipal functions). DPME needs to be sensitive to this as it works with metros on evaluation. Where evaluations relate to the functional areas of responsibility of such departments, DPME and the metro should consult with them and invite them to join the evaluation steering committees.

Respondents from SALGA and OTP in KwaZulu Natal highlighted that a top-down approach will not enhance DPME's work in the municipalities and that DPME should embrace a bottom-up approach to M&E. A bottom-up approach is a process where the participation of the lower level institutions (in this case, municipality) informs the upper level of their needs and negotiates on what best suits their needs. A potential problem may arise if DPME performs a 'big brother function' instead of facilitating developmental outcomes. This is expressed in the following words:

I would say DPME should have an approach that creates rapport, for instance how would they help cities and metros to achieve the IDP, that process needs a joint sitting and look at what needs to be prioritised in terms of evaluations...in other words DPME needs a participatory approach.

There was a general assertion among the respondents across various central government agencies that DPME, unlike the Department of Public Service and Administration (DPSA), OTP and CoGTA, can drive an evaluation agenda in municipalities. This is based on DPME's success in institutionalising evaluation at national and provincial government level. Although DPME is best suited to drive the institutionalization of evaluation in the metros, there was a general assertion that DPME does not have enough human resources to take responsibility for the capacity building dimensions associated with the implementation of this agenda. There was a view that, for DPME to be relevant in the municipalities there is need for readily available efficient and effective in-house evaluation expertise rather than relying on outsourcing work to consultants. There was a preference for taking municipalities on a learning curve to be self-sufficient with respect to evaluation.

The national and provincial CoGTA respondents indicated that they are currently unable to assist municipalities with evaluations and that they think that DPME seems to have a good appetite to help municipalities. They had an expectation that DPME would work directly with metros to institutionalize evaluation. National and provincial CoGTA's welcomed collaboration with DPME in supporting evaluations at the metro level, such as how to strategically frame evaluations.

However, a minority of respondents had a different perspective. One key respondent asserted:

The department is not necessary, what is it that DPME can do that is not happening currently? The question is what authority does DPME carry over other departments? The DPME is located in the Presidency and may potentially bring bias...how does it strike a balance between what the department [DPME] does and what the political party [ANC] does and they should be prepared to face strong resistance especially in the municipalities governed by opposition.

Although the above sentiment is not dominant in the findings gathered for this study, it is important for DPME to be aware of such views. In practice, evaluation has not been politicised in South Africa – all the major political parties have generally held a positive view of the role DPME has played. For instance, DPME has worked well with the Western Cape Province, which has been governed by a different party to that in power at national level. There is little evidence to date that opposition parties view evaluation as an ANC initiative, as opposed to a positive public service reform initiative.

DPME has been implementing several monitoring programmes in municipalities, including the Local Government Management Improvement Model and the Frontline Service Delivery Monitoring Programme. These programmes are introduced below.

The programmes focus on assisting municipalities to monitor service delivery or management practices and to use the monitoring information to inform improvements. The programmes do not include evaluations as described in the National Evaluation Policy Framework. The institutionalization of evaluation in metros will not in any way contradict or duplicate these programmes, rather it will complement them.

Local Government Management Improvement Model (LGMIM)

DPME has been assessing the quality of management practices in municipalities (not including metros) using the LGMIM. A respondent from DPME explained that the LGMIM was aimed at providing an analytical framework for the municipal leadership to reflect on organizational approaches to improve the quality of service delivery and productivity. The respondent highlighted that the LGMIM is used to measure the institutional performance of municipalities in a holistic manner. LGMIM is not a replication of the monitoring tools used by sector departments, but it is an analytical framework to assess municipal management against a set of indicators.

Through the LGMIM, DPME monitors management practices of municipalities with the aim of assisting municipalities to identify areas, which need significant improvement, and to implement improvement measures. From the DPME respondent's point of view, improved management practices can lead to improved service delivery.

To ensure that the LGMIM becomes a learning platform, DPME provides scorecards with moderated scores to provincial CoGTA and municipalities. The information generated from the LGMIM tool assists transversal departments to target the support they can provide to municipalities. DPME provides reports to the Outcome 9 Implementation Forum on the outcomes of LGMIM.

The LGMIM does not include evaluation amongst the management practices that it assesses. The institutionalization of evaluation at the Metro level will complement LGMIM and not in any way duplicate, undermine or contradict it.

Citizen Based Monitoring

DPME has also been implementing citizen based monitoring (CBM) at provincial and municipal level. CBM focuses on the experiences of citizens in relation to government performance, to improve public accountability and service delivery. The approach emphasizes the building of capacity, of both citizens and officials at the point where services are delivered to (i) monitor how citizens experience service delivery, (ii) analyse this feedback, (iii) take actions for improvements and (iv) communicate to all stakeholders. The involvement of citizen participation in local government is an important aspect of democracy, accountability and transparency. The information gathered from the citizen's views about service delivery is crucial for planning,

decision-making, policy adjustment and programmes to influence outcomes. The CBM is a paradigm shift in that its focus is on building local level accountability through monitoring information. According to Ijeoma (2014). CBM is not designed to replace, but rather enhance government existing monitoring systems. The citizen's experiences are critical in measuring the performance of the government and delivery of quality service delivery.

The CBM does not involve in depth evaluation as described in the National Evaluation Policy Framework. However, there may be scope for some of the techniques developed and data collected under the CBM programme to be utilized in evaluations relating to service delivery at the Metro level. DPME should explore the potential links for this data utilization in the support it provides to Metro's for institutionalizing evaluations.

Frontline Service Delivery Monitoring

DPME has also been implementing Frontline Service Delivery Monitoring (FSDM), which involves visibly monitoring service delivery on the ground. The process of FSDM includes unannounced facility monitoring visits and monitoring the quality of service delivery at selected service facilities with the purpose of improving service delivery. The findings are tabulated on a scorecard for each facility monitored and presented to relevant sector departments and Cabinet at least once a year. The DPME and OTP work together to ensure that corrective action is undertaken where results are found to be poor through improvement plans. The FSDM programme has included monitoring of some municipal facilities, such as driving license centres.

LGSETA

The LGSETA is mandated to provide learning programmes in municipalities. The mandate is driven from the Skills Development Act, 97 of 1998. Section 9 stipulates that the Minister may in the prescribed manner, establish a sector education and training authority with a constitution for any national economic sector. The National Qualifications Framework (NQF) supports this Act.

The LGSETA responds to the skills development needs arising from the Sector Skills Plan (SSP) through strategic focus areas. The LGSETA implements various skills development interventions aimed at assisting local government employees, ward councillors, the unemployed and traditional leaders.

The vehicle to achieve this is through providing skills programmes in municipalities through a discretionary grant, which is used to address the skills needs as set out in LGSETA's sector skills plan and the Annual Performance Plan (APP). Municipalities

provide LGSETA with information on skills programmes (learning interventions) that are needed and LGSETA appoints an accredited training service provider.

The respondent indicated that the learning programmes provided by the LGSETA are numerous. These include learnerships for employed and unemployed learners, apprenticeships, work integrated learning (TVET and higher education and training qualifications), internships for unemployed learners and adult education and training. It is the municipality's responsibility to identify a skills gap, hence these interventions are not uniform across all municipalities.

The LGSETA respondent indicated that there is no M&E programme among the programmes that the LGSETA is currently offering. Perhaps DPME could collaborate with the LGSETA to develop an evaluation curriculum. However, the demand for courses in evaluation would need to be driven by municipalities themselves, through formally informing the LGSETA of the skills gaps related to evaluation.

The South Africa Local Government Association (SALGA)

Sections 76, 154 and 163 of the Constitution provide for organised local government to represent municipalities in the intergovernmental and cooperative governance system, and to participate in the National Council of Provinces and the IGR system more generally. In addition to the Constitution, several different pieces of legislation support SALGA to fulfil its mandate (see Table 3).

In terms of the above mandates, SALGA thus has a clear strategic role to play. As well as representing the interests of local government within the system of government, it also supports its members to fulfil their developmental obligations (SALGA, 2017). SALGA is expected to be an active member in the IGR system and to contribute to policy development. DPME should therefore consult with SALGA and endeavour to collaborate with SALGA as it works to institutionalise evaluation in the metros.

The respondents from SALGA outlined its role in capacity building across various functions of local government. Areas of support include water and sanitation and infrastructure provision more broadly as well as municipal finance, such as through audit support. It also plays a very strong role in consultation on legislation and policy with national government on behalf of municipalities and engages in collective bargaining with employee representatives on behalf of municipalities.

The respondents also indicated that SALGA monitors, coordinates, implements and reviews the spatial planning and land use management system in municipalities. This is informed by the Spatial Planning and Land Use Management Act (SPLUMA), Act 16 of 2013. They indicated that SALGA does not provide monitoring or evaluation capacity development support in the metros or in other municipalities.

Table 3: Legislation guiding SALGA in supporting municipalities

Legislative Mandate	Description of the Mandate
I. Organised Local Government (1997)	<ul style="list-style-type: none"> The Act made provision for the recognition of a national association and provincial associations and the established procedures by which organised local government may nominate representatives of the National Council of Provinces, Financial and Fiscal Commission and consult with the national and provincial spheres of government
II. Municipal Structures Act (2000)	<ul style="list-style-type: none"> For the purposes of effective cooperative government, organised local government must: <ol style="list-style-type: none"> I. Develop common approaches for local government as a distinct sphere of government, II. Enhance co-operation, mutual assistance and sharing of resources among municipalities and III. Facilitate co-operative government and IGR,
III. Municipal System Act (1998)	<ul style="list-style-type: none"> Makes specific provision that organised local government must be consulted.
IV. Inter-governmental Relations Framework Act (2005)	<ul style="list-style-type: none"> Makes specific provision for representation of organised local

government on all national and provincial IGR structures

Source: SALGA 2017

In summary, SALGA respondents indicated that SALGA does not provide monitoring or evaluation capacity development in metros or municipalities but that it does provide monitoring support functions that are specific to tracking compliance with SPLUMA.

South African Cities Network (SACN)

The SACN is an established learning network of South African cities and partners that encourages the exchange of information, experience and best practices on urban development and city management. The data collected from the SACN indicates that there is no legislative framework that mandates SACN to provide support to municipalities.

The SACN focuses on the productive city, inclusive city, well-governed city, sustainable city and city development strategy. The SACN encourages learning and the use of research evidence in decisions being made by metros.

The SACN produces a 5-year perspective report made up of evidence indicating the progress made by the metros. The report comprises the development roles, targets and outcomes, challenges and opportunities facing metros and knowledge sharing in relation to planning, development and management of metros and municipalities. SACN uses research to collect empirical evidence that informs the report. The report enhances the ability of decision-makers to learn from the experience of others and efficiently use their resources to build sustainable cities. In effect, the SACN is involved in monitoring city development and service delivery performance against international development targets such as the Sustainable Development Goals (SDGs), National Urban Development Priorities and local benchmarks defined through IDPs.

The SACN has primary platforms for peer learning and exchange, which are called reference groups. These groups are composed of practitioners with same areas of common interest and significant expertise. The groups come together to improve their practice and address key emerging challenges and opportunities. The urban indicators reference group (UIRG) was established to serve as a platform for peer-to-peer learning and knowledge sharing amongst practitioners from SACN member cities and other key role players on urban indicators. The UIRG creates a platform where key role players engage collectively on urban data and indicator issues as well as what is important for cities to measure and report on.

DPME should consider requesting the SACN to use the UIRG as a platform to discuss the institutionalization of evaluation in metros. The group is a useful platform for identifying core output, outcome and impact indicators for metros, which will be informed by relevant and quality data.

The SACN respondent further indicated that there is a major challenge of poor data quality for monitoring municipal performance. To address this challenge, the South African Cities Open Data Almanac or SCODA was established. This is an online city-centric data portal aiming to support planning, management, monitoring, and reporting needs of municipalities. The SCODA is composed of five key themes namely productive cities, inclusive cities, sustainable cities, well-governed cities and city demographics.

6.2 Resource availability in institutions providing support in municipalities

The existence of resources in national and provincial departments is crucial for effective support to the metros. The study investigated the existence of M&E units, evaluation budgets and evaluation expertise with the selected institutions. It was found that, in general, there is expertise in relation to other skills, such as financial management, auditing, and research and performance management, but little or no expertise in evaluation across all the support institutions.

The Gauteng provincial CoGTA respondents indicated that they have an M&E Unit referred to as Municipal Performance Monitoring and Evaluation, but the unit is under-resourced in terms of staffing. A variety of skills is available, which are related to performance management and financial management. However, the respondents indicated that provincial CoGTA has a shortage of evaluation expertise.

Kusek and Rist (2002) define the minimum capacity requirement for results-based M&E systems as the ability to define and implement indicators; constructing baselines and collecting, analyzing and reporting performance data relative to the indicators; and communicating and reacting to M&E findings. The respondents indicated that monitoring skills are abundantly available, but they do not have evaluation experts who can develop or have knowledge of theories of change, results chain/logic models, conducting evaluations and evaluation training.

Despite the lack of evaluation expertise, CoGTA respondents indicated that they conduct reviews and assessments to inform their decision and policy-making. The respondents seemed to equate performance reviews and assessments with evaluations.

Although the provincial department has started having some discussions about the need for evaluations, there have not yet been any evaluation activities. The

respondents expressed an openness to collaborate with DPME to establish internal capacity and to support metros to carry out evaluations.

The respondents indicated that CoGTA does not only measure performance, but also strives to have municipalities take practical steps towards improving performance. The Local Government Turnaround Strategy requires municipalities to reflect on their own performance and design turnaround strategies, which contribute to a developmental local government (Mofolo, 2012).

The SACN respondent indicated that the SACN mandate is not framed with the sole purpose of providing M&E capacity development support to metros or municipalities. The respondent indicated that there are no M&E capacity building initiatives to increase the M&E knowledge base of SACN staff. SACN focuses on the exchange of information and best practices on urban development and city management. The respondent acknowledged the value of M&E in service delivery, accountability and transparency in the metros and municipalities. The respondent indicated that the SACN will establish an M&E Unit in future. This will be for their own internal purposes and not for providing any sort of M&E capacity building to municipalities.

The SALGA respondents indicated that SALGA does not currently have expertise to capacitate the municipalities in M&E. The respondents indicated that SALGA is in the process of establishing a Research, Monitoring and Evaluation Unit/Division. It was not clear from the respondents if the unit would start to provide M&E capacity development to municipalities or would concentrate on SALGA's internal M&E matters.

The LGSETA respondent indicated that it has an M&E Unit with monitoring expertise, which focuses on internal monitoring matters. If the LGSETA were to fund or facilitate training programmes in evaluation in future, it would appoint specialist-training providers to do this, as it does for the other specialist courses, which it funds or facilitates.

The OTP in KZN has an M&E unit but there is a shortage of evaluation expertise. The respondent revealed that this skills shortfall has contributed to challenges in developing a provincial M&E framework. Evaluation expertise would be needed to help build the capacity of municipalities to improve their monitoring practice, carry out evaluations and build linkages between planning and M&E. The OTP respondent highlighted that the skills to link in planning is often lacking within OTP's M&E Units.

The above findings with respect to M&E capacity/expertise in the support institutions are consistent with the findings in the literature. A DPME study (2013) concluded that 60% of the personnel in provincial and national departments lack the right competencies to implement M&E and need support to implement and use M&E effectively. Furthermore, the study found that:

“The setting up and maintenance of appropriate M&E data systems is fundamental to conduct effective M&E. There are distinct skills gaps within government departments with respect to information and knowledge management ... Within this skills cluster is the particular skills gap in relation to data management and analysis” (DPME, 2013b: 13).

The Generic Framework on the Monitoring & Evaluation Components in Provincial Government Departments, one of the guidelines for M&E produced by DPME (2012), highlighted the highly specialised nature of evaluation, which requires highly skilled experts who can use sophisticated evaluation methodologies, and apply these to policies, plans, programmes, projects and organisations. To carry out evaluations, municipalities do not need to have officials with these skills, but they need to have officials with an appreciation of the level of skills required for evaluation and with the ability to draw up terms of reference for evaluations and to manage evaluation service providers effectively.

6.3 The relationship between monitoring, reporting and evaluation

There is no legal requirement for performance indicators to be chosen such that they can be used to inform evaluations. Due to the short-term nature of SDBIP's, municipalities usually choose to monitor activity and output indicators, which can be measured on a quarterly or annual basis. Outcome or impact indicators, which are required for evaluation, are not usually included in annual SDBIPs. The reasons for this are that changes in outcome and impact indicators are often not measurable over short time frames (quarterly or annually), and that outcome and impact targets are harder to achieve than activity or output targets.

Thus, if municipalities are going to carry out evaluations, they may need to formulate and monitor additional outcome or impact indicators for the programmes or policies to be evaluated. These could be over and above the indicators in their SDBIPs, and there is nothing stopping them from doing this from a legal perspective. Alternatively, municipalities could include outcome and impact indicators in their IDPs and SDBIPs, even if they are measured less frequently. However, the latter option might require changes to the way in which IDP and SDBIP indicators and targets are formulated and audited.

Changes to the established monitoring practices in municipalities do not necessarily need to be made before evaluation practices are introduced. The introduction of evaluation practices will inform changes to monitoring practices and should inform the municipal monitoring and reporting reform process, which is currently under way, led by COGTA and National Treasury. As DPME promotes evaluation practices in the

metros, it should therefore liaise closely with all the stakeholders which are currently working with municipalities regarding municipal monitoring and reporting practices, including COGTA, National Treasury, the Cities Network and SALGA, to ensure that the evaluation perspective is included in the reform process.

The same challenges are present at national and provincial level. National Treasury has a legislated mandate to regulate strategic plans and annual performance plans produced by national and provincial departments, including the setting of indicators and targets in those plans. National and provincial departments also tend to focus on measuring and reporting on short-term activity and output indicators and targets in their annual performance plans. The Auditor General focuses on auditing performance against these predetermined objectives because they are the ones, which go into the annual report. (Most departments pay little attention to the longer-term indicators and targets in their five-year strategic plans, and the Auditor General does not audit reported performance against them.)

In addition, the indicators in both the annual performance plans and the SDBIPs tend to be based on budget programmes rather than implementation programmes. Many national and provincial departments and municipalities have not identified and measured appropriate performance indicators for their implementation programmes, which would often be the subject of evaluation. (According to DPME (2013a), implementation programmes “have coherent programmes of work, which may cross sections of a department and departments (eg Expanded Public Works Programme, Integrated Nutrition Programme, Business Process Outsourcing Incentive Scheme). According to National Treasury (2010), “A budget “programme” is a main division within a department’s budget that funds a clearly defined set of objectives based on the services or functions within the department’s constitutional and legislative mandates. It also constitutes a management unit established within a department responsible for the delivery of that defined set of services and functions.”

6.4 Summary of key findings

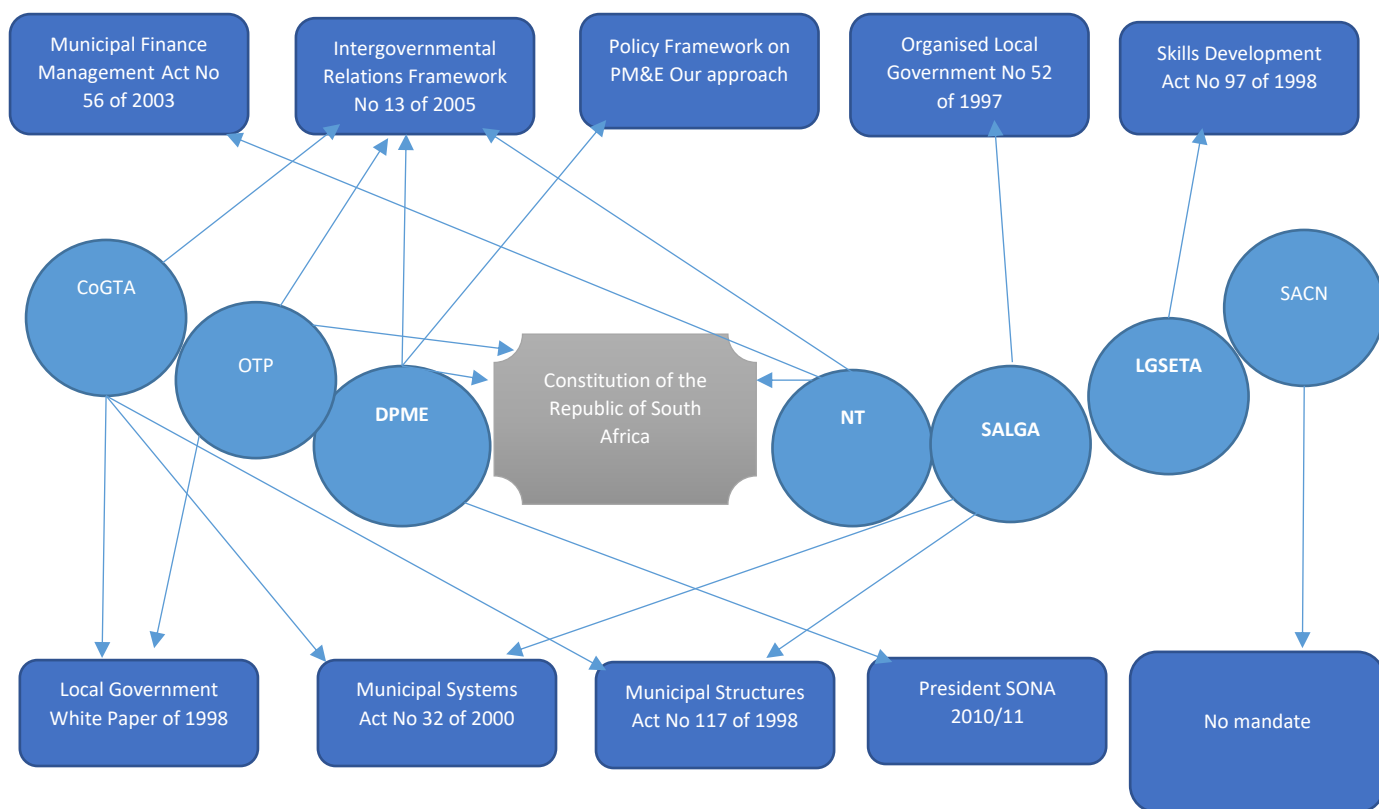
Figure 1 below and Annexure 1 provide graphic summaries of the different sources of mandates for the support institutions in form of legislation and policies. Most of the policies and regulations focus on reporting and monitoring against predetermined objectives, and not on evaluation.

DPME will have to work within these parameters because the parameters are set by other national departments with legal mandates to do so. Nevertheless, the frameworks do not prevent DPME from promoting evaluation within the metros. It is possible for DPME to initiate evaluation in the context of the existing systems, without

making any changes to the existing regulatory frameworks, as it has done at national and provincial level. The National Evaluation Policy Framework provides an adequate policy framework in this regard.

These findings are aligned with observations in the existing literature that M&E systems in South Africa generally focus on the monitoring aspect (Goldman & Porter 2013) more than the evaluation aspect. Generally, the support institutions focus on providing support related to monitoring performance indicators, such as the SCODA and the refinement of indicators by the SACN.

Figure 1: Sources of mandates for different support institutions



Source: Fieldwork, July-September, 2017

7. CONCLUSIONS

This situational analysis with respect to the institutionalization of evaluation in the metros indicates that none of the institutions is providing evaluation support to metros. Thus, if DPME works with metros to institutionalize evaluation, it will not be duplicating, undermining or contradicting the work of any of the other institutions.

An institutional performance management system is well established in the entire government at all three spheres of government. The system is legislated and is based on detailed monitoring and reporting. However, municipalities, including metros, are still struggling with implementing the monitoring and reporting system well. Being implemented to address the monitoring and reporting challenges, for instance several interventions already through the City Support Programme.

The local government system is complicated, and yet well established. There is general support from national and provincial government departments and other key stakeholders to improve local government. Some of the support institutions have developed systems to encourage evidence-informed decision-making at the local government level.

To date, the focus has been on institutionalising monitoring and reporting at local government level. There has not yet been any substantial focus on institutionalising evaluation. There is insufficient evaluation expertise in the support institutions to build evaluation capacity in the metros, and the support institutions do not see this as their role. There is also generally a lack of appreciation of how monitoring supports evaluation or how evaluation learning can strengthen monitoring.

The support institutions do not object to DPME working with metros to institutionalise evaluation. However, as DPME does this, it will need to tread carefully, considering:

- a) DPME's own limitations in terms of evaluation capacity;
- b) the need to consult and collaborate with a range of other stakeholders;
- c) that metros have challenges with their existing monitoring and reporting systems;
- d) the links between evaluation and monitoring;
- e) the regulated nature of institutional performance monitoring in municipalities, the interest of other stakeholders in municipal performance monitoring systems, and the existence of several support initiatives aimed at strengthening monitoring in municipalities.

There is currently a high level of political commitment to establishing a strong M&E system at the local government level, including evaluation. The fact that this demand

for evaluation is driven from within the metros themselves has the potential to enhance ownership and increased allocation of resources for evaluation. There are existing strong support programmes (such as the CSP) to municipalities that are well established in their working relationships with municipalities, and which are willing to work with DPME on institutionalising evaluation in municipalities.

8. RECOMMENDATIONS

The recommendations are organized thematically below.

The role of DPME and other support institutions

1. DPME should champion and drive the evaluation agenda at metro level. This can be done within the existing legislative and regulatory frameworks. The National Evaluation Policy Framework will need to be updated to cater for metros. Guidelines and technical tools that have been developed can also be used at metro level.
2. DPME staff engaging with metros should understand the legal frameworks governing municipalities and the roles and responsibilities of the various stakeholders. Any interventions by DPME will have to be consultative and collaborative, given the complex dynamics of inter-governmental relations at metro level.
3. DPME should aim to collaborate with the existing support programmes, which have already received buy-in from metros, national and provincial governments. Relevant programmes include the Cities Support Programme, the “Back to Basics programme,” the LGMIM training of coordinators and LGTAS.

Capacity building

4. DPME should promote practical learning through involving metros in evaluations. The value add of M&E as a learning tool should be stressed to ensure a shift from compliance driven monitoring to understanding the benefits of the evidence produced from M&E data for improved programmes and policies.
5. DPME should identify a few capacity-building partners to collaborate in offering evaluation capacity development training to officials in the metros and to the

support institutions. While the support institutions do not see evaluation capacity development as part of their roles, it would be useful for them to have an awareness of these issues. This training should focus on the role of the client in evaluation. Municipal officials do not need to have detailed knowledge of evaluation methodologies, but they need to know how to develop good quality terms of reference for evaluations, how to procure evaluations effectively, how to manage service providers appointed to implement evaluations, and how to ensure that evaluation findings are used to inform improvements.

6. As DPME works with metros to institutionalise evaluation, the skills gaps related to metros carrying out evaluations should be identified and the municipalities should formally inform the LGSETA of these skills gaps. This will enable the LGSETA to start putting in place structured skills development programmes to address the gaps.

Institutionalisation

7. The Mayoral Committee and the Section 79 Committees should play important roles in the institutionalisation of evaluation in the metros. The Committees could create demand for evaluations and ensure that they are resourced. They could also provide oversight over the utilisation of findings and development and implementation of improvement plans.

Intergovernmental Relations

8. As it extends the National Evaluation System to the local level, DPME should continuously consult with the coordinating departments and agencies discussed in this situational analysis report. DPME should endeavour to collaborate with the other stakeholders, particularly regarding the links between evaluation planning, and monitoring.
9. DPME should consult with the support institutions and with other relevant line function national and provincial departments as it works with metros to develop metro evaluation plans (MEP). It is critical that the learning emerging from the current challenges incurred in the growth of National Evaluation Plans and the Provincial Evaluation Plans be taken into account to avoid replicating these same mistakes at the Metro level. The recent Twende study on the challenges on Supply and Demand in South Africa for government evaluations have useful insights that should be taken into account when thinking about what should be done differently when supporting Metro's to develop evaluation plans.

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Annexure 1: Analysis of shared M&E functions

Type of Support, Approach or Tool	Capacitating Metros in their planning, reporting, monitoring and evaluation systems	Support metros to enhance their data management, reporting & analysis systems	Report against set indicators	Strengthened systems of citizen oversight; Improve citizen participation	Commissioning regular independent evaluations; Improve evaluation	Single Window of Coordination ; Inter-governmental coordination	Assessment of the managerial practices of a municipality	Operates within the framework of Outcome 9	Comprehensive package of support to cities
CSP	X	X		X	X			X	X
LGTAS	X					X		X	
Back to Basics	X		X				X		X
IUDF	X			X					
LGMIM							X		
CWPM&E	X	X	X	X	X	X			
M&E Framework in Support of Cooperative Governance	X	X	X						
Electronic Compliance Monitoring System	X	X	X						

MIG Management Information System (MIS)	X	X	X						
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Annexure 2: Rapid diagnostic assessment of evaluation capacity in three metros

A workshop was conducted on the 10th of November 2017 and the DPME Planning, Monitoring and Evaluation System Assessment Tool (PMEAT) was administered to representatives of metros of Tshwane, Ekurhuleni and eThekweni. The tool was used to establish M&E capacities in cities, and ability and openness to use M&E information. The workshop findings were triangulated with the results of interviews with respondents in the three municipalities.

The metros were assessed on 6 Key Performance Areas (KPA) of enabling environment for PM&E, organisational capacity, planning, data management, evaluation, and use of M&E information and its associated 29 questions. The PMEAT identifies 3 levels on which each KPA is assessed and scored between 1 and 3 on a Likert's scale (see table below). The scoring was further clarified by probing qualitative questions to justify the score.

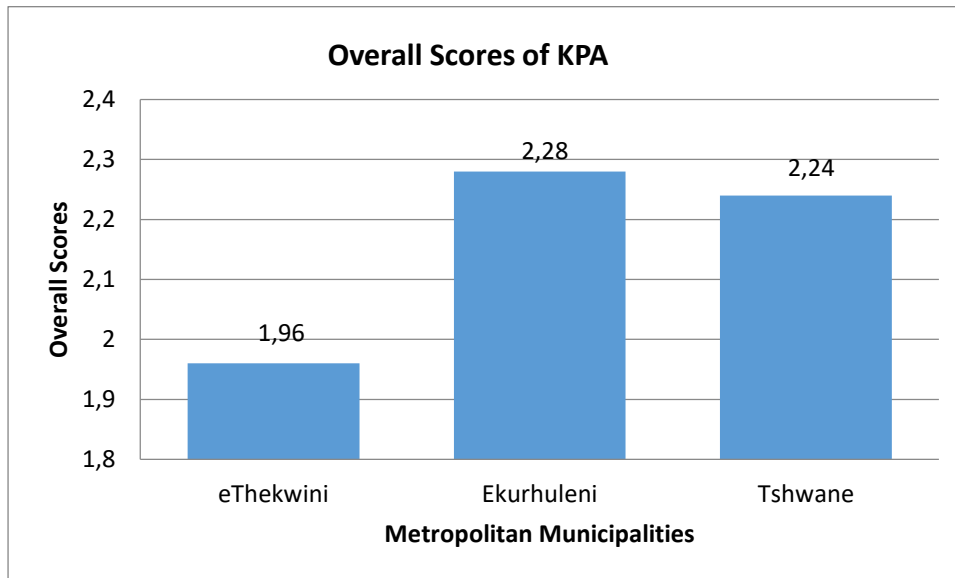
DPME PMEAT

KPA	Standard Definition	Level 1	Level 2	Level 3
Enabling Environment for PM&E	There exist consistent and appropriate internal and external demand for information	There is no consistent and appropriate demand for information	There exists consistent internally driven requests for information, but limited external demand for information	There exists consistent and appropriate internal and external demand for information from executive authority, executive management and programme managers.

Overall Scores

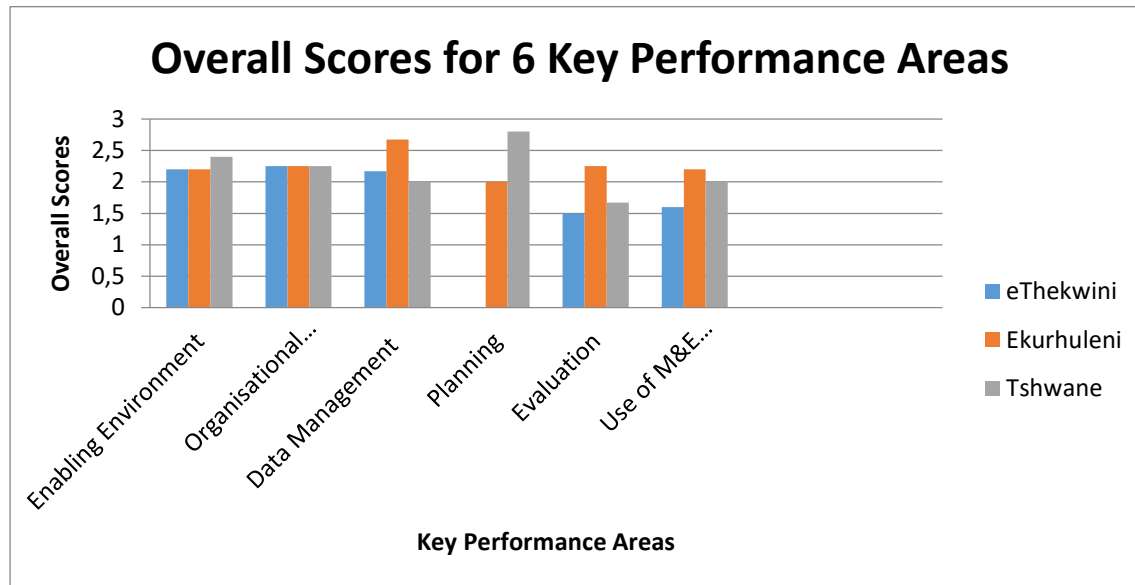
Figure 1 shows the overall scores obtained from averaging the 6 key thematic areas of enabling environment for PM&E, organisational capacity, planning, data management, evaluation, and use of M&E information. The figure indicates that Ekurhuleni and Tshwane scored above the middle position of 2 but are not yet at an optimal position in terms of M&E systems. EThekweni scored lower, indicating more nascent M&E systems.

Figure 1: Scores of Key Performance Areas



A disaggregation of scores for the six key thematic areas is further demonstrated in Figure 2. The three cities of Tshwane, Ekurhuleni and EThekwini obtained nearly the same scores for enabling environment for PM&E and organisational capacity, all above a score of 2. Scores for planning, data management, evaluation, and use of M&E information were more variable for the metros. For instance, evaluation ranges from 1.5 for eThekwini to 2.25 for Ekurhuleni. Data management ranges from 2.0 for the City of Tshwane to 2.67 for the City of Ekurhuleni.

Figure 2: Scores for 6 Key Performance Areas



Results

The data gathered from the three different metros indicates variability with respect to the demand for information of PM&E. The eThekwini and Ekurhuleni metros rated their metros on level 3 while Tshwane rated its self at level 2. There is consistent and appropriate internal and external demand for information from executive authority, executive management and programme managers. The demand for the information is a result of the need to increase accountability, both internally and externally, in terms of the legislation governing performance monitoring discussed in the main report.

With respect to organisational culture that supports using evidence for planning monitoring and evaluation, the city of eThekwini and Ekurhuleni reported level 2. The organisational culture that supports using evidence for planning, monitoring and evaluation is still weak. Further probing indicated that the institutionalization of M&E is at rudimentary stages in the cities of Ekurhuleni and eThekwini. The uptake of evidence in the planning process is still developing and has not fully matured to a level that adequately supports evidence-informed planning.

The city of Tshwane rated itself on level 3, indicating that the organisation has a strong culture that supports using evidence for PM&E. The shared communication between line departments in the metro has induced a culture that appreciates both monitoring and evaluation as strategic management tools with perceived value to effectiveness and efficiency of the metro. Nevertheless, evaluations are only conducted sporadically in the metro.

PM&E is often seen as a management function. The data gathered through the survey indicated that metros of Tshwane, Ekurhuleni and eThekweni are still at level 2 respectively. This indicates that the metros acknowledge PM&E as an integrated management function and that there is room for improvement. Further probing on this matter revealed that adoption of management practices that support PM&E requires a lot of improvement for maximum efficiencies i.e. management should be the champions of performance measurement and planning.

An Ekurhuleni respondent indicated that the information required for PM&E is elicited from different line departments, but because of this decentralisation, there is no ownership of the content by the Planning M&E unit. Performance management is mainly conducted at individual and organisational level and not at programme and project level.

The metros of Tshwane, Ekurhuleni and eThekweni highlighted that there is a comprehensive PM&E policy framework but it is not fully implemented across the organisation. The metros rated themselves at level 2. Further probing with the metro of Ekurhuleni respondent indicated that the delay in the approval of policy has implications for policy implementation. The policy has been developed and extensively consulted throughout the municipality. The metro of eThekweni highlighted that the policy primarily focuses on planning and monitoring. Evaluations are not integrated in the policy and so are the standards of operation for different kinds of evaluations.

The metro of Tshwane respondent indicated that reporting templates for internal purposes are standardized. However, if the metro is requested for a report from CoGTA, they require their own reporting template and the templates are different.

The reporting system of metros has been as a result of the requirements of the various legislations, policies and other regulatory frameworks governing the metros. The legal and regulatory context of the municipal government has created an onerous upward reporting architecture that absorbs considerable organisational time and energy (CLEAR, 2016).

The metros of eThekweni and Ekurhuleni indicated that their reporting requirements need improvement to minimise duplication (level 2). The metro of Ekurhuleni echoed that the quality of reports is not always good because of poor data received from line departments. This means that the data does not always meet the characteristics of good data quality, which are validity, reliability, integrity, precision, timeliness and completeness.

The metro of Tshwane indicated that their reporting is well coordinated and aligned to minimise duplication (level 3). The metros suggested more time is dedicated to

reporting than monitoring. This is corroborated with evidence from a study by CLEAR AA (2016) on the City of Johannesburg (CoJ) that revealed that approximately 75% of CoJ M&E staff time is spent on reporting.

The metros were asked if they have undertaken diagnostic skills assessment related to PM&E. The metros of Ekurhuleni and Tshwane indicated level 1 respectively while eThekweni indicated level 2. This means that the metros have not undertaken a diagnostic assessment for PM&E skills needs. The Ekurhuleni metro respondent highlighted that there are only 2 technical specialists and 2 administrative staff in the M&E unit.

Organisational Capacity

All three metros rated themselves at level 2. This indicates that posts for supporting PM&E function are partially filled. Through probing, the Ekurhuleni respondent indicated that the metro is in the process of approving a structure with the hope that the PM&E posts will be filled. The eThekweni respondent also indicated that the metro is in the process of expanding the PM&E structure, however filling of posts is constrained by budgeting.

The metros of Ekurhuleni and Tshwane indicated that roles and responsibilities of PM&E functions are well-defined (level 3) while eThekweni indicated that the roles are partially defined (level 2). Through the probing, it was revealed that the monitoring roles are better defined than the evaluation roles. The respondent from Ekurhuleni indicated that although there is a dedicated department responsible for PM&E, some M&E functions are within each line department.

All three metros respondents have undergone PM&E training and skills development. Evidence from the probing with Ekurhuleni respondent further corroborated the survey data. The Ekurhuleni M&E officials attended a training programme on design of programme evaluation and introduction to programme evaluations in the public sector at Stellenbosch University. The eThekweni respondent indicated that the PM&E unit is staffed with non-permanent staff and training them yields short-term benefits for the metro. In a sense, their departure from the unit means a loss of knowledge. A respondent from Tshwane also indicated that the metro has a training centre, Tshwane Leadership Management academy, which focuses on performance management but that there has not to date been any M&E training offered.

Planning

The metro of Ekurhuleni's long-term development plan, EMM 2025 Growth and Development Strategy (GDS) is part of the system of planning in the metro. Similarly, Tshwane metro has also a long-term development plan, City of Tshwane (CoT) Vision

2055, which seeks to unlock economic growth and development of the city. These plans are broad-based because they encompass both short and medium-term interventions across departments and sectors at metro level. This forms the complex nature of planning in the metros.

Data gathered from the metros of Ekurhuleni and Tshwane indicates that situational analysis is conducted but is not based on sufficient evidence (level 2). The lack of sufficient level of evidence raises a fundamental question of how metros inform their plans for instance the EMM 2025 GDS and the CoT vision 2055. Further probing with the respondent from the EMM indicates that the IDP processes of the metro are informed by a situational analysis. One of the major challenges to carrying out situational analysis is the staff capacity and time constraints. As a result, the need to achieve desired change is partially or not informed by proper planning and interventions.

The metro of Ekurhuleni indicated that there is weak alignment of strategic priorities to programmes (level 2); while metro of Tshwane indicated that, there is a strong alignment in the design of the programmes (level 3). The respondent from the EMM indicated that the metro's interventions and plans have not transformed into the desired change. This is a result of the lack of technical expertise to plan and design policies, and programmes, which produces the desired change as envisaged in the EMM GDS 2025.

SAMEA (2013) indicates that when plans are developed, they should be monitored and evaluated. This is an area that the all respondents identified where capacity building was needed. Linking budget, planning and priorities, and M&E is a challenge that all the metros are currently facing (Ngengelezi and Ijeoma, n.d). However, the case of EMM is different from Tshwane. According to the respondent from the Tshwane metro, the planning of metro is strongly aligned internally with the Premier's priorities and the international priorities for example the SDGs.

Without proper planning (clear results framework), the basis for evaluation is weak and evaluations cannot be done well. This is seen in the case of EMM which indicated that the logic of programme design is weak (level 2) while in Tshwane there is a strong logic in design of their programmes (level 3). Further probing indicates that in Ekurhuleni, programmes exist by 'name' only. There is no proper design of programmes and a few have gone through a proper design wherein all the assumptions and risks are outlined and programme design completed for evaluability.

The lack of good programme design, and or logical framework has an implication on implementation and evaluation thereof. The skill to design policies, programmes and projects that achieves the outcomes in EMM GDS 2025 was expressed as an

important area for capacity building. Some of the key outcomes areas for 2025 Agenda are well developed and vibrant core economic hub, an integrated and equitable city, high quality and well-maintained services, and functional, sustainable and attractive urban areas. According to Ijeoma (2014), without proper planning, projects or programmes may be implemented at the wrong time or in a wrong way and result in poor outcomes.

The metros of Ekurhuleni and Tshwane indicated that there is some degree of consultation with a range of stakeholders throughout the planning process (level 3). This is epitomised through the IDP process in Ekurhuleni and Tshwane where consultation with a wide range of stakeholders is done in a transparent and inclusive manner. A respondent from Ekurhuleni highlighted that the GDS 2025 reflects not only the thinking of the metros leadership, but also captures the inputs of many development partners and stakeholders. This is in-line with one of the Batho Pele principles of Consultation with citizens in Ekurhuleni to contribute to its development.

With respect to the definition of baselines, indicators and targets, the metros of Tshwane and Ekurhuleni varied on their rating. The metro of Tshwane indicated that there are clearly defined baselines, indicators and targets based on evidence (level 3), while the metro of Ekurhuleni indicated that baselines, indicators and targets are defined but not based on evidence (level 2). Further probing raised concerns in the setting of indicators by the National Treasury and the time to achieve what is planned. It was argued that the NT and other government departments do not consider the variability and context in which metros operate when formulating indicators.

Data Management

Apart from planning, the survey instrument also explored data management in relation to programmes. The results of the survey revealed that the metros of Tshwane and eThekweni have data management plans but not for selected programmes (level 2); while Ekurhuleni metro indicated that there is comprehensive data management plans in relation to all programmes (level 3). Further probing with respondents, for example metro of Ekurhuleni, revealed that there is good data management plan for the metro, however at programme level, data management is still in its rudimentary stages and no policy or framework exist thereof. Similarly, the Tshwane metro respondent indicated that the data collected for programmes is not reliable because of poor data quality and is not useful in assisting metro decision-making. Outside the formal data collection for reporting and performance monitoring purposes as required by different legislations, metros need to analyse data more usefully and for strategic evaluation purposes.

The metros of Ekurhuleni, Tshwane and eThekweni indicated that data collection tools are available but there are gaps in data collection (level 2). One of the reasons for such gaps is the lack of championing, support from the management and critical skills shortage and, lack of systems in basic data collection and analysis. While the DPME may want to establish evaluative function in metros, capacity constraints remain a critical challenge particularly with data collection, analysis and data management. Furthermore, the lack of information management system to support efficient and reliable data management further exacerbate the data quality. Manual handling of data is still prevalent in the metros, with storerooms used as central repository. Despite the manual handling of information (paper-based system) at Ekurhuleni and eThekweni metros, data is regularly archived and accessible to metro staff and even external auditors. Although reports are accessible, the process of retrieving reports is tedious.

With respect to programme planning, monitoring and or evaluation reports analysis and interpretation, the metros of Ekurhuleni and eThekweni indicated that there is some analysis and interpretation of the reports but it is uneven and not thorough. The respondent from the Ekurhuleni metro revealed that there is to a larger degree a lot of data analysis at a level of internal audit reports, verification of evidence, quarterly performance reviews.

However, at programme level, analysis and interpretation is poor because of lack of technical capacity particularly with respect to evaluations. The poor data collection system has led to data being subjected to verification and audit for credibility (level 2). A respondent from the metro of Tshwane further explained that data verification is constrained by capacity to understand the data and use it for organisational improvement. The respondent further indicated that if verification is done, it is through the Auditor-General.

The metro of Ekurhuleni respondent indicated that data is subjected to periodic verification and all stakeholders (level 3) consider data credible. The respondent from Ekurhuleni used their clean audit over the last three years as a benchmark for their data verification. The respondent further indicated that there is a dedicated day where different line departments of the metro come together and meticulously analyse reports. This contributes immensely to data verification and serves as evidence of data reviews for credibility.

Evaluations

The metros of Ekurhuleni and Tshwane have an evaluation plan but do not have a budget to conduct evaluations (level 2) while eThekweni indicated that there is no evaluation plan and budget for evaluations (level 1). The findings of the CoJ situational

analysis also indicated that 53% of the sampled officials highlighted that no budgets are allocated for evaluations.

Further probing revealed that the metro of Ekurhuleni is drafting policy that encompasses including evaluation budget in programme planning. The metros of Ekurhuleni and eThekweni revealed that their metros have limited capacity to manage evaluations (level 2). Despite the limited capacity, Ekurhuleni over the past three years has conducted some evaluations, in particular implementation evaluations of some of the city's programmes.

The metro of Tshwane indicated that no internal evaluation of key programmes has been conducted. This is despite the City of Tshwane's Performance Management Framework, which defines the various types of evaluation and roles of stakeholders in evaluations. The respondents from the metros see the value of evaluations, but do not have the resources in particular the technical skills. A study by CLEAR (2016) indicates that among the CoJ officials responsible for M&E, 80% do not have formal training in M&E although they are highly qualified. A majority of the CoJ staff have undergone a capacity building training conducted by CLEAR-AA at Wits University to enhance their M&E knowledge. The officials from metros of Ekurhuleni, eThekweni and Tshwane responsible for M&E can also undertake the same accredited training, which the CoJ undertook.

The data also revealed that the sampled metros varied with respect to PM&E reports being made public and disseminated widely. The metro of eThekweni indicated that the PM&E reports are not made public or shared with the affected stakeholders (level 1). However, the respondent from eThekweni metro further explained that reports that are legislated are made public, but this has not been the case for any evaluations. This is contrary to Tshwane which make evaluation reports publically available (level 2) and Ekurhuleni goes further by disseminating evaluation reports to affected stakeholders (level 3). The respondent from the metro of Ekurhuleni highlighted a number of different methods of dissemination, such as posting on a website, making evaluations available in libraries and customer care centres. Furthermore, Mayoral Izimbizo is another common dissemination method. An Izimbizo is an initiative of the metros where questions are answered, concerns are heard and advice is taken from the public about the metros programmes and services.

Internally, it is important to enhance learning but none of the metros indicated that they have a repository for evaluations that have been carried out. This means that despite the metros indicating that they learn from evaluations, there are limited opportunities to formally construct learning engagements on the findings of evaluations. The lack of

systems particularly for evaluations information indicates the dearth of pre-conditions to promote evaluative thinking in the metros.

Use of M&E information

The eThekweni metro respondent indicated that key leadership has some of the necessary information for decision making (level 2). Further probing revealed that the metro of eThekweni primarily utilises monitoring information for decision-making, this is because there is a lack of evaluation information. This finding is similar to the practice of the CoJ, where officials expressed concern that existing information and data within departments was not used adequately. The CoJ officials noted that there are instances where good data is collected but not analysed for decision-making purposes (CLEAR, 2016).

Regular monitoring and reporting of performance (individual, organisation or programmes) against plans and targets enables managers to take decisions and keep service delivery on track (Ijeoma, 2014). Monitoring information should help the managers to establish what has happened so far, what is likely to happen and what action to take to achieve targets. National Treasury (2007) argues that measuring, monitoring and managing performance are integral to improving service delivery. Such evidence needs to be integrated with policy maker's expertise, experience and judgement in order to ensure its relevance and applicability in specific contexts. These skills are lacking in metros and it raises a question of whether the information, which is available, is used appropriately for decision-making.

The Ekurhuleni metro respondent indicated that key leadership has necessary information to make the best-informed decisions (level 3). The respondent further revealed that the metros research outputs, in-year monitoring results, other feedback information as well as stakeholder participation reports are available for leadership to use for decision-making. Given the rudimentary stages of evaluation in the metro, not much information is used for decision making from different evaluations. Evaluative conclusions cannot be drawn from monitoring evidence alone. Before establishing an evaluation function in the metros, there is a need for sustained capacity building for improving technical knowledge on data collection, analysis, reporting data on inputs, activities and outputs, and use of data.

The data gathered from all the metros of Tshwane, Ekurhuleni and eThekweni revealed that the use of information has led to some learning but not significant programme improvement (level 2, respectively). With respect to Ekurhuleni, the respondent revealed that the information generated and disseminated remains undigested for programme improvement. The respondent indicated that the metro is making strides

to see the uptake of M&E information with the purpose of both learning and improved implementation of programmes.

With respect to allocation of resources to programmes and interventions, the metros of Tshwane and Ekurhuleni revealed that PM&E information is partially used to allocate resources (level 2, respectively) compared to eThekweni which indicated that PM&E information is not used for budgeting and funding allocations (level 1). A respondent from Ekurhuleni highlighted that there is a need for improvement by considering all aspects of baseline information when allocations are done. In most cases where budgets are cut, M&E become a casualty. A respondent from Tshwane also indicated that there is no proper consultation between the M&E unit and the Finance unit with respect to the allocation of budget on M&E.

The data gathered indicates that the metros of Tshwane, Ekurhuleni and eThekweni has performance accountability but without consequence (level 2). Further probing with a respondent from Tshwane indicated that although the consequences are not clear, Heads of Departments do apply some measures. The eThekweni respondent revealed that the audit committee is responsible for scrutinisation of performance but the consequences attached thereafter are not clear.

With respect to evidence based policy reviews, the metros of Tshwane and Ekurhuleni indicated that there is limited use of PM&E evidence to inform policy reviews (level 2) while eThekweni metro respondent indicated that PM&E evidence does not inform policy reviews (level 1). The respondent from Ekurhuleni indicated that in the metro there is a move from evidence-based to evidence informed policy review. The process is not yet fully developed to an extent that policy development processes refers to the most available evidence technically. This is because of poorly developed programme design and poor evaluation data.

Key findings

Below is a summary of the key findings of the diagnostic assessment that help reinforce many of the findings in the main report:

1. There is weak organisational culture for using evidence for Planning, Monitoring and Evaluation in the metros of Tshwane, Ekurhuleni and eThekweni.
2. A comprehensive PM&E policy framework exists in the metros but it is not fully implemented. The monitoring component of the framework dominates over the evaluation component in practice. Furthermore, there are no relevant standard operating procedures for evaluations in the metros.

3. The metro PM&E units are not staffed and evaluation expertise remains a challenge for conducting evaluations. Some of the officials do not have formal M&E qualifications.
4. The respondents of the three metros indicated that they are overburdened with compliance reporting. The largest amount of time is spent on reporting externally and internally.
5. There is poor logic design of programmes. This has a bearing on what needs to be monitored or evaluated and how. The net effect is failure to reach or achieve the planned outcomes. Furthermore, data management plans for selected programmes is unavailable.
6. Data collection in the metros is predominantly paper-based and of poor quality. This creates great inefficiencies in the time required to gather the data for monitoring. Most of the data is not sufficiently robust for evaluation purposes. This raises a question of data reliability and usability in informing decision-making in the metros.
7. Monitoring dominates over evaluation in the metros. The evidence gathered indicates that metro officials have done very few evaluations internally.
8. Evaluation plans exist in the metros but there is no dedicated budget for conducting evaluations in the metros.
9. There is no central repository for evaluation findings where all the reports and data collection tools are stored and shared.

These findings point to some of the foundational work that needs to be done if Central Support Agencies, including DPME and the OTPs in institutionalizing evaluation at the Metro level. Improving capacity to manage or conduct evaluations must go hand in hand with improving data collection methods as well as verification processes for better monitoring practice. This is essential for drawing on reliable data sources in order to carrying out credible evaluations.