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(P&DM)

Human Capacity Challenges in the Implementation of a Monitoring and Evaluation System

By

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A Research Thesis Submitted in Partial Fulfilment of the Requirements for a Masters Degree in Management and Public Policy (MM-PP)
2013

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DECLARATION

I Mompheleng Ernest Maphunye (student no. 9813052R) hereby declare that this thesis, in partial fulfilment of the requirements for a Masters Degree in Management and Public Policy (MM-PP) 2013, submitted by myself, has not previously been submitted for a degree at this or any other University. It is my own work in design and in extension and all reference material contained therein has been duly acknowledged.

…… ……

Signature Date

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Omphemetse Goene Suping...you are an inspiration.

ABSTRACT

A Monitoring and Evaluation (M&E) system is important in a country or public sector organisation as it can assist in the understanding of a country or organisation's M&E efforts. Information acquired from using the M&E system will then lead to a clearer understanding of the current M&E initiatives, the overall environment where the system is used and some of the institutional arrangements involved. Using the system can also be looked at from a viewpoint of improving the current M&E initiatives and using M&E information obtained from using the system to assist and benefit the intended stakeholders.

Based on the above remarks around M&E systems, this study explored the challenges faced by the Gauteng Department of Local Government and Traditional Affairs (DLGTA), in implementing a municipal M&E system. In a probe of the challenges related to the implementation of this system, the study found that department's lack to properly capacitate the municipal service delivery M&E unit with the required and skilled personnel mostly impacted the department's efforts to implement a municipal M&E system.

The study also found that the challenges of not implementing a municipal M&E system was as a result of the DLGTA as an organisation not properly viewing itself as the coordinating body of municipal M&E in the Gauteng province. By not recognising itself as the coordinating body of M&E in the province, the DLGTA's efforts were minimal in terms of capacitating its service delivery M&E unit with the right number of personnel, but also highly skilled personnel who have a solid M&E background, training and who could ensure the implementation of a municipal M&E system.

A major consequence of the above departmental shortcomings is that they lead to the human capacity challenges of the service delivery M&E unit of the DLGTA that contributed to the non-implementation of a municipal M&E system. This is the system that should be used to conduct municipal M&E and also assist Gauteng municipalities with their M&E functions as mandated by legislation.

ABBREVIATIONS AND ACRONYMS

AO:	Administration Officers
AG:	Auditor General
CABRI:	Collaborative Africa Budget Reform Initiative
DLGH:	Department of Local Government and Housing
ECB:	Evaluation Capacity Building
DLGTA:	Gauteng Department of Local Government and Traditional Affairs
GCOGTA:	Gauteng Department of Cooperative Governance and Traditional Affairs
GNU:	Government of National Unity
GWM&E:	Government Wide Monitoring and Evaluation Policy Framework
IGR:	Intergovernmental Relations
INTRAC:	International NGO Training and Research Centre
KPA:	Key Performance Area
MEC:	Member of the Executive Council
M&E:	Monitoring and Evaluation
MFMA:	Municipal Finance Management
MSA:	Municipal Systems Act
NPM:	New Public Management
PMER:	Planning, Monitoring, Evaluation and Reporting
PRC:	Presidential Review Commission

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CHAPTER ONE

1.1 INTRODUCTION

This study explored the challenges faced by the Gauteng Department of Local Government and Traditional Affairs (DLGTA), municipal service delivery monitoring and evaluation (M&E) unit, in implementing a municipal M&E system. As an attempt to probe these challenges, the study found how the lack to focus on the "human capacity element for M&E systems" by the DLGTA, impacted the municipal service delivery M&E unit's efforts to implement a municipal M&E system. The inability of the municipal service delivery M&E unit of the DLGTA in not implementing a municipal M&E system has largely resulted in municipalities of the Gauteng province not being assisted with certain elements of their M&E functions by the DLGTA, as mandated by legislation.

The study further explored whether can the challenges faced by the service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system be rooted either to the institutional (organisation) make up of the DLGTA or the inability of the DLGTA to prioritise the capacitation of the service delivery M&E unit in terms of human capacity and the required skills. In the same sentiments, the study also explored whether the DLGTA as an organisation has been aware of the importance of M&E systems, human resource capacity requirements within M&E systems and the importance of capacity building in M&E systems.

In an attempt to understand the challenges encountered by the Gauteng DLGTA municipal service delivery M&E unit in implementing its municipal M&E system, this study was premised around the theoretical underpinnings of the New Public Management Theory (NPM). For the purposes of this study and related to the M&E phenomenon, the NPM theory and its public sector reforms are significant as they put forward a new wave of thinking for governments which is based on a broader level, results-based, turnaround strategy of improving efficiency, effectiveness and overall, the general performance of the public service. Within this discussion, the phenomenon of M&E can be said to be an important part of this turnaround strategy.

The study also touched on the public sector reform phenomenon of Evaluation Capacity Building (ECB) that can be linked to the provisions of the NPM theory. The NPM theory and the ECB component were used as examples to indicate how government administrations should improve themselves and how the DLGTA as an organisation has not applied their provisions by improving itself and strengthen its human capacity element for the implementation of a municipal M&E system by the service delivery M&E unit.

An M&E system is important in a country as it leads to an understanding of a country's socioeconomic and political M&E efforts. The analysis from these M&E efforts will then lead to a clearer understanding of the current M&E initiatives, the overall public sector environment, its institutional arrangements and opportunities for strengthening and improving the current M&E initiatives, as well as using M&E information to benefit the intended stakeholders. The importance of this information is that it can be used for core government functions such as budget decision making and the ongoing management of programs and projects. More importantly, this analysis will help key role players in government and the donor community discover the strength and weaknesses of M&E as well as the institutional arrangements (MacKay, 2007: 3).

At a municipal level, a part of M&E functions includes, amongst others, municipalities reporting on their performance to the respective national and provincial government departments, legislature as well as other related local government stakeholders. This means municipalities are supposed to produce credible quarterly, midyear and annual performance information reports that will be used for performance review and assessment by the above mentioned stakeholders. As guided by the Government Wide Monitoring and Evaluation policy framework (GWMEPF), the DLGTA's mandated role to municipalities involves the provision of assistance for them to effectively perform their M&E functions. The assistance will also play a role in municipal reporting and enable municipalities to produce credible, consistent and reliable performance reports as part of their M&E functions. This assistance to municipalities will also mean that the DLGTA is also broadly implementing the GWM&E policy framework.

Due to a lack of a municipal M&E system which is made up of all the components of a functional M&E system especially the human capacity element which will also specify how the unit's M&E functions towards municipalities should be carried out, municipalities in the Gauteng province continued to struggle with the above mentioned M&E functions. Though some support was provided to municipalities on other levels, municipalities were still not provided with the assistance they require that will enable them to perform a crucial part of their M&E functions which includes producing performance information reports that are of acceptable and required standards. This study then investigated how the challenges related to the lack to focus on the "human capacity element for functional M&E systems", largely contributed to the inability of the municipal service delivery M&E unit of the DLGTA to implement a municipal M&E system.

1.2 RESEARCH BACKGROUND

On the 27th of February 1998, a report was presented to the then President of the Republic of South Africa, President Nelson R. Mandela, by a commission named the Presidential Review Commission (PRC). The importance of this report was that it highlighted that government's progress in transforming public service delivery was severely lacking and this called for a development of a performance monitoring and evaluation white paper. In some of their findings, the PRC indicated that amongst other challenges facing the Government of National Unity (GNU)[1] was a lack of effective M&E mechanisms that would regularly monitor, evaluate and review the performance of government. From the PRC findings, it can be concluded that institutional arrangements within government lacked M&E systems to measure performance and evaluate government policy outcomes.

Related to this study, concerns raised by the PRC were that annual reports that are used as part of M&E reporting mechanisms by national, provincial and local governments were largely scanty and not always helpful. The PRC also indicated that being reporting mechanisms, these annual reports largely failed with regard to objectivity in outlining the successes and failures of previous years. In addition,

[1] "That took over from the National Party after 1994"

annual reports were not flexible enough to give immediate feedback to policy makers and implementers, in terms of performance (PRC, 1998: 27). As intervention strategies, the PRC recommended that there must be mechanisms in place to review legislation, in particular, ensuring compliance with the then new constitution as well as improved systems of M&E in order to ensure efficiency and effectiveness within government (PRC, 1998: 27-28).

With the above in mind, in 2004 South Africa's cabinet initiated plans for an M&E system for government. The presidency subsequently developed the GWM&E policy framework. The foundations of this policy framework were largely rooted in the resolutions of the PRC. The GWM&E policy framework was initiated to support the improvement of the collection and collation, analysis, dissemination and application of information on the progress and impact of government, including its programmes. This was done in order to ensure transparency and accountability and to promote service delivery improvement and compliance with statutory and other requirements, as well as to create a learning culture in the public sector. The GWM&E policy framework was also initiated for programme managers in the public sector as the first comprehensive guideline after the cabinet of the Republic of South Africa approved a process to plan an M&E system for use across government. During its development the GWM&E policy framework was meant to deliver useful information and analysis and, at the same time, improve M&E practices, mechanisms and capacity, and in the long run contribute to better public management in South Africa (Presidency, 2004: 1-6).

Legislatively speaking, Section 155 (6) (a) of the Constitution of the Republic of South Africa (1996) serves as one of the foundations of the GWM&E policy framework as it states that "each provincial government must by legislative or other measures provide for the monitoring and support of local government in the province". In addition, Section 92 of the same constitution provides that, "members of the cabinet are accountable collectively and individually to parliament for the exercise of their powers and the performance of their functions, in addition they must provide parliament with full and regular reports concerning matters under their control" (Constitution of the Republic of South Africa, 1996, Section 155 (6) & 92).

To complement the Constitution, Section 105 (1) of the Municipal Systems Act (MSA) obliges the Member of the Executive Council (MEC) for local government in a province to establish mechanisms, processes and procedures in terms of section 155 (6) of the constitution to:

(a) Monitor municipalities in the province in managing their own affairs, exercising their powers and performing their functions,
(b) Monitor the development of local government capacity in the province and,
(c) Assess the support needed by municipalities to strengthen their capacity to manage their own affairs, exercise their powers and perform their functions (MSA, 2000, section 105).

1.3 RESEARCH PROBLEM (PROBLEM STATEMENT)

Due to a lack of a municipal M&E system which is made up of all the requirements of a functional M&E system (especially the human capacity component), the municipal service delivery M&E unit through the DLGTA as the department responsible for local government in the Gauteng province, has not been in a position to properly execute its legislated mandate. This mandate includes assisting Gauteng municipalities with their reporting M&E functions, as mandated by the Constitution and the MSA.

The improper, flawed and inconsistent performance information reports produced by municipalities in the Gauteng province highlighted a broader problem which is the way in which the lack to focus on the human capacity element for functional M&E systems by the municipal service delivery M&E unit of the DLGTA, impacted their implementation of a municipal M&E system. This can be considered as one of the reasons on why municipalities were not been assisted with some of their M&E functions as mandated.

Through an institutionalised, and later implemented, municipal M&E system, made up of all the components of a functional M&E system, especially the human capacity component, the municipal service delivery M&E unit of the DLGTA was going to be in a better a position to guide and assist municipalities in the Gauteng province with

their M&E functions, which include compiling and producing credible performance information reports that are of acceptable standards. In a broader sense, this could also be considered as assisting municipalities with their M&E functions, as mandated by legislation.

1.4 PURPOSE OF THE RESEARCH

The purpose of this study therefore, became to firstly explore how the lack to focus on and strengthening of the "human capacity element for functional M&E systems", by the municipal service delivery M&E unit of the DLGTA impacted in the implementation of a municipal M&E system. The study therefore used the NPM theory to explore how M&E capacity building can contribute towards understanding how governments can use M&E to improve their performance. This was done through exploring how the DLGTA as an organisation was not in line with its provisions by improving itself to strengthen its human capacity element for the implementation of a municipal M&E system. The study also used the provisions of the NPM theory as part of a measure to propose or draft an M&E system centred on the human capacity element that the municipal service delivery unit of the DLGTA can implement in their efforts to carry out the M&E of municipalities in the Gauteng province.

1.5 PRIMARY AND SUPPLEMENTARY RESEARCH QUESTIONS

With the above reiterations in mind, the study was guided by the following question as the primary research question:

> What were the challenges faced by the municipal service delivery M&E unit of the DLGTA in implementing a municipal M&E system?

Furthermore, the study also used the following questions as supplementary questions to further unpack the above primary question:

1. How did the DLGTA as an organisation view the role of the service delivery M&E unit?
2. Was the service delivery M&E unit properly capacitated to carry out its M&E functions?

3. How skilled are members of the service delivery unit in carrying out their M&E functions?

1.6 STRUCTURE OF THE STUDY (OUTLINE OF THE CHAPTERS)

As a follow up to this chapter, the second chapter of the study is a literature review based on establishing a conceptual framework for the topic, definition of key terms, related terminology and concepts, identification of models supporting the study as well as defining or establishing the study's stance on the literature review. In establishing a theoretical framework for the study, the theory of NPM was considered as key in conceptualising the study. The study also looked at the phenomenon of Evaluation Capacity Building (ECB) public sector reform linked to the theory of NPM. Related to the phenomenon of M&E as a turnaround strategy, the NPM theory and the ECB component were used as benchmarks or examples indicating how governments should turn themselves around and also improve themselves through capacitation efforts. This helped to explain how the DLGTA did not apply their provisions by improving and turning itself around in the form of strengthening its human capacity element for the implementation of a municipal M&E system that will enable municipalities to be assisted with their M&E reporting functions.

The literature review chapter also included a section that discussed a conceptual framework that guided the study's research. The purpose of this discussion was to locate the relevance of the theories and concepts used as departure points for the research. In this section, key theories and concepts used in the research and their relationship were unpacked, for example, the relationship between the theory of NPM and M&E, as well as how the human capacity element and the phenomenon of M&E are related.

Chapter 3 of the study was based on the research design that the researcher followed or used concerning the research approach. The chapter touched on data collection methods regarding primary data collection, secondary sources, content analysis and data validation methods embarked upon in the collection, analysis and validation of the study's data. The researcher's biases were also included in the chapter.

Chapter 4 of the study presents the findings from implementing the methodology, as well as an interpretation of the close findings with evidence. Chapter 5 of the study was a synthesis of the analysis to the findings raised in chapter 4. The aim was to present what was made out of the findings, their impact and implications. This included proposed measures as the study also proposed an M&E system centred on the human capacity element that the DLGTA can follow for the fulfilment of its role in assisting municipalities with their M&E functions and in the broader sense also to implement the GWM&E policy framework. A part of this included a reflection of why the DLGTA needed to strengthen the human capacity element of its municipal M&E system. Chapter 6 of the study was based on concluding remarks for the study and in the same context focusing on the study's main findings.

CHAPTER TWO

LITERATURE REVIEW

2.1 INTRODUCTION

This chapter presents the surveyed literature that guided this study's research. The chapter also established a conceptual framework, defined key terms, related terminology and concepts, identified models supporting the study as well as established the study's stance on the surveyed literature. The chapter also reflected on the critical internal documents of the service delivery M&E unit that had a bearing on the study as a way to substantiate some of the arguments brought forward. A discussion of the key concepts used in the research and their relationship was also unpacked as part of the conceptual framework. The purpose of this literature review was also to locate the relevance of the theories and concepts used as departure points for the research.

There exists a substantial amount of literature on the subjects of M&E, M&E systems, their importance, as well as the human capacity element for such systems. In essence, the review encapsulated views about the critical issues involved in M&E, M&E systems, the importance of the human capacity element for these systems including the phenomenon of ECB. In terms of literature review types, this was a "Context Review". This is "a common type of review in which the author links a specific study to a larger body of knowledge. This type of review often appears at the beginning of a research report and introduces the study by situating it within a broader framework and showing how it continues or builds on a developing line of thought or study." (Neuman, 2006: 112).

2.2 THEORETICAL FRAMEWORK

2.2.1 NEW PUBLIC MANAGEMENT (NPM)

To begin with, and in establishing a theoretical framework for the M&E subject area, the review looked into the theory of New Public Management (NPM). According to its advocates, NPM is based on an approach in public administration that employs knowledge and experiences acquired in business management. Vigoda (2003)

emphasised that NPM should represent an approach in public administration that employs knowledge and experiences acquired in business management and other disciplines to improve efficiency, effectiveness, and general performance of public services in modern bureaucracies (Vigoda, 2003: 1). The term “New Public Management” was coined in 1989 by Christopher Hood to denote “shifts from an emphasis on policy towards an emphasis on measurable performance and from reliance on bureaucracies toward loosely coupled quasi- autonomous units and competitively tendered services (Lynn, 2006: 107).

The theory of NPM can also be associated with a set of operating principles and practical solutions to the operational problems confronting governments, as put forward by Miller and Dunn (2006). They argued that these principles were generated as remedies for a broken system of government (Miller & Dunn, 2006: 2). Operationally speaking, NPM is relevant for the public sector as it proposes for governments being driven by their missions of improving their effectiveness and efficiency (Osborne and Gaebler: 1993). On this point, it is worth noting that the theory of NPM signifies an ideological thought system characterised by the importation of ideas generated in private sector settings within public sector organisations. This means that NPM advocates for a fusion of private and public sector management ideas which aim to re-energise public sector managers by outlining a distinct public service mission which is compatible with received notions of high quality management derived from transferable good practice in the private sector (Osborne & Gaebler, 1993). In the long run, it is believed that “legitimacy is conferred on a new style public sector which claims to have broken with the pathological aspects of the past, but which retains a sense of distinctive identity and purpose” (Ferlie, Ashburner, Fitzgerald & Pettigrew, 1996: 10–15).

New Public Management theory has been around since the beginning of the 1980s to describe a new way to study and manage public sector organisations. As an activity and as a discipline, it is presented as being different from traditional public administration, public policy and private or business management (Adei & Badu, 2006: 102). Adei and Badu also offered an exhaustive list of techniques that constitute NPM in practice. The popular known ones were privatisation, contracting out, decentralisation, merit pay, partnerships and management by results and customer orientation. From their argument, important points put forward are that the

implementation and success of NPM is possible only if there is a cultural and behavioural shift in the management of government away from bureaucratic government towards an entrepreneurial type of government (Adei & Badu, 2006: 102 – 103).

In recent times, the changed role of the state gave birth to NPM which advocated for de–bureaucratisation, flexibility, innovation, reliance on the private sector, creation of an enabling environment for private enterprise growth and use of means other than public bureaucracy for service delivery other than public bureaucracy. Within this debate, Sharma argued that the significance of new public management is that its emphasis on results, distinguished it from the traditional public administration process orientation (Sharma, 2006: 131).

For the purposes of this study, NPM was meant to highlight a new wave of thinking or results driven approach that the public sector can apply upon the institutionalisation of its policies, programmes and processes. This study was therefore premised on the operational notions that allude that NPM is relevant for the public sector as it proposes for governments to be driven by their missions of improving their effectiveness and efficiency. This formed part of the section that will be discussed later which highlights the relationship between the theory of NPM and the phenomenon of M&E.

2.2.2 NEW PUBLIC MANAGEMENT (NPM) CRITIQUES

The review was also aware and recognised critiques of NPM that began by arguing that as a term NPM has probably outlived its analytic usefulness. Within these discussions, the term NPM was deemed to be ambiguous because the agenda of public sector reform was considered to have moved in some respects beyond the traits identified by scholars of public management in the 1990s reflecting the various cultural cross-currents that have swept through managerial debate (Hood, 2001: 125). The term was also considered to be too basic for the distinctions between different sorts and themes of managerialism that academic scholars need to make as the study of public services developed and the public sector reform movement became professionalised. This then led to an argument that there was a need for more words to describe the cultural and technical variety of contemporary

managerialism. Therefore it was not surprising that there were numerous attempts to proclaim a move beyond NPM (Hood, 2001: 12555).

Furthermore, critics of NPM doctrines saw them as too heavily based on business-school and private-sector management perspectives whose key parts of the reform message have been reversed because they lead to policy disasters. According to Hood (1994), even the strongest advocates of NPM expected its doctrines to have little impact on altering the overall effectiveness of government. This was based on the argument that NPM practices were extensively institutionalised and will continue just as NPM itself did not displace large elements of previous public management orthodoxies, sometimes characterised as 'progressive public administration' or PPA (Dunleavy, Margetts, Bastow & Tinkler, 2005: 468).

It was further put forward that the torch of leading edge change has passed on from NPM and will not return, simply because NPM was now an almost two decades old set of public management ideas. Even analysts sympathetic to NPM were driven to acknowledge that it was middle-aged and generated adverse by-product outcomes, while still resisting evidence of its provisions (Hood, 2001: 12555).

Nevertheless this review acknowledges that in spite of its above-mentioned proclaimed death, NPM theory refused to lie down and continued to be widely used by practitioners and academics alike. As it was the case in this study, NPM theory was deemed important because it advocated for business and private-sector management perspectives that are required and could be useful in governments. To be exact, its operational notions argued that NPM is relevant for the public sector as it proposes for governments to be driven by their missions of improving their effectiveness and efficiency. In this case the DLGTA adopting a new wave of thinking or a result driven approach that can be applied upon the implementation of its policies, programmes and processes in line with Governments being driven by their mission of improving their effectiveness and efficiency.

2.2.3 MONITORING AND EVALUATION PHENOMENON

The phenomenon of monitoring involves reporting on actual performance against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analysing data on implementation processes, strategies, results and recommending corrective measures. In the same context, the Presidency (South Africa) refers to evaluation as a time bound exercise that systematically and objectively assesses the relevance, performance, challenges and successes of programmes and projects. Evaluation can also address outcomes or other development issues. Additionally evaluation usually seeks to answer specific questions to guide decision-makers or programme managers. Evaluation should advise whether underlying theories and assumptions were valid, what worked, what did not work, and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability of a programme or project (Presidency, 2007: 5).

Combined, monitoring and evaluation are distinct but connected analytical exercises. Monitoring instruments provide standing checks to assess progress against financial and non-financial performance targets. The information that flows through these instruments reflects the extent and type of actual spending against budgeted projections, goods and services purchased under the spending plans, and whether the intended objectives of expenditure were achieved. These instruments are designed to operate at set intervals, whether monthly, quarterly or annually. The Collaborative Africa Budget Reform Initiative (CABRI) initiative (2006) also put forward that evaluation goes a step further as it considered not only whether spending plans are being implemented, but whether they are being implemented correctly and are suited to overall policy objectives. Time bound evaluation exercises measure the relevance efficiency, effectiveness, impact and sustainability of government programmes. Evaluations may be carried out internally by ministries, departments and agencies, or externally by central ministries, the Auditor General, the Cabinet and Legislature. There is also space for independent evaluations to be conducted by commissions, civil society organisations, research institutions and development partners. Together, these elements form part of a system to improve governance within the public sector (CABRI, 2006: 156 -157).

A monitoring and evaluation system, hence, is important in a country as it usually leads to a clear understanding of the current M&E efforts, the overall public sector environment, its institutional arrangements and opportunities for strengthening and improving the current M&E initiatives. This also includes using M&E information to benefit the intended stakeholders. The importance of this information is that it can be used for core government functions, such as budget decision-making and the ongoing management of programmes and projects. More importantly and linking the above provisions to this study, this analysis will help key role players in government and the donor community on the strength and weaknesses of M&E, as well as the institutional arrangements (MacKay, 2007: 3). In all, the successful institutionalisation of M&E involves the creation of a sustainable, well functioning M&E system within a government where good quality M&E information is used intensively (MacKay, 2007: 23).

2.2.4 THE RELATION BETWEEN NPM AND M&E

The theory of NPM in this study was meant to highlight how the DLGTA management has not used its provisions as part of a results based turnaround strategy towards improving its efficiency and effectiveness in line with Governments being driven by their missions of improving their effectiveness and efficiency. The Presidency's Government Wide Monitoring and Evaluation Policy Framework noted that Government's major challenge was to become more effective. Monitoring and Evaluation processes in South Africa were introduced as a way to assist the public sector in evaluating its performance and identifying the factors which contribute to its service delivery outcomes. M&E is uniquely oriented towards providing its users with the ability to draw causal connections between the choice of policy priorities, the resourcing of those policy objectives, the programmes designed to implement them, the services actually delivered and their ultimate impact on communities (Presidency, 2007: 1).

Taking note of the NPM theory which directs towards a result based turnaround strategy, based on improving efficiency and effectiveness towards Gauteng municipalities, the DLGTA management did not create an enabling environment based on effective internal processes that will ultimately assist Gauteng

municipalities with their M&E functions, as required by legislation. A part of the turnaround of internal processes was meant to commence with the DLGTA firstly focusing on the implementation of a municipal M&E system. This system in turn would lay a foundation for how the municipal service delivery M&E unit would roll out their assistance to municipalities in the Gauteng province with their M&E functions.

The absence of a municipal M&E system within the DLGTA was documented in the "Planning, Monitoring, Evaluation and Reporting Policy Framework" as put together by the municipal service delivery M&E unit. To begin with, the M&E framework noted that "an organisation that is outcome, or service delivery focused requires a Planning, Monitoring, Evaluation and Reporting system that is aligned to its needs". The aim behind the Planning, Monitoring, Evaluation and Reporting Framework was also to promote, support and devise a system that would link and appreciate the relationship and interdependence that exists between planning, monitoring, evaluation and reporting (PMER) in the DLGTA and municipalities throughout the Gauteng province. The framework was premised on the understanding and appreciation that the increasing recognition of the importance of PMER has however not always translated into capacities to develop systems and a culture of performance and accountability in organisations. It was also noted in the framework that, across the world, organisations lacked sufficient dedicated financial and human resources to be able to make a significant impact on improving the practice of PMER. These resource constraints continued to hamper the quick roll out of the various initiatives aimed at improving effectiveness of programmes and increasing efficiencies in organisations' planning, monitoring, evaluation and reporting process (DLGH, 2011: pp 9-10)

The absence of the municipal M&E system has therefore resulted in Gauteng municipalities struggling with some of their M&E functions, especially their reporting duties. Related concerns regarding municipal inadequate reporting were also noticed by the Auditor General. In his assessment of the City of Tshwane Metropolitan Municipality's annual report for the 2007/2008 financial year, the AG highlighted a number of concerns and problems based on municipal reporting. These problems were mostly related to how the municipality did not properly report its performance information (City of Tshwane, 2008, pp 82-83). The AG was mostly concerned with

the inconsistencies regarding reporting principles and the reported performance information with the planned objectives.

Additionally, a concern was also raised in one of the quarterly reports compiled by the service delivery M&E unit of the DLGTA. The concern was as follows:

> **"Some of the reports submitted by municipalities for the period under review are not based on their Service Delivery Budget Implementation Plans and that made it very difficult to assess performance as the performance reported cannot be linked to any measurable performance objectives. The data submitted usually does not respond to the common set of indicators to make the report conclusive about municipal achievements or challenges thereof" (GDLGH, 2009, p.7).**

The above provisions were meant to highlight how, throughout the years, governments (in this case the DLGTA) challenge has been to become more effective. Instead of abiding by the principles of NPM that advocate for governments being driven by their mission of improving their effectiveness and efficiency, the DLGTA instead did not create an enabling environment based on effective internal processes that commenced with an internal municipal M&E system that would ultimately assist Gauteng municipalities with their M&E functions as required by legislation.

2.3 CONCEPTUAL FRAMEWORK

2.3.1 MONITORING AND EVALUATION SYSTEMS

An M&E system can be defined as a system that spells out how the current M&E efforts of an organisation will be undertaken including a definition of the roles and responsibilities of the members who will be involved in the running of the system. International experience has shown that there are a number of generic system requirements for a functional M&E system. The significance of these system requirements is that if they are in place, the implementation aspect surrounding M&E strategies and policies might be less complex. According to the Global Fund (2009), some of the important dimensions and associated performance goals in an M&E system can be summarised as follows:

Component	*Performance Goal For This Component*
Organisational with M&E functions	Establish and maintain a network of organisations responsible for M&E at the national, sub national and service delivery levels
Human capacity for M&E	Ensure adequate skilled human resources at all levels of the M&E system to ensure completion of all tasks defined in the annual M&E work plan. This includes sufficient analytical capacity to use the data and produce relevant reports
Evaluation and research	Identify evaluation and research questions, coordinate studies to meet the identified needs and enhance the use of evaluation and research findings
Data dissemination and use	Disseminate and use data from the M&E system to guide the formulation of policy and the planning and improvement of programs
National, multi-sectoral M&E plan	Develop and regularly update the national M&E plan, including identified data needs, national standardized indicators, data collection procedures and tools and roles and responsibilities for implementation

Table 1: Components of a functional M&E system (The Global Fund, 2009: 15)

According to the 1998 Presidential Review Commission (PRC), the significance of having M&E systems in place is that they enable a systematic and objective assessment of ongoing and completed projects, programmes or policies, their design, implementation and overall results. The aim was to determine the relevance and fulfilment of programme or policy objectives, their development efficiency, effectiveness and sustainability. Systematic evaluation programmes or mechanisms could provide the government of the day with information that is credible and useful, that will also enable the incorporation of the lessons learned into the decision making process going forward (Scott and Joubert, 2005: 2).

Additionally Gorgens and Kusek (2009) argue that sustaining an M&E system that can produce trustworthy, timely and relevant information on the performance of government, civil society or private sector projects, programmes and policies requires the overcoming of many M&E system challenges. The implementation of such a system would therefore require an approach based on experience, skill and real institutional capacity. Gorgens and Kusek further put forward 12 components of a functional M&E system and they argue that for any M&E system to be fully

functional, it is important that these components are in place (Gorgens and Kusek, 2009: 7-8). The components are as follows:

1. Structure and organisational alignment for M&E systems	2. Routine Monitoring
3. Human Capacity for M&E systems	4. Periodic surveys
5. Functional M&E partnerships	6. Databases useful to M&E systems
7. M&E work plans	8. Supportive supervision and data auditing
9. Costed M&E work plans	10. Evaluation and research
11. Advocacy, communication and culture for M&E systems	12. Using information to improve results

Table 2: Components of a functional M&E system (Gorgens & Kusek, 2009)

2.3.2 EVALUATION CAPACITY BUILDING (ECB)

Within the discussion on M&E, M&E systems and human capacity for M&E, the phenomenon of ECB needs consideration. It could be defined as referring to capacity building plans that provide improvement or training on a range of M&E tools, methods, approaches, and concepts. MacKay (2002) suggests a more complete definition of evaluation capacity, by referring to ECB as:

> ***"An organisation's ability to bring about, align and sustain its objectives, structure, processes, culture, human capital and technology to produce evaluative knowledge that informs on-going practices and decision making in order to improve organisational effectiveness". (MacKay, 2002: 83)***

Along the same sentiments, a broader definition by MacKay (2002) suggests that ECB should ensure that knowledge from M&E is applied as part of sound public governance and it should encompass "a broad range of evaluative tools and approaches that include, but go beyond programme evaluation, capacity building being one step along a "results chain" (MacKay, 2002: 83).

It also came about that one of the key challenges for everyone involved in capacity building for M&E was agreement on what is meant by the term. For definitional purposes and at its most basic, capacity can be understood as the ability of people, organisations and society as a whole to manage their affairs successfully. On the other hand, they suggest that organisational capacity can be defined as the

capability of an organisation to achieve effectively what it sets out to do. Furthermore, the capacity of an individual, an organisation or a society is not static as it can change over time, and is subject to both internal and external influences. Many of these changes are unplanned. For example, an organisation can lose capacity if key individuals leave or change positions within that organisation. Capacity development on the other hand can be seen as a more deliberate process whereby people, organisations or society as a whole create, strengthen and maintain capacity over time (Simister & Smith, 2010: 3).

In relation to the question "why build evaluation capacity?" Boyle, Lemaire and Rist (1999) noted that governments build evaluation systems because they believe that such a system will help them improve their means and methods of governance. Additionally, a system which is understood, credible and used enhances the performance of public sector management. Furthermore it is noted that in the absence of such a system, there is little objective evidence that one can turn to in order to ascertain the consequences of governmental actions and programmes (Boyle, Lemaire & Rist, 1999: 6).

Evaluation capacitation can also refer to the provided skills on "human capital (skills, knowledge and experience) and financial/material resources". This may also include "activities and initiatives taken to implement an evaluation programme" (Boyle and Lemaire, 1999: 5- 6). Stokdill, Baizerman and Compton define ECB as "a context-dependant, intentional action system of guided processes and practices for bringing about and sustaining a state of affairs in which high quality programme evaluation and its appropriate uses are ordinary and on-going practices are within and/or between one or more ordinary organisations/programmes/sites". (Stokdill, Baizerman & Compton, 2002: 8).

According to Rist, Boily and Martin (2011), evaluation capacity can be assessed in terms of four dimensions:

1. Institutional Capital
2. Human Capital
3. Technical Capital
4. Financial Capital

This review however shall focus on the “Human Capital or Capacity” dimension of evaluation capacity for its relevance to this study. This dimension is also important because the municipal service delivery unit of the DLGTA has been challenged on it and also because it is a part of the capacity requirements for the implementation of a municipal M&E system that will lay a foundation for how the unit will assist Gauteng municipalities with their M&E functions. In relation to the human capital dimension, Rist, Boily and Martin argue that human capital is of primary importance for the production of M&E results. To begin with, there needs to be good capacity in terms of quantity and quality of M&E human resources, both within the organisation (M&E staff) and outside of the organisation (external evaluators). Additionally, proper training and experience is needed to ensure good M&E as well as the set up of a good multidisciplinary team. Furthermore human resource management is also important to ensure the stability of M&E personnel through greater retention, including the implementation of measures such as tailor made career paths and individual incentives (Rist, Boily & Martin, 2011: 8).

2.3.3 HUMAN CAPACITY AS PART OF MONITORING AND EVALUATION

An understanding of the skills needed and the capacity of people involved in the M&E system and addressing capacity gaps should be at the heart of the M&E system. Gorgens and Kusek (2009) denote that focusing on human capacity for M&E will improve the quality of the M&E system. Ideally, the M&E system would be designed in advance, skill requirements for it established and human capacity development should be planned and undertaken before the M&E system is implemented (as indicated in the above tables) (Gorgens & Kusek, 2009: 94).

2.3.4 HUMAN CAPACITY ELEMENT IN M&E SYSTEMS

Important to note is that an M&E system may not function properly without skilled individuals who effectively perform their M&E tasks for which they are responsible and for any M&E system to perform well, it is necessary to have well-trained officials who are highly skilled in M&E. For this reason, most capacity-building plans should place considerable emphasis on provision of training in a range of M&E tools, methods, approaches, and concepts. Those governments that contract out their

evaluations need to ensure that their officials possess the skills and experience necessary to oversee and manage evaluations. This requires a broader set of competencies than the ability to simply conduct an evaluation. They also need to understand the strengths and limitations; the relative cost-effectiveness of various types of M&E. Introductory training in M&E can also raise awareness of and demand for M&E information. Training should also extend to the use of M&E information (Mackay, 2007: 58).

With all the above in mind, it is important that all members of an M&E unit possess M&E competencies in order to effectively execute their part in the operation of the M&E system. It has been proven that there is a need for holistic M&E capacity development programmes that focus on the technical skills that would enable other components to be functional, including managerial aspects of M&E systems (Gorgens & Kusek, 2009: 94).

As indicated in the above tables in yellow, the Global Fund, as well as Gorgens and Kusek, consider the human capacity element as one the important requirements of an M&E system. An effective and functional M&E system is therefore highly dependent on the human resources that would keep the system running. Capacity is required for the design, planning, development of tools, implementation, maintenance, coordination, harmonisation and utilisation of the products to enhance results based management and rational evidence-based decision making (Curricula, 2010: 1).

Within an M&E system, human capacity is important because it is one of the core requirements in any functional M&E system. According to the Global Fund (2009), this component is premised on ensuring that adequate human resources skills at all levels of the M&E system are present to ensure completion of all tasks defined in the annual M&E work plan. This includes sufficient analytical capacity to use the data and produce relevant reports (Global Fund, 2009: 15).

The human capacity element of an M&E system can be considered part of the people, partnerships and planning ring of the 12 components of an M&E system. It is also essential that M&E responsibilities of an organisation and its staff are clearly defined and authorised, so it is essential for staff to have the necessary skills to execute their tasks well. According to Gorgens and Kusek (2009), the capacity

element relates to the ability to perform appropriate tasks effectively, efficiently and sustainably on the following three levels: system capacity, organisational capacity and individual capacity. System capacity relates to the ability of a system to deliver the goal and objectives of a process and thereby contribute toward fulfilling the organisation's objectives (Gorgens & Kusek, 2009: 91).

Hopkins (1994) adds by denoting that in a system context, capacity is defined as a set of entities that operate to achieve a common purpose and according to certain rules and processes (Hopkins, 1994). Organisational capacity on the other hand relates to the capacity of an organisation and its processes to deliver the organisation's goals and development objectives. Finally and most significant to the study, individual capacity is about the ability of individuals to perform functions effectively, efficiently and sustainably (Gorgens & Kusek, 2009: 91-92).

Amongst the three mentioned levels of capacity, the significant one which the study is premised on is the third one which is the individual or human level. This level consists of individuals functioning within the various organisations. Gorgens and Kusek (2009) argue that a major dimension of capacity is at the individual level, meaning people. This covers individuals within organisations involved in executing M&E functions, and those who are beneficiaries or are otherwise impacted by the M&E system or the things it measures (Gorgens & Kusek, 2009: 92).

In relation to the study, human and skills capacity challenges facing the DLGTA service delivery M&E unit were highlighted in a document aimed at repositioning the municipal service delivery M&E directorate. Repositioning the unit was meant to make the unit more consistent with the departmental reconfigurations, legislative mandate, current demands and practices of M&E in relation to the departmental vision of a leading intellectual edge of local government and championing of municipal performance assessment. The document further highlighted that while the department has been able to execute its legislative mandate to a certain extent, the municipal service delivery M&E arm of the department has not been effective enough to expose some of the weaknesses in local government performance as well as to propose remedial action. The document put forward that municipal M&E work has become routine, more about compliance because it has not been prioritised. The Repositioning Document identified human resources, skills, competencies and expertise required as some of the key challenges facing the municipal service

delivery M&E unit. The argument is that there has been very little effort to build the unit's skill base, and where there are skills development programmes, they are not aligned to the needs of the unit (skills mismatch). The document further puts forward that the skills challenge is also exacerbated by the lengthy turnaround times in filling vacancies of the directorate (Gauteng COGTA, 2013).

For the DLGTA municipal service delivery M&E unit, important requirements within the human capital or capacity dimension of evaluation capacity need to firstly entail key staff with M&E responsibilities needing to be ensured that they possess the knowledge, skills, tools and support to carry out their respective M&E tasks. Secondly, a well functioning M&E system requires human resources, training, materials and financial resources. The Director of the municipal service delivery M&E unit will be required to lead the orientation on the M&E system by ensuring that the M&E unit is well capacitated and also ensuring that staff members of the unit are familiar and have the necessary skills on how to implement a municipal M&E system so they can effectively use the system to assist municipalities with their M&E functions as required (www.ausaid.gov.au). On an individual level, the Director will also need to ensure that already existing and new staff members of the M&E unit are capacitated with the following individual competencies or attributes:

Competency / Requirements	
Professional Practice	Application of professional evaluation standards
Acting ethically and striving for integrity and honesty when conducting evaluations	Understanding the knowledge base of evaluation (terms, concepts, theories, assumptions)
Knowledgeable about quantitative and qualitative research methods	Ability to develop evaluation designs
Ability to frame evaluation questions	Ability to collect data
Ability to analyse and interpret data	Ability to assess validity and reliability of data
Ability to compile evaluation reports	Ability to develop recommendations from evaluation reports
Ability to supervise others involved in conducting	Ability to train others involved in conducting evaluations including

evaluations	evaluation practices
Ability to serve the information to intended users of evaluation reports	Ability to manage evaluation projects

Table 3: Attributes or competencies of a capacitated M&E official (Source: Stevahn, King, Ghere & Minnema, 2005: 49-51)

As part of sustaining the M&E system and after ensuring that the above mentioned competencies/requirements are in place, the Director of the municipal service delivery M&E unit will be required to ensure that the above mentioned individuals constantly participate in M&E training programmes that will ensure that their already acquired skills are improved and maintained on an up to date basis.

2.4 CONCLUSION: OBSERVATIONS ON THE REVIEWED LITERATURE

A number of common viewpoints were identified from the reviewed literature and the most important ones are that to begin with and on a theoretical level, there is a relation between the NPM theory and the phenomenon of M&E. This review encapsulated how NPM provides for governments to be driven by their mission of improving their effectiveness and efficiency. The DLGTA has not been in line with NPM provisions by improving and turning itself around in the form of strengthening its human capacity element for the implementation of a municipal M&E system that will enable municipalities to be assisted with their M&E reporting functions.

In relation to the phenomenon of M&E and the human capacity element, the review realised the importance to indicate the agreement in terms of how the human capacity element is considered to be important in an M&E system as it ensures the completion of all tasks defined in the annual M&E work plan. The review also showcased how the human capacity element needs to be accompanied by evaluation capacity building based on capacity building plans that provide training on a range of M&E skills, tools, methods, approaches, and concepts, and these will enable the production of good M&E results. Furthermore, there needs to be an understanding of the skills needed and the capacity of people involved in an M&E system and addressing capacity gaps should be at the heart of the M&E system. It is also important that all members of an M&E system need to have certain

competencies in order to effectively execute their part in the operation of the M&E system.

Most importantly, the review focused on the “Human Capital or Capacity” dimension of evaluation capacity. The review argued for the importance of this dimension because the municipal service delivery unit of the DLGTA has been challenged on it and also because it is the most important requirement for the institutionalisation of a municipal M&E system that will broadly lay a foundation for how the unit can assist Gauteng municipalities with their M&E functions.

The study therefore aims to add to the existing literature by using the reviewed themes of M&E, monitoring and evaluation systems, human capacity elements within M&E systems and evaluation capacity building. These themes were used when an M&E system centred on the human capacity element was designed that the municipal service delivery unit of the DLGTA can implement in their efforts to assist municipalities in the Gauteng province with their M&E functions.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This chapter discusses the research methodology that was followed in the study. The first part discusses the generic conceptualisation related to the qualitative social science research method and the rationale on why this method was selected. The second part then outlines a research design that the researcher followed for data collection, analysis and validation. This is an indication of how the data collection was undertaken, identification of primary and secondary sources of data, including analysis. Furthermore the researcher discusses how the data was analysed and how the reliability and validity were maintained.

3.2 RESEARCH APPROACH

3.2.1 QUALITATIVE RESEARCH METHOD

Due to the nature of the study which is based on social phenomena, a qualitative approach and method of conducting research was followed. Qualitative research is a type of scientific research which consists of an investigation that seeks answers to a question and systematically uses a predefined set of procedures to answer a particular question. Qualitative research also collects evidence, produces findings that were not determined in advance and findings that are also applicable beyond the immediate boundaries of the study. Additionally, it seeks to understand a given research problem or topic from the perspectives of the individuals it involves. Qualitative research is especially effective in obtaining culturally specific information about the values, opinions, behaviours, and social contexts of particular individuals or populations (Mack, Woodsong, MacQueen, Guest & Namey, 2005: 1).

Leedy and Ormrod (2005) argue that qualitative research seeks to answer questions on complex social reality from a participant's viewpoint rather than that of the researcher (Leedy & Ormrod, 2005). Arguments from qualitative research literature indicate that qualitative researchers are concerned with meaning in context or in the real world, thus highlighting the fact that research is context bound and encompasses views as expressed by individual human beings. In the qualitative

research approach, the researcher constructs the reality and applies his/her understanding of the social phenomenon using the respondent's appreciation of social reality as the lens. Thus the qualitative approach acknowledges the fact that multiple interpretations can be derived from any given social situation (Kalof, Dan & Dietz, 2008: 85).

Creswell (1994) advises that qualitative researchers should therefore be honest when interpreting social reality and rely on voices and interpretations from the informants. In the qualitative approach, the researcher is very active and engages with the informants to generate a detailed understanding of the social reality under study. The distance between the researcher and the researched is reduced as the researcher can sometimes live with the informants while studying them (this is called ethnography). Therefore, this makes qualitative research more personal and informal (Creswell, 1994: 6).

As a category of research designs or models which focus on understanding and explaining the meaning of social phenomena (in this case the challenges around the institutionalisation of an M&E system), a qualitative method of conducting research was then deemed appropriate for the study. Qualitative researchers use verbal, visual or tactile data in the form of descriptive narratives such as field notes, reports, transcriptions, audio or video recordings, artefacts or other written recordings.

Relating to the study, the characteristics and strengths of qualitative research that helped in achieving the goal of the study are that the strength of qualitative research is its ability to provide complex textual descriptions of how people experience a given research issue. Qualitative research also provides information about the human side of an issue, and that is the often contradictory behaviours, beliefs, opinions, emotions, and relationships of individuals. Qualitative methods of research are therefore effective in identifying intangible factors, such as social norms, socioeconomic status, gender roles, ethnicity, and religion, whose role in the research issue may not be readily apparent. When used along with quantitative methods, qualitative research can help to interpret and better understand the complex reality of a given situation (Mack, Woodsong, Macqueen, Guest & Namey, 2005: 1- 2).

3.3 RESEARCH DESIGN

3.3.1 PRIMARY SOURCES

For conceptual clarification, primary sources refer to sources that appear first in time. In addition, primary sources are generally being regarded as being closer to whatever is, or was true. They take such diverse forms as interviews and their scripts, questionnaires, letters, diaries, sermons, laws, census reports, immigration records and probate documents to mention but a few (Leedy & Ormrod, 2005: 165). As part of the qualitative research approach, the researcher constructs the reality and applies his/her understanding of the social phenomenon using the respondent's appreciation of social reality as the lens. At the same time, the researcher is very active and engages with his/her informants to generate a detailed understanding of the social reality under study. It was under this onus that the researcher decided to use an open-ended questionnaire as a primary source of data collection. A questionnaire can be referred to as a set of questions on a particular issue sent to individuals for the purposes of gathering information on that issue. Questionnaires usually form an integral part of descriptive and opinion related surveys.

Administered by electronic mail, the researcher used a questionnaire in which respondents were requested to complete a number of questions on key issues pertaining to the study. The questionnaire was sent to respondents to complete in their own time and this process was also managed by electronic mail. As time constraints also had some role to play, a questionnaire was deemed appropriate as it is a practical data collection method which is cost effective to collect data from a number of people in a short period of time. The researcher also preferred to use a questionnaire because its results can be analysed more objectively than other forms of research. It should also be noted that the researcher did not have sufficient time to be able to test the questionnaire before sending it out to respondents. However the researcher did rely on the supervisor's opinion and approval of the questionnaire, comments and inputs before sending it out to respondents.

To encourage responses the researcher firstly called each of the respondents to explain the purpose of the call, including the research project. After a number of respondents agreed to assist in the project, the researcher sent them the questionnaire and attached the following cover letter to the questionnaire which

stated the purpose of the project and also humbly requested their participation. The letter was as follows:

Dear Respondent:

As a present or past member of the Municipal Service Delivery Monitoring and Evaluation (M&E) Unit of Gauteng COGTA, formerly known as the Gauteng Department of Local Government and Traditional Affairs (DLGTA), you are kindly requested to assist the researcher (Mr. M.E Maphunye) regarding information for completion of his dissertation on the unit's challenges in executing some of its mandated M&E duties towards Gauteng municipalities. Mr. Maphunye is currently a student with the University of the Witwatersrand Business School where he is pursuing a Masters Degree in Management and Public Policy (MMPP). This exercise is part of the requirements for completion of a research dissertation in line with the MMPP Degree.

As a brief synopsis of the dissertation, the researcher explores the challenges faced by the municipal service delivery M&E unit in implementing a municipal M&E system. As an attempt to probe the challenges, the dissertation aims to explain how the lack to focus on the "human capacity element for functional M&E systems", by the municipal service delivery M&E unit of the DLGTA has had an impact in the efforts to implement a municipal M&E system. The absence of the municipal M&E system has somewhat resulted in municipalities of the Gauteng province not being assisted with certain elements of their M&E functions by the DLGTA municipal service delivery unit as mandated by legislation.

The researcher aims to use your responses in an attempt to understand whether the challenges faced by service delivery M&E unit in the implementation of a municipal M&E system are rooted to the institutional (department) or human capacity and skills dimensions. Based on your responses, the researcher also aims to propose and design an M&E system that the municipal service delivery M&E unit can implement and base their efforts for assisting municipalities in the Gauteng province with their M&E functions.

With the above in mind, the researcher therefore would like to humbly thank you for taking your time and becoming a part of this endeavour.

Kind Regards

M. E Maphunye (Researcher)

3.3.2 SAMPLE SIZE

As a primary source of data collection, the researcher therefore sent out the questionnaire to current and former officials of the service delivery M&E unit in the DLGTA for their hands-on insight regarding the problem. Designations of the respondents ranged from Chief Director, Director, Deputy Directors and Assistant Directors. In ensuring that all questions were interpreted in the same way, the researcher firstly realised the importance of asking questions that are clear and specific and that each respondent would be able to answer. As the questionnaire questions are open ended, the researcher ensured that respondents would be able to answer the questions in their own words. The researcher also realised the importance of asking one question at a time as opposed to double barrelled questions. In general, questions that use simple and concrete language are more easily understood by respondents. The researcher also avoided the use of words that may be viewed as biased or potentially offensive to some respondents.

Questions in the questionnaire were developed in relation to the literature review and their rooting in the primary research question which is trying to understand some of the challenges encountered by the municipal service delivery M&E unit of the DLGTA in implementing its M&E system that will guide the carrying out and performing of municipal M&E tasks. Related to the reviewed literature on M&E systems and the human capacity required for such systems (competencies or attributes of M&E practitioners), the following is an example of the questionnaire containing questions that the researcher sent out to past and present members of the municipal service delivery M&E unit of the DLGTA.

3.3.3 QUESTIONNARE EXAMPLE

Dimension: Institutional (Organisational)
Questions
1. How did/does the DLGTA as an organisation view its role as the coordinating body of M&E in the province? 2. What efforts did the DLGTA embark upon to prioritise the capacitation of the service delivery M&E unit? 3. What were/are the efforts in place to try and institutionalise a municipal M&E system? How successful are these efforts? 4. How important was/is the work produced by the service delivery unit towards the attainment of the overall goals of the DLGTA? 5. What were/are the roles and responsibilities of the members of service delivery M&E unit, and are/were they clearly defined?
Dimension: Human Capacity and Skills
Questions
1. How capacitated were/are unit members to properly carry out their M&E functions? 2. What abilities did/do members of the unit possess related to the implementation of a municipal M&E system? 3. What abilities did/do members of the unit possess related to the management of evaluation projects? 4. What M&E training or capacity building courses did/do members of the M&E unit attend on a regular basis? 5. How skilled were/are the members of the unit in carrying out their functions effectively, efficiently and sustainably? 6. How knowledgeable were/are members of the unit about quantitative and qualitative research methods? 7. What abilities did/do members of the unit possess related to supervising others (service providers) involved in conducting evaluations? 8. How skilled are/were the unit members in presenting M&E reports?

Table 4: Questionnaire Example

Related to the study's conceptual framework, the questionnaire attempted to probe whether the challenges faced by service delivery M&E unit of the DLGTA unit in the institutionalisation of a municipal M&E system could be rooted either to the institutional (organisation) or human capacity and skills dimension. In addition, the questionnaire was also meant to capture responses with regard to establishing whether the DLGTA has been aware of the earlier mentioned provisions of the importance M&E systems, human resource capacity requirements within M&E systems and the importance of capacity building in M&E systems.

3.3.4 THE DIMENSION AND PURPOSE FOR ASKING QUESTIONS

The above section can be summarised into the following table which highlights the types of questions contained in the questionnaire and the purpose or why the researcher decided to pose these questions.

Question	**Purpose**
Dimension: Institutional (Organisational)	
1. How did/does the DLGTA as an organisation view its role as the coordinating body of M&E in the province?	To establish the whether the DLGTA as an organisation is aware of the importance of its mandated role in the coordination of municipal M&E in the province
2. What efforts did the DLGTA embark upon to prioritise the capacitation of the service delivery M&E unit?	To establish the prioritisation of the capacitation the service delivery M&E unit by the DLGTA
3. What were/are the efforts in place to try and institutionalise a municipal M&E system? How successful are these efforts?	To establish whether were there any existing measures or efforts in the institutionalisation of an M&E system (from an departmental point of view)
4. How important was/is the work produced by the service delivery M&E unit towards the attainment of the overall goals of the DLGTA?	To establish how the DLGTA as an organisation views the work undertaken by the service delivery M&E unit towards the attainment of its goals as an organisation
5. What were/are the roles and responsibilities of the members of service delivery M&E unit, and are/were they clearly defined?	To establish whether members of the service delivery M&E unit are aware of their roles and responsibilities
Dimension: Human Capacity and Skills	
Question	**Purpose**
6. How capacitated were/are unit members to properly carry out their M&E functions?	To establish the human capacity levels of the service delivery M&E unit, whether unit members are well capacitated with the right numbers, knowledge, tools and support to carry out their respective M&E tasks
7. What abilities did/do members of the unit possess related to the implementation of a municipal M&E system?	To establish abilities related to the implementation of M&E systems that unit members are in possession of

8. What abilities did/do members of the unit possess related to the management of evaluation projects?	To establish the M&E skills levels of members of the service delivery M&E unit in carrying out their M&E tasks
9. What M&E training or capacity building courses did/do members of the M&E unit attend on a regular basis?	To establish the rate at which the DLGTA prioritises M&E capacity building to improve the M&E skills of unit members
10. How skilled were/are the members of the unit in carrying out their functions effectively, efficiently and sustainably?	To establish the M&E skills levels of members of the service delivery M&E unit in carrying out their M&E tasks
11. How knowledgeable were/are members of the unit about quantitative and qualitative research methods?	To establish the M&E skills levels of members of the service delivery M&E unit in carrying out their M&E tasks
12. What abilities did/do members of the unit possess related to supervising others (service providers) involved in conducting evaluations?	To establish the M&E skills levels of members of the service delivery M&E unit in carrying out their M&E tasks
13. How skilled are/were the unit members in presenting M&E reports?	To establish the M&E skills levels of members of the service delivery M&E unit in carrying out their M&E tasks

Table 5: Dimension and Purpose for asking Questions

3.4 SECONDARY SOURCES

As part of secondary sources, the researcher reflected on the reviewed literature firstly to benchmark the DLGTA as an organisation against the provisions of the theory of NPM that advocates for a results-based turnaround strategy towards improving its efficiency and effectiveness. The essence was to showcase from a theoretical level whether the DLGTA as an organisation has been using NPM provisions as part of a results based turnaround strategy towards improving its efficiency and effectiveness or not. Secondly, secondary sources in the form of the reviewed literature were used to showcase how the DLGTA fared in attempts to institutionalise the following concepts related to the phenomenon of M&E:

- Monitoring and evaluation system,
- Prioritising human capacity element as part of the requirements of an M&E system,

- Evaluating capacity building for the capacitation of members of the M&E unit with the required skills as they will be the ones carrying out M&E functions.

3.5 CONTENT ANALYSIS

3.5.1 PRIMARY DATA ANALYSIS

To analyse data collected from the questionnaires, the researcher used an analysis method called thematic analysis. Thematic analysis is the most commonly used method of data analysis in qualitative research. According to Braun and Clarke "thematic analysis is a qualitative analytic method for identifying, analysing and reporting patterns (themes) within collected data. It minimally organises and describes data sets in detail. However frequently it goes further than this and interprets various aspects of the research topic" (Braun & Clarke, 2006: 79).

This type of analysis moves beyond counting explicit words or phrases and focuses on identifying and describing both implicit and explicit ideas within the data (themes). From the themes, codes are then developed to represent the identified themes and are then applied or linked to raw data as summary markers for later analysis. This process is now referred to as thematic coding. Thematic coding refers to any method of categorising segments of collected data into meaningful themes with the aim of identifying patterns to draw conclusions.

For this study, the researcher coded the questions directed to officials of the DLGTA M&E unit into themes. Related to the literature review, and also linked to the questionnaire, the themes put forward or aimed to probe whether the challenges faced by the service delivery M&E unit of the DLGTA unit in the implementation of a municipal M&E system could be rooted either to the "institutional (organisation)" or "human capacity and skills dimension". To begin with and related to the institutional (organisational) theme, the researcher benchmarked the DLGTA against provisions of the NPM theory that advocates for governments to be driven by their mission of improving their effectiveness and efficiency. The researcher analysed whether the DLGTA had been in line with NPM provisions by improving and turning itself around as an organisation and also strengthening its human capacity element for the

implementation of a municipal M&E system that would enable municipalities to be assisted with their M&E reporting functions.

Secondly and related to the human capacity and skills dimension theme, the researcher analysed whether the DLGTA has been considering the human capacity element as an important part of an M&E system (human capacity in terms personnel and the skills required). The researcher analysed this theme to check firstly, whether the DLGTA has ensured that the service delivery M&E unit is capacitated in numbers in terms of the right number of personnel. Secondly, the researcher analysed whether in strengthening human capacity and skills, the human capacity element in the DLGTA has been accompanied by evaluation capacity based on capacity building plans that provide training on a range of M&E skills, tools, methods, approaches, and concepts as these will enable the production of good M&E results.

Primary data analysis of the study firstly involved reading through responses from the questionnaires sent out to respondents. As the questionnaires were already designed into themes relating to the research problem, the researcher's next step was to draw connections and patterns amongst the collected information. Over and above answering the questions, the researcher also looked for underlying subthemes and patterns in the data and also attempted to interpret these underlying patterns. Themes that the researcher identified were interpreted in relation to the research questions and study objectives. Direct quotations were also taken from the transcripts and integrated in this report as evidence to support the process of reflection and describing the patterns where there was divergence of patterns from the data. Reflecting on the data was also done to validate the primary data with literature and to draw conclusions from the data.

3.5.2 SECONDARY SOURCES ANALYSIS

As earlier mentioned, the essence of highlighting secondary sources in this study was to find out whether the DLGTA as an organisation has been using NPM provisions as part of a results-based turnaround strategy towards improving its efficiency and effectiveness. It is worth noting that it is important for the DLGTA to apply provisions of the NPM theory because legislatively, this department is mandated to monitor municipalities in the province in managing their own affairs,

exercising their powers and performing their functions. Legislatively, the DLGTA is also expected to monitor the development of local government capacity in the province and to assess the support needed by municipalities to strengthen their capacity to manage their own affairs, exercise their powers and perform their functions. With the above in mind, it is important that the DLGTA as an organisation abides by the provisions of the NPM theory especially with regard to applying turnaround strategies or mechanisms that will assist in improving its efficiency and effectiveness.

In that case, secondary sources will be analysed in order to benchmark how the DLGTA fared with regard to the following: institutionalisation of M&E systems, prioritisation of the human capacity element as part of the requirements of an M&E system and lastly, prioritisation of the evaluation capacity building element for the capacitation of members of the M&E unit with numbers and with the required skills.

3.6 RELIABILITY AND VALIDITY

Patton (2002) stated that validity and reliability are two factors which any qualitative researcher should be concerned about while designing a study, analysing results and judging the quality of the study. This corresponds to the question “How can an inquirer persuade his or her audiences that the research findings of an inquiry are worth paying attention to?" (Lincoln & Guba, 1985: 290). To answer this question, the quality of a study in each paradigm should be judged by its own paradigm's terms. For example, while the terms reliability and validity are essential criteria for quality in quantitative paradigms, in qualitative paradigms the terms credibility, neutrality, consistency or dependability and applicability are to be the essential criteria for quality (Lincoln & Guba, 1985).

The basis of reliability and validity for secondary sources in the study was the literature review and the concepts that were used and applied. As advised by Lincoln & Guba, for quality the researcher relied on the credibility, neutrality, consistency, dependability and applicability of the concepts of M&E, M&E systems, human capacity element within M&E systems and evaluation capacity building. These are concepts or terms that were used and then applied in the study. Different sources of information, including available literature on the theory of NPM, M&E, M&E systems,

human capacity element within M&E systems and evaluation capacity building, were also used in the study to better inform the researcher when drawing conclusions.

For primary sources and in an effort to minimise bias in this study and as a form of reliability and validity, the researcher relied on the primary data collection instrument (questionnaire) and its consistency in producing credible data, appropriateness of the data analysis technique and the degree of relationship between the conclusions drawn and the data upon which they were drawn. In addition, direct quotes from the questionnaires were used as part of the report to illuminate an argument and illustrate that it was the voice of the respondent rather than that of the researcher.

3.7 RESEACHER'S BIASES

As the researcher is also an official of the DLGTA, the researcher tried by all means to be as objective as possible for the purposes of not compromising the outcomes of the study. The researcher also considered the ethics within the research process thereby assuring that the researcher did not take any sides and was also not prejudiced in any way or have any preconceived notions.

3.8 CONCLUSION

This chapter discussed the research methodology that was followed in the study. The first part of the chapter discussed the generic conceptualisation related to the qualitative social science research method and the rationale on why this method was selected. The second part then outlined a research design that the researcher followed for data collection, analysis and validation. This was an indication of how the data collection was undertaken, identification of primary and secondary sources of data, including analysis. Furthermore, the researcher discussed how the data will be analysed and how the reliability and validity were maintained.

CHAPTER FOUR

PRESENTATION, ANALYSIS AND DISCUSSION OF FINDINGS

4.1 INTRODUCTION

The aim of this chapter is to present, analyse and discuss the findings that were gathered pertaining to the challenges faced by the municipal service delivery M&E unit of the DLGTA in implementing a municipal M&E system. This chapter presents, analyses and discusses the findings that were gathered through the used primary method of data collection (questionnaire). This presentation, analysis and discussion of the findings also takes into account the provisions of the surveyed literature (secondary sources) on whether the DLGTA as an organisation has been using NPM provisions as part of a results-based turnaround strategy towards improving its efficiency and effectiveness. This also includes an analysis of how the DLGTA fared with regard to the following: institutionalisation of a municipal M&E system, prioritisation of the human capacity element as part of the requirements of an M&E system and lastly, prioritisation of the evaluation capacity building element for the capacitation of members of the M&E unit with the right number of personnel who also possess the required M&E related skills. The above also relate to the analysis being framed by an assessment of the critical concepts of inputs/resources related to the implementation of systems. This means assessing how the DLGTA fared in attempts to capacitate the municipal service delivery unit initially with personnel in terms of numbers and personnel who possess the required M&E skills.

Before presenting the findings, the researcher would like to give a reflection regarding the questionnaires sent out. These are the viewpoints of respondents and how some of them received the questionnaires. Worth noting, and as earlier indicated, the researcher was unable to test the questionnaire as he was faced with time constraints, however with all this in mind the researcher did make the necessary changes to the questionnaire before sending it to respondents, based on the supervisor's input on the questionnaire. The researcher also kept in mind the importance of asking questions that are clear and specific and that each respondent would be able to answer without any challenges. From an identified sample of eight respondents who were sent the questionnaires, the researcher only managed to receive five responses. From the beginning, the researcher was a bit concerned with

the knowledge and understanding of respondents regarding the phenomenon or discipline of M&E and capacity requirements for functional M&E systems as none of them were qualified M&E practitioners with related M&E credentials.

However, the received five responses managed to assist the researcher a great deal with regard to the required information for analysis purposes. The researcher relied on the fact that some of the respondents identified have been members of the municipal service delivery M&E unit for close to four years. This is the main reason why they were selected as they were in a better position than most people in the department to provide the researcher with valuable information that could be used for analysis purposes regarding the challenges faced by the municipal service delivery M&E unit in attempts to implement a municipal M&E system.

4.2 PRESENTATION OF THE FINDINGS

As indicated in the previous chapter and as a primary source of data collection, the researcher sent out a questionnaire to current and former officials of the service delivery M&E unit in the DLGTA for their hands-on insight regarding the problem. For analysis purposes, the researcher also took into consideration the importance of presenting the questionnaire in themes. The proposed themes aimed to probe whether the challenges faced by the service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system could be rooted either in the “institutional (organisation)” or “human capacity and skills dimensions”. In addition and related to the surveyed literature, the questionnaire also meant to capture responses with regard to establishing whether the DLGTA had been aware of the earlier mentioned provisions of the importance M&E systems, human resource capacity requirements within M&E systems and the importance of capacity building in M&E systems.

4.2.1 DIMENSION ANALYSIS (INSTITUTIONAL/ ORGANISATIONAL)

The aim of this dimension of the questionnaires was to explore whether the challenges experienced by the DLGTA in the implementation of a municipal M&E system are rooted in the institutional/organisational make up of the DLGTA. This section of the questionnaire comprised five questions that can be presented into the following headings: (1) How the DLGTA views its role as the coordinating body of M&E in the province, (2) Departmental efforts embarked upon to prioritise the capacitation of the service delivery M&E unit, (3) Efforts embarked upon in the implementation of an M&E system, (4) Importance of the work produced by the service delivery M&E unit towards the attainment of the overall goals of the DLGTA, and (5) The roles and responsibilities of members of the service delivery M&E unit and their definition.

(1) How the DLGTA views its role as the coordinating body of M&E in the province

A number of responses on this question seemed to agree that to a certain extent, there is some level of understanding of the role of the department in terms of it being the coordinating body of municipal M&E in the province. Respondents indicated that:

> "To a certain extent, there is some level of understanding of the role of the department in terms of it being the coordinating body of municipal M&E in the province". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

Additionally respondents also indicated that:

> "The department is mandated to monitor and support the local government sphere in the province, as such, there is common understanding of the centrality of M&E in the department". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

Concerns that were raised however were that the department does not recognise the work produced by the service delivery M&E unit as central to the core mandate of

the department. Another major concern that was highlighted across the responses was that from a departmental point of view there seems to be a disjuncture between the importance and the understanding of the actual institutionalisation of M&E including what capacity and resources must be considered in order to ensure an efficient M&E unit and system in the department.

(2) Departmental efforts embarked upon to prioritise the capacitation of the service delivery M&E unit

In line with this question, responses seemed to agree that from a departmental point of view, there has been very little effort to ensure full capacitation of the M&E unit, even where numbers have been filled, the skills and experience cannot match the required outputs in terms of the understanding of the content and the monitoring output.

> "The department has made little effort in relation to the capacitation of the unit even though the nature and amount of the work indicated that the unit is in serious need of capacitation, not only in terms of the number of personnel but highly skilled personnel who have a solid M&E background. This also reflected how little attention has been paid to the M&E unit which is supposed to form a part of the core of the departmental mandate". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

(3) Efforts embarked upon in the implementation of a M&E system

Most responses to this question pointed to the development of a departmental M&E framework:

> "The M&E framework that the department has developed and currently attempting to rollout to municipalities is the only effort in attempts to institutionalise a municipal M&E system. The framework however does spell out exactly how the unit intends to approach its work in relation to

> the M&E of municipalities". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

A concerning point that was noted about the framework in the questionnaires was that:

> "Municipalities in the province however still need to be taken through the framework and their approval is also required". There also has been a recent capacitation of the unit in terms of personnel and some work has gone in assessing the effectiveness of the M&E system, which forms part of the new departmental strategy, which must culminate into a new service delivery model and the structure that better responds to the gaps identified in the assessment". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

(4) Importance of the work produced by the service delivery M&E unit towards the attainment of the overall goals of the DLGTA

There seemed to be agreement from the respondents that:

> "The work of the unit should be considered very important to the attainment of the goals of the department as the unit's work is based on identifying Gauteng municipality's areas of non-performance. This will then lead to the Department supporting municipalities in the identified areas of non-performance as well as assisting them with regard to their integrated development planning processes." (Maphunye, "Data Collection Guide", Questionnaire, 20 December 2013).

Respondents considered the work of the unit to be of utmost importance as its aim is to also identify municipal service delivery challenges, early identification of matters that could block service delivery and measures that could unblock them.

(5) The roles and responsibilities of members of the service delivery unit and their definition

There seems to be agreement from respondents that the roles and responsibilities are to some extent clearly defined, according to the defined posts in terms of what is expected from individuals. It was noted that:

> "Some roles are also interchangeable in nature and are also clearly communicated when necessary in terms of the content/subject matter. However, there has been no effort to really concretise the roles per individual to ensure maximum outcomes. Some of these roles include what regions (municipalities) an individual must coordinate, which Key Performance Area (KPA) each individual or a unit member should specialise on". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

Additionally and as much as there are job descriptions for unit members, these however cannot be fulfilled as unit members sometimes find themselves in a position where they are overwhelmed with ad-hoc duties and thereby neglect some of their roles and responsibilities.

4.2.2 DIMENSION ANALYSIS: HUMAN CAPACITY AND SKILLS

The aim of this dimension of the questionnaires was to explore whether the challenges experienced by the service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system could be rooted to the neglect to capacitate the M&E unit firstly with personnel in terms of numbers as well as personnel who are also highly skilled with regard to M&E practices. This section of the questionnaire comprised eight questions that can be presented into the following headings: (1) Capacitation of the unit to properly carry out its M&E functions, (2) Ability of unit members related to the implementation of municipal M&E systems, (3) Ability of unit members related to the management of evaluation projects, (4) Attendance of M&E training or capacity building courses (5) Ability and skills of members of the unit to carry out their functions effectively, efficiently and sustainably, (6) Knowledge of unit members in relation to quantitative and qualitative research methods, (7) Ability of

members of the unit related to supervising service providers, (8) Ability of unit members in presenting M&E reports.

(1) Capacitation of the unit to properly carry out its M&E functions

On the capacitation of unit members, respondents agreed that currently the unit seems to be capacitated in terms of the number of personnel and they are able to carry out their M&E functions towards municipalities; however this was not the case in years gone by. A number of respondents also noted that

> "The unit is not properly capacitated in line with the departmental strategic outlook and the expected monitoring outcomes in terms of responding properly to various strategies such as outcomes, National Development Plan and the Gauteng City Region strategy". (Maphunye, "Data Collection Guide", Questionnaire, 20 December 2013).

Respondents also agreed that

> "it would have been appropriate if each municipal district would have an assistant manager, and in addition to this there would also be officials who would be specialising in monitoring as to whether municipalities do comply with legislative prescripts (legislative compliance)". (Maphunye, "Data Collection Guide", Questionnaire, 20 December 2013).

An important point to note about the above response relates to what was mentioned earlier about the knowledge and understanding of respondents regarding capacity requirements for functional M&E systems. A number of respondents seemed not to have grasped this question correctly as the researcher was only interested in finding out whether the service delivery M&E unit had been properly capacitated in terms of the right number of personnel who also possess the proper M&E skills to be able to carry out their M&E functions and thereby implement a municipal M&E system.

(2) Ability of unit members related to the implementation of municipal M&E systems

There was an agreement amongst respondents about members of the unit possessing a somewhat slight background related to M&E, however as it was also indicated that:

> "The implementation of a municipal M&E system will also be proved by the implementation of the Departmental M&E framework includes a system that needs to be followed in relation to the M&E of municipalities. The departmental M&E framework firstly has to be rolled out to municipalities; this will then determine whether unit members are in a position to implement a municipal M&E system". (Maphunye, "Data Collection Guide", Questionnaire, 21 December 2013).

(3) Ability of unit members related to the management of evaluation projects

Generally, respondents were concerned with the level of abilities of unit members in relation to managing evaluation projects as members hold qualifications in various fields of study, some unrelated to the M&E field. It was also noted that some unit members may have conducted evaluation studies in some area or the other; therefore generally there is an inadequate ability to manage evaluation studies internally. Worth noting as well, is that respondents alluded to the training or capacitation on M&E that unit members need to undergo in order to improve on this.

(4) Attendance of M&E training or capacity building courses

A concern was raised by most respondents with regard to the department not prioritising the attendance of M&E training or capacity building courses for M&E unit members. Respondents regularly noted that

> "In the last 5 years, a number of unit members only attended one week long training and capacity building course on M&E. Members have also been offered general report writing courses and training in developing an M&E system. However no M&E courses have been offered on a regular basis". (Maphunye, "Data Collection Guide", Questionnaire, 19 December 2013).

In relation to this response, the respondents also seemed to agree that the onus lay with the Director of the municipal service delivery M&E unit to lead the orientation on the M&E system by ensuring that firstly, the M&E unit is well capacitated and also, ensuring that staff members of the unit attend M&E related training on a regular basis in order to improve their skills.

(5) Ability and skills of members of the unit to carry out their functions effectively, efficiently and sustainably

Respondents indicated that even though skill levels are very low, however certain members of the unit do possess somewhat relevant skills and expertise in relation to carrying out their duties effectively. It was also noted that as M&E is considered as an evolving discipline, it is important that members of the unit attend M&E training and capacity building courses on a regular basis in order to build and improve on their skills.

(6) Knowledge of unit members in relation to quantitative and qualitative research methods

This question intended to explore how knowledgeable unit members are regarding qualitative and quantitative research methods as part of carrying out their M&E tasks and also as part of individual competencies or attributes for M&E practitioners. Respondents generally agreed that members of the unit are knowledgeable about qualitative and quantitative research methods.

(7) Ability of members of the unit related to supervising service providers

Respondents indicated that some members have such experience and have supervised service providers before, however the majority would not have been exposed to such, but could handle it well given the opportunity. Additionally respondents agreed that:

> "Certain members of the unit have proven themselves to have supervision abilities relating to service providers, as the projects that were once embarked upon when service providers were involved turned out to be successful". (Maphunye, "Data Collection Guide", Questionnaire, 20 December 2013).

(8) Ability of unit members in preparing and presenting M&E reports

Respondents generally agreed that unit members do possess the ability to prepare and present M&E reports:

> Certain members of the unit are skilful in presenting M&E reports; however these skills need to be constantly improved upon as M&E is an evolving discipline. Just like in all the skills related questions, this also needs to be improved upon through the M&E training and capacity building courses" (Maphunye, "Data Collection Guide", Questionnaire, 22 December 2013).

4.3 ANALYSIS OF THE FINDINGS (DISCUSSIONS)

INSTITUTIONAL/ ORGANISATIONAL DIMENSION ANALYSIS

As a departure point, there was a level of understanding on the role of the department in terms of it being the coordinating body of municipal M&E in the Gauteng province. However the DLGTA, by not properly viewing itself as the coordinating body of municipal M&E in the province, has somewhat led to the organisation not prioritising the capacitation of the municipal service delivery M&E unit. This is indicated in the responses as they pointed out the little effort that was made with regard to capacitation of the municipal service delivery M&E unit of personnel who also posses the required M&E skills. Another major concern worth highlighting is that, from a departmental point of view, there seems to be a disjuncture between the importance and the understanding of the actual institutionalisation of M&E, including what capacity and resources/inputs must be considered in order to ensure an efficient M&E unit and system in the department.

Other than the departmental M&E framework that the department is in the process of rolling out to municipalities, there was no other indicated initiative that aims to implement a municipal M&E system. To this day, the framework remains the only effort in attempts to implement a municipal M&E system. The framework, however, does not spell out exactly how the unit intends to approach its work in relation to the M&E of municipalities. Municipalities in the province also need to be taken through the framework and their approval is also needed as it will have some bearing on their reporting duties towards the department. The framework still also has to be rolled out

to municipalities and this will determine whether the current unit members are in a position to implement a municipal M&E system or not.

The work produced by the service delivery M&E unit seems not to be considered as very important towards the attainment of the overall goals of the DLGTA even though this work is based on identifying Gauteng municipality's areas of non-performance, which is one of the core mandated aspects of the department. This will then lead to the Department supporting municipalities in the identified areas of non-performance, as well as assisting them with regard to their integrated development planning processes. The unit's work should be considered to be of utmost importance as it is based on identifying municipal service delivery challenges, early identification of matters that could block service delivery and measures that could be embarked upon to unblock them.

The roles and responsibilities of members of the service delivery unit and their definition seem to be clearly defined according to the defined posts in terms of what is expected from individuals. However, there has been no effort to really concretise the roles per individual to ensure maximum outcomes, for example dividing members of the unit to focus on different municipal regions and specialisation in areas of work or municipal KPAs. Additionally, and as much as there are job descriptions for unit members, these however cannot be fulfilled as unit members sometimes find themselves in a position where they are overwhelmed with ad-hoc duties and thereby neglect some of their roles and responsibilities.

HUMAN CAPACITY AND SKILLS DIMENSION ANALYSIS

The challenges faced by the service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system seem to be rooted within the institutional make up of the DLGTA as an organisation and this has led the DLGTA not to capacitate the human and skills dimensions of the municipal service delivery M&E unit. There seems to be a link between the institutional makeup of the DLGTA and the lack of prioritising the capacitation of the M&E unit in terms of personnel who are highly skilled in M&E practices. This alludes to points raised earlier that the DLGTA still does not view itself as the coordinating body of municipal M&E in the province

and also that this organisation does not view the work undertaken by the service delivery unit as core to achieving its legislated mandate. Currently the municipal service delivery M&E unit seems to be capacitated only in terms of the number of personnel and they are still unable to carry out their M&E functions towards municipalities as required. Municipal service delivery M&E unit members still need to be taken for M&E related courses to improve their knowledge and skills base for them to properly execute their M&E duties and also to implement a municipal M&E system.

Other concerns highlighted were that members of the municipal service delivery unit also lack proper evaluation skills as currently most of the unit's work is confined to the monitoring aspect and it does not cover the evaluation aspect. The department has also made little effort in relation to the capacitation of the unit even though the nature and amount of the work indicated that the unit is in serious need of capacitation, not only in terms of personnel but highly skilled personnel who have a solid M&E background. This also reflected how little attention has been paid to the M&E unit which is supposed to form a part of the core of the departmental mandate.

Though some efforts have been made recently towards capacitating the service delivery M&E unit, there remains some ground to be covered in the implementation of a municipal M&E system. This will also largely depend on the DLGTA prioritisation of the evaluation capacity building element for the capacitation of members of the M&E unit with the right personnel who possess the required M&E skills. It was indicated that even though skill levels are very low, however certain members of the unit do posses somewhat relevant skills and expertise in relation to carrying out their duties effectively. It was also noted that as M&E is considered as an evolving discipline, it is important that members of the unit attend M&E training and capacity building courses on a regular basis in order to build and improve on their skills.

4.4 SECONDARY DATA ANALYSIS

The little effort that was made towards demonstrating a new wave of thinking or results driven approach that could have been applied in relation to the institutionalisation of policies, programmes and processes shows that the DLGTA as an organisation has not been in line with provisions of the NPM theory. This was also highlighted by not taking a stand as the coordinating body of M&E in the Gauteng province. The lack of prioritising the capacitation of the municipal service delivery M&E unit also means that the DLGTA has not been driven by government's mission of improving its effectiveness and efficiency as advocated by the NPM theory. Taking note of the NPM theory which directs towards a results-based turnaround strategy based on improving efficiency and effectiveness towards Gauteng municipalities, the DLGTA management has not created an enabling environment based on effective internal processes that will ultimately assist Gauteng municipalities with their M&E functions, as required by legislation. Secondary sources were analysed in order to benchmark how the DLGTA fared with regard to the following: institutionalisation of M&E systems, prioritisation of the human capacity element as part of the requirements of an M&E system and lastly, prioritisation of the evaluation capacity building element for the capacitation of members of the M&E unit with numbers and with the required skills. Worth noting is that in the department, little effort was made in relation to the above.

It is worth noting that it is important for the DLGTA to apply provisions of the NPM theory because legislatively, this department is mandated to monitor municipalities in the province in managing their own affairs, exercising their powers and performing their functions. Legislatively the DLGTA is also expected to monitor the development of local government capacity in the province and to assess the support needed by municipalities to strengthen their capacity to manage their own affairs, exercise their powers and perform their functions. With the above reiterations in mind and from an analysis of secondary sources, it is worth noting that the DLGTA has also not been abiding by the provisions of the NPM theory, especially with regard to applying turnaround strategies or mechanisms that will assist in improving its efficiency and effectiveness as the challenges regarding institutionalising a municipal M&E system still persist.

4.5 CONCLUSION

The aim of this chapter was to present, analyse and discuss the findings that were gathered pertaining to the challenges faced by the municipal service delivery M&E unit of the DLGTA in implementing a municipal M&E system. This chapter presented, analysed as well as discussed the findings that were gathered through the questionnaires. The presentation, analysis and discussion of the findings also took into account the provisions of the surveyed literature (secondary sources) on whether the DLGTA as an organisation had been using NPM provisions as part of a results-based turnaround strategy towards improving its efficiency and effectiveness. A discovery was made that the DLGTA management has not created an enabling environment based on effective internal processes that will ultimately assist Gauteng municipalities with their M&E functions as required by legislation.

CHAPTER FIVE

SYNTHESIS OF THE ANALYSIS TO THE FINDINGS

5.1 INTRODUCTION

This chapter aims to present a synthesis of the analysis of the findings raised in this study regarding the challenges faced by the municipal service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system. This will be followed by proposed measures that can be adopted by the municipal service delivery M&E unit which may assist in overcoming the challenges encountered in implementing a municipal M&E system. A part of the proposed measures includes a municipal M&E system (attached as Annexure A) that the researcher proposes which the DLGTA service delivery M&E unit can implement in their efforts to conduct municipal M&E and also to assist Gauteng municipalities with their M&E functions. To begin with, it is worth noting that after analysing the findings presented in chapter 4, the researcher realised that the inability of the municipal service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system can be attributed to two challenges. The challenges are with regard to “The lack of the DLGTA to abide by provisions of the NPM Theory” and “The institutional (organisational) make up of the DLGTA”.

5.1.1 The lack of the DLGTA to abide by provisions of the NPM Theory

It was indicated that for this study, the NPM theory and its provisions were reflected upon to highlight a new wave of thinking or results driven approach that the public sector can apply for the institutionalisation or implementation of its policies, programmes and processes. This study was therefore premised on the operational notions that allude to the fact that NPM is relevant for the public sector as it proposes that governments should be driven by their mission of improving their effectiveness and efficiency. Despite critics that saw NPM doctrines as too heavily based on business-school and private-sector management perspectives whose key parts of the reform message have been reversed because they lead to policy disasters, NPM theory was still considered relevant for the study as it is also continues to be widely used by practitioners and academics alike. The theory of NPM was deemed important for the study because it advocates for business and private-sector

management perspectives that are required and could be useful in governments. For specificity, its operational notions argue that NPM is relevant for the public sector as it proposes that governments should be driven by their mission of improving their effectiveness and efficiency. Also in line with being driven by this mission, governments will be adopting a new wave of thinking or results driven approach that can be applied upon the implementation of their policies, programmes and processes.

Being cognisant of the NPM theory provisions which direct towards a results-based turnaround strategy based on improving efficiency and effectiveness, the researcher realised that the DLGTA did not create an enabling environment based on effective internal processes that demonstrate the willingness to be driven by its mission of improving its effectiveness and efficiency towards Gauteng municipalities. This is going against the provisions of NPM that advocate for governments to be driven by their mission of improving their effectiveness and efficiency. A part of the turnaround of internal processes was meant to commence with prioritising the implementation of a municipal M&E system. This system, in turn, would lay a foundation for how the municipal service delivery M&E unit would roll out assistance to municipalities in the Gauteng province for their M&E functions. This would be taken as the DLGTA being efficient and effective in Gauteng municipalities as it would be acting according to its mandate which is to monitor municipalities in the province in managing their own affairs, exercising their powers and performing their functions.

5.1.2 The institutional (organisational) make up of the DLGTA

By not taking a stand or viewing itself as the coordinating body of municipal M&E in the Gauteng province, the DLGTA opened a door for not recognising the work of the service delivery M&E unit as core to the attainment of the departmental mandate and objectives. This is part of the gap that exists between the institutional makeup of the DLGTA and the lack of prioritising the capacitation of the service delivery M&E unit. The institutional makeup of the DLGTA by not properly viewing itself as the coordinating body of municipal M&E in the province contributed immensely to this organisation not prioritising the capacitation of the service delivery M&E unit.

Because the DLGTA does not view itself as the coordinating body of M&E in the province, there has been very little effort to ensure full capacitation of the service

delivery M&E unit, even though the nature and amount of the work of the unit indicates that the unit is in serious need of capacitation, not only in terms of personnel but highly skilled personnel who have a solid M&E background. This also reflected how little attention has been paid to the M&E unit which is supposed to form a part of the core of the departmental mandate. By taking a stand as the coordinating body of municipal M&E in the province, the DLGTA will be in a position to realise the capacity requirements that need to be a part of a functional M&E system. A part of these requirements would entail capacitation of the service delivery M&E unit with personnel who are highly skilled in relation to M&E practices.

To bridge the gap earlier mentioned, the DLGTA would then begin by viewing itself as the coordinating body of municipal M&E in the province and this would lead to a realisation of the type of personnel and the skills required for capacitation of the service delivery M&E unit. This capacitation in terms of personnel who possess proper M&E skills would ultimately lead to the implementation of a municipal M&E system. Capacitation of the service delivery M&E unit however has to go hand in hand with the aspect of evaluation capacity building which will involve unit members undergoing related M&E training and skills development courses on a regular basis to improve their skills as M&E can be considered as an evolving discipline.

As earlier mentioned, a part of this chapter also includes a municipal M&E system that the researcher proposes which the DLGTA service delivery M&E unit can implement in their efforts to conduct municipal M&E and to assist Gauteng municipalities with their M&E functions. The researcher therefore designed a system (attached as Annexure A) which can be used by the service delivery M&E unit of the DLGTA in its efforts to conduct municipal M&E in the Gauteng province.

5.2 CONCLUSION

The first part of this chapter aimed at presenting a synthesis of the analysis to the findings raised in this study regarding the challenges faced by the municipal service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system. In the first part of the chapter, the researcher realised that the inability of the municipal service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system can be attributed to two challenges which were discussed as

“The lack of the DLGTA to abide by provisions of the NPM Theory” and “The institutional (organisational) makeup of the DLGTA”. Part two of the chapter then proposed a municipal M&E system (attached as Annexure A) that the researcher designed which the DLGTA service delivery M&E unit can implement in their efforts to conduct municipal M&E and also to assist Gauteng municipalities with their M&E functions. The researcher therefore proposes this system which can be used by the service delivery M&E unit of the DLGTA in their efforts to conduct municipal M&E in the Gauteng province.

CHAPTER SIX

CONCLUDING REMARKS

The aim of this study was to explore the challenges faced by the municipal service delivery M&E unit of the DLGTA in their efforts to implement a municipal M&E system. The inability of the municipal service delivery M&E unit of the DLGTA in the implementation of a municipal M&E system was attributed to two challenges which were discussed as “The lack of the DLGTA to abide by provisions of the NPM Theory” and “The institutional (organisational) makeup of the DLGTA”.

Because the DLGTA does not abide by provisions of NPM, the study firstly began by indicating that the NPM theory and its provisions were reflected upon to highlight a new wave of thinking or results driven approach that the public sector can apply upon the institutionalisation or implementation of its policies, programmes and processes. The theory of NPM was deemed important for the study because it advocates business and private-sector management perspectives that are required and could be useful in governments. This relates to operational notions of the NPM theory that argue that NPM is relevant for the public sector as it proposes that governments should be driven by their mission of improving their effectiveness and efficiency.

Taking note of the NPM theory provisions which direct towards a results-based turnaround strategy based on improving efficiency and effectiveness, the researcher realised that the DLGTA did not abide by these provisions to create an enabling environment based on effective internal processes that demonstrate its willingness to be driven by its mission of improving its effectiveness and efficiency towards Gauteng municipalities. A part of the turnaround of internal processes was meant to commence with prioritising the implementation of a municipal M&E system. This system in turn would lay a foundation for how the municipal service delivery M&E unit would roll out the assistance of municipalities in the Gauteng province with their M&E functions. This would also mean that the DLGTA is broadly exercising its mandated role of monitoring municipalities in the province in managing their own affairs, exercising their powers and performing their functions.

In relation to the institutional (organisational) makeup of the DLGTA, the researcher realised that the DLGTA by not properly viewing itself as the coordinating body of municipal M&E in the province, contributed to this organisation not prioritising the capacitation of the service delivery M&E unit. By not recognising itself as the coordinating body of M&E in the province, the DLGTA therefore could not see or recognise the importance of the service delivery M&E unit as core to the attainment of the departmental mandate and objectives. It also reflects how little attention has been paid to the M&E unit which is supposed to form a part of the core of the departmental mandate. Though some efforts have been made recently towards capacitating the service delivery M&E unit, there remains some ground to be covered in the implementation of a municipal M&E system. There has been very little effort to ensure full capacitation of the service delivery M&E unit even though the nature and amount of the work indicated that the unit is in serious need of capacitation, not only in terms of personnel but highly skilled personnel who have a solid M&E background. A consequence of the above departmental shortcomings is that they lead to the challenges of the DLGTA service delivery M&E unit to implement a municipal M&E system that will be used to conduct municipal M&E and also assist Gauteng municipalities with their M&E functions.

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ANNEXURE A: The Department of Local Government and Traditional Affairs (DLGTA) Proposed Municipal M&E System

As mentioned in the introduction as well as in chapter five, the study also intended to design and propose an M&E system that the municipal service delivery M&E unit of the DLGTA could implement in their efforts to carry out the M&E of municipalities in the Gauteng Province. This system can also assist Gauteng municipalities with their M&E functions. The researcher therefore designed the following system, attached as Annexure A that can be used by the service delivery M&E unit of the DLGTA in their efforts to conduct municipal M&E in the Gauteng province.

The purpose of developing the M&E system is mostly founded around the following South African National Government legislation and documentation: Constitution of the Republic of South Africa (Act 108 of 1996), Local Government Municipal Systems Act (MSA, Act 32 of 2000), Municipal Finance Management Act (MFMA, Act 56 of 2003), Performance Monitoring and Evaluation White Paper, Government Wide Monitoring and Evaluation System (GWM&ES), Monitoring and Evaluation Framework in Support of Cooperative Governance (2007), The Presidency Draft Policy Framework for the GWM&ES 2007, and the National Treasury Framework for Managing Programme Performance Information (2007). The above documentation advocate for the need to initialise and institutionalise M&E and related systems across all government spheres. For the DLGTA, M&E functions, roles and responsibilities are founded in the following documents: The Gauteng M&E Provincial Framework and The DLGTA municipal M&E Framework. In the development of this system for the DLGTA, the researcher was mostly guided the work of Kusek and Rist (2004), based on their proposed ten steps to a results based M&E system.

Annexure A:

Department of Local Government and Traditional Affairs (DLGTA) Municipal M&E System

Strategy/System:

Department of Local Government and Traditional Affairs (DLGTA Municipal M&E System

Overall Outcome:

Improved Municipal M&E in the Gauteng Province

Specific Objectives/Goals:

- Monitoring, Evaluation and reporting on municipal performance throughout the 5 Key Performance Areas (KPA)

    1. Institutional Transformation and Organisational Development
    2. Service Delivery and Infrastructure Development
    3. Local Economic Development
    4. Financial Viability and Management
    5. Good Governance and Intergovernmental Relations (IGR)

1. Readiness Assessment

- The DLGTA municipal M&E unit will be the champions of this system
- The system will assist in making municipal M&E in the Gauteng province more effective
- The system is intended for the following recipients
    - DLGTA internal units
    - Gauteng Municipalities
    - Gauteng Premier's Office
    - Provincial M&E Coordinating Forums
    - National Department of Performance Monitoring and Evaluation
    - National Department of Cooperative Governance and Traditional Affairs

Annexure A:
Department of Local Government and Traditional Affairs (DLGTA) Municipal M&E System

- The following have been identified as impediments to the current system
    - Human resource capacity (in terms of numbers and skills, including implementation skills)
    - The DLGTA not viewing itself as the coordinating body of M&E in the province
    - The DLGTA not viewing the work produced by the municipal M&E unit as central to the attainment of Departmental goals
    - Unidentified roles and responsibilities of M&E unit members
    - Lack of internal M&E coordination
    - Lack of DLGTA senior management involvement in M&E processes
    - Lack of adequate tools of trade

2. Indicators

- Producing accurate and concise quarterly, midyear and annual municipal performance information reports
- Increase evaluation studies to assess and verify municipal performance information

Annexure A:
Department of Local Government and Traditional Affairs (DLGTA) Municipal M&E System

<table>
<tr><td rowspan="2">3. Gathering Baseline Data
• Commissioned research studies
• Desktop research
• Evaluation studies
• Municipal Reports analysis</td><td colspan="4">4. Setting Realistic Targets
The DLGTA plans to address the above set indicators by producing the following documents in a financial year:</td></tr>
<tr><td>Quarter 1
(Oct – Dec)

• 1 Concise quarterly performance information report

• 1 report engagement and discussion meeting</td><td>Quarter 2
(Jan – March)

• 1 Concise Midyear performance information report
• 1 Evaluation study

• 1 report engagement and discussion meeting</td><td>Quarter 3
(April – Jun)

• 1 Concise quarterly performance information report

• 1 report engagement and discussion meeting</td><td>Quarter 4
(Jul – Sep)

• 1 Concise Annual performance report
• 1 Evaluation study

• 1 report engagement and discussion meeting</td></tr>
</table>

Annexure A:
Department of Local Government and Traditional Affairs (DLGTA) Municipal M&E System

5. Monitoring for results:				
Data Collection	**Evaluation**	**Roles and Responsibilities of M&E Unit Members**		
• The compilation of the above stated reports will rely on primary and secondary methods of data collection • Data collection shall occur every quarter for municipal quarterly reports, mid-yearly for the	• The purpose of the evaluation studies is to play a central role in the verification of the information contained in the collected municipal reports • The significance is to ensure that the reported municipal information is reliable and accurate • The essence is to ensure that upon compiling our reports, the information	• Administration Officers (AO): Collection or solicitation of municipal quarterly, midyear, annual and all other municipal information related reports • Assistant Directors: Analysing of the information contained (Findings) in the municipal reports and compiling the targeted quarterly, midyear and annual reports. • Deputy Directors: Inputting and finalising the draft report to a		

midyear report and annually for the annual report	used is reliable and accurate • Evaluations will also serve as measures to determine the relevance, efficiency, effectiveness, impact and sustainability of a programs or projects	final one, drawing up the terms of reference or proposal for the evaluation studies • Director: Approval of the final draft report, prepare the report to be disseminated to internal and external role players, drive the engagement meetings or process with internal or related stakeholders to interrogate the report (e.g. senior management forums), input on the proposal for the evaluation studies and initialise that process • Lead the orientation on the M&E system by ensuring that firstly the M&E unit is well capacitated and also ensuring that staff members of the unit are familiar and have the necessary skills on how to implement a municipal M&E system • This will be done to effectively use the system to assist		

		municipalities with their M&E functions as mandated • Chief Director: Sign off the final draft and oversee the following; internal and external dissemination of the report, senior management engagement process/ meetings and presentation of the reports to senior management forums • Oversee the process of ensuring that the M&E unit is well capacitated and also ensuring that staff members of the unit are familiar and have the necessary skills on how to implement a municipal M&E system		

6. Evaluation information to Support Decision Making

- The significance of the performance evaluation studies is that they will play a central role in the verification of the information contained in the collected municipal reports
- Evaluations will also serve as measures to determine the relevance, efficiency, effectiveness, impact and sustainability of a program~~s~~ or projects
- The findings of the evaluation studies will also determine whether the information used by municipalities in their quarterly, midyear and

annual reports is accurate and reliable

- After the information verification process from evaluation studies, the purpose is to ensure that upon compiling the unit reports, the information used is reliable and accurate
- The reliable and accurate information produced from the unit reports will largely influence the decision making process in senior management meetings/forums
- The support and intervention measures to be proposed in senior management meetings/forums after going through M&E unit reports will largely impact on municipalities improving on their mandate across the 5 KPAs.

7. Analysing and Reporting Findings

Findings will be reported or communicated in the following formats and timelines:

Quarter 1 (End of)	Quarter 2 (End of)	Quarter 3 (End of)	Quarter 4 (End of)
• 1 Concise quarterly municipal performance information report	• 1 Concise Midyear municipal performance information report	• 1 Concise quarterly municipal performance information report	• 1 Concise municipal annual performance report

8. Using the Findings

- The reliable and accurate information produced from M&E unit reports will largely influence the decision making process in senior management meetings/forums
- The support and intervention measures to be proposed by the DLTA senior management need to be largely informed by M&E unit reports

Annexure A:
Department of Local Government and Traditional Affairs (DLGTA) Municipal M&E System

- The support and intervention measures will also largely impact on municipalities improving on their mandate to deliver services across the 5 KPAs.

9. Sustaining the M&E System

It is worth noting that the above system will not sustain itself, however for the system to be sustainable and fully functional, the following have to accompany this system:

Inputs:

- Human resource capacitation (personnel and skills)
- Abiding by the roles and responsibilities
- The DLGTA taking a stand as the coordinating body of M&E in the province
- Internal M&E coordination
- Senior management involvement and support in the municipal M&E processes
- Adequate tools of trade to conduct M&E functions

10. Outcomes

- Effective and efficient monitoring of municipal performance across the 5 KPAs
- Effective evaluation of municipal performance information across the 5 KPAs

Table 6: Proposed DLGTA Municipal M&E System