WITS SCHOOL OF GOVERNANCE
UNIVERSITY OF THE WITWATERSRAND, JOHANNESBURG

UNIVERSITY OF THE WITWATERSRAND JOHANNESBURG

Human capacity to coordinate the City of Johannesburg's Monitoring and Evaluation framework.

Phello Mohlamonyane

0510051e

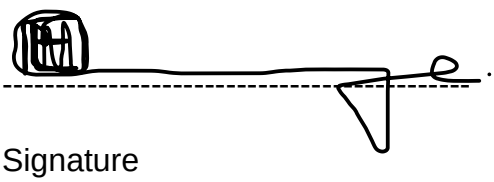
Supervisor: Marcel T. Korth

June 2021

A research report submitted to the Faculty of Commerce, Law and Management, University of Witwatersrand, in partial fulfilment of the requirements for the degree of Master of Management in the field of Governance (Public and Development Sector Monitoring and Evaluation).

Declaration

I Phello Elvis Mohlamonyane (student no: 0510051E) hereby declare that this research report, submitted in partial fulfilment of the requirements for a degree; Master of Management in the field of Governance (Public and Development Sector Monitoring and Evaluation), is submitted by myself, and that it has not been submitted at this or any other University prior. It is the product of my own work and all reference material used have been acknowledged.



Signature

30 June 2021

Date

Acknowledgement and dedications

This work would not have been possible without the support, guidance, assistance and invaluable inputs of my Supervisor, Marcel T. Korth. Thank you sincerely for your patience, understanding and for being part of this rather challenging journey from the beginning through to the end. I would also like to thank the colleagues at the City of Johannesburg's Group Strategy, Policy and Coordination's Monitoring and Evaluation Unit who took their valuable time out of their busy schedule to assist in data collection process.

To my family, friends and loved ones, thank you for the support and encouragement. Special appreciation to my wife, Ntladile Mohlamonyane and kids; Oabile and Thoriso Mohlamonyane from whom I spent time away in the process of completing this research, which I dedicate to you.

I would like to dedicate this research report to my mother, Meshidi Mohlamonyane for her continuous and unconditional love.

Abstract

The City of Johannesburg adopted a monitoring and evaluation system, the City-wide M&E framework in 2012 The framework was adopted primarily to help the City of Johannesburg to track the progress made towards the achievement of the outcomes of its long-term strategy, the Joburg 2040 GDS. Literature points to the fact that making effective use of an M&E system requires human capacity as one of the key components. This study aimed to assess the existing human capacity levels for the coordination of the City-wide M&E framework in the Group Strategy, Policy Coordination and Relations - M&E (GSPCR-M&E) unit.

To answer the research question empirically, a qualitative case study research approach was used through which semi-structured interviews were utilised in the collection of narrative data. Using these interviews, primary data was collected from M&E specialists currently and previously employed in the GSPCR-M&E unit. The participants were selected using purposive non-probability sampling method.

Thematic analysis of the participants' responses points to the fact that the City-wide M&E framework is not adequately utilised. The analysis further indicates that the reason for this inadequate use relates to the fact that the framework is not practical on the one hand and the fact that the M&E unit does not have adequate human capacity on the other.

The results of the study demonstrate that the M&E unit does not have adequate capacity to coordinate the City-wide M&E framework. On the basis of this conclusion, it is recommended that the City increases its M&E human capacity for the enhancement of overall functioning of M&E in the City of Johannesburg.

List of Figures and Tables

List of Abbreviations and Acronyms

A.G: Auditor-General

ANC: African National Congress

CEO: Chief Executive Officer

CLEAR- AA: Centre for Learning on Evaluation and Results- Anglophone Africa

COJ: City of Johannesburg

COVID-19: Corona Virus Disease of 2019

DA: Democratic Alliance

DPME: Department of Planning, Monitoring and Evaluation

ECB: Evaluation Capacity Building

GDS: Growth and Development Strategy

GGT: Growing Gauteng Together

GSPCR: Group Strategy, Policy Coordination and Relations

GW-M&E: Government-Wide Monitoring and Evaluation

HCD: Human Capacity Development

IDP: Integrated Development Plan

SDBIP: Service Delivery and Budget Implementation Plan

MMC: Member of Mayoral Committee

M&E: Monitoring and Evaluation

NCCC: National Corona Virus Command Council

NGOs: Non-Governmental Organisations

NPC: National Planning Commission

NT: National Treasury

OECD: Organisations for Economic Co-operation and Development

PSC: Public Service Commission

RSA: Republic of South Africa

SAMEA: South African Monitoring and Evaluation Association

TOC: Theory of Change

Table of Contents

CHAPTER ONE: INTRODUCTION AND BACKGROUND

1. Introduction and background

This paper provides a report of a research project undertaken at the City of Johannesburg Metropolitan Municipality. The research project was tailored to assess the human capacity levels for monitoring and evaluation in the M&E unit within the City of Johannesburg's Group Strategy, Policy Coordination and Relations department. The study is therefore located within the Monitoring and Evaluation field.

1.1. Monitoring and Evaluation

Monitoring and Evaluation are distinct, yet related and complementary concepts or functions whose juxtaposition is crucial for one's clarity.

> Monitoring refers to a "continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds" (OECD, 2002 p. 27, cited in Kusek and Rist, 2004, p. 12).
>
> Evaluation on the other hand refers to "the systematic, periodic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results" (OECD, 2002 p. 21, cited in Kusek & Rist, 2004, p. 12).

These two related functions, which have become popularly known as M&E have gained popularity over the last few decades. Over the years M&E has become what is arguably a powerful public management tool which has been used to manage performance in projects, programmes, and policies alike (Masuku and Ijeoma, 2015;

Kusek & Rist, 2004). Among many other purposes, the monitoring function provides stakeholders with information about the progress of an ongoing intervention, and evaluation provides scientific evidence for the achievement of project objectives or lack thereof (Kusek & Rist, 2004).

Owing largely to the well canvased benefits of their use, which include the “provision of evidence base for public resource allocation decisions”, M&E as management tools have over the past few decades made notable inroads in international Non-Governmental Organizations, Governments and Private companies the world over (Presidency, 2007, p. 1; Kusek & Rist, 2004). Whilst growing in popularity, these tools have equally, although somewhat covertly, undergone what one can call ‘evolution stages’, notably the evident transition from “traditional Implementation-based M&E to Results-based M&E” (Kusek & Rist, 2004, p. 11; Masuku & Ijeoma, 2015).

For the purpose of a clear delineation, a traditional implementation-based M&E system can be characterised as an M&E system that is “designed to address compliance - the ‘did they do it’ question” with a focus limited primarily on inputs, activities and outputs (Kusek & Rist, 2004, p. 15). A results-based M&E system on the other hand answers the ‘so what’ question by focusing on the results (outcome and impact) of an intervention (Kusek & Rist, 2004)

Implementing an effective results-based M&E system is an inherently challenging task. It is essentially a challenge because it requires, among others, a great deal of institutional reform, political will, and especially adequate human capacity (both in terms of quality and quantity), which are challenging to fulfil in most government institutions (Masuku & Ijeoma, 2015). As a result, and as reported by some authors,

there is a prevalence of traditional implementation focused M&E and not so much of results-based M&E (Kusek & Rist, 2004; Masuku & Ijeoma, 2015)

1.2. Monitoring and Evaluation in South Africa

South Africa, like many other countries institutionalised M&E as a result of internal and external pressures. Internally, the pressure was occasioned by persistent levels of poverty and inequality, corruption as well as high rates of service delivery demonstrations, among others (Goldman, Engela, Akhalwaya, Gasa, Leon, Mohamed, & Phillips, 2012, p. 3). As a result of this pressure, the government adopted a plan for the establishment and institutionalization of M&E in its governance as a mechanism for planning, accountability and good governance after the 2009 general elections from which the African National Congress (ANC) emerged victorious and its President, Mr. Jacob Zuma was elected as President of the Country (Goldman et al., 2012, p. 3).

Prior to the 2009 elections, however, there were persistent attempts to institutionalise M&E in the South African government. Masuku and Ijeoma (2015) report early attempts at establishing Government-Wide M&E (GWME) systems dating back as far as the late 1990s. It was only around 2005 when a plan was approved for the development of a Government-Wide M&E framework. The policy framework; the Government-Wide M&E system was subsequently adopted two years later, in 2007 (Goldman et al., 2012; Masuku & Ijeoma, 2015). The adopted framework remained in the government's radar for about two years, until after the 2009 general elections.

The Government-Wide M&E framework provides policy guidance to all the three spheres of government; the National, Provincial and Local Government respectively (Goldman et al., 2012). The policy imperative rests with the Ministry which was created

in 2009 and strategically located in the Office of the Presidency, following which the National Department of Planning, Monitoring and Evaluation (DPME) was created in 2010 respectively, together with the National Planning Commission (NPC) which serves as an M&E advisory body focusing on the long-term 2030 National Development Plan (Goldman et al., 2012).

Considering the semi-federal nature of the South African government system, the GWM&E led by the DPME had to be cascaded down to the nine Provinces as well as to local government municipalities (Presidency, 2007). To that effect, the Presidency states it explicitly that every accounting officer of a department or a municipality should, as a matter of statutory requirement establish an M&E system for their respective institution, be it a department, state entity or a municipality (Presidency, 2007, p. 4).

1.3. Human Capacity for Monitoring and Evaluation

Implementing a Monitoring and Evaluation system for an institution as big and as complex as the City of Johannesburg metropolitan municipality is a complex task which demands, among others, functional institutional structures to be in place. According to Görgens and Kusek (2009), making effective use of an M&E system requires twelve interconnected components to be in place. The 12 components are components relating to “people, partnership and planning”, components relating to “collecting, capturing and verifying of data”, as well as components relating to “using data for decision making” (Görgens & Kusek, 2009, p. 7). Within the components relating to people, partnership and planning is the second component, the human capacity for M&E which is equally crucial for the effective functioning of an M&E system.

This component, which is the central feature of this study emphasizes the importance of having adequate number of personnel in place to ensure the functionality and effectiveness of an M&E system. This component further makes it a requirement that the personnel be adequately skilled and competent in undertaking monitoring and evaluation functions (Maphunye, 2013).

Several research studies conducted in different government departments and municipalities have reported human capacity to be a prominent challenge in the implementation of M&E systems (Dube, 2015; Maepa, 2015, Maphunye, 2013). As a result of these widely reported human capacity constraints, government has not derived sufficient benefit from the use of M&E systems as guided by the GWM&E.

Human capacity can be measured both in terms of quality and quantity. Whereas quantity refers to the number of officials in a department responsible for M&E, quality can be determined by the “existence of properly and highly skilled personnel who perform their M&E functions effectively, efficiently and sustainably” (Görgens & Kusek, 2009 as cited in Maphunye, 2013, p. 22).

An adequately skilled M&E official would typically be one who has technical M&E skills such as skills to design a logical framework with all its elements clearly defined, skills to design a theory of change, skills to monitor performance using the M&E plan, skills to evaluate interventions using variety of evaluation methods. Competence in undertaking qualitative and qualitative research is equally crucial, together with analytical skills, strategic thinking as well as good report writing, among others.

1.4. Monitoring and Evaluation in the City of Johannesburg

The City of Johannesburg is the largest metropolitan municipality in South Africa, both in terms of population size and the economic power (Statistics South Africa, 2018). Located in Gauteng, the most populous Province in the Country, the COJ is compounded with a myriad of challenges which include; high levels of rapid urbanization, unemployment, poverty and extreme levels of inequality (City of Johannesburg Integrated Development Plan, 2019). As a response to these challenges, the City launched its long-term strategic planning document, Growth and Development Strategy also known as Joburg 2040 GDS. As the City's long-term plan, Joburg 2040 GDS is hinged on 4 key outcomes, and it is supported by medium-term planning document, the five years Integrated Development Plan (IDP) which is given effect by Chapter 5, Section 25 of the Municipal Systems Act 2003 (COJ IDP, 2019). The COJ's IDP has 9 strategic priorities which are cascaded into short-term planning documents, the annual institutional Service Delivery and Budget Implementation Plan (SDBIP) as well as departmental business plans (COJ IDP, 2019).

To systematically measure the progress made toward the Joburg 2040 GDS outcomes, and as a statutory requirement, the City developed an M&E framework in 2012, and subsequently established an M&E system (COJ M&E Framework, 2012; Presidency, 2007). The framework is overseen by a central M&E Office in the City, the Group Strategy, Policy Coordination and Relations (GSPCR) which is strategically located in the Office of the City Manager, the accounting officer in the City (Ndhlovu et al., 2017). The development of the M&E framework meant that all City departments (18) and entities (13) had to establish M&E units and align their annual SDBIP programmes with the City's strategic priorities as documented in the IDP. As a result, M&E tools find expression in the IDP and SDBIPs, hence, departments report on Key

Performance Indicators which include quantitative indicators, baseline values and targets (COJ M&E Framework, 2012).

Monitoring and Evaluation functions in the City of Johannesburg are decentralised, and therefore City Departments and Entities have their own M&E personnel who report to their respective Heads of Departments and/or Chief Executive Officers of the respective Entities. In respect of M&E and performance management, departments and entities are grouped into four clusters, headed by an M&E specialist from the GSPCR-M&E unit who is referred to as a 'cluster champion'. A cluster champion provides support and technical guidance to M&E personnel in the departments and entities. Furthermore, a cluster champion receives monthly and quarterly performance reports from members of their respective clusters and make an input in the consolidation of an annual report, as well as to brief the Members of Mayoral Committee (MMC) about their respective department's performance.

1.5. Research problem

Various studies have reported human capacity constraints to be a prominent challenge for effective use of M&E in some of the South African government departments, as well as in municipalities (Dube, 2015; Maepa 2015, Masuku & Ijeoma, 2015). These challenges manifest in several forms, from lack of M&E technical skills, high staff turnover of M&E personnel, lack of training, among others (Kusek & Rist, 2004).

More specifically, a study conducted in 2015 by the Centre for Learning on Evaluation and Results in Anglophone Africa (CLEAR-AA) reported that the GSPCR does not have "capacity both in terms of number of staff and technical skills or capability to advise departments appropriately" (Ndhlovu, Smith, Narsoo, 2017, p. 8), thus attributing the ineffective M&E use to the lack of capacity in the GSPCR-M&E unit.

One Senior Director mentioned that there is an unresolved debate about whether GSPCR-M&E Unit has adequate capacity for effective discharge of M&E functions (Senior M&E Director, personal communication, March 23, 2020).

Considering the decentralised nature of M&E in the City and the number of Departments (18) and Entities (13) for which GSPCR M&E specialists are responsible, the questions of the required individual skills and competencies to execute their mandate remain crucial. It was essential for the study to hone in on the GSPCR-M&E unit to solicit thoughts and perceptions about the availability of the required skills and competencies in the unit from the perspective of the M&E specialists themselves as well as their perceptions about the overall capacity of the unit to oversee the City-wide M&E framework within the cluster system.

1.6. Research purpose

The purpose of this research was to assess the human capacity levels for coordinating the M&E framework in the COJ's Group Strategy, Policy Coordination and Relations-Monitoring and Evaluation unit. Human capacity constraints have been reported to be amongst the major causes of ineffective implementation of the M&E system in the City (Ndhlovu et al., 2017). Thus, the purpose of this study was to assess the existing human capacity levels and find out the ideal skills and competencies required for the effective discharge of M&E functions by the M&E unit from the vantage point of the M&E specialists.

1.7. Research objectives

Broadly speaking, the study sought to investigate human capacity levels as they relate to M&E tasks and responsibilities in the COJ's Group Strategy, Policy Coordination and Relations – Monitoring and Evaluation unit.

1.8. Research questions

Primary research question

What are the human capacity levels for carrying out M&E work in the COJ's Group Strategy, Policy Coordination and Relations unit?

Secondary research question:

What are the required skills and competencies for coordinating the M&E framework in the GSCPR-M&E Unit?

1.9. Limitations of the study

This study was conducted within a veritably limited time frame. Only seven interviews were conducted in collecting primary data. This was caused by the fact that the unit is small, with only four M&E specialists in its organogram. At the time of data collection, two specialists had just left the unit to join other units in the COJ. The specialists were identified and asked to participate in the research. To make up the numbers, the researcher also interviewed a participant who had just joined the unit, coming from another department and this specialist was not in a suitable position to comment about the unit's capacity. Furthermore, the study was conducted at the hight of the covid-19 pandemic in South Africa where '*non-essential services workers'* were working from home and as a result, some interviews were held through Microsoft Teams, a virtual online platform. Where there were connectivity issues which made it impossible for the use of Microsoft Team, telephone interviews were held. This made it impossible for the researcher to be in the field and make observations which could've been recorded as field notes.

1.10. Justification of the research

This research provided an elaborate picture of the existing human capacity for M&E in the City of Johannesburg in general and in the GSPCR-M&E unit in particular. The study put in context the roles and duties of an M&E specialist in an organization as complex as the COJ. The existing human capacity cannot yield effective results without a functional M&E system and contra wise; an M&E system cannot function effectively without adequate human capacity. It was therefore pivotal to assess the existing human capacity and identify gaps if any and draw up recommendations to address the identified gap.

A long-term plan, Joburg 2040 GDS for which the City-wide M&E framework is responsible for overseeing is constantly nearing its deadline, but its crucial outcomes are not being achieved. The study focused on human capacity as a crucial component for the effective use of an M&E system in the COJ which should in turn provide support for the realisation of GDS 2040 outcomes.

1.11. Chapter outline

This research report is composed of six interlinked chapters outlined as follows;

1.11.1. Chapter 1: Introduction and background

This chapter was tailored to lay down the foundation of the study by capturing the introduction and locate the study within the broader context of the M&E field as well as to locate it within its physical research context, the City of Johannesburg.

1.11.2. Chapter 2: Literature review

This chapter discusses the relevant literature in M&E and ongoing debates in the field. It also interrogates the theoretical framework to point the foundational theories in a multidisciplinary field that is M&E and interrogates the conceptual framework to build interpretive frameworks for analysis in the study.

1.11.3. Chapter 3: Research procedure, methods and design

This chapter puts in context the research strategy, research design and methods used for the study. It also spells out and justifies the choice of the sample, sampling method as well as data collection method, sources of data and the justification thereof.

1.11.4. Chapter 4: Presentation of findings

This chapter presents the findings of this research from the voices of the research participants.

1.11.5. Chapter 5: Discussion of findings

This chapter presents a thorough discussion of the findings presented in the previous chapter and interprets these findings to derive meaning therefrom.

1.11.6. Chapter 6: Conclusion

This chapter presents the conclusions arrived at, following the discussion in the preceding chapter.

CHAPTER TWO: LITERATURE REVIEW

2. Introduction

This chapter presents and discusses relevant literature in relation to the concepts and tools of monitoring and evaluation in general, and human capacity for monitoring and evaluation in particular. As s starting point, the chapter commences with a brief description of the physical research context, the City of Johannesburg, to provide the context of the study. Within this frame, the study outlines the COJ M&E framework as an important tool against which a reflection is made, followed by a discussion of key aspects of M&E in relation to the history of M&E in South Africa's public sector.

The chapter further presents theoretical as well as conceptual frameworks to spell out the underlying theories and concepts underpinning the monitoring and evaluation system. In this case, concepts such as the results-based M&E are described, as well as the elements thereof, followed by the key components of a functional or effective M&E system as purported by the World Bank Handbook, with a specific focus on the first two components. In the same section, the chapter proceeds to discuss the concepts and functions of human capacity assessment and capacity development.

Furthermore, the chapter refers to the theory of change as a lens through which to view development interventions as well as fundamental considerations underpinning the functions of monitoring and evaluation and in particular, the results-based monitoring and evaluation systems. The underlying frameworks which accompany the theory of change, i.e. the results chain and the results framework are equally described.

Lastly, the chapter refers to the construct of evaluative thinking to paint a picture of the reportedly missing evaluation functions in the City, followed by a brief outline of the

professionalisation debates which have a significance in the broader discourse of M&E human capacity.

2.1. Physical research context

The City of Johannesburg is the largest metropolitan municipality in South Africa, both in terms of population size and the economy (Statistics South Africa, 2018). Located in Gauteng, the most populous Province in the Country, the COJ is compounded with a myriad of challenges which include, but not limited to; high levels of rapid urbanization, unemployment, poverty, and extreme levels of inequality (City of Johannesburg Integrated Development Plan, 2019).

To address these challenges, the City developed a long-term strategy, the Growth and Development Strategy which articulates the City's development path looking at the year 2040 (Growth and Development Strategy, 2011). The development of the Joburg 2040-GDS is consistent with the Gauteng Provincial strategy, the Growing Gauteng Together (GGT2030) as well as the South African government's National Development Plan (NDP2030).

The Joburg 2040-GDS incorporates numerous strategies which preceded it, and they include the Human Development Strategy, Integrated Transport Plan and the City Safety Strategy, among others (GDS, 2011). As articulated in the GDS (2011, p. 9), the 2040-GDS is underpinned by four key outcomes which include;

(i) improved quality of life and development-driven resilience for all,

(ii) provide a resilient, liveable, sustainable urban environment – underpinned by infrastructure support of a low carbon economy,

(iii) an inclusive, job-intensive, resilient and competitive economy that harnesses the potential of citizens,

(iv) a high performing metropolitan government that proactively contributes to and builds a sustainable, socially inclusive, locally integrated and globally competitive Gauteng City region.

Being a long-term strategy, the Joburg 2040-GDS has, for operational and strategic reasons been cascaded down to five-year medium-term plans, the Integrated Development Plans (IDP) as obliged by the Municipal Systems Act 23 of 2000. These five-year IDPs coincide with Mayoral terms of office and build cumulatively towards the achievement of the outcomes of the Joburg 2040-GDS and translate these outcomes into implementable programmes (City of Johannesburg Integrated Annual Report, 2012/2013). These implementable programmes are further cascaded down to annual institutional and departmental Service Delivery Budget Implementation Plan (SDBIP) as well as the Municipal Entities Business Plans (COJ-Integrated Annual Report, 2012/2013).

The SDBIPs are short-term planning strategies which are drafted and adopted annually for each department (COJ-Integrated Annual Report, 2012/2013). Likewise, business plans are short-term planning documents which are drafted and adopted annually for each Municipal Entity. Therefore, Departments and Municipal Entities are responsible for the implementation of the City's medium-term strategy, the IDP and long-term strategy, the Joburg 2040-GDS through their various programmes which are informed by and reflected their SDBIPs and business plans respectively.

With the need to achieve the objectives as set out in the Joburg 2040 GDS and IDPs it had become prudent for the City to improve its internal processes to be more effective (City of Johannesburg M&E framework, 2012, p. 4). This effectiveness would

ensure that there is alignment between the SDBIPs and Business Plans, the IDP and the Joburg 2040-GDS.

As a result, the core priorities/outcomes underpinning the Joburg 2040- GDS have been used as a foundation for a refined governance arrangement in the City, which has taken a form of a cluster sub-mayoral committee system (COJ M&E Framework, 2012). Four sub-mayoral committee systems were subsequently established in 2011, composed of the clusters of sustainable services, economic growth, good governance as well as human and social development cluster respectively (COJ M&E framework, 2012, p. 4).

2.2. The City of Johannesburg's Monitoring and Evaluation Framework

To systematically measure the progress made toward the Joburg 2040-GDS outcomes, and as mandated by the Presidency's M&E unit, the National Department of Planning Monitoring and Evaluation, the City of Johannesburg developed a City-wide Monitoring and Evaluation framework in 2012, and therefore, established an M&E system (COJ M&E Framework, 2012). The development of the M&E framework aims to establish the following objectives as stated in the COJ M&E framework (2012, p. 4)

- A City-wide understanding of M&E;
- A common, standardised language and approach for the application of M&E principles across the city as a whole;
- Enhanced M&E practices – in terms of M&E methodology and tools, and the quality, frequency and application of findings;
- Clarity in relation to the roles and responsibilities of all those who are directly or indirectly involved in M&E activities;

- The means through which to institutionalise M&E – and ensure application of learnings arising from analysis, for improved delivery;
- A mechanism for greater integration of M&E practice within the City's public participation, planning, budgeting, delivery, policy development, oversight, reporting and governance related processes; and
- Greater transparency and accountability, through the generation of sound information to be used in reporting, communication and the improvement of service delivery.

Whereas all the stakeholders have a role to play in the effective functioning of the M&E framework, it is the office of the City Manager which has the ultimate responsibility in this regard. Hence, the city's central M&E unit is strategically located in the office of the City Manager, the accounting Officer of the City, just as the National M&E system is strategically located in the Presidency (COJ M&E Framework, 2012).

Symmetrical to the National M&E arrangement, the City-wide M&E system is overseen by the planning and strategic hub of the City, the Group Strategy Policy Coordination and Relations department's M&E Unit (Ndhlovu et al., 2017). The development of the City-wide M&E system meant that all City departments and Municipal entities had to establish their 'domestic' M&E units and align their annual Business Plans and SDBIP programmes with the City's strategic priorities as documented in the IDP. The development of M&E units in the City departments and entities suggests that the M&E functions in the City are decentralised.

The departments and entities are expected and mandated to develop their strategic plans in such a way that M&E tools and functions find expression in the Business plans

and SDBIPs, and therefore report on Key Performance Indicators which include quantitative indicators, baseline values and targets (COJ M&E Framework, 2012).

In the formulation of their annual targets and indicators thereof, the delivery agents are mandated to ensure synergy and alignment with the City's strategic medium and long-term objectives (M&E Specialist Job Description, 2020). Although the M&E personnel in the delivery agents report to their respective HODs and CEO's, they get technical M&E support and guidance from the M&E specialists based in the GSPCR-M&E unit.

This support, and by extension oversight, takes the form of a cluster system wherein the delivery agents as per their respective programmes are assigned to different clusters which include; sustainable services cluster, economic growth cluster, good governance cluster as well as human and social development cluster (COJ M&E framework, 2012). From an M&E perspective, these clusters are headed by M&E specialists also known commonly as cluster champions.

In respect of their respective cluster, each cluster champion is required as per a signed job description to ensure that a strategic plan is properly developed by; on a quarterly basis providing input into the 5-year Cluster Strategic plans and providing input into the SDBIPs for their respective cluster (M&E specialist Job Description, 2020). On a weekly basis, a cluster champion has a duty to develop, execute and monitor operational plans for their cluster, approve and oversee implementation in their respective cluster operational plans and perform regular reviews and analysis of trends and performance related to their respective cluster (M&E specialist Job Description, 2020).

Furthermore, a cluster champion is mandated to, on a daily basis, lead and manage programme evaluations by; circulating the calls for submission of evaluation proposals; development of Cluster Evaluation proposals and selection of evaluation projects to be evaluated, facilitate the appointment of external evaluator to undertake studies; review evaluator's reports; as well as disseminate evaluation findings to relevant stakeholders (M&E specialist Job Description, 2020).

By the 4th anniversary of the COJ M&E framework, it had become clear that the framework was not fully implemented and therefore short to medium-term progress towards Joburg 2040 GDS could still not be measured (Ndhlovu et al., 2017). Hence, in 2016, the City approached the Centre for Learning on Evaluation and Results Anglophone-Africa (CLEAR-AA) to assist in understanding the policies, practices and use of (M&E) in tracking the performance of the City towards meeting the goals of Joburg 2040 (Ndhlovu et al., 2017). Using mixed research methods, the CLEAR-AA collected primary data from 54 M&E officials across the City through online organizational survey, key informant interviews as well as focus group discussions and secondary data through desktop review.

The CLEAR-AA study made several findings which range from misaligned and poorly phrased indicators, unclear targets, as well as poor internal horizontal communication between departments and entities (Ndhlovu et al., 2017). Key to these findings was the issue of M&E human capacity constraints across the City, but especially in the GSPCR to which line departments and entities look up (Ndhlovu et al., 2017). In this case, some of the respondents have gone on to submit that the GSPCR does not have capacity "both in terms of number of staff and technical skills or capability to advise departments appropriately" (Ndhlovu et al., 2017, p. 8).

2.3. Research knowledge gap

Against the background of the CLEAR-AA study and following a problem analysis of the perceived ineffective implementation of the City-wide M&E system, it was prudent for this study to conduct a human capacity assessment. The human capacity assessment was meant to address the knowledge gap and therefore establish an understanding of the existing capacity against the ideal capacity, the required skills against the prevalent skills, the required experience against the prevalent experience, as well as the prevalent human capacity development initiatives.

Succinctly, there has never been a case study conducted in the City which directly sought to conduct a qualitative M&E human capacity assessment in the GSPCR-M&E unit from the perspective and lived experiences of M&E specialists as a unit of analysis. Thus, there exists both knowledge and methodological gap which this study sought to fill.

The human capacity assessment was conducted using a qualitative case study method wherein, the M&E specialists who are experts in their own right were given a platform through semi-structured interviews to provide a detailed account of the unit's capacity from their vantage point and not that of 'outsiders'. Using a qualitative research method served its purpose and enabled this study to fill the knowledge gap as the specialists were able to express themselves and provided a painstaking account and analysis of the unit's overall capacity as well their own strengths and weaknesses in respect of the required skills and competencies to perform M&E functions.

2.4. Human Capacity for M&E in the GSPCR-M&E Unit

Considering the brief duties of the cluster champions outlined in section 2.2, it is pivotal to provide a snapshot of the personnel responsible for discharging M&E functions in the GSPCR-M&E unit, and by extension ascertain the effective functioning of a City-wide M&E system. Below is an organisational structure of the M&E department as of 24 February 2016, but still applicable to date.

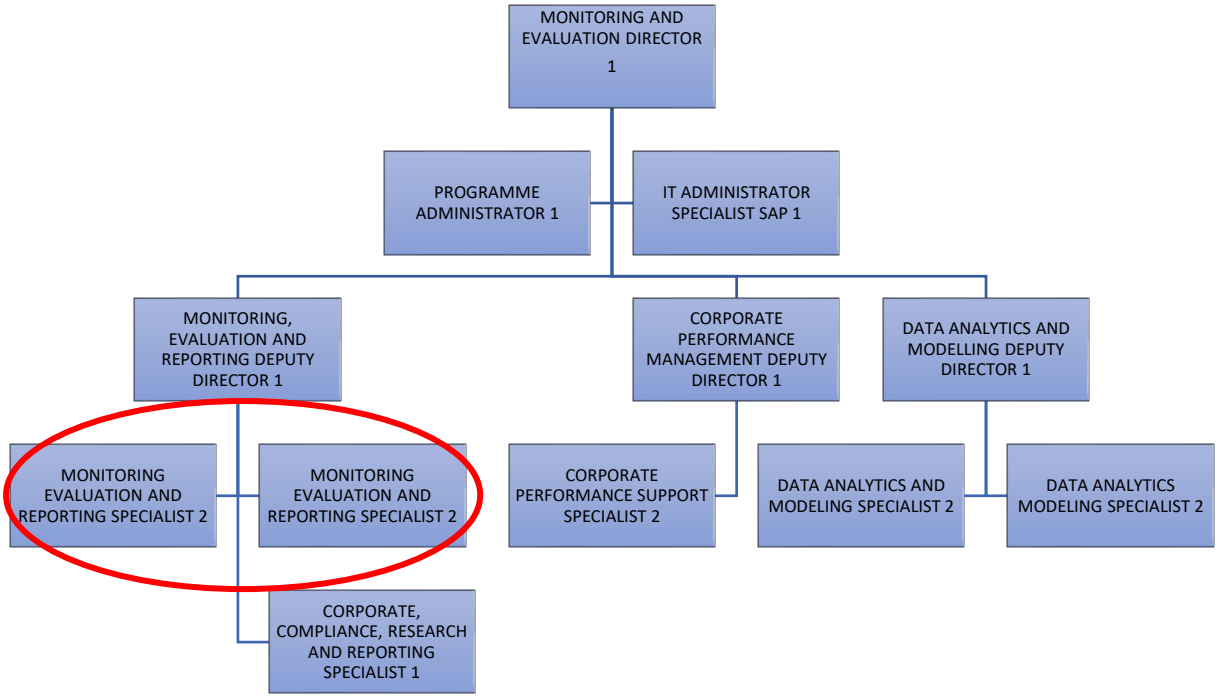


Figure 1: GSPCR-M&E Organizational Structure

From looking at the above organogram, one can see that the specific personnel responsible for overseeing the M&E functions are only four, as marked Monitoring, Evaluation and Reporting specialist in the two boxes at the bottom left of the diagram circled in red.

In this case, each M&E specialist is responsible for overseeing the M&E functions of their respective cluster, which is composed of a combination of about six core departments and entities, depending on the cluster size (see table 1 below). To put it succinctly, each cluster champion is expected to monitor, report and evaluate a diversity of programmes in each department and entity clubbed together as a cluster.

At the time of data collection, the unit had four occupied M&E specialist positions. However, the specialist for the economic development cluster had just started in their role, having joined the unit in the month of June, after a specialist who served in that cluster since 2016 had taken a lateral transfer to join another department. The specialist for the sustainable services cluster was assuming secondment in another department, which means he was in the process of transferring (lateral) to another unit. The position of a Deputy Director had recently been occupied, after being vacant for a considerable amount of time. Below is a breakdown of the clusters and members thereof.

Cluster	**Departments and Municipal Entities**
Human and Social Development Cluster	Health Social Development Community Development City Parks and Zoo Joburg Theatre Public safety
Sustainable Services Cluster	Environment and Infrastructure Services Development Housing Pikitup Joburg Water City Power Johannesburg Social Housing Company
Good Governance Cluster	Group Finance Group Forensic Investigations GSPCR GRAS GCSS Legislature

	Private Office of the Mayor Group Communications CRUM Group Legal & Contracts
Economic Growth Cluster	Department of Economic Development Development Planning & Urban Management Department of Transport Joburg Market Joburg Road Agency Joburg Development Agency Metrobus Joburg Property Company Joburg Tourism

Table 1: Breakdown of cluster composition.

2.5. Monitoring and Evaluation

There are ongoing debates about the origins of monitoring and evaluation. Western literature characterised as the 'Modernists' suggests that M&E is a fairly new concept, and that it was introduced by the World Bank in the early 2000s (Kusek & Rist, 2004). However, some African scholars characterised as the 'traditionalists' hold a different view and contend that M&E is not new in Africa. Whereas 'Modernists' suggest that M&E originates in the global North, 'traditionalists' contend that in fact M&E originates in Africa, specifically in Egypt as "ancient Egyptians regularly monitored their country's outputs in grain and livestock production more than 5000 years ago" (Masuku & Ijeoma, 2015, p. 10).

Against the background of these contestations, current literature and empirical evidence suggest that developed countries have achieved some remarkable successes in institutionalizing and using M&E effectively for over 30 years (Kusek & Rist, 2004). Developing countries have in the recent past followed suit, drawing lessons from developed countries about mainstreaming M&E in their governance

framework. This is the case with South Africa as, prior to the development of GWM&E, the Country deployed senior government officials and specialists to visit countries such as Canada, Chile, Australia, among others to draw lessons from these countries (Goldman et al., 2012).

Monitoring and Evaluation are two interrelated and complementary concepts and functions, and they are defined below;

> Monitoring refers to a "continuous function that uses the systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds" (OECD, 2002 p. 27, cited in Kusek and Rist, 2004, p. 12).
>
> Evaluation on the other hand refers to "the systematic, periodic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results" (OECD, 2002 p. 21, cited in Kusek & Rist, 2004, p. 12).

Whereas these two concepts have been practised in different forms over decades, they have become more popular and more intentional as a management tool in recent years and have come to be known through the acronym, M&E. The rapid resurgence of M&E as a management tool is largely a result of new challenges and pressures under which governments find themselves, in respect of transparency, accountability and good governance, among others (Kusek & Rist, 2004).

The levels of accountability, good governance and transparency have dropped significantly over the years and as such, as regular management and governance systems had become less and less effective in dealing with complex societal issues (Farrell & Commonwealth of Learning, 2009). Thus, it had become necessary to find more effective and additional tools or governance system through which these key

principles of accountability, transparency and good governance would find expression in government institutions and development organizations (Masuku & Ijeoma, 2015).

It is for this reason that M&E as a management tool gained prominence. Formulated into a system, M&E can, among others "provide the information needed to assess and guide project strategy, ensure effective operations, meet internal and external reporting requirements, and inform future programming" (Chaplowe, 2008, p. 3).

The backlash against the challenges of poor accountability, lack of transparency and poor governance as well as internal and external pressures directed at governments and development organizations have prompted these institutions to account to their citizens and stakeholders by demonstrating the actual results of their interventions (policies, programmes and projects) on people and communities (Kusek & Rist, 2004). Hence, many governments and institutions have been persuaded to design, implement and mainstream Monitoring and Evaluation systems in their governance structures.

Broadly speaking, managing for results refers to the function of properly defining the anticipated project outcomes, monitoring, and evaluating performance and ensuring that the necessary changes are made where it is required, in order to accomplish project effectiveness (Lahey, 2015).

2.6. The emergence of M&E in South Africa

There are reports which suggest that M&E in South Africa has been known since the early 1990s, however, it was only known by few government employees who became familiar with it through aid agencies as well as international practice (Masuku & Ijeoma, 2015). Hence, initial attempts of M&E practice in South Africa, are reported to date

back to the late 1990's, although those attempts were generally unsuccessful as there was no centrally driven system (Goldman et al., 2012, p. 12).

Following its global popularity, the interest in the practice resurfaced in South Africa around 2004, a period during which the Presidency was given a task of leading the effort of mainstreaming M&E in the public sector (Goldman et al., 2012). The Presidency led this effort together with other role players in the South African government including the National Treasury, the Department of Public Service and Administration, the Department of Provincial and Local government, the Public Service Commission as well as Statistics South Africa (Bester 2009 in Masuku & Ijeoma, 2015, p 12).

Subsequent to these efforts, and as a results of multiple pressures occasioned by persistent levels of poverty and inequality, corruption as well as high rates of service delivery demonstrations, among others, the South African government adopted a plan for the establishment and institutionalization of M&E in its governance as a mechanism for planning, accountability and good governance (Goldman et al., 2012, p. 3). Following the adoption of this plan, a policy framework; the Government-Wide monitoring and evaluation system was drafted and adopted in 2007 (Presidency, 2007).

The Government-wide M&E framework provides policy guidance and technical support to all the three spheres of government; the National, Provincial and Local Government respectively (Presidency, 2007). The policy imperative rests with the Ministry which was created in 2009 and strategically located in the Office of the Presidency, following which the National Department of Planning, Monitoring and Evaluation (DPME) was created in 2010 respectively (Goldman et al., 2012).

Considering the semi-federal nature of the South African government system, the GWM&E led by the DPME had to be cascaded down to the nine Provinces and their respective departments as well as to Local government municipalities (Presidency, 2007). To that effect, the Presidency states it explicitly that every accounting officer of a department or a municipality should, as a matter of statutory requirement establish an M&E system for their respective institution, be it a department, state entity or a municipality (Presidency, 2007, p 4).

In so far as the M&E system is concerned, the government adopted the outcomes approach to M&E, and accordingly, adopted 12 key outcomes for the 2009 administration, which included a focus on health, education and crime, among others (Goldman et al., 2012). Hence, ministers had to sign performance contracts with the Presidency and their departments had to report on the achievement of their respective outcomes (Goldman et al., 2012).

The introduction of the Government-Wide M&E system was met with some unwillingness and resistance from the bureaucracy and the broader body politic (Goldman et al., 2012). Given the persistent culture of corruption, maladministration, and overall lack of transparency in the public sector, this resistance was to be expected (Manyaka and Nkuna, 2014). Over and above the unwillingness was the fact that government did not have adequate capacity, both human and institutional capacity to implement the M&E system (Presidency, 2007).

Bearing in mind everything that has been said about M&E in the preceding sections, it is paramount that one provides a critical reflection as a way of concluding this section. Central to the said reflections is that M&E is not a panacea for poor governance, nor challenges relating to, but not limited to poor service delivery and

corruption, which plague many countries, including South Africa as stated by Manyaka and Nkuna (2014).

The year 2020 marked exactly ten years since the DPME was established and M&E was mainstreamed in the governance structures (Goldman et al., 2012). Despite their well canvassed benefits, M&E cannot be ‘copied’ from one country and ‘pasted’ in another (Kusek & Rist, 2004; Mackay, 2007). It is crucial that the tools be used and implement in accordance with the context of a specific country or institution and therefore acknowledge complex challenges with which developing countries as an example, are compounded. Many developing countries have relatively ineffective governance and organizational structures, and as such, it is nearly impossible for a system as complex and detailed as an M&E system to fit without making necessary reforms before attempting to institutionalise M&E (Abrahams, 2015)

South Africa as an example has been widely reported to have some of the most progressive policies, however, the country is often seen to lack in implementation of those policies (Tebele, 2016). The lack or inability to implement the policies has widely been reported to be caused by, among others, lack of skills, knowledge, experience and expertise (McLaughlin, 1987, p.172; Barrett, 2004, p. 159; Lasswell, 2003, p. 85 in Tebele, 2016, p. 15) Hence, an M&E system may not function effectively as the policies and programmes for which the system is set up to monitor and ultimately evaluate quiet often do not get to be implemented (Tebele, 2016). Where there is implementation, frequently one finds that there is lack of ‘proper’ data systems to enable the M&E system to function, considering that data is the backbone of M&E (Görgens & Kusek, 2009).

In such instances as described above, M&E gets reduced to malicious compliance exercise, instead of meaningful outcomes-oriented or results-based monitoring, evaluation, and reporting (Mataka, 2015).

It is worth noting, against this background that implementation of results-based M&E is in itself a “process of continuous improvement” (Farrell and the commonwealth of Learning, 2009, p. 7), thus, it takes time for some institutions to get it right. The success of an M&E system is marked by, among others, the creation of a sustainable, well-functioning M&E system in an institution whereby M&E information of good quality is utilised (Mackay, 2007).

2.7. Theoretical and Conceptual Frameworks

2.7.1. Results-Based M&E

Whereas many institutions, including governments and development organizations have over the years designed and implemented Monitoring and Evaluation systems, many of them have not been able to derive much benefit from these systems (Farrell & Commonwealth of Learning, 2009). Some of these institutions have been accused of, among others, “reporting more about programme activities and processes than the results achieved” (Farrell & Commonwealth of Learning, 2009, p. 7). This type of a system is characteristic of implementation-focused M&E, whose focus is limited to inputs, activities and outputs (Kusek & Rist, 2004).

In the context of governments, Citizens demand government officials to account for the use of their allocated resources, and therefore expect these officials to demonstrate the actual results or impact of their interventions (Kusek & Rist, 2004). This demand for results and accountability has prompted many institutions to attempt to demonstrate results and therefore adopt models of Results-Based Management

(Farrell & Commonwealth of Learning, 2009, p 7). Farrell and Commonwealth of Learning (2009, p 7) posit that Results-Based Management (RMB) requires that intended results of an intervention be described in a "sequential hierarchy, beginning with shorter-term results that, when achieved, lead to achievement of broader long-term results".

Results-Based M&E (RB-M&E) is derived from Results-Based Management (Farrell & Commonwealth of Learning, 2009). Kusek and Rist (2004, p. 1) define results-based M&E as a "powerful public management tool" that can be used to measure progress and evaluate outcomes of an intervention and subsequently, give feedback to the ongoing routine management system. Measuring progress includes the tasks of tracking progress of an intervention from inputs, activities to outputs through their defined indicators.

> Inputs are defined as the needed resources (human, financial etc) which need to be in place in order for certain tasks or duties of an intervention to take place (Caldwell, 2002 in Chaploe, 2008). Activities are the actual duties or regular efforts needed to produce the outputs and when completed, some changes occur (Caldwell, 2002 in Chaploe, 2008). Outputs are the immediate products or services needed to achieve the outcomes Caldwell, 2002 in Chaploe, 2008). Finally, indicators are tracking mechanisms through which to measure progress or completion of stated activities (Caldwell, 2002 in Chaploe, 2008). The above are typically what characterise monitoring.

Evaluating outcomes on the other hand involves a periodic assessment of a programme conducted at different intervals of the intervention to ascertain its relevance, efficiency, effectiveness, impact and sustainability (Kusek & Rist, 2004, p.

114). There are many different types of evaluations, which typically include formative evaluations, summative evaluations, midterm evaluations and impact evaluations as well as final evaluations (International Federation of Red Cross, 2011).

Some methods are more prevalent than others, and these are implementation evaluation, process evaluation, outcome evaluation as well as impact evaluation (Clifton, 2003; Kusek & Rist, 2004). The choice of an evaluation method depends on a number of factors which include, but not limited to the purpose of the evaluation, the objective of the evaluation as well as the specific evaluation domain (Greene, Mark & Shaw, 2006).

The literature reviewed in the City of Johannesburg, and the current appetite to accomplish the 2040 GDS objectives suggest that the City is equally attempting to implement a Results-Based M&E system through its City-wide M&E framework. Evidence, however, point to the fact that the City has not been able to effectively make use of its M&E system, thus far, owing to numerous reasons, with human capacity being one of them (Ndhlovu et al., 2017).

This corroborates the view that strengths and capacities of institutions differ from one institution to the next, and as such, some institutions with limited capacity are still ‘trapped’ on implementation-focused M&E and have not moved towards results-based M&E (Masuku & Ijeoma, 2015).

2.7.2. Elements of Results-Based Monitoring and Evaluation

According to Kusek and Rist (2004, p. 17) as adapted from Fukuda-Parr, Lopes, and Malik (2002, p. 11), the following are key elements of a Results-Based Monitoring system:

- Baseline data to describe the problem or situation before the intervention, used as the first critical measures, Kusek & Rist (2004, p. 81) define baseline data as qualitative or quantitative information that provides data at the beginning of or just prior to, the monitoring period.

  The desktop review of literature on the City suggests that this element of RB-M&E finds expression in relevant documents such as the IDP and SDBIPs (COJ Service Delivery Budget and Implementation Plan 2020/21; COJ Integrated Development Plan Review, 2019/20; Annual Report 2018/19?). The City attempts to demonstrate its starting point in terms of its planned interventions, with intentions to show results once interventions are complete.

- Indicators for outcomes. Indicators are defined as the "quantitative or qualitative variables that provide a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of an organization against the stated outcomes" (Kusek & Rist, 2004, p. 65). Outcome indicators are therefore critical for answering the questions of "how will we know success or achievement when we see it and, are we moving towards our desired outcomes?" (Kusek & Rist, 2004, p. 65).

  The review of literature shows that this element of RB-M&E finds expression in relevant City documents such as the IDP and SDBIPs. Hence, the City's system and employees are expected to report on Key Performance Indicators as well as Outcome indicators (COJ SDBIP, 2020/21; COJ IDP Review, 2019/20; Annual Report 2018/19?).

However, it seems like the indicators in these documents are primarily on output level, as opposed to outcomes.

- Data collection on outputs and how and whether they contribute towards achievement of outcomes.

  This element equally finds expression in the City, as shown in relevant documents, especially in the integrated annual reports of the City (COJ SDBIP, 2020/21; COJ IDP Review, 2019/20; Annual Report 2018/19?). However, there is a fairly minimal indication of a "contribution or attribution" (Rogers, 2008) of these output to the broader outcomes of the City as enshrined in the 2040GDS.

- Systematic reporting with more qualitative and quantitative information on the progress toward outcomes.

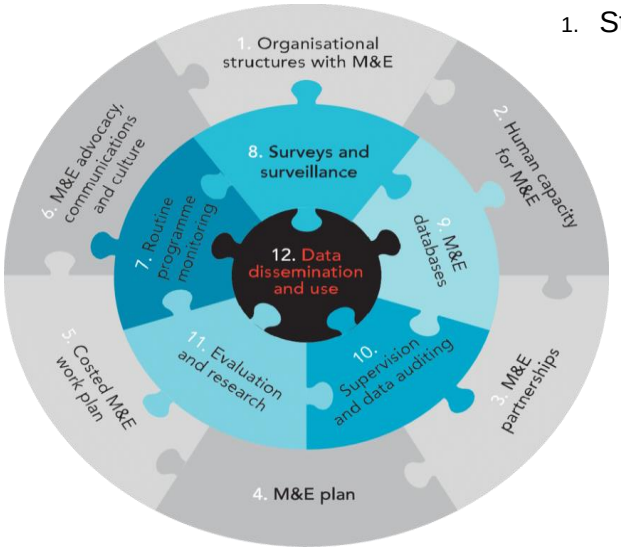
  This element equally finds expression in the City. There is a clearly defined reporting system in the City from programme implementers to data capturers, M&E officials in delivery agents as well as cluster officials all the way to sub-mayoral structures and ultimately, council (COJ SDBIP, 2020/21; COJ IDP Review, 2019/20; Annual Report 2018/19?)

All indications point to the fact that the City's M&E framework attempts to take the shape of a Results-based M&E system, and therefore mirror the Government-wide M&E system which is referred to as outcomes-based (COJ M&E framework, 2012; Presidency, 2007).

2.7.3. 12 components of effective M&E systems

Having outlined that the City of Johannesburg has adopted a Results-based approach in its M&E framework, it is pivotal to hone in on the critical components for an effective

Results-based M&E system. Making effective use of results-based M&E system is a challenging task as reported by several researchers, and it requires a great deal of institutional reforms to be in place as well as different forms of institutional capacity (Kusek & Rist, 2004). To that effect, Görgens and Kusek (2009) outline 12 components to an effective M&E system which are depicted below in a diagram.



1. Structures & Organizational alignment for M&E system
2. Human capacity for M&E system
3. M&E partnerships
4. M&E plans
5. Costed M&E workplans
6. Advocacy, communication and culture for M&E
7. Routine monitoring
8. Periodic surveys
9. Databases useful for M&E
10. Supporting supervision and data auditing
11. Evaluation and research
12. Using data to improve results

Figure 2: The 12 components of an effective M&E system

According to Görgens and Kusek (2009), these components are interlocking and interdependent parts of a larger whole. These components link together to form three sub-sets, the first being components relating to people, partnership and planning {outer ring} which is composed of (1) organizational structure & Alignment for M&E (2), human capacity for M&E systems, (3) M&E partnerships, (4) M&E plans, (5) Costed M&E workplans, (6) M&E advocacy, communication and culture (Görgens & Kusek, 2009)The second subset includes components relating to 'collecting, capturing and verifying data' {middle ring} which are (7) routine programme monitoring, (8) surveys & surveillance, (9) M&E database, (10) supervision & data auditing, (11) evaluation & research (Görgens & Kusek, 2009). Lastly, component relating to using

data for decision making {inner ring} includes (12) data dissemination and use (Görgens & Kusek, 2009).

Although all these components are important, this chapter pays attention to the first two components, the structures and organizational alignment for M&E as well as second component, human capacity for M&E system for their peculiar relevance to the paper.

2.7.3.1. Component 1: Structures and organizational alignment for M&E

Görgens and Kusek (2009) suggest that it is crucial for an organisation to have an established organizational structure which can be clearly identified. An Organizational structure provides for a clear definition of the hierarchy and reporting lines within the organization (Görgens & Kusek, 2009). The layout of these structures differ from one organization to another. There are several organizational structures and they include; traditional structure, divisional structure, team structure, matrix structure as well as hybrid structure (Görgens & Kusek, 2009). Reviewed literature suggests that the COJ has adopted a hybrid structure (COJ SDBIP 2020/21).

It is crucial for M&E to find fit within the structure, and for the role and mandate of M&E to be clearly spelt out. Görgens and Kusek (2009) further amplify the need to properly locate the M&E unit within the organizational structure. As previously stated, M&E finds expression within the COJ organizational structure in a decentralised manner, however, the principal coordination office is located in the strategic hub of the City (COJ M&E Framework, 2012). Within the organizational structure, Görgens and Kusek (2009) submit that M&E roles and duties ought to be officially allocated to specific individual posts, and this evident in the City as articulated by the M&E specialist's job descriptions.

2.7.3.2. Component 2: Human Capacity for M&E systems

Human capacity for M&E systems is an important component for it speaks directly to the focus of this study, an assessment of existing and ideal human capacity to coordinate the M&E framework. This component looks at capacity development from three levels; system capacity, organizational capacity and human capacity (Görgens & Kusek, 2010). At the human capacity level, it emphasizes the importance of having technical skilled personnel to discharge M&E functions effectively and efficiently (Görgens & Kusek, 2009).

For conceptual clarity, it is prudent that the concept of capacity be put in context. As Peisah (2016, p. 5) puts it, capacity is not a unitary concept, but rather, a contextual or domain specific concept. Thus, when one suggests, for example that an individual or institution is "lacking capacity", they should qualify the assertion by specifying the context or domain under which they purport that individual or institution to lack capacity (Peisah, 2016). In the context of this paper, human capacity refers to the presence of employees who possess specific skills and or competence in a specific area of work, monitoring and evaluation (Görgens & Kusek, 2009).

Against this brief background, human capacity can be measured both in terms of quality and quantity. Whereas quantity can be determined in terms of the number of M&E officials in a department, quality can be determined by the "existence of properly and highly skilled personnel who perform their M&E functions effectively, efficiently, and sustainably" (Görgens & Kusek, 2009 as cited in Maphunye, 2013, p. 22). It is well canvased that the M&E system or framework cannot function effectively nor efficiently without skilled people who effectively perform M&E tasks for which they are responsible.

The number of M&E officials required in an M&E department or unit is not a normative nor prescriptive issue, it largely depends on, among others, the size of the organisation, the structure of the organisation as well as the objectives of the system. As stated earlier, the City of Johannesburg, for example has a decentralised M&E system that is overseen by only four M&E specialists in a cluster governance system (COJ M&E Framework, 2012)

Kusek and Rist (2004, p. 22) postulate that an M&E system has to include, at a minimum, “the ability to successfully construct indicators; means to collect, aggregate, analyse and report on performance data in relation to the indicators and their baseline; and mangers with the skill and understanding to know what to do with information once it arrives”.

The monitoring and evaluation functions in the City of Johannesburg are decentralised and therefore, different departments and entities conduct their own M&E in line with the City-wide M&E framework under the tutelage of the GSPCR – M&E unit (COJ M&E Framework, 2012). The M&E skills and competencies required in the GSPCR are therefore largely supervisory.

2.7.4. Skills and Competencies for M&E

For conceptual clarity, a skill is defined as “an ability which can be developed, not necessarily inborn, and which is manifested in performance, and not necessarily potential” (Moore and Ruud, 2004, p. 23). Competence on the other hand is defined as an “ability of an individual to perform a task using his/her knowledge, education, skills and experience” (Moore and Ruud, 2004, p. 23)

In the main, there is no universal consensus about the required specific skills and competencies of an M&E specialist (Morkel and Ramasobana, 2017), however, some of the common essential skills and competencies include;

> Ability to conduct quantitative and qualitative research, competence in collection, analysis and interpretation of data, ability to compile evaluation reports, ability to manage projects, ability to supervise others conducting evaluations, ability to serve intended users of M&E reports, application of evaluation standards, ability to develop recommendations from evaluation reports, ability to manage evaluation reports (Stevahn, King, Ghere and Minnema, 2005 as cited in Maphunye, 2013, p. 23).

Within this frame, Görgens and Kusek (2009, p. 111) argue that the skills profile of an M&E specialist is centred around four critical domains which include: institutional analysis, systems design and application, methodological tools; and information knowledge utilization.

Beyond the technical skills which alone are not sufficient (Segone, 2010), at a bare minimum, an M&E specialist should possess interpersonal skills including, but not limited to the ability to write fluently, work independently, use of sound and sensitive negotiation skills, demonstrate cultural/gender sensitivity as well as the ability to nurture professional relationships (Görgens & Kusek, 2009, p. 121).

Although not exhaustive, these skills and competencies, both technical and interpersonal form the yardstick against which M&E human capacity levels are assessed in the study. The findings of this study provide an elaborate description of the skills and competence prevalent in the Unit of analysis.

2.7.5. M&E Capacity Building and Development

It is insufficient to point out that an institution or an individual displays a shortfall in capacity to perform certain tasks if not also highlighting some of the ways in which that capacity can be developed. Developing capacity, in this case includes ways and mechanisms in which M&E specialists can advance their skills to undertake some of their duties more effectively (Maphunye, 2013).

Capacity building (and development) is defined as a "process by which employees (at an individual level) and organizations attain or improve their existing skills and knowledge to work better in a sustainable environment with proper tools and equipment needed to complete their jobs" (McKegg, Weihipeihana & Pipi, 2016 in Matshiliza, 2019, p. 494). Segone (2010) contends that capacity development implies intentionality to strengthen capacities.

Typically, capacity development is preceded by human capacity assessment, which should indicate capacity gaps and in response implement capacity development interventions (Segone, 2010; Simister and Smith, 2010). Görgens and Kusek (2009, p. 11) submit that there are two broad approaches to M&E capacity assessment, which are the bottom up and top-down approaches. In the bottom-up approach, M&E specialists are asked to list the areas of their capacity (skills) which need to be developed for them to perform their M&E functions. Although it is seemingly less favoured by the authors, this approach views stakeholders, in this case M&E specialists as 'experts' who have the ability to "gauge their own level of knowledge and capacity development needs" (Görgens and Kusek, 2009, p. 100)

At the outset, one of the crucial ways through which one can develop their technical M&E capacity is through training such as external formal M&E qualification from a

higher education institution (Presidency, 2007). There are several reputable and accredited higher learning institutions that offer M&E qualifications at a certificate level, degree level as well as post-graduate diploma level (Presidency, 2007).

Acquiring this qualification can expose one to essential skills such as being able to construct an indicator, formulate an outcome, set targets, set baseline values, conduct evaluations (both formative and summative evaluations) as stated by Kusek and Rist (2004) and Görgens and Kusek, (2009). These are very basic, yet essential skills that one can acquire through an accredited and reputable training institution.

Other training modalities include attendance to on-the-job training and mentoring through which technical capacity can be increased (Görgens & Kusek, 2009; Presidency, 2007). This would be preceded by, for example a capacity assessment (bottom up or top down) through which one conducts an assessment to determine the training needs of employees, and upon conclusion, draw up a report around the common skills of which employees need to be trained (Görgens & Kusek, 2009). Thereafter, a service training provider can get appointed to respond to the identified need or skills gap by conduct the training at the premises of the employer or off-site.

Beyond qualifications, there are several ways of developing capacity. The development of the South African Monitoring and Evaluation Association (SAMEA) as an example is but one platform though which M&E capacity can be developed (Presidency, 2007).

Through the biannual SAMEA conferences, M&E professionals exchange experiences and contemporary knowledge regarding new developments (theoretical and practical) in the field of M&E (SAMEA Conference Report, 2009). By and large, attendance to

these conferences has a potential to introduce an M&E professional to different ways of approaching their duties in their respective organizations.

Lastly, the South African government has engaged in the process of Evaluation Capacity Building (ECB) with an effort to enhance evaluation skills, which have been reported to come in short supply in the public sector and evidently, in the City of Johannesburg (DPME Evaluation Capacity Development Strategy, 2014).

Evaluation capacity building (ECB) is defined 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, p. 83 in Maphunye, 2013). Morkel and Ramasobana (2017) argue that primarily, ECB should aim to achieve an evaluation practice that is sustainable, wherein evaluators have an appetite to ask relevant questions and use the right information and findings to inform decision making.

The development of evaluation capacity has a potential of improving critical evaluation competencies such as the ability to appreciate the social and political role played by the evaluation, the ability to understand and make use of the various evaluation methods and approaches as well as the ability to use evaluation tools of data collection and analysis (Görgens & Kusek, 2009). However, without leadership support, incentives and resources, participants may find it difficult to ensure the sustainability of evaluation practice, despite the ECB efforts (Morkel & Ramasobana, 2017).

2.7.6. Theory of Change

Successful implementation of Results-based M&E is hinged on the use of theoretical frameworks such as the results chain, results framework and the theory of change

(COJ M&E Framework, 2012). The latter, theory of change (TOC) is defined as a "pictorial description of how an intervention is supposed to deliver the desired results" (Gertler, Martinez, Premand, Rawlings, & Vermeersch, 2010, p. 22).

Theory of change is one of the two components of programme theory (Rogers & Funnell, 2011). Programme theory is defined as "an explicit theory or model of how an intervention contributes to a set of specific outcomes through a series of intermediate results" (Rogers & Funnell, 2011, p. 31). Programme theory is therefore pivotal to understanding results of an intervention and how they were achieved, which is a central feature of results-based M&E.

Theory of change can be perceived as both a product and a process. As product, it is a pictorial description which shows a link between activities and the intended outputs and ultimately outcomes (Rogers, 2008). Thus, as Gertler et al, (2012) purports, it depicts a sequence of events leading to specified outcomes.

A TOC can be modelled in various forms. In its simplest form, a TOC can be presented in a form of a log frame or a results chain. A results chain sets out a "logical, plausible outline of how sequences of inputs, activities and outputs for which a project is directly responsible interact with behaviour to establish pathways through which impacts are achieved" (Gertler et al., 2012, p. 23). Below is a depiction of a logic model or results chain.

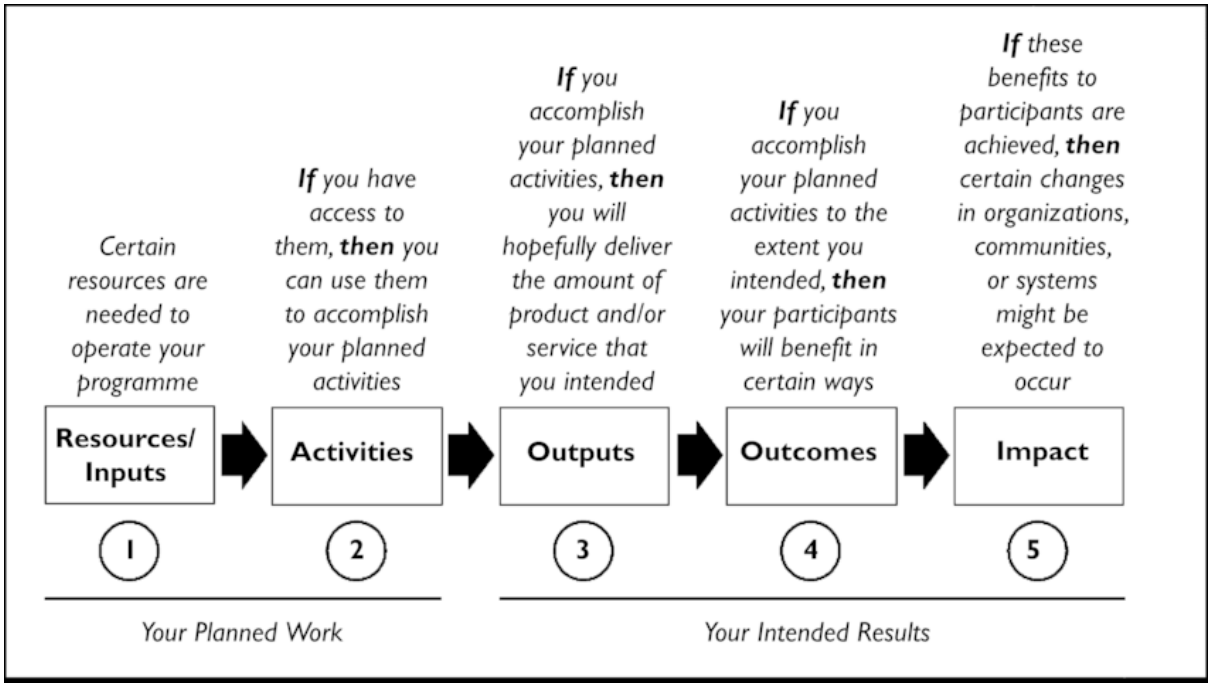


Figure 3. A simple logic model (W.K. Kellogg Foundation, 2004)

2.8. M&E professionalisation debates

There is an ongoing scholarly debate around the professionalization of M&E not only in South Africa but around the world. The debate is centred around the need to have commonly agreed and "clearly stated codes and standards of practice" (Abrahams, 2015, p. 4). Abrahams submits that professionalization involves "the development of skills, identities, norms and values associated with being part of a professional group" (Abrahams, 2015, p. 4).

It is difficult to agree on common practice and competencies in M&E because it is a diverse field which attracts experts from other established fields with varied professional competencies relevant to their respective fields (Stevahn et al., 2015). Thus, M&E experts, especially evaluators in different sectors have varied concerns and therefore, it is difficult to find common ground on which M&E as a profession would hold.

Smith and Morkel (2018) argue that the challenges in the professionalisation discourse include the divergent views on the specific competencies to standardise in order to cater for the different transdisciplinary M&E professionals. Other practitioners are evaluators, others are evaluation managers, others specialise in data management and as such, there is no agreement about which competencies to standardise in the course of M&E professionalisation.

According to Abrahams (2015), there have been some attempts to professionalise and build M&E capacity in South Africa, and they include; the availability of M&E courses at different institutions, availability of M&E credit bearing courses by private training providers, as well as the establishment of the South African Monitoring and Evaluation Association (SAMEA).

SAMEA holds biennial conferences wherein experiences are shared and the discourse around professional and ethical standards for M&E find expression (SAMEA conference report, 2019). Other efforts to strengthen capacity and professionalise M&E include the government's documents such as the national evaluation policy framework (NEPF) and the establishment of the African Evaluation Journal (Abrahams, 2015, p. 4).

This chapter commenced with the presentation and discussion of the physical research context where the City of Johannesburg and particularly the GSPCR was described. This description was followed by an elaborate description of the City's long terms strategic document, the Joburg 2040 GDS as an important strategy which gave rise to the demand for M&E tools and system in the City. Following this description, the City-wide M&E framework was discussed as an important tool for tracking and measuring the success and achievement of the Joburg-2040 GDS.

Subsequently, the chapter discussed human capacity for M&E in the City of Johannesburg. This discussion put in context the knowledge gap that this research aims to fill. The discussion was followed by a brief description of the concepts of monitoring and evaluation, as well as the journey of M&E in the South African government.

Furthermore, the chapter discussed theoretical as well as conceptual framework which inform this study. Importantly, this chapter provided a thorough discussion of the concepts such as the results-based monitoring and evaluation, the elements thereof, the key components for the effective implementation of the M&E system as well as the required skills and competencies required for effective discharge of M&E functions in this research's unit of analysis.

CHAPTER THREE: RESEARCH PROCEDURE, METHODS AND DESIGN

3. Introduction

This chapter is tailored to describe the research strategy, procedures and methods used in conducting this study. The chapter starts by defining the research strategy or method chosen for the study, followed by the suitable research design to support the research strategy and a justification thereof. Hence, the study used a qualitative case study research design.

The chapter also discusses the research procedure and methods. In this section, the paper outlines the different data collection instruments and indicate the instruments used by this research, in this case, semi-structured interviews for the collection of primary data as well as documents for the collection of secondary data.

The subsequent section identifies and discusses the target population and the sample thereof, followed by the chosen sampling method. The study used purposive non-probability sampling in the selection of research participants, together with the selection of the unit of analysis.

The next section describes in detail, the process of data analysis as well as the specific data analysis method used, in this case, the thematic content analysis. Penultimately, the chapter discusses the limitations of this research as well as the ethical principles which had to be considered in the process of undertaking this research.

3.1. Research strategy

Research can be undertaken through various methods, approaches or strategies. Research strategy refers to the general orientation around the conduct of social research (Bryman, 2016). Creswell (2003, p. 3) uses the concept of research approach

and defines it as a “plan and the procedure for research that span the steps from broad assumptions to detailed methods of data collection, analysis and interpretation”. Broadly speaking, there are three approaches or strategies through which social research can be conducted and these include; a quantitative, qualitative as well as mixed strategy (Creswell, 2003; Bryman, 2016).

Several authors, including Leavy (2017) and Bryman (2016) refer to a quantitative research strategy as one that emphasizes quantification of data collection and analysis. The authors further go on to describe that quantitative research strategy is characterized by deductive, as opposed to inductive approach, which is aimed at, among others; measuring variables, testing relationships between variables, correlation and causal relationships, as well as testing theories (Leavy, 2017; Bryman 2016).

Contrary to a quantitative strategy, a qualitative research strategy places an emphasis on words and narratives in the collection and analysis of research data, using inductive approach to research in which theory is created rather than tested (Bryman, 2016). The differences go beyond data collection and analysis, to include paradigms and philosophical assumptions. Qualitative research is defined as an “approach for exploring and understanding the meaning individuals or groups ascribe to a social or human problem” (Creswell, 2003, p. 3).

Lastly, mixed research strategy is a combination and an integration of quantitative and qualitative research methods in the collection and analysis of data in a single research project (Bryman, 2016 and Leavy, 2017). Leavy (2017) suggests that Mixed research strategy is generally appropriate when the purpose of the research project is to describe, explain, or evaluate.

This study sought to explore and assess human capacity levels for monitoring and evaluation in the City of Johannesburg's Group Strategy, Policy Coordination and Relations' M&E-unit. To achieve this exploratory function, a qualitative case study research design was used. A case study is described as a research design that provides a detailed and intensive analysis of one or more robust cases (Johnson & Christensen, 2013).

A qualitative case study method was chosen as it would enable the researcher to collect rich and in-depth data with a "strong potential for revealing complexity" and provide "thick descriptions" that are "nested in real context" (Miles, Huberman & Saldana, 2013, p. 11). Furthermore, the choice of this research approach was influenced by the fact that when collecting data, the researcher asked participants to narrate their subjective views as they relate to human capacity for M&E in the GSPCR, and that is an important characteristic of qualitative research.

Another important consideration for qualitative research, which made it suitable for this study is its focus on learning the meaning that the participants hold about the problem under study, in this case, the problem of human capacity for M&E in the COJ's GSPCR (Creswell, 2003)

This qualitative case study sought to hone in on the GSPCR-M&E unit as a single case by exploring underlying context-specific factors in detail so as to 'lift up the voices of the participants' and subsequently, obtain a thorough understanding of their perceptions of the required as well as prevalent skills and competencies for coordinating the M&E framework (Wagner et al., 2012).

The key feature of the GSPCR-M&E unit as a case is that it is a principal M&E unit which oversees the implementation of the COJ M&E framework, and therefore

employs M&E specialists who are well positioned to share narrative views about human capacity levels for discharging M&E functions (GSPCR-M&E Organizational Structure, 2016).

As stated, this qualitative research relied on participants' perspectives of their context and the different meanings they construct about this context. These meanings are multifaceted, and they lead the researcher to “look for complexity of views”, hence the study leaned towards a social constructivist paradigm (Creswell, 2014, p. 8). This paradigm allowed the researcher to understand the world or research subject as others experienced it (Wagner et al., 2012).

This study benefitted from using a qualitative research strategy. Using qualitative strategy enabled the participants to provide thick descriptions of their context in detail from their own subjective perspectives. This was particularly important because often when assessments are made, they are facilitated by outsiders who determine the required capacity and barely give room for participants to define and assess their capacity from their vantage point.

3.2. Research design

Research design is quiet often confused with research strategy. Research design refers to a framework for the generation of evidence that is chosen to answer the research question in which the investigator is interested (Bryman 2016, p. 39). Five prominent research designs have been outlined, and they include; experimental design, cross-sectional design, longitudinal design, comparative as well as case study design (Bryman, 2016).

As stated, this research project used a case study as its primary design, combined with qualitative research strategy to make a qualitative case study design. This is

explained by the fact that the study chose the City of Johannesburg's GSPCR-M&E unit as its unit of analysis. A case study is described as a research design that provides a detailed and intensive analysis of one or more robust cases (Johnson and Christensen, 2016). Congruent to the definition, conducting M&E human capacity assessment in the GSPCR-M&E unit as a single case enabled the researcher to provide and establish an intensive analysis of the unit.

3.3. Research procedure and methods

3.3.1. Data collection instruments

Data collection is the hallmark of any research project. Data collection is described as a process of gathering data from the sample so that the research question can be answered (Bryman, 2012). Like Bryman (2012), Johnson and Christensen (2016, p. 338) describe data collection as a procedure that a researcher uses to obtain data from research participants.

Broadly speaking, there are several methods through which data can be collected. Typically, data can be collected using two types of data collection processes, which are; structured and semi-structured data collection processes (Bryman, 2016). The type of data collection instruments to use is generally determined by; research strategy, research design, purpose of research, theoretical framework etc (Bryman, 2012; Neuman, 2014).

In a structured data collection process, the researcher "establishes in advance the broad contours of what he or she needs to find out about and designs the research instruments to implement what needs to be known" (Bryman, 2012, p. 12). In such a case, the researcher does not leave room for additional data outside the structured guideline.

Contrary to structured data collection process, semi structured data collection “emphasizes a more open-minded view of the research process so that there is less restriction on the kind of things that can be found about” (Bryman, 2012, p. 12). In semi-structured data collection, the researcher leaves room for additional and important data which may emerge outside of the structured guideline.

There are several examples of data collection instruments through which data collection can be undertaken, and these generally fall within the broad categories of structured and semi-structured data collection processes (Brancati, 2018). A questionnaire is a popular example of a structured data collection instrument predominantly used in quantitative research methods (Wagner et al., 2012).

An interview on the other hand is a popular example of a semi-structured data collection instrument predominantly, although not exclusively used in qualitative research methods (Leavy, 2017).

Wotela (2017) suggests the following basic selection criteria for choosing an appropriate data collection instrument. “Use fully structured data collection instrument when there is sufficient knowledge on the research topic; semi-structured instrument when there is sufficient knowledge on the topic, but the researcher has an inclination to accommodate new data that may emerge during data collection” (Wotela, 2017, p 230).

Because this research was conducted using qualitative case study method, semi-structured interview instruments were used in the collection of primary data. A detailed description of a semi-structured interview is provided below.

3.3.1.1. Interviews

Several social research authors such as Brancati (2018) and Bryman (2016) have defined an interview as a purposeful conversation and a method of collecting both qualitative and quantitative data through a series of questions typically asked to individuals either face-to-face, by telephone, or other means to collect data about the ideas, experiences, beliefs, views and behaviours of participants (Wagner et al., 2012).

Interviews are predominantly used in qualitative research, but they can be used in quantitative research as well (Bryman, 2016). As previously stated, this research used semi-structured interview instruments in the collection of primary data. The aim of using interviews was to obtain rich descriptive data that would help the researcher to "see the world through the eyes of the participants" (Wagner et al., 2012).

Bryman (2016) suggests that a semi-structured interview is an interview type which contains a list of questions that can be asked in any sequence without following any specific order. Furthermore, Wotela (2017) submits that semi-structured interviews are predominantly used where a lot is known about the subject, but the researcher or interviewer chooses to leave room for interviewees to share additional views.

Hence, the researcher used semi-structured interviews to direct the flow of the conversations, but still allowed room for the participants to share important views beyond and outside of what was prepared. Moreover, semi-structured interviews are especially appropriate when there is less known about the contemporary phenomenon, hence they are structured to leave room for the researcher to "probe and explore new emerging lines of inquiry that are relevant to the unit of analysis" (Brancati, 2018, p. 147).

There are several methods through which interviews can be conducted, of which face to face and telephone interviews are predominant (Wagner et al., 2012). The study's primary aim was to use face to face interviews for their relevance in the research strategy (qualitative) and design (case study) as well as the advantages thereof, which include; the highest response rate, the opportunity to create rapport with the interviewees as well as opportunity for the interviewer to probe for responses and seek clarity when the need arises (Neuman, 2014; Wagner et al., 2012).

The nature of the study required that in-depth information be collected so that widespread knowledge about the M&E human capacity in the GSPCR-M&E unit could be drawn. It is for this reason that semi-structured face-to-face interviews were preferred so that in-depth and comprehensive information could be obtained through which the researcher would be able to know the general perceptions, opinions, and attitudes of interviewees (Wagner et al., 2012; Brancati, 2018).

During data collection stage, the world was battling with the Corona virus pandemic which had claimed lives of millions of people the world over. As part of the measures to prevent the spread of the corona virus which is also known as covid-19, the South African government, through the National Corona Virus Command Council (NCCC) placed the country under a nationwide lockdown where movement was limited (Disaster Management Act, 2002). Thus, non-essential services workers were made to work from home.

Thus, it was not desirable to conduct face-to-face interviews as proximity between people could increase the risk of contracting the noble corona virus. Hence, where it was impossible and less desirable to conduct face-to-face interviews, interviews were

conducted using video conferencing platforms which allowed real time communication with both audio and video (Mann & Steward cited in Nehls, Smith and Schneider, 2015)

“Video-conference interviews take place synchronously, with the participant and interviewer using a computer, tablet, or other device to communicate at the same time” (Nehls, Smith & Schneider, 2015, p. 141). There is a variety of online platforms through which video conferencing can take place and these include, skype, zoom, Microsoft teams etc (Nehls et al., 2015).

Due to covid-19 restrictions, only two out of the seven interviews were held face to face at the respective workplace of the participants. These interviews were held at the time when the National Corona Virus Command Council had placed the Country on lockdown alert level two, where restrictions were partially lifted, and as such, non-essential employees were allowed to physically attend to their workplaces (Disaster Management Act, 2002). At that time, the employees of the GSPCR-M&E unit had elected to attend to their workplace once a week.

In conducting these interviews, the researcher ensured that he developed rapport with the participants and win their trust in order for the interviews to be held with ease (Wagner et al., 2012). In addition, and among others, the researcher also ensured that he disclosed the information pertaining to the research as well as obtained consent in writing for the participation in the study (Wagner et al., 2012).

Likewise, three interviews were held through video conferencing platform, the Microsoft Teams since the participants were working from home for the most part of the Nation-wide lockdown. The same steps were followed as in the face-to-face interviews. In this case, the researcher set up a Microsoft Teams platform and invited participants on email to participate in the research. Upon acceptance, the researcher

called them on the platform and facilitated the interview by asking open ended semi-structured questions as it was the case in face-to-face interviews. The key advantage of this type of interview is that at the time when it was most crucial, it was able to overcome the barriers of geography, thus, the researcher could engage the participants from different locations in real time (Nehls et al., 2015)

The interviews were recorded using a mobile recording devise, after permission was sought after, in writing for the use of such a devise. Using this platform had its own challenges, primarily owing to poor connectivity either from the side of the researcher or that of the participant, and that affected audibility in some moments of the interviews.

Owing largely to both the difficulty of accessing the research site due to covid-19 restrictions and the internet connectivity challenges as stated above, two interviews were conducted telephonically. The steps as described above were followed when conducting telephone interviews. In this case, the researcher called the participants on their mobile devises and held the interviews, having sought permission for participation (Wagner et al., 2012).

3.3.1.2. Document analysis

Document analysis as a data collection instrument is part of a larger domain of documentary research method, which was used to obtain secondary data related to M&E in the City and human capacity thereof. Altheide defines document analysis as an “integrated and conceptually informed method, procedure and technique for locating, identifying, retrieving and analysing documents for their relevance, significance and meaning” (Altheide, 1996 in Wagner, et al., 2003, p. 141).

Wegner et al, (2012) further elucidate that documents can be classified in three broad categories; primary/secondary/tertiary documents, public/private documents and solicited/unsolicited documents.

In this regard, public documents, more precisely, open-public documents which were available and relevant to the study were reviewed. These documents include but are not limited to the COJ M&E framework, quarterly/annual reports, M&E specialist's job descriptions, the Integrated Development Plan (IDP) as well as the Service Delivery Budget Implementation Plan (SDBIP). These documents remain readily available on the COJ's intranet; *jozinet* and some of the documents were made available to the researcher by the research participants.

3.4. Target population and sampling

The target population also widely called the study population by many, refers to the population of interest whose units manifest certain characteristics and from which a portion can be selected by way of representation (Leavy, 2017; Salkind, 2017; Bryman, 2016). Leavy (2017) goes on to further show that the target population also carries another name to it, the sampling frame.

The target population for this study was two-fold, the service delivery agents in the City of Johannesburg as well as the M&E officials in the City of Johannesburg. From this two-fold population, a subset was drawn from the population through a process known as sampling. Sampling has been described as a process through which representative units are selected from the target population for recruitment into research study stands out (Leavy, 2017; Bryman, 2016; Johnson and Christensen, 2016; Neuman, 2014). A sample is defined by Bryman (2016) as simply, a subset of the population that is identified and selected for the research purpose.

Thus, GSPCR-M&E unit was sampled from the target population of City departments and entities. Likewise, M&E specialists were sampled from the broader population of M&E officials in the City.

Sampling, as a process can follow two techniques mainly characterised as probability and non-probability sampling techniques (Bryman, 2012). Broadly speaking, the type of sampling technique to use is often determined by research strategy. Probability sampling, which involves a random process in which everyone on the population has an equal chance of selection is mostly used in qualitative research, and non-probability in quantitative research (Wagner et al., 2012).

Against this background, the researcher used non-probability sampling, wherein participants were included in the study by virtue of their relevance, availability and willingness to participate in the study and therefore did not have an equal chance of selection (Wagner et al., 2012).

As stated, this qualitative case study used a purposive sampling method, which is a non-probability form of sampling (Bryman, 2012). The goal of purposive sampling is to ensure that participants are sampled in such a way that “they are relevant to the research questions that are being posed” (Bryman, 2012, p. 418).

This research was conducted in the COJ’s GSPCR-M&E unit, which was selected using purposive sampling method (Bryman, 2012). The GSPCR-M&E unit was selected purposively for its strategic relevance to the research, i.e. it is a principal unit responsible for overseeing the implementation of the COJ M&E framework (COJ M&E framework, 2012). The GSPCR-M&E unit, therefore, employs M&E specialists who were well positioned to share their views about the required skills and competencies

to execute the mandate of the unit, hence they too were selected using purposive non-probability sampling method (Bryman, 2012).

The GSPCR-M&E unit has a staff composition of 13 employees which include 4 M&E specialists and 3 senior officials (2 Deputy Directors and 1 Director) as well as 2 interns and 1 administrator. From this composition, only five were deemed suitable and relevant to the study, and those are the four M&E specialists and the Director of the unit.

The unit is small, as a result, only five respondents (4 M&E specialists, 1 Director) were selected for participation using purposive non-probability sampling method. To make up for the numbers, two former M&E specialists were identified and selected using purposive non-probability sampling method. These two former M&E specialists left the unit in 2018 and 2020 respectively, to join other departments within the City. Owing to the size of the unit and limited number of relevant personnel from whom data could be collected, only seven interviews were held.

In respect of secondary data sources, relevant documents were sampled using purposive sampling method so that relevant and strategic to the research question were accessed and used.

For triangulation and depth of analysis, the researcher solicited views of two experts in the field of Monitoring and Evaluation about the essential skills and competencies for coordinating an M&E system or framework effectively. The experts were referred to the researcher by the research supervisor for their contextual knowledge as it relates to this specific research. These experts were sampled because they have previously worked with the GSPCR-M&E on a specific project and had relevant and

enlightening views about human capacity in the GSPCR-M&E unit as well as the human capacity for M&E in general.

3.5. Process of data analysis

Both primary and secondary data collected were analysed using *thematic content analysis.* Wagner et al, (2012, p. 231) define thematic content analysis as a "general approach to analysing qualitative data that involves identifying themes or patterns in the data". Thematic analysis enabled the researcher to engage in an iterative reflexive process of developing codes from transcribed data to themes and sub-themes until the researcher has developed a wide-ranging set of themes (Creswell, 2014; Wagner et al., 2012).

Only five out of seven interviews were tape-recorded for ease of reference during data analysis, and this because the other two respondents opted out of having their interviews recorded. Hence, the responses of the two respondents whose interviews were not tape-recorded were recorded on paper as the respondents were providing answers. Soon after data collection, recordings from each interview were transcribed into verbatim paper-based notes as a way of organizing the data for analysis (Creswell, 2003). As a second step, the researcher read through the transcribed data with the aim of making sense of information and further reflect on the meaning derived therefrom (Creswell, 2003).

Whilst reading through the notes and reflecting on the meaning, the researcher developed hand-written notes which represented codes or categories of the data on the margins of the transcripts. The process of coding was followed by the development of a small number of themes and sub-themes for analysis (Wagner et al., 2012). Some of the themes were developed prior to data collection, and some emerged from the

processes of data collection and analysis. From these themes, common perceptions and thoughts of respondents were identified as they relate to the topic of human capacity for M&E and were recorded as major findings (Leavy, 2017). As a final step, an interpretation of the findings was made in order to make sense of the lessons learnt (Creswell, 2003).

3.6. Research Limitations and positionality

The study had some limitations inherent in qualitative research strategy. A crucial limitation in this regard is that the results of this study could not be generalized to the wider population of M&E officials in the COJ (Bryman, 2012). However, the purpose of qualitative research is not to generalise, but to give context-specific understanding of the problem under investigation (Bryman, 2012).

Another limitation of this study is that the sample thereof was very small, and this is because the GSPCR-M&E unit is small and only employed four M&E specialists and directors. In attempt to counter this limitation, the researcher invited former members of the GSPCR-M&E team who had left and joined other departments within the City. In addition, the triangulation method was used to balance the limitations of a small sample. In this case, secondary data was collected from relevant documents and analysed using document analysis. The researcher further solicited views of M&E experts who had context specific knowledge of human capacity for M&E as well as knowledge of the GSPCR-M&E unit.

Lastly, considering the Covid-19 lockdown in South Africa, it was difficult and undesirable to conduct face-to-face interviews. Because the lockdown and its regulations were not completely lifted at the time the researcher collected data, the researcher had to alternate between face-to-face interviews (where possible),

telephone interviews and virtual platforms (Microsoft Teams). In this case, the researcher was not able to record field notes as there was limited access to the field.

From an administrative point of view, the study was feasible to conduct because the scope of this research was within the researcher's capabilities; the sample size was small and there was ease of access to both primary and secondary data sources, despite the challenges pointed out above.

Furthermore, the researcher had relatively sufficient time set aside to complete this study. However, data collection took longer than it was anticipated, partly due to the covid-19 related restrictions. The costs of conducting this study were quiet minimal as they only included; fuel for driving to the research site (when conducting face-to-face interviews), procuring facemasks and alcohol-based hand sanitiser as a way of observing covid-19 protocols. The costs also included procuring a new audio recorder as well as buying data package to keep up with internet connectivity when conducting virtual interviews through Microsoft teams.

In respect of positionality, it is important to mention that the researcher is an employee of the City of Johannesburg. However, this fact did not have a bearing on the selection of the sample as the researcher and the research participants work in different departments, perform different duties, and do not have direct contact with one another outside of this research. Furthermore, the fact that the researcher works at the City did not have an influence on the analysis of data, the results thereof, as well as the conclusions drawn thereafter. No financial support was provided to the researcher by the City.

3.7. Ethical considerations

Wagner et al, (2012) argued that ethics are an issue that must be taken into account throughout the research process, from conception to implementation. The researcher ensured that all ethical requirements were strictly adhered to. To achieve this, firstly, the researcher obtained ethics clearance from the University prior to contacting potential research participants and only contacted the participants after the necessary approval and permission were granted.

Secondly, permission was sought from the respective principals in the unit where the study was conducted, Group Strategy, Policy Co-ordination and Relations - M&E Unit. Thirdly, during data collection, the researcher ensured that research respondents give informed consent, i.e. they were given full information about the study and its objectives as well as the researcher's identity (full disclosure) and were asked to sign an informed consent form for participation in the study when they agreed to participate (Bryman, 2012; Wagner et al., 2012).

The researcher ensured that the respondents were not, as a result of their participation in the study, exposed to any form of harm, including, but not limited to; (i) physical (ii) emotional (iii) psychological (iv) developmental and (v) loss of esteem (Bryman, 2012). In this regard, the researcher conducted this study in a professional, and non-invasive manner which avoided asking questions that delved into private realms, thereby avoiding harm to the participants' wellbeing (Wagner et al., 2012).

Furthermore, the researcher ensured that he does not deceive participants; that there was no invasion of their privacy, hence, the interviews were conducted at their workplaces as well as using virtual platforms, and not their private homes (Creswell, 2014). The researcher ensured that participants' names and/or any feature that could

identify them are not disclosed in the research report, although it was somewhat of a challenge to entirely eliminate the potential of participants being identified, given that the GSPCR-M&E unit is small.

After being collected, some of their raw data were stored in a safe locked-up cabinet to which the researcher had sole access. In addition, electronic data were stored in a local hard drive in a locked personal computer as well as a cloud-based storage which could only be unlocked with a password only held and known by the researcher.

CHAPTER FOUR: PRESENTATION OF FINDINGS

4. Introduction

This chapter was tailored to present the findings in respect of the human capacity to coordinate the Monitoring and Evaluation framework in the City of Johannesburg. The findings presented reflect the views and lived experiences of the M&E specialists who participated. The specialists responded to a series of questions asked by the researcher through semi-structured interview schedules.

The questions asked in the interview schedule were structured into themes of; human capacity assessment for M&E, M&E experience, as well as human capacity for M&E. The human capacity theme had five questions, the M&E experience theme had three questions and the capacity development theme had two questions. Interviews took the form of conversations, and during data collection and analysis, other themes emerged, and they include, the City-wide M&E framework, evaluation practice, evaluation capacity as well as skills and competencies for M&E, with the latter emanating from the human capacity theme.

The first theme, the City-wide M&E framework addressed the question of whether the framework was implemented adequately or effectively, and if not, perceived reasons thereof were explored. Human capacity for M&E as the second theme and the questions thereof sought to find out, from the perspective of the participants, if the M&E unit had enough staff members to undertake M&E tasks and responsibilities and the meaning they gave to those perspectives.

The third theme, evaluation practice emerged from data collection and analysis thereof. As became evident during the interviews, evaluations were absent from the current M&E practice in the city. Hence, the theme sought to establish the issues

underlying evaluation practice and the challenges thereof. The fourth theme, skills and competence sought to find out the specific skills and competencies which, according to the participants were relevant and required for the effective execution of M&E duties and the mandate of the M&E unit. Furthermore, the theme sought to assess the existing skills and competencies which the participants possessed as well as the skills and competencies they believed they came short on. M&E experience was a theme, which was ultimately merged with the skills and competencies theme. The last theme, human capacity development for M&E, aimed to ascertain the existence of capacity building and ongoing staff development in the unit.

4.1. Presentation of findings

The findings presented in this chapter are based on semi-structured interviews which took the form of a conversation. The interview schedule was designed to reflect themes which are important for presentation and analysis of the findings. They are tailored to serve as entry points in the assessment of the human capacity for M&E in the GSPCR-M&E unit. The themes used in the presentation of this chapter are;

i. City-wide M&E framework
ii. Human capacity
iii. Evaluation capacity
iv. Skills and competencies
v. Human capacity development

Respondent Number	Position	Highest Qualification	Years of experience in M&E	Duration in M&E role
1	Specialist	Master's degree in Environmental studies	0 years	-1 Year
2	Specialist	Master of Business Administration (MBA)	4 years (GSPCR)	9 years
3	Former specialist	Master's degree in Management (M&E)	3 years	2 years
4	Former specialist	Post-graduate Diploma in M&E	6 years	6 years
5	Specialist	Master's degree in Management (M&E)	2 years	2 years
6	Director	Master's degree in Business Administration (MBA)	2 years	10 years
7	Specialist and secondment	Master's degree in development studies	4 years	4 years

Table 2: Breakdown of respondents.

4.1.1. Theme 1: City-wide Monitoring and Evaluation Framework

It is important to mention that this theme was not part of the initially developed themes in the interview schedule as the study sought to focus not on the framework as a system, but the human capacity for coordinating the city-wide M&E framework. However, the theme was identified as fundamental to the discussion of human capacity, as participants emphasised the challenges emanating from the framework and the unit's efforts to implement it. In order to solicit different perspectives on the implementation of the framework as a pivotal system whose successful

implementation lies squarely in the hands of the M&E specialists, interviews therefore explored explicitly views on the current implementation levels. The central question asked in this theme was; *what are your views regarding the implementation of the City-wide framework?*

There was consensus among the participants that the City-wide M&E framework was not implemented adequately. Reasons given for this included the fact that it was not user friendly, especially for non-M&E specialists in the line departments and entities who had to make use of it as it was an integral part of the reporting and governance framework of the City. Furthermore, the participants in their majority shared a view that the 102 page-long City-wide M&E framework was big and too technical, and somewhat unsuitable for their context. Respondent 4 had this to say in responding to the question about the implementation of the M&E framework;

> *"No, it is not. Firstly, one thing, one of my critiques when it comes to the M&E framework is that it's very big. For you to want a person to implement a document or a strategy or a framework or a policy, it needs to be closer to home. It needs to be very simple. It needs to be very clear as to what is it that you want to achieve with it. It needs to be relevant with the work that you are doing. Because when you look at that document its very thick and big and when you peruse through it, it mostly tells how other organizations have done it, which then makes it difficult for someone who doesn't understand M&E to say how do I then take what other organizations have done and implement it in the City. So for me, one of my critics has always been, yes I understand it was maybe a first document of its kind in the City, but we need to review and make it closer and make it more relevant for us" (Interview, 20 September, 2020).*

Respondent 2 and Respondent 7 shared the view of Respondent 4 about the fact that the M&E framework was not adequately used. Respondent 2 attributed the perceived limited use of the framework to a widespread poor understanding thereof and submitted that the lack of understanding was demonstrated by the difference in the reporting templates. Respondent 2 argued that the M&E framework prescribes standard reporting templates, however, some departments and entities reported differently.

> *"We've been communicating the M&E framework within the City, but one thing I've picked up is that city-wide, we don't have one voice in terms of the framework…so, if we have communicated the framework to them to say; this is how different roles that we need to play in terms of our roles and responsibilities, this is how we going to need the report, but we still get those different perceptions, different eh, I don't have a better way of putting it" (Interview, 09 September, 2020)*

In this text, Respondent 2 submitted that different departments seemed to have different understanding of reporting in M&E, even though the framework was explicit about reporting.

Respondent 3 who has since left the unit shared the same sentiments as Respondents 2 and 4. However, his view was that the M&E unit has done relatively better in bringing everyone up to speed with the City-wide framework. He maintained the view that although the document was developed by the GSPCR, it is used and should be understood across the City departments and entities and hence, the M&E specialists had a role to play in advocating for its use. He had this to say;

"…remember, M&E framework remains the document of the GSPCR, but the utilization of it is for the whole City. So, for everyone to be able to own that document in terms of their tool, they [M&E specialists] had to take everyone along. I think that was a good thing. It was meant to make sure that they sing from the same hymn book, they understand what is expected and what is this M&E all about, and how is it helpful in their daily activities…when we sat as champions for different clusters and they're reporting on our observations and stuff like that, you see it was obvious that different departments and entities were sitting at different levels, in terms of being knowledgeable about performance. there were those who were excelling, there were those who were still battling" (Interview, 20 September 2020)

Contrary to the views of three respondents (respondents 3, 4 and 2), respondent 5 had a divergent view. In this regard, respondent 5 was of the view that the M&E framework was practical, and further had this to say;

"The M&E framework, you know what I like about it is that it's very practical. If you want to know what we as the City is doing when we're saying we're monitoring and evaluating, you go to the M&E framework" (Interview, 19 October 2020).

Just after suggesting that the M&E framework was practical, responded 5 shared some critical views which somewhat contradicted her previous views, indicating that the M&E framework was outdated. She had this to say;

"but, I feel like it's not…, it's a bit outdated, it lacks the use of technology, the use of data, it lacks the future, the vision, you know, of what you want to see in

the M&E…I feel like it's just a framework that people got a brief that this is what we do, and they put it in writing" (Interview, 19 October 2020).

Respondent 6 had a different view. He reported how some of the entities, including Johannesburg Development Agency have now summarised the framework and adapted it for their own use. He acknowledged and therefore corroborated the view of Respondent 3 in saying that different departments and entities were at different levels in respect of their use of the framework.

"…there are those who use it. JDA is a shining example, Joburg Water summarised it and put it as their policy as Joburg Water, others have adopted it as it is…" (Interview, 11 November 2020)

In summary, the findings presented in this theme paint a picture of the limited use of the M&E framework due to different reasons as articulated by the respondents.

4.1.2. Theme 2: Human Capacity for M&E

The aim of this theme was to ascertain, from the perspective and lived experiences of the respondents, the levels of human capacity in respect of number of staff to carry out the M&E functions in the fulfilment of the mandate of the GSPCR-M&E unit. Under this theme, six questions were asked. The questions asked refer to the duties performed by the M&E specialists; the specific skills required in the performance of those duties; the skills in which the respective respondents felt the most competent and least competent; how these skills could be improved; the respondents' understanding of the mandate of their unit as well as the capacity of the unit to deliver on its mandate. The skills and competence aspects are addressed in a separate theme.

Almost all the respondents shared a view that the unit lacked adequate human capacity in terms of numbers to carry out the M&E functions effectively, efficiently and sustainably. In presenting her view regarding this topic, Respondent 5 had this to say"

> *"uhm, it is not even about perception, it is my experience that we don't have enough capacity. I feel like the City is not getting what we're supposed to get from M&E…Like I told you, I feel like we are operating like one out of six. If we were using fractions, I'd say 1/6 capacity that I feel like the M&E for the City of Johannesburg, the whole City of Johannesburg that is servicing five plus million people" (Interview, 19 October 2020)*

Similar views were expressed by Respondent 2 who had this to say";

> *"the unit is under-capacitated. Like, the work that we do is just too much for one person. Like to provide a thorough analysis for six reports…" (Interview, 09 September 2020)*

Contrary to all the other respondents, respondent 3 and 4 who have both left the department submitted that the unit had adequate capacity to deliver on its mandate. Drawing reference from the decentralisation of the M&E functions, Respondent 4 argued that the answer to the question about adequate human capacity depended on one's vantage point. Hence, respondent 4 had this to say;

> *"…when you are looking at it from an outside perspective, you will say we are not capacitated, but when you broaden your capacity requirement, I will say there is capacity in the City" (Interview, 20 September, 2020).*

The respondent further elaborated on this point by highlighting the fact that the City's M&E was decentralised and therefore, capacity exists as each department and entity

had its own M&E personnel who supported the work of the cluster champion. Respondent 4 further said;

> *"…because remember, we are a central point as we are sitting in the City Manager's office, we have those people that are there to then have a look at what departments and entities are doing collectively. At a lower level, you also have M&E people in departments and entities who are also doing the same work that the GSPCR is doing, but at an entity level. When GSPCR needs information, there's someone already who is down there who is an M&E person who understands what the requirements and information are is ready for us" (Interview, 20 September, 2020).*
>
> "*So, City-wide, the capacity is there, but maybe GSPCR-wide, someone might say the capacity is not enough. For me, I would say capacity is there because as I'm saying, it is decentralised, so GSPCR's role is just to coordinate and then consolidate effort" (Interview, 20 September, 2020).*

Responded 4 further argued that the unit had capacity, and where there were capacity constraints in the line departments and entities, it was the duty of the cluster champions develop that capacity.

Another former member of the team, Respondent 3 was of the same view that the unit had capacity during his time in the GSPCR. He went on to say;

> *"…the team was capable, because we had people that…remember people came there passionate and loving what they want to do. People came there committed and they were like, here use us, we're here to learn, we're still trainable" (Interview 3, 20 September 2020).*

On the contrary, and in corroborating the sentiments of respondents 2, 5 and 7 respondent 6 who is the most senior of all respondents, reported that the unit had limited human capacity to fulfil its functions to the latter. Despite this challenge, the unit still got its work done by focusing on critical areas of the mandate. According to this respondent (6), even external stakeholders shared the view that the unit lacked capacity. The respondent (6) went on to say;

> *"…even MPAC is already on our case. The Municipal Performance Audit Committee, the SCOPA at the National level, they are on our case to say; please increase your capacity, the work you're doing is great work but you're few people*" *(Interview, 11 November 2020).*

When probed further about his response, Respondent 6 went on to say

> *"let us say right now, the structure I have…it's a very small structure compared to the clientele I'm having…if you can look at the SDBIP of the City, we have less KPIs, it works for me for now, but when we take all circular 88 indicators, I think they're 116. With 6 people, I mean we're going to burnout" (Interview, 11 November 2020).*

Interestingly, in respect to burn-out to which respondent 6 referred, respondent 5 shared the same views and went on to say;

> *"people are leaving. People are taking transfers because they are just overworked…there are two people who have transferred in the last financial year. I mean that should tell you, it's four people, and half of them are gone…what does that say? if you're using your analysis as an M&E…that should just ring a bell. Any person would be worried to say; if half of your people*

take transfers, it's not people who are saying they got greener pastures…it is people who are saying 'I'm tired, I want to go'" (Interview, 19 October 2020).

In summary, the findings presented in this theme largely paint a picture of inadequate human capacity to carry out M&E functions effectively, efficiently and sustainably. At the same time, the question of the actual role of the unit in relation to individual entities' and departments' M&E staff is also being highlighted.

4.1.3. Theme 3: Evaluation practice

Evaluation capacity is one of the emergent themes. In responding to questions in the human capacity theme, the respondents made reference to the component of evaluation as a missing link and on further inquiry it became clear that the key issues in this regard were human capacity to conduct evaluations as well as the evaluation buy-in from the principals. Thus, consistent with the primary objective of the study, this theme aimed to explore the level of human capacity to conduct evaluations.

All respondents alluded to an evaluation component as one that was critical and was lacking in the GSPCR-M&E unit. Respondent 3 who had a Master's degree in M&E had this to say about evaluation;

"We are called Monitoring and Evaluation specialists, but we are more on monitoring, we are not doing evaluations at all" (Interview 3, 20 September 2020).

The respondent further alluded to the fact that the unit had not conducted a single evaluation during his tenure in the unit, and hence, he did not have hands on experience in conducting evaluations. He further alluded to the fact that he did not

have any experience in drafting Terms of Reference for evaluations. He (respondent 3) had this to say;

> *"so, you find that yourself that you know what, when it comes to evaluations, I only know things that I learnt in school. Now, when they say you must draft a TOR for evaluations, like, oh my goodness, where do I start" (Interview 3, 20 September 2020).*

It appears from the above extracts that evaluation was perceived to be a subject of the skills and experience elements of human capacity and not just the number of staff. This view was amplified by respondent 2 when she said;

> *"we have never done an evaluation…we want to use external service providers. Remember, we do have MOU (Memorandum of Understanding) with higher learning institutions because we don't have capacity, for the four clusters, it's just four warm bodies…" (Interview, 09 September 2020).*

Respondent 5 corroborated the views of respondent 3 and further suggested that evaluation needed specific attention in a form of an establishment of a separate unit or sub-unit specifically focusing on evaluations.

> *"when it comes to evaluations, evaluation just needs to be a different uhm, an independent, sort of another different unit where you dig, where you go, you evaluate all the programmes, all the projects…" (Interview, 19 October 2020).*

Respondent 4 who acted in the position of Deputy Director for two years before leaving the unit, provided a different perspective in this case. She (respondent 4) attributed the lack of evaluation to the issues of evaluations being misunderstood and as a result all evaluation attempts receiving minimal to no support. She (respondent 4) had this to say;

"…for all of us, including our Director, including the City, one of the limitations was the understanding of evaluation in the City. Hence, we couldn't even do a single evaluation because every time we wanted to do an evaluation, people thought that now we want to use evaluation findings against them; now we want them fired, so we didn't really get support…" (Interview, 20 September 2020).

Respondent 4 contended that the City still had a long way to go in so far as evaluation was concerned, and for the City to make significant inroads, certain things needed to change. Referring to the possibility of evaluations taking place soon, respondent 4 said;

"it's not likely to happen anytime soon, not until the culture, the mindset, understanding and thinking around evaluation changes and people begin to see evaluation is one of the positive things that the City needs for us to improve…" (Interview, 20 September 2020).

Respondent 3 was of the same view as respondent 4 and alluded to the issue of buy-in, in addition the idea of misunderstanding and said;

"I think at the time there were attempts to do evaluations, but I felt that certain decision makers didn't do it with understanding…you demonstrate your buy-in with allocation of resources…if you say yes [to an evaluation], but now you don't capacitate that [evaluation], then your yes is as good as a no…So my take was like, if they want evaluations for this project and they see the value of evaluations, they should capacitate it with the required resources so that it can breathe, it can have a life" (Interview 3, 20 September 2020).

In terms of the human capacity, the same respondent (3) suggested that there was no capacity, but there was willingness to conduct evaluations. He went on to say;

“looking at the kind of people who were there in that space and for the fact that they may not be a hundred percent there but given an opportunity to be capacitated and be guided properly, I think certain kinds of evaluations were possible to do, not all of them, because there are different. But certain kind of evaluations I think we could do them. Remember, most of us have theory, we have relationships with Province, and Wits and what have you” (Interview 3, 20 September 2020).

Respondent 6, a very senior official in the unit equally shared the sentiments of the missing evaluation functions in the unit. He acknowledges that in terms of practice, the evaluation component does not find equal expression as the monitoring function. He said;

“In my structure I don’t have an E, I’ve got an M, M is strong” (Interview, 11 November 2020).

In agreement with respondent 4 on the issue of buy-in, respondent 6 suggested that;

“the only thing is, do we have appetite at the higher echelon, to say why evaluation because these things are periodic? (Interview, 11 November 2020).

In summary, the findings presented in this theme paint a picture of inadequate human capacity as well as lack of political will and buy-in to conduct evaluations in the City and the GSPCR-M&E unit.

4.1.4. Theme 4: Skills and Competencies for M&E

The aim of this theme was to ascertain from the voice of the participants, the specific skills which were required for the performance of the roles assigned to them as M&E specialists. It was also the aim of this theme to provide the respondents with a platform

to self-assess and reflect on the skills in which they believed they were most competent as well as skills in which they believed they would benefit from further development.

The respondents provided a wide range of skills which were reported to be essential in the performance of their duties. Respondent 1 alluded to strategic thinking as an essential skill;

> *"I think so far you need background in strategy…understanding of policy…you have to have a deep need to be able to analyse information" (Interview, 09 September 2020).*

Strategic thinking as an essential skill was mentioned by almost all other respondents, together with analytical skills. Respondent 2, in agreement with Respondent 1 said;

> *"analytical skills. We deal with a lot of data. So, one needs to analyse it and build something out of it" (Interview, 09 September 2020).*

She went on to say;

> *"report writing is the main, because as a monitoring and reporting, you're mainly a storyteller" (Interview, 09 September 2020).*
>
> *"You also need to build good relationships with your stakeholders" (Interview, 09 September 2020).*
>
> *"Communication, computer skills, but the main thing is stakeholder relations because you're managing different stakeholders" (Interview, 09 September 2020).*
>
> *"Research" (Interview, 09 September 2020).*

When asked in which of the skills did she feel most competent, respondent 2 said;

> *"research, analytic [al skills], that's me" (Interview, 09 September 2020).*

Thus, Respondent 2 was of the view that it took data analytical skills, report writing, stakeholder relationship management, communication, computer skills as well as research for one to perform the duties of an M&E specialist in the GSPCR-M&E unit. Although she had not expressly said she is not competent in the rest of the skills, she suggested that she is mostly competent in research and analysis.

Respondent 3 who has since left the unit had this to say about the required skills;

> *"you should be able to do monitoring; understand all those guidelines; you must be a research-oriented kind of a person; and statistics {because} monitoring is full of data…you need to know how to build those interpersonal relationships…communication is key, written or oral, it is important. On top of stakeholder management, I just mentioned data management as well, and you need to be analytical, attention to detail" (Interview 3, 20 September 2020).*
>
> *"Because you are operating at a very high level, you need to be a strategic thinker. You need to be able to think strategically" (Interview 3, 20 September 2020).*
>
> *"…being a champion demands some level of leadership…" (Interview 3, 20 September 2020).*
>
> *"facilitation skills" (Interview 3, 20 September 2020).*

When asked about the skills in which he felt most competent, Respondent 3 said;

> *"Listen my brother, my second name is analytic. Yeah, I analyse, I go to the bone marrow. I don't get to the tissues; I go via the muscles. I'm going down to*

the bone marrow. I'm like, let's go to the root cause and find out why. I always ask why until I can't ask" (Interview 3, 20 September 2020).

In addition to the skills in which he felt he was most competent, Respondent 3 said;

"building relationships" (Interview 3, 20 September 2020).

"I've been told that I'm very technical in my operations…which means I do have an element of understanding operations because technical is also that" (Interview 3, 20 September 2020).

"I believe I'm a strategic thinker, but I'm still growing" (Interview 3, 20 September 2020).

"then facilitation" (Interview 3, 20 September 2020).

The views of Respondent 4 were that carrying out M&E duties required one to have specific qualifications and skills;

"knowledge of M&E firstly…public sector M&E qualification or relevant post-graduate diploma" (Interview, 20 September 2020).

When asked about the specific technical skills within the M&E qualifications, Respondent 4 mentioned that;

"one needs to be an allrounder because there is no specific qualification per se that you can say for you to do the work you need this…you need to be an allrounder because at cluster level you are dealing with different businesses, with different mandates, with different processes. You need to have an open mind. I needed skills for analysing the different mandates…I also needed financial management skills because remember when they are implementing,

their plans are informed by the budget…understanding legislation and the City's mandate…" (Interview 3, 20 September 2020).

In responding to the question about the skills in which she felt the most competent, Respondent 4 said;

"I will say all of them…but one that I enjoyed more was the one where you do an analysis…" (Interview, 20 September 2020).

Respondent 5 was of the view that anyone with an M&E qualification can do well.

In elaborating on the specific skills required, Respondent 5 said;

"if you are analytical you pay attention to detail, you are able to think out of the box…you are able to work independently. You really don't need to be pushed. You just need a self-motivated person to work in such an environment. And I believe sort of research. If you've got some research background, you need to understand the problem, the challenges, the problem statement, the solutions." (Interview, 19 October 2020).

Lastly, Respondent 6 reported that one needs to have skills in science, engineering, statistics, mathematics, law, public management, public administration, and social sciences.

When asked about the specific skills or competencies required for the performance of his specific duties on his role, Respondent 6 said

"you need to have an understanding of public administration; understanding of business processes because we are dealing with businesses which are entities; skills to negotiate; to resolve conflict and persuade…you need to be analytic, critical, honest, and you must show integrity in the work you're doing…and you

need to grow a thick skin because you're reporting to politicians. I'm a mouth and ears of the executive mayor, then you need to be able to balance between the political and the administrators." (Interview, 11 November 2020).

Respondent 6 was of the view that he was competent in all the skills he outlined, hence he got appointed to the position he occupied.

Although most of the respondents were highly educated, with master's degrees in different fields, virtually none of them have previous M&E experience from outside of the GSPCR-M&E unit. Six out of seven respondents acquired their first-hand M&E experience in the GSPCR.

It was only Respondent 2 who verbalised that she had previous experience from her previous employment, hence she reported M&E experience spanning in excess of nine years. Of the nine years, about five years of experience was accumulated outside of the City. However, throughout the years, she did not acquire any formal M&E qualification. Her M&E technical knowledge was acquired from short-term training courses, and some of the short courses offered to public servants in institutions of higher learning including the Stellenbosch University and the University of Pretoria.

4.1.5. Theme 5: M&E Capacity building and development

The aim of this theme was to determine if there were any efforts tailored to develop or enhance human capacity for M&E in the GSPCR-M&E unit. A premise of this theme was that, if there was limited human capacity in terms of skills, that capacity would improve over time with the implementation of capacity development initiatives initiated from the unit.

The respondents in their majority reported limited capacity development initiatives. The most noteworthy capacity development initiative was that of 2016 as spearheaded by CLEAR-AA. Respondents have indicated that they have gained a lot from this initiative. Other than the 2016 initiative, there were no other deliberate human capacity initiatives led and supported by the unit.

Respondents alluded to the fact that they had good relationships with institutions of higher learning such as Wits, through the CLEAR-AA, and with the DPME as well as SAMEA who invite them when they have training workshops.

4.2. Conclusion

This chapter presented the findings of this research project by amplifying the voices of the respondents without interpretation. The empirical study found that the City-wide M&E framework was not effectively implemented or utilised. In the main, respondents in their majority were of the view that the M&E framework was not user friendly and overly theoretical.

In terms of the human capacity for M&E, the study also found that the unit had some constraints. This is because the M&E unit only employed four M&E specialists who had to lead over thirty departments and entities. Most of the respondents contended that the unit was very small and therefore under capacitated.

The study found that the evaluation component was missing in the M&E unit and that was largely due to the lack of understanding of M&E, limited capacity as well as a constraint in resources. In terms of skills, a wide range of skills were outlined as required for the execution of M&E duties. All the respondents alluded to the fact that they were competent in the required skills. Finally, the study found that there were limited opportunities for capacity development.

CHAPTER FIVE: DISCUSSION OF FINDINGS

5. Introduction

This chapter presents a synthesis and a discussion of findings raised in the study in respect of human capacity for monitoring and evaluation in the City of Johannesburg's Group Strategy, Policy Coordination and Relation's M&E unit. The implications and meaning of the findings are discussed in relation to the reviewed literature on monitoring and evaluation, human capacity, and capacity development, to mention but a few.

Chapter four presented the perceptions, views and lived experiences of the seven M&E specialists who participated in the research by taking part in the semi-structured interviews. Their responses (perception and views) were analysed using thematic analysis, following which, five key themes emerged. These themes include (i) the implementation of the City-wide monitoring and evaluation framework, (ii) human capacity for monitoring and evaluation, (iii) evaluation practice, (iv) monitoring and evaluation capacity building and development, (v) skills and competencies for monitoring and evaluation.

It was found in the data collection and analysis that the City-wide M&E framework was not implemented adequately. The meaning and implications of this finding are discussed in detail, with several reasons for this finding explored in the thematic discussions below, revolving around i) the implementation of the city-wide M&E framework, ii) human capacity for framework implementation, iii) evaluation practice, iv) capacity building, and v) existing skills against related competency profiles.

5.1. The implementation of the City-wide M&E framework

The City of Johannesburg developed a monitoring and evaluation framework in 2012 as its monitoring and evaluation system in accordance with the Government-wide monitoring and evaluation system (COJ M&E framework, 2012). Thus, the City-wide M&E framework is used interchangeably with M&E system as they are meant to serve the same purpose. A monitoring and evaluation system is defined by the Presidency (2012, p. 4) as a "set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enable national and provincial departments, municipalities and other institutions to discharge their M&E functions effectively".

The findings of this research indicated that the City-wide M&E framework as the M&E system was not implemented adequately. In 2016, Ndhlovu et al, (2017) made a similar finding and argued that the framework had not been fully implemented and therefore, reinforced the challenge of not being able to track the progress of 2040 GDS which the framework was designed to address. Participants of this study have outlined several reasons to corroborate their perceptions. Among others, the participants suggested that the system or framework was too big and that it needed to be closer to home.

These views suggest that there is a need to simplify the City-wide framework to make it user-friendly and more applicable to the City's context. This finding is consistent with the assertion made by Ndhlovu et al, (2017) that the framework was too theoretical to be applied adequately. Reviewed literature corroborates the view that an M&E system needs to be user-friendly, accessible, understandable and relevant (Görgens & Kusek, 2009).

Of interest, and in elaborating on the above view, is the fact that the City's M&E system states it as one of its key principles as derived from the Government-wide M&E framework that an M&E system should be utilization-oriented (*COJ M&E Framework, 2012)*. An M&E system that is not user-friendly or utilization-oriented is likely to fall into disuse and therefore constitute a waste of resources (Mackay, 2007). An M&E system in the public sector such as the COJ is designed to, among others, hold individuals and departments accountable for their commitments made through, for example their IDP, SDBIP and Business plans (COJ M&E Framework, 2012). It is evident that the framework was not being implemented adequately, and this has costly effects on the overall M&E functioning in the City. The inadequacy in the implementation of the M&E system means that the City officials and their respective departments and entities may not held accountable for the commitments they have made (Chaplowe, 2008).

Considering that one of the key critiques of the framework is that it is not user-friendly, it is pivotal to explore the framework in its context. It is especially pivotal to determine the ultimate unit which is best positioned to simplify the framework and see to it that it is being implemented. The M&E specialists' job description suggests that it is the duty of the specialists and the M&E unit to see to it that the framework is applicable to the City (M&E Specialist Job Description, 2020; The COJ M&E Framework, 2012). Thus, the critique suggests that the responsible personnel have come short in the fulfilment of their function as it relates to simplifying the framework and therefore making it user-friendly. Utilization is the yardstick of success of an M&E system (Mackay, 2007).

One of the respondents indicated that they have been trying to communicate the framework throughout the City, through the cluster system and performance dialogues, but it appears that officials in departments and entities do not seem to understand the message. Hence, the departments and entities are at different levels

in terms of understanding the framework. Being in different places means that the framework was not yet understood across the City, despite having existed for eight years. In light of the fact that departments and entities were reported to be at different levels, Kusek and Rist (2004) argue that a continuous commitment, time and resources are required before some level of synergy can be attained.

Although it is the duty of department and entity management to appoint M&E personnel at their respective level, it is the duty of the M&E specialists to capacitate them (COJ M&E Framework, 2012; Ndhlovu et al., 2017). Thus, the lower-level M&E personnel's ability to comprehend and therefore implement the M&E framework lies squarely in the hands of the cluster champions as the Job Description and reviewed literature suggest (M&E Specialist Job Description, 2020).

Interestingly, and contrary to most respondents, respondent 5 was of the view that the M&E framework was practical. However, she felt that the framework was outdated. It would seem that the participant in question used the framework, hence they believed it was practical. Thus, it appears that although the departments and entities were reported to be at different levels in terms of understanding the framework, so too were the specialists.

A noteworthy point is that the M&E framework was supposed to be followed by a more practical document, the M&E handbook, which eight years after the approval of the framework still didn't exist (The COJ M&E framework, 2012). It is tempting to conclude that had the handbook been drafted and made available, perhaps there would be a much greater understanding and utilisation of the City's M&E system.

The successful implementation and institutionalization of M&E is marked by, among others, the creation of a sustainable, well-functioning M&E system in the governance

structures whereby M&E information of good quality is utilized intensively (Mackay, 2007). The City-wide M&E framework does not resemble a well-functioning M&E system where M&E information of good quality is utilised intensively, hence, the implementation thereof is inadequate.

Mention should be made of the fact that at the time of data collection, a report had been compiled indicating that the M&E framework was being reviewed by an external service provider. The reported review is perceived as an evaluation of the M&E system aimed at finding out “what is working, what is not, and why” (Mackay, 2007, p. 60). Perhaps after the review, the framework would be made more practical and applicable to the COJ context.

5.2. Human Capacity for Monitoring and Evaluation

On the outset, it should be mentioned that there is no single definition of M&E capacity upon which everyone in the field agrees (Morkel & Ramasobana, 2017). For the purpose of this paper, the definition by Görgens & Kusek (2009) was used, which refers to human capacity for M&E as the presence of a sufficient number of staff members who are properly skilled and competent in the performance of the monitoring and evaluation functions effectively, efficiently and sustainably (Görgens & Kusek, 2009). This study has found that the GSPCR-M&E unit did not have adequate number of staff to undertake the monitoring and evaluation functions effectively.

In the context of this theme, the inadequate human capacity is limited to the existence and presence of enough personnel to discharge the M&E functions and therefore coordinate the implementation of the City-wide M&E framework. Thus, it is plausible that the findings of inadequate human capacity are but a root cause of the reported inadequate implementation of the City-wide M&E framework (Ndhlovu et al., 2017).

Several authors including Görgens and Kusek (2009) and Chaplowe (2008) have pointed to the fact that the effective implementation of an M&E system requires as a critical component, adequate human capacity. Görgens and Kusek (2009) have identified human capacity as their second of the twelve components of the effective implementation of an M&E system.

In the context of the GSPCR and the M&E system, not having enough personnel meant that there was only a handful of people (4) in the unit who were responsible for reporting, overseeing and making inputs in, among others; the M&E reports, monthly reports, quarterly reports, and annual reports of over thirty core departments and municipal entities (COJ M&E Specialist Job Description, 2020).

It is without a doubt, and the respondents also shared the views in their majority, that this number was too small, compared to the amount of work that a cluster champion had to undertake. Although the paper does not attempt to prescribe the number of staff required to undertake the M&E tasks, it was evident that the number was too small and as a result, some of the core M&E functions were not adequately undertaken.

In corroborating the above, one respondent stated, “the work is just too much for one person” (Interview, 09 September 2020*)*. The implication of this statement is that the specialists were overworked, contributing to some critical functions being compromised. Respondents 3 and 6 supported this view, with one of them stating that they try to focus on critical areas of their work only. The overworked labour force generally results in less than optimal output and therefore compromise the quality of M&E information that they are expected to produce (Mackay, 2007).

Furthermore, an overworked labour force can potentially lead to poor job satisfaction and burnout, which are usually demonstrated by high employee turnover (Igbal, 2017).

The above is true in the M&E unit as in the financial year 2019/20, two specialists left the unit by taking lateral horizontal transfers to other units, and not necessarily pursuing vertically upward mobility. Elaborating on this view one respondent said "people are leaving...people are taking transfers because they are just overworked…" (Interview, 19 October 2020).

This is a phenomenon generally characterised as 'involuntary employee turnover', a situation where an institution loses valuable employees to another institution as a result of job dissatisfaction (Igbal, 2017). The effect of employee turnover is that an organization loses people who have what is commonly referred to as 'institutional memory' as those who have technical know-how leave their job posts and subsequently, the unit is left with a costly exercise of staff replacement, which typically includes, advertisement, recruitment, interviewing and appointment, followed by induction and a period of probation (Byrne, 2014; Igbal, 2017).

For a field as young as M&E in an institution as complex as the City of Johannesburg, it is pivotal for the M&E unit to be stable over a considerable period of time so as to nurture the institutionalization of M&E. Instituting employee retention strategies is one of the ways in which employee turnover can be minimised (Lewis and Sequira, 2012).

Lewis and Sequira argue that employee retention is a "process in which employees are encouraged to remain within the organization for a maximum period of time" (Lewis & Sequira, 2012, p. 2). Although it is not a recommendation, it may be crucial for the principals of the unit to identify and implement some employee retention strategies as a means to ensure stability in the unit in light of the reported high employee turnover.

In respect of the inadequate human capacity, one of the respondents mentioned that it was difficult to provide a thorough analysis for six reports [referring to the reports of

their six cluster members]. This is perceived as an indictment on the work done by the cluster champions as it suggests that the assessments and analysis they conduct may not be adequately thorough. Of concern is the fact that their 'expert opinions' as M&E specialists have a potential to inform policy or influence decision making in the City (Kusek & Rist, 2004).

This means that policy makers and management in the City may make decisions informed by less than adequate assessment and analysis of cluster performance, which constitute evidence. The use of evidence in decision making and policy making depends largely on the capacity of the system to produce quality, reliable and trustworthy evidence, which seems to be limited in this case (Segone, 2010). However, there is also an argument that the policy makers and decision makers on the other hand need to have the capacity and willingness to use quality evidence produced by the system (Segone, 2010). The above refers to the subject of supply and demand of quality evidence and information in monitoring and evaluation.

Admittedly, the phenomenon of inadequate human capacity has been reported to be a key issue in developing countries and therefore, it is not unique to South Africa and the City of Johannesburg in particular (Görgens & Kusek, 2009; Goldman et al., 2012; Maphunye, 2013). Furthermore, there are several studies conducted in South Africa which have all pointed to the fact that there are human capacity constraints in M&E practice.

For example, in the Gauteng Department of Health, a study conducted by Dube (2015) found that the department of health did not have adequate human capacity to discharge M&E functions. In another example, a study by Mashego (2017) also found that health centres in the Mpumalanga Department of Health lacked in human capacity

for M&E. The study by Ndhlovu et al, (2017) in the City made similar findings, which prompted the researcher to conduct this specific human capacity assessment, and therefore solicit in-depth views of the M&E specialists.

Segone argues that M&E capacity needs to be “understood in the context of a specific cultural, social and political context” (Segone, 2010, p. 29). Against this background, it is pivotal to mention that in a political set-up such as the Local government, the decision to increase capacity is not made as simple as it is in a small organization. It is generally a subject of intense motivation and continuous scrutiny by senior leadership as the local government operates in the context of limited resources and competing interests. Hence, capacitating the M&E unit may be seen as a luxury and not necessarily a necessity when compared with the need to capacitate a core service delivery unit or increasing budget in a politically enticing programme.

By way of concluding this section, it must be stated that there is no universally agreed upon definition or description of M&E capacity. Bearing in mind the conceptual ambiguity, the above discussion referred to human capacity as the presence of sufficient number of staff with proper skills. It was discussed in reference to the findings that the unit GSPCR-M&E unit did not have adequate capacity to discharge all the M&E functions in the M&E system adequately. Hence, some of the critical components were found to be missing. It was pointed out in this section that four M&E specialists were less than adequate to ensure the overall functioning of the M&E system. This conclusion was arrived at in cognisance of the fact that M&E capacity includes the capacity of both producers of M&E evidence as well as the users of that M&E evidence.

5.3. Evaluation Practice

In the previous section, the paper advanced an argument that the inadequate human capacity for M&E as a research finding has negative effects on the execution or discharge of some M&E duties. In furtherance of the said argument, it is of paramount importance to delineate evaluation practice as a specific M&E function which has fallen victim to the reported inadequate human capacity. Although it was not part of the initial themes, the lack of evaluation practice in the GSPCR emerged as an important theme throughout data collection and analysis.

Evaluation is defined as the "systematic, periodic and objective assessment of an ongoing or completed project, program, or policy, including its design, implementation, and results" (OECD, 2002 p. 21, cited in Kusek & Rist, 2004, p. 12). As per the definition, evaluations are periodic, and therefore they can be conducted at sporadic intervals, and these could be prior to, at the beginning, midway or at the end of an intervention, depending on the objectives of the evaluation (Kusek & Rist, 2004).

Boyle and Lemaire refer to evaluation practice as "the definition of the evaluation, research design, and the execution of the actual activity" (Boyle & Lemaire, 1999, p. 5). Evaluation practice, or the execution of evaluation is, to a large extent only possible if the necessary evaluation capacity is available. Evaluation capacity refers to the human capital, which include skills, knowledge and experience as well as financial and material resources (Boyle & Lamaire, 1999, p. 5).

By and large, there are several evaluation methods available throughout a wide variety of literature, however, four key methods stand out and they include, implementation evaluation, process evaluation, outcome evaluation as well as impact evaluation (Kusek & Rist, 2004; Görgens & Kusek, 2009; Clifton, 2003). The choice of an

evaluation method depends on a number of factors which include, but are not limited to the purpose of the evaluation, the objective of the evaluation as well as the specific evaluation domain (Greene, Mark, and Shaw 2006).

As an independent assessment, evaluations are designed to provide stakeholders with information regarding whether or not the intervention will work, how well the intervention is doing, why it is working, the challenges encountered as well as the lessons learnt from the intervention (Clifton, 2003; Görgens & Kusek, 2009; Kusek & Rist, 2004; OECD, 2005).

Having provided a brief description of evaluation, evaluation practice and evaluation capacity, it is crucial at this stage to mention that the study made the finding that the M&E unit did not have adequate capacity to conduct evaluations. This is capacity described in terms of number of personnel, skills, knowledge and experience as well as financial and material resources to conduct evaluations (Boyle & Lamaire, 1999). In terms of number of personnel, it seems implausible, and the findings corroborate this view, that the four cluster champions in the GSPCR-M&E unit would be able to evaluate interventions of over thirty implementation partners in the City. This is the same human capacity that has been found to be inadequate for coordinating the overall implementation of the M&E framework. Hence, it comes as no surprise that the same capacity is inadequate for conducting evaluations.

In terms of evaluation skills, Podems (2014 in Morkel and Smith 2018, p. 44) argues that “there is no perfect evaluator or evaluation team”, and this is based on the maxim that “evaluation is more often art than science”. The authors further posit that many good evaluators have no formal M&E qualifications (Morkel & Smith, 2018). From the above and considering that most of the participants had acquired formal M&E

qualifications, which contain evaluation as a module, it is conceivable that the participants had the required skills to commission, conduct or supervise evaluations. A formal qualification, however, does not guarantee good evaluation practice (Morkel & Smith, 2018). Thus, the issue of evaluation practice could be more complex than it meets the eye.

In the context of the lack of evaluation practice and use, (Greene et al., 2006) argue that for the evaluation to work, let alone find expression, it has to have an audience, what the authors refer to as “evaluation audience”. In general, evaluations intended to provide accountability or support decision making serve the interests of stakeholders, in the case of the City, these are the different Management Committees, Mayoral Committees council as well as policy makers (Greene et al., 2006, p. 25).

All the participants of this study reported that the unit had not conducted a single evaluation throughout the duration of their service in the unit. Hence, one accedes with the view that one of the root causes of the missing evaluation practice could be the reported inadequate human capacity (number of staff members) since evaluations are an integral part of an M&E system, which was not adequately utilised. In light of the missing evaluation practice, Blaser-Mapitsa and Khumalo (2018) have made an observation that most M&E systems and processes in African institutions rarely contain evaluative components, at close examination.

In spite of the above assertion, it must be mentioned that conducting, commissioning and overseeing evaluations are some of the core duties of M&E specialists, although none of them have conducted, commissioned nor overseen one in their tenure in the M&E unit (COJ M&E Specialist Job Description, 2020). Evaluations are highly canvassed for their potential of revealing the extent to which programme goals are

realised as well as uncovering the factors that are associated with successful or unsuccessful programme outcomes (Weiss, 1993). Therefore, the missing evaluation practice has various worrisome implications and therefore effects. For example, the City is still unable to successfully measure and track the progress made towards GDS 2040 (Ndhlovu et al., 2017).

Secondly, and most concerning, the City is unable to accurately and rigorously measure the actual impact of their interventions on the citizens, which would be made possible by conducting impact evaluation studies (Gertler et al., 2010). Thus, and as an example, the City can only report to have electrified x number of households and purified x number of litres of water but cannot articulate using scientific evidence, the impact of that electrification or water purification on the lives of the beneficiaries.

It seems, and it was stated by one of the respondents that generally, there seems to be a limited understanding of evaluations in the City, which could equally explain the missing evaluation practice. Specifically, respondent 4 reported that "…every time we want to do an evaluation, people thought that we want to use evaluation findings against them; now we want to get them fired" (interview, 20 September 2020). Related to this view, it is crucial to consider that M&E specialists work in a political environment and therefore programmes they should evaluate are political entities and attached to them are repercussions of legislators, the careers of administrators as well as jobs of programme staff (Weiss, 1993, p. 95). Hence, it is expected that those who manage programmes which M&E specialists would seek to evaluate may demonstrate some levels of resistance.

The City of Johannesburg has, since 2016 been marked by what Weiss (1993) refers to as political turbulence, and as such, the terrain of programme evaluation is one that

may need to be traversed with extreme caution as these programmes are “creatures of legislative politics and bureaucratic politics” (Weiss, 1993, p.96). In a political set-up, especially as volatile as the City of Johannesburg, it appears that programme managers have a need to “thread carefully” as politicians seem to engage in concerted missions to purge the officials appointed by the other political administrators, be it the Democratic Alliance or the African National Congress. Thus, the fear and perception that negative evaluation findings may be used to fire officials may not be far-fetched after all.

Against this background, and in the context of the political environment that is the City, deciding which programme to evaluate and which one not to evaluate, in the midst of a myriad of programmes the City implements has political implications (Weiss, 1993). The perception could be that the unevaluated programmes are safe whilst the evaluated programmes are ‘targeted’ for political motives and therefore, subjected to scrutiny, which may potentially increase resistance levels by respective officials (Weiss, 1993).

In instances of internal political concerns, perhaps evaluations can be commissioned and undertaken by external experts under the tutelage of M&E specialists. Despite this alternative possibility, and the fact that the City has signed MoU’s with institutions of higher learning, the M&E unit has not yet made use of external service providers to conduct evaluations. Inferring from the response of respondent 3, who said *“if they want evaluations for this project and they see the value of evaluations, they should capacitate it with the required resources…” (interview 3, 20 September 2020).* It is tempting to conclude that required resources such as financial resources have not been made available for the commission of evaluations (Boyle & Lemaire, 1999).

This view was corroborated by senior personnel who, in responding to the question about evaluation asked; *"…do we have appetite at the higher echelon…?"* (Interview, 11 November 2020). From this quote, one can deduce that the higher echelon, in this case, the City Manager or the Unit Head have not provided adequate support for the capacitation of the evaluation component of the unit.

Morkel and Ramasobana (2017) argue that for the sustainability of evaluation practice, it is pivotal for participants to be supported by the leadership of the organization by making resources available and provide opportunities for learning and application of acquired skills in practice. Thus, the lack of 'appetite' and support means that evaluation practice may not be sustained unless the higher echelon creates that appetite by, among others, providing support, incentives and resources for evaluation practice.

The lack of evaluation practice, irrespective of the cause thereof, speaks directly to the construct of evaluative thinking. Evaluative thinking is defined as "critical thinking applied in the context of evaluations, motivated by an attitude of inquisitiveness and a believe in the value of evidence" (Archibald, Buckley, McIntosh, 2020, p. 105). It is clear from this research that evaluative thinking as a paradigm is missing, and as a result, evaluations are not commissioned, they receive limited support, and the culture thereof is not adequately indoctrinated.

One of the respondents made reference to the concept of evaluation culture as a lacking component in the City. An organisation with evaluation culture is demonstrated by the existence of effective, structured, and accepted utilization of evaluation to support change and development (Segone, 2010).

Whereas evaluation practice requires adequate capacity to supply evaluation evidence, it is equally important to note that it requires the use and demand of that evaluation evidence (Morkel and Ramasobana, 2017). Thus, it is important to create an enabling environment which will enhance the demand and therefore use of evaluation findings and evidence once it is produced and made available (Morkel & Ramasobana, 2017). Whilst it is expected that M&E specialists should produce quality evaluation evidence, policy makers and decision makers need to know how to use evaluation information and evidence.

All things considered, the study discussion pointed to the fact that evaluation practice was a critical, yet missing component in the City's M&E system and practice. The discussion pointed to the fact that the missing or limited evaluation practice was largely due to inadequate human capacity and notably, the issue of evaluation culture. In this it was discussed robustly that the City offers limited support for the enhancement of evaluation practice, despite the prevalent skills which the specialists are in possession of.

5.4. Capacity Building and Development

It was discussed in previous sections that the empirical study has found that the M&E unit did not have adequate M&E human capacity to coordinate the City-wide M&E framework and undertake some of the M&E duties in fulfilment of the mandate of the GSPCR. The study further sought to establish the existence of capacity development initiatives to augment the reported human capacity deficiencies. Hence, the theme speaks to capacity development initiatives undertaken in the GSPCR.

Segone (2010) argues that one must first understand the capacities that exist prior to engaging in any effort to develop, build or strengthen them. Capacity building (and

development) is defined as a “process by which employees (at an individual level) and organizations attain or improve their existing skills and knowledge to work better in a suitable environment with the proper tools and equipment needed to complete their jobs competently” (McKegg, Wehipeihana & Pipi, 2016 in Matshiliza, 2019, p. 494). This definition is consistent with Görgens and Kusek’s definition where they define capacity development as “the improvement of human resources and operational capabilities of systems and individuals so that they can perform better” (Görgens & Kusek, 2009, p. 92). Therefore, capacity development implies the intentionality to strengthen capacities (Segone, 2010).

This study found that there are quiet limited intentional capacity development initiatives taking place in the M&E unit. Not having intentional capacity development initiatives means that the specialists’ M&E knowledge is not kept abreast with new developments, concepts and approaches in the field of M&E (Lobo et al., 2016). Without doubt, it is important for an organization to incorporate capacity development strategies or initiatives in the M&E unit in order to maximise its effectiveness (Lobo et al., 2016).

One respondent cited that the last time they attended any capacity building initiative was in 2016 when they participated in the diagnostic study spearheaded by the CLEAR-AA. The CLEAR-AA study was of itself not a capacity building exercise, but a diagnostic study which was meant to uncover the bottlenecks in the M&E framework (Ndhlovu et al., 2017). Four years later, it appears that there had not been any additional capacity building initiatives.

There are several ways in which capacity can be built and developed. Görgens and Kusek (2009) argue that capacity development should focus on three levels which

include system capacity development; organizational capacity development as well as human capacity development. The latter, which is more relevant to this study involves "identifying the appropriate people to be trained, providing an effective learning environment for training and education, in-service training and field supervision for skills transfer" (Lamtey et al., 2001 in Görgens & Kusek, 2009, p. 92). It is pivotal to mention that capacity development is about more than just training, other methods include facilitation, coaching and mentorship (Morkel & Smith, 2018). In addition, the Presidency further argues that individual capacity of M&E personnel can be enhanced through continuous education, performance agreements etc (DPME Capacity Development Strategy, 2010). Morkel and Ramasobana (2017) submit that in order to build evaluation competence, capacity development should combine different delivery methods, such as classroom-based and fieldwork-based methods.

Identification of relevant people to be trained means that the capacity development intervention should go beyond the GSPCR personnel and include all relevant stakeholders involved in the M&E framework to effectively execute their part in the M&E system (Görgens & Kusek, 2009). The relevant stakeholders include the policy makers, senior management staff at all levels, M&E personnel at departmental level as well as and all staff members who interact with the M&E system in one level or another. Hence, Segone (2010) argues that a delineation should be made between policy makers' capacity to use evidence and the capacity of M&E specialists to provide that evidence.

Considering that evaluation capacity also emerged as a theme for analysis, it is pivotal to interrogate capacity building efforts specifically geared to enhance evaluation capacity, commonly known as evaluation capacity building (Boyle & Lemaire, 1993). Boyle and Lemaire (1993) argue that the development of evaluation capacity is a

crucial task that cannot be taken for granted if governments or organizations are to derive benefits from evaluation studies.

This view was articulated by respondent 5 who stated that if the City is to benefit from a full extent of M&E, they should capacitate the evaluation component. Developing evaluation capacity can be achieved through various partnerships with institutions such as Universities, as well as private evaluation consultants (Görgens & Kusek, 2009). In this regard, respondent 2 reported that the City has entered into Memorandums of Understanding with several institution of Higher learning including the University of the Witwatersrand for support in terms of capacity building (Interview, 09 September 2020).

Hence, City officials have access to resources in the institutions of higher learning as well as the DPME and SAMEA respectively through which capacity can be developed (Interview, 09 September 2020). From attending these capacity development initiatives, the specialists can enhance their competencies and subsequently transfer the skills to M&E officials based in line departments and entities respectively.

However, it is not clear if the specialists attend those courses, and if at all, the short courses to which they get invited enhance their ability to perform their duties better.

Whereas there is doubt about the critical nature of intentional evaluation capacity development, there are still gaps in the supply and demand of the evaluation capacity building (Morkel & Smith, 2018). Morkel and Smith (2018, p. 2) argue that there is little empirical evidence which indicates whether or not ECB processes activities and outcomes are at all effective since there is no professional body overseeing the content of M&E training material in Africa. This is because ECB activities are hardly evaluated against the achievements of their intended outcomes.

The goal of ECB is “sustainable evaluation practice where members continuously ask questions that matter, collect, analyse and interpret data and use evaluation findings for decision making” (Morkel and Ramasobana, 2017, p. 2).

In conclusion, the study found that the M&E unit did not undergo adequate intentional capacity building programmes. The M&E specialists have access to resources of institutions of higher learning through the signed MoU’s, however, capacity development initiatives are still missing.

5.5. Skills and Competencies for M&E

This theme speaks directly to the perceptions of the M&E specialists in respect to the specific skills required to perform their duties, and the specific skills and competencies in which they felt the most and least competent respectively. It was previously stated in section 5.3 that capacity can be measured both in terms of quantity and quality (Görgens & Kusek, 2009). In this regard, the human capacity measure refers to the quality, specifically, the required skills and competencies of an M&E specialist in the performance of their duties in the M&E unit.

For conceptual clarity, it is important that the two concepts which are used interchangeably be defined. Moore and Rudd define competence as “an ability of an individual to perform a task using his/her knowledge, education, skills and experience” (Moore & Rudd, 2004, p. 23). Thus, a competent person is measured by their ability to perform duties assigned to them using a combination of their knowledge, education, skills and experience. A skill on the other and is defined as “an ability which can be developed, not necessarily inborn, and which is manifested in performance, and not necessarily potential” (Moore & Ruud, 2004, p. 23).

With an increasingly intense debate around evaluation and monitoring competencies, it must be mentioned at the outset that there is no single internationally standardised set of skills and competencies for monitoring and evaluation (Morkel & Smith, 2018). Against this background, Görgens and Kusek (2009) submit that there are generally two types of skills needed for M&E systems and they include (i) general management and technical skills and (ii) technical skills related to the 12 components of an M&E system.

Although M&E specialists play a coordinating role in the M&E system and not necessarily lower-level monitoring functions at department and entity levels, this paper submits that it is pivotal for them to be competent in both types of skills as set out by Görgens and Kusek (2009).

In responding to the questions regarding the required skills and competencies for the effective performance of their duties, the respondents mentioned a wide variety of skills which include but are not limited to; being an allrounder, the ability to think strategically, data analysis and the ability to think analytically, research, report writing, communication, leadership, monitoring skills, evaluation skills.

The above listed skills and competencies are consistent with the delineation of technical skills and people skills which are essential for an M&E specialist. It must be noted that technical skills and social science knowledge are not sufficient for the overall functioning of an M&E system and ensuring the use of evaluation, people skills are equally critical (Segone, 2010). Hence, the skills such as strategic thinking, analytical skills, effective communication, and leadership as well as being an allrounder are crucial for an M&E specialist working in the environment such as the City of Johannesburg (Segone, 2010).

These skills are consistent with those outlined by Segone (2010), which include building relationships, facilitating groups, and managing conflict. Thus, an M&E specialist who has inadequate interpersonal skills, skills for dealing with people as well as the ability to "walk through political tight ropes may find their work largely ignored or used inappropriately" (Segone, 2010, p. 49).

Interestingly, all respondents shared the view that they were competent in most of the required skills and competencies they listed. This means that despite their small number, the respondents were of the view that they were equal to the task. The interviewed M&E specialists, including those who had left the unit were all in possession of higher educational qualifications. Almost all of them had Master's degrees, except for one who had an honours degree and a postgraduate diploma in M&E.

Thus, in terms of the quality of human capacity, it can be concluded that the M&E specialists had adequate skills, both technical and people skills to perform their duties. This is with the exception of evaluation skills, which have been reported to be in short supply, particularly the experience thereof. As previously discussed however, there are more complex issues to consider in the evaluation practice in the City than skills and competence.

Using the listed skills and competencies except for evaluations, the respondents submitted in their majority that they were able to fulfil their functions and thereby ascertain the fulfilment of the mandate of their unit. I am persuaded to agree that the respondents are sufficiently skilled and competent in the fulfilment of their functions as they purport. The paper acknowledges however that, the human capacity assessment was subjective by design, and hence, it was less likely that one would outright report

that they were least competent, otherwise there would be no justification for their appointment.

The knowledge of the required M&E skills and competence as reported by the respondents were less technical, and hence excluded technical skills such as indicator formulation, outcome formulation, construction of an M&E plan, the use of Log frames, the construction of theory of change for an intervention and so on and so forth, which are necessarily critical (Kusek & Rist, 2004). It is equally conceivable that the omission of these skills had to do with the fact that their duties are more supervisory, and oversight oriented.

Over and above the skills and competencies mentioned by the respondents, there is also the issue of cluster-specific skills or what the Presidency refer to as sector-specific skills (DPME Evaluation Capacity Development Strategy, 2014). The clusters for which the specialists are responsible are grouped according to the fields of specialization apart from M&E, for example, a cluster champion for the economic development cluster needs to have some knowledge and skills in economics and accounting since their work includes analysing the finances of their respective clusters. In this regard, the specialists reported competence in the sector-specific skills and that is crucial for the analysis of cluster reports as well as presentation of reports to different stakeholders as it were.

Taking everything into account, the discussion in this section pointed to the fact that the specialists were sufficiently skilled and competent in the performance of their duties as they reported. This is mentioned bearing in mind the fact that there is no single standard set of skills and competencies for M&E as the M&E field is largely transdisciplinary. The specialists expressed competence in both technical and people

skills which are all deemed to be necessary in the performance of their duties as their roles are largely supervisory rather than routine daily monitoring, reporting and evaluation of interventions.

CHAPTER SIX: CONCLUSION

6. Introduction

This chapter provides a summary of conclusions based on the findings of the empirical study as it relates to human capacity for monitoring and evaluation in the City of Johannesburg's Group Strategy, Policy Coordination and Relation's M&E Unit. The research was tailored to assess the human capacity levels for coordinating the City-wide M&E framework.

6.1. Conclusion

This empirical research was tailored to answer the following research question: what are the human capacity levels for carrying out M&E work in the COJ's Group Strategy, Policy Coordination and Relations unit? The secondary question the research sought to answer was: what are the required skills and competencies for coordinating the M&E framework in the GSPCR-M&E Unit?

In the quest to answer the primary research question, the study has arrived at the conclusion that the City of Johannesburg's Group Strategy, Policy Coordination and Relation's Monitoring and Evaluation unit did not have adequate human capacity levels in terms of the number of staff to carry out the M&E functions effectively.

The M&E specialists had a duty to ensure the effective application of the City-wide M&E framework and the use of resultant data for accountability and learning. The study has found that the City-wide M&E framework was not adequately implemented. The study thus concludes that the inadequate human capacity levels constitute a main factor in the ineffective implementation of the M&E framework. The conclusion is informed by the assertion that the effective implementation of an M&E system

requires, as one of the key components, adequate human capacity, which is a requirement the M&E unit has not adequately fulfilled. This is not withstanding the central critique that the City-wide M&E framework was not user-friendly and was becoming outdated in many respects.

A number of factors were taken into account in reaching this conclusion. Importantly, the number of M&E specialists were considered in light of the volume and relevance of specialised and varied work required for the successful and sustainable fulfilment of the mandate of the M&E unit. Secondly, the conclusion is drawn in full cognisance of the fact that the M&E functions in the City are decentralised, the implication of which is that the departments and entities reporting to the GSPCR-M&E unit have their own M&E officials, but also face their own capacity and skills challenges – which ultimately are expected to be addressed through the support of the GSPCR-M&E Unit.

The results of this research explicitly indicated that due to the inadequate human capacity, some critical functions of the M&E unit were left unfulfilled. In addition, and related to the reported inadequate utilisation of the City-wide M&E framework, evaluation practice from which crucial evidence and information necessary for policy and decision making can be sourced, has not found expression. The discourse around the missing evaluation practice has a significant bearing on the demand and supply debate of evaluation evidence.

In answering the secondary research question, and notwithstanding the conclusion in respect of the number of staff in the GSPCR-M&E unit, the research came to the conclusion that the M&E specialists possess adequate levels of skills and competencies required for the performance of the M&E functions. The conclusion is arrived at in full cognisance of the fact that the M&E specialists perform supervisory

or oversight functions on the monitoring and reporting work already prepared by M&E officials at department and entity level.

Hence, the above conclusion also takes into account the fact that the performance of supervisory and oversight duties which include reporting to political principals requires not only M&E technical skills, but people skills such as communication and relationship building as well as sector specific skills such as strategic and analytical thinking. Although not exhaustive, these are the skills of which the M&E specialist are in possession, over and above technical M&E skills which include, indicator and outcome formulation, target setting and programme evaluation, etc.

Against this background, the study concludes that although the skills levels in the M&E unit are adequate for carrying out some of the M&E functions, they are not sufficient for the effective implementation of the City-wide M&E framework. The conclusion is informed by the fact that a skill is manifested in actual performance and not necessarily potential. Hence, despite the presence of some skills and competencies, empirical evidence suggests that there is plenty of room for learning and improvement in the enhancement of the existing skills and competencies. Thus, capacity building and development remain much needed intervention, which too have been reported to be missing.

The above conclusion was arrived at taking into account the fact that the effective implementation of an M&E system requires much more than skills of M&E specialists. It also links to the skills and competences of those on whose behalf / for whose use the M&E evidence is produced. Thus, the study concludes that users of M&E evidence equally come short in ensuring the effective utilisation of the M&E framework. Hence, capacity building and development initiatives should include these key role players as

well. In other words, whilst different in depth and breath, skills on both the demand and the supply sides of evaluation and monitoring data need to be strengthened in the City of Johannesburg. In the specific context of the City, this could include heads of departments, managers of individual utilities, staff in the City Manager's office, as well as those with political oversight responsibilities. As mentioned earlier in the report, the implementation of an M&E framework can be seen as “a process of continuous improvement”. It is in the spirit of continuous improvement that this study concludes that the all-inclusive capacity building and development initiatives be implemented continuously so that as a result, the utilisation of the M&E framework in the City can gradually improve.

Consistent with the choice of research method and design, semi-structured interviews as the chosen data collection instruments were found to be appropriate for the collection of narrative primary data which contained views and perceptions of M&E specialists as they relate to the required human capacity levels for M&E in the GSPCR. In the same breath, thematic content analysis was found to be an appropriate tool through which primary data was analysed, primarily for its ability to enable the emergence of themes which were important in framing the discussion of findings.

Notwithstanding the inherent challenges of a case study design, the research benefitted from this design as it enabled the researcher to maintain a focus on the GSPCR as a single unit from which context specific issues which are nested in real life were unearthed and explored. The crucial role of the GSPCR-M&E Unit in creating a strong culture of evaluating activities and results across, oversee its implementation, and support departments and entities, makes it all the more relevant as a chosen case study.

However, and very important to note, although focusing on the GSPCR-M&E unit was in the DNA of this research, it presented challenges in the size of the research sample. The unit is very small, and as a result, the number of participants was small and included two former staff members as well as senior personnel who do not participate in the day-to-day M&E business, but provided important insight. The size of the sample, in the end, is a direct reflection on the main conclusion of this research, i.e., the unit does not have adequate human capacity in terms of number of staff. This is not withstanding the fact that a small unit with such a wide remit might face a range of other institutional enablers and barriers, beyond technical skills, which might be of interest for future research. From the small number of participants, rich data was collected, enabling a rigorous response to the research questions.

Beyond the pre-determined research questions, the study discovered remarkable insights which are pivotal in the broader discourse of human capacity for M&E particularly in the City of Johannesburg and informed the conclusions arrived at. The questions raised around evaluation culture were an interesting discovery. Related to evaluation culture in the organisation, the study gained interesting insight into the importance of intentional capacity building not only in the enhancement of technical skills for M&E personnel, but also for the creation of demand for users of M&E evidence.

The findings of this research corroborate the popular version that the public sector in developing countries falls short on the human capacity for monitoring and evaluation. The study also amplified the subject of sector-specific skills in the broader debate of M&E as a transdisciplinary field. The chapter provided a synthesis and conclusion of the study in respect of human capacity levels for carrying out M&E work in the GSPCR.

List of References

Abrahams, M., A., (2015). A review of the growth of monitoring and evaluation in South Africa: Monitoring and evaluation as a profession, an industry and a governance tool. *African Evaluation Journal 3(1),* Art. #142, 8 pages. http://dx.doi. org/10.4102/aej.v3i1.142

Acevero, G. L., Rivera, K., Lima, L., Hwang, H. (2010). *Challenges in monitoring and evaluation: An opportunity to institutionalise M&E system*. 5th Conference of Latin America and the Caribbean Monitoring and Evaluation (M&E) Network. Document of the World Bank and Inter-American Development Bank.

Archibald, T., Buckley, J., McIntosh, J. S., Refining and measuring the construct of evaluative thinking: An exploratory factor analysis of the evaluative thinking inventory. *Journal of multidisciplinary evaluation. Volume 19 (34), 2020.* ISSN 1556-8180. http://www.jmde.com. Accessed in: https://www.researchgate.net/publication/340772341

Blaser Mapitsa, C and Khumalo, L (2018). Diagnosing monitoring and evaluation capacity in Africa. *African evaluation journal. Volume* 6 (1), a255. https://doi.org/10.4102/aej.v6i1.255

Boyle, R. Lemaire, D. (1999). *Building effective evaluation capacity: Lessons from practice*. Transaction publishers. New Brunswick (USA) and London (UK)

Brancati, D. (2018). *Social scientific research*. SAGE Publications.

Bryman, A. (2012). *Social research methods* (4th ed). Oxford University Press. London

Byrne, A. (2014). Institutional memory and memory institution. Library history forum, SLNSW, 18-19 November 2014. 75th Anniversary of the NSW Library Act 1939.

Chaplowe, S. G. (2008). *Monitoring and Evaluation Planning*. American Red Cross/CRS M&E Module Series. American Red Cross and Catholic Relief Services (CRS), Washington, DC and Baltimore, MD.

City of Johannesburg. Job Description Form. Approved by JWEG on 9 December 2002. Specialist Monitoring and Evaluation/Corporate Performance Support. Group Strategy, Policy Coordination and Relations. Johannesburg.

City of Johannesburg, 2011, Joburg 2040: Growth and development strategy, Central Strategy Unit, City of Johannesburg, Johannesburg.

City of Johannesburg's. (2012). Policy Framework for the City-Wide Monitoring and Evaluation, City of Johannesburg, Johannesburg.

City of Johannesburg's Integrated Development Plan (2019/20) review. Johannesburg.

City of Johannesburg Integrated Annual Report (2018/2019). Johannesburg.

Clifton. T. (2003). Study.com. *Outcome evaluation: Definition & program effectiveness*. Retrieved from: https://study.com/academy/lesson/outcome-evaluation-definition-program-effectiveness.html

Creswell, J. W. (2003). *Research design. qualitative, Quantitative and mixed methods approaches*. University of Nebraska – Lincoln. SAGE. Los Angeles. (2nd Ed)

Creswell, J. W. (2014). *Research design. qualitative, quantitative and mixed methods Approaches*. University of Nebraska – Lincoln. SAGE. Los Angeles. (5th Ed)

Dube, P. (2015*). An investigation into the Gauteng department of health and social development's monitoring and evaluation system*. (Masters Dissertation). Wits University. Johannesburg. South Africa

Farrell, G. M., (2009). *Results-based monitoring and evaluation at the Commonwealth of learning*. A Handbook. 1055 West Hastings Street, Suite 1200 Vancouver, BC V6E 2E9 Canada.

Gertler, P. J., Martinez, S., Premand, P., Rawlings, L. B., & Vermeersch, C. M. J. (2010). *Impact Evaluation in Practice*. The World Bank. https://doi.org/10.1596/978-08213-8541-8.

Görgens, M., & Kusek, J. Z. (2009). *Making monitoring and evaluation systems work*: *A capacity development toolkit*. The World Bank. Washington D.C.

Goldman, I., Engela, R., Akhalwaya, I., Gasa, N., Leon, B., Mohamed, H., & Phillips, S. (2012). Establishing a National M&E System in South Africa. The nuts and bolts of M&E systems. The World Bank. South Africa

Greene, C. J., Mark, M. M., Shaw, I. F., (2006). *The SAGE Handbook on Evaluation*. SAGE Publications. Thousand Oaks, CA: USA.

Igbal, A (2010). *Employee turnover: Causes, consequences and retention strategies in Saudi organizations*. January 2010. Prince Sultan University, Riyadh, Saudi Arabia. Accessed in: https://www.researchgate.net/publication/215912138

Johnson, R. (Robert) B., & Christensen, L. B. (2013). *Educational research: quantitative, qualitative, and mixed approaches.* (5th Ed). SAGE Publications. Los Angeles. USA

Kusek. J. Z. and Rist. R. C. (2004). *Ten steps to a results-based monitoring and evaluation system: A handbook for development practitioners*. The World Bank, Washington DC, USA

Lahey, R. (2015). Common issues affecting monitoring and evaluation of large ILO projects. Strategies to address them. i-eval THINK Piece, No 9. International Labour Office. Evaluation office. November 2015.

Leavy, P. (2017). *Research design: Quantitative, qualitative, mixed methods, artsbased, and community-based participatory research approaches*. New York; London: Guilford Press.

Lewis, A. V., Sequeira, A. H (2012). *Effectiveness of employee retention strategies in industry.* October 2012. *SSRN Electronic Journal*. DOI: 10.2139/ssrn.2167719. Accessed in: https://www.researchgate.net/publication/256038199

Lobo, R., Crawford, G., Hallett, J., Laing, S., Mak, D. B., Jancey, J., Rowell, S., McCausland, K., Bastian, L., Sorenson, A., Tilley, P. J. M., Yam, S., Comfort, J., Brennan, S., & Doherty, M. (2016). A research and evaluation capacity building model in Western Australia. *Health Promotion International*, daw088. https://doi.org/10.1093/heapro/daw088.

Mackay, K. R. (2007). *How to build M&E systems to support better government*. The World Bank. https://doi.org/10.1596/978-0-8213-7191-6

Maepa, K. L. (2015). *Performance monitoring and evaluation of metropolitan municipalities in Gauteng*. University of Pretoria. South Africa. (PHD Dissertation)

Manyaka, R. K and Nkuna, N. W. (2014). The Phenomenon of Corruption in the South African Public Sector: Challenges and Opportunities. *Mediterranean Journal of Social Sciences MCSER Publishing*, Rome-Italy. ISSN 2039-2117 (online). Volume 5 (27). DOI:10.5901/mjss.2014.v5n27p1572

Maphunye, M. E. (2013). *Human capacity challenges in the implementation of a monitoring and evaluation system.* Wits University. South Africa. (Masters dissertation)

Mashego, S. L., (2007). *Assessing human capacity in monitoring and evaluation system of healthcare centres in Mpumalanga Province*. Wits University. South Africa (Master's dissertation)

Masuku, N. W. K., & Ijeoma, E. O. C. (2015). A global overview of monitoring and evaluation (M&E) and its meaning in the Local Government context of South Africa. *Africa's Public Service Delivery and Performance Review, Volume 3(2), 5.* https://doi.org/10.4102/apsdpr.v3i2.79

Mataka, T. (2015). *The Capacity for Monitoring and Evaluation in the North West Provincial Government departments*. University of Witwatersrand, South Africa. (Masters dissertation).

Matsiliza, N. S. (2019). Strategies to improve Performance Monitoring and Evaluation in the Public Sector. *Journal of Reviews on Global Economics. Volume 8, 490-499*. EISSN: 1929-7092/19

Moore, L., Rick, D. (2004). Leadership skills and competencies extension Directors and Administrators. *Journal of Agricultural Education* · September 2004. Accessed in: https://www.researchgate.net/publication/285645023

Morkel, C and Ramasobana, M (2017). Measuring the effect of evaluation capacity building initiatives in Africa: A review', African Evaluation Journal. Volume 5(1). A187. https://doi.org/10.4102/aej.v5i1.187

Morkel, C and Smith, L, R (2018). Trends in supply and demand for evaluation in Africa: a view from CLEAR-AA. Evaluation matters first quarter 2018. Accessed from ResearchGate. https://researchgate.net/publication/339054789.

Ndhlovu, L., Smith, L. & Narsoo, S., (2017). The search for a method to unpack urban complexity: Case study of the City of Johannesburg. *African Evaluation Journal. Volume 5(1)*, a195. https://DOI. org/10.4102/aej.v5i1.195

Nehls, K., Smith B.D., Schneider H. A. (2015). *Video-conferencing interviews in qualitative research* (Chapter 6). S, Hai-Jew. (2015). *Enhancing qualitative and mixed methods research with technology*. Information science reference (an imprint of IGI Global) Harshey, PA, USA.

Neuman, W. L. (2014). *Social research methods: qualitative and quantitative approaches* (7th Ed.), Pearson new internat. ed). Harlow: Pearson.

Peisah, C. (2016). *Capacity Assessment*. Springer Nature Singapore Pte Ltd. 2016. Sydney University, NSW, Australia. DOI 10.1007/978-981-10-0370-7_17-1

Republic of South Africa (2007). Policy Framework for the Government Wide Monitoring and Evaluation System. Pretoria: Government Printers.

Republic of South Africa (2014). Performance Monitoring and Evaluation Capacity Development Strategy. Department: Performance Monitoring and Evaluation (DMPE). Pretoria: Government Printer

Republic of South Africa. Disaster Management Act, 2002: Amendment of Regulations issued in terms of Section 27 (2). The department of Cooperative Governance and Traditional Affairs. Government Gazette.

Republic of South Africa: Statistics South Africa [SSA]. 2018.

Rogers, P. J. (2008). *Using programme theory to evaluate complicated and complex aspects of intervention*. SAGE Publications (Los Angeles, London, New Delhi and Singapore) DOI: 10.1177/1356389007084674 Volume 14(1): 29 – 48

Rogers, P. J., Funnell, S. C., (2011). *Research methods for the social sciences: Purposeful programme theory: Effective use of theories of change and logic models*. Hoboken, NJ, USA: Jossey-Bass.

Salkind, N. J. (2017). *Statistics for people who (think they) hate statistics.* (6th edition, international student edition). Los Angeles London New Delhi Singapore Washington DC Melbourne: SAGE.

SAMEA, 7th BIENNIAL Conference Report, 2020. http://www.samea.org.za/summernotefile/dump?summernotefile id=122

Segone, M (2010). *From policy to results: Developing capacity for country monitoring and evaluation system*. New York. UNICEF.

Stevahn, L., King, J.A., Ghere, G. & Minnema, J. (2005). Establishing Essential Competencies for Program Evaluators. *American Journal of Evaluation, Volume 26 (1), pp 43-59*

Simister, N. and Smith, R. (2010). *Monitoring and evaluation capacity building: Is it really that difficult?* International NGO Training and Research Centre. Praxis paper 23.

Tebele, M.,M (2016). *Problems and challenges related to public policy implementation within the South African democratic dispensation: A theoretical exploration*. North West University. South Africa (Masters dissertation).

Wagner, C. Kawulich, B. B., Garner, M. (2012). *Doing social research. A global context*. McGraw-hill Higer Education. London.

Weiss, C. H. (1993). *Evaluation practice*. Volume 14(1,) 1993, pp. 93-106. ISBN: 0886-1633. JIA Press, Inc.

Wotela, K. (2017). Towards an Outcomes-based approach to research strategy, design, procedure and methods' chapter for business and public administration research. *Journal of Public Administration. Volume 52 (1.1) March 2017*

Appendices

Appendix A: Information sheet

Dear Sir / Madam,

My name is Phello Mohlamonyane and I am studying for a master's degree in the Wits School of Governance at the University of the Witwatersrand, Johannesburg. As part of my studies, I have to undertake a research project, and I am assessing human capacity for Monitoring and Evaluation under the supervision of Mr. Marcel Korth. The aim of this research project is to assess human capacity levels for the implementation of Monitoring and Evaluation in the City of Johannesburg's Group Strategy, Policy Coordination and Relations. As part of this project, I would like to invite you to take part in an interview. This activity will involve a semi-structured discussion and will take around 60 minutes. With your permission, I would like to record the interview using a digital device.

There will be no personal costs to you if you participate in this project, you will not receive any direct benefits from participation but there are no disadvantages or penalties if you do not choose to participate or if you withdraw from the study. You may withdraw at any time or not answer any question if you do not want to. The interview will be completely confidential and anonymous as I will not be asking for your name or any identifying information, and information you give to me will be held securely and not disclosed to anyone else other than my research supervisor. I will be using a pseudonym (false name) to represent your participation in my final research report. If you experience any distress or discomfort at any point in this process, we will stop the interview or resume another time.

If you have any questions during or afterwards about this research, feel free to contact me on the details listed below. This study will be written up as a research report and a hard copy thereof will be available at the Management Library at the University of the Witwatersrand. If you wish to receive a summary of this report, I will be happy to send it to you. Raw data collected from this research report will be stored in a cloud-based storage and only the researcher will have access thereto. If you have any concerns or complaints regarding the ethical procedures of this study, you are welcome to contact the University Human Research Ethics Committee (Non-Medical), telephone +27(0) 11 717 1408, email hrecmedical.researchoffice@wits.ac.za

Yours sincerely,

Researcher

Phello E. Mohlamonyane

072 778 3575 /067 101 5144

0510051e@students.wits.ac.za

Supervisor

Marcel T. Korth

011 717 3812/ 082 629 5668

Marcel.Korth@wits.ac.za

Appendix B: Informed consent

Title of project: Human capacity to coordinate the City of Johannesburg's Monitoring and Evaluation Framework.

Name of researcher: Phello Mohlamonyane

I, ……., agree to participate in this research project. The research has been explained to me and I understand what my participation will involve. I understand that I can withdraw from this research at any time if I feel uncomfortable. I agree to the following:

(Please circle the relevant options below).

I agree that my participation will remain anonymous.	**YES**	**NO**
I agree that the researcher may use anonymous quotes in his research report.	**YES**	**NO**
I agree that the interview may be audio recorded.	**YES**	**NO**

Participant's signature:……..

Name of participant:……

Date:……

Researcher's signature: ……

Date: ……

Appendix C: Interview guide

Focus area	Actual question	Aspects to cover and prompts	Possible respondents
Biographical Data	1. I would like to ask you some brief questions about your educational and work background.	– Highest qualification. – Years of experience in M&E – Current role (Specialist or Director) – Duration in current role	All
Aspects of Monitoring & Evaluation			
Human Capacity Assessment	2. What duties do you perform in the GSPCR? 3. In your view, what specific skills and competencies are required in the performance of these duties? 4. In which of these skills do you feel most competent? How does your competence in these skills enhance your ability to perform your duties? 5. In which of these skills do you feel least competent? How does your shortfall in these skills hinder your ability to perform your duties?	– Understanding of duties: *data collection/collation, monitoring, evaluation, reporting, supervision, support, drawing up of TOR, appointment of contractors etc.* – Involvement in day-to-day functions of the Unit. – Understanding of required skills – Competency assessment – Translation of skills into duties – Awareness of skills shortfall – Overall understanding of Unit's capacity to discharge M&E functions	All

	How can these skills be improved? 6. What is your understanding of the mandate of the GSPCR, and what is the role of M&E in this mandate? FUQ: What is your general perception about the GSPCR's overall capacity to deliver on its mandate?		
M&E Experience	7. May you kindly talk me through your M&E life? Including your first M&E job, the kind of training you attended, short courses or comprehensive training, mode of delivery? Please give examples. 8. In my experience, I have learnt that there are some factors that enhance one's ability to do their work. These factors can include, organizational culture, for example. In your current position, do you have such factors, if so, may you kindly give examples thereof?	– Relevant M&E experience – Translation of experience into current duties – Understanding of underlying factors that enhance or hinder performance	All

	9. Are there any factors that hinder your ability to perform your duties? please elaborate (i) individual (i) institutional (iii) other		
Human Capacity Development	10. What capacity development interventions (e.g. training/continuous professional development workshop) have you participated in? 11. Has your participation in the above interventions affected your ability to perform your duties? Please elaborate.	– Involvement in capacity development intervention – Perception and evaluation of the capacity development intervention – Relevance of the interventions in improving performance of duties.	All
	12. In your view, what is the most important aspect we have missed regarding this topic?		All