# MONITORING AND EVALUATION IN THE NATIONAL DEPARTMENT OF AGRICULTURE, FORESTRY AND FISHERIES

By

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**DECLARATION**

I hereby declare that this dissertation titled MONITORING AND EVALUATION IN THE NATIONAL DEPARTMENT OF AGRICULTURE, FORESTRY AND FISHERIES, as submitted to the Department of Public Administration and Management of the University of South Africa, is my own original work and has not been submitted to any other higher education institution for the purpose of obtaining a degree. I further declare that all the sources that I have consulted or quoted have been indicated and acknowledged by means of a complete list of references.

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Signature                                              Date

**DEDICATION**

This study is dedicated to my late daughter Reratilwe Napogadi Phetla and late brother Tebogo Willem Maphepa. May their souls rest peacefully.

**ACKNOWLEDGEMENTS**

**ABSTRACT**

Monitoring and evaluation is multidisciplinary. It is interpreted differently and is instituted to achieve different outcomes. In South Africa, monitoring and evaluation is fairly new and as such extensive research on it is required. It enjoys immense legislative support and is implemented by multiple role players as a reform initiative to safeguard the use of limited resources, improve transparency, enforce accountability, and ensure that there is value for money and to improve service delivery to satisfy the needs of the society. Using a quantitative research method in which a research questionnaire was administered to a representative sample of respondents that were selected from the study area, the findings of this study reveals both the areas of effective and ineffective implementation of monitoring and evaluation. Effective implementation is verified by the findings through which the respondents report that monitoring and evaluation processes are clearly outlined, respondents have the expertise to implement monitoring and evaluation, monitoring and evaluation as a critical management tool complements other functions, improves service delivery, enforces accountability, promotes transparency, strengthens internal management processes and improves capacity. Adherence by the department to its financial reporting obligations to oversight institutions using the prescribed procedures is helpful and does not distract it from achieving its objectives. Contrarily, the findings also reveal areas of ineffective implementation, namely, majorities of respondents are not regularly trained on monitoring and evaluation, there is lack of accountability, support and failure by senior managers to prioritise monitoring and evaluation, the monitoring and evaluation directorate is inappropriately located and insufficiently resourced, progress in the implementation of the recommendations that are made in quarterly performance reports is not tracked and there is lack of evidence to support achieved targets.

**Keywords:**

Monitoring; Evaluation; Monitoring & evaluation; Public Sector; Department of Agriculture, Forestry and Fisheries.

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# CHAPTER 1
# GENERAL INTRODUCTION

## 1.1.    BACKGROUND AND INTRODUCTION

In countries that are faced with the challenge of lack of resources and which as a result are unable to deliver goods and services to satisfy the needs of members of the society, the need to implement monitoring and evaluation becomes evenly more critical. In the South African public sector, monitoring and evaluation is critical in that it helps managers to acquire information that they need to make decisions, identify and document successful programmes, monitor progress in the implementation of projects and ensure that there is value for money by using resources efficiently and effectively. This study focuses on the implementation of monitoring and evaluation in the public sector and identifies the national Department of Agriculture, Forestry and Fisheries as the study area. As explained in the limitations of the study, the period under review is limited to the implementation of monitoring and evaluation during the 2014/15 financial year.

It considers monitoring and evaluation as an intervention that helps public institutions to achieve the values of public administration, namely effectiveness, efficiency, responsiveness to the needs and development orientation (PSC, 2008:26). Because of enormous resources that the Department of Agriculture, Forestry and Fisheries invests in planning and implementing programmes, monitoring and evaluation become a vital part of ensuring that intended goals and outcomes are achieved. The legislative mandate of the department is derived from section 27(1) (b) of the Constitution of the Republic of South Africa (1996). The department is primarily responsible for implementing legislation that pertains to agriculture, forestry and fisheries. These sectors are a vital development tool for achieving the goal of food security and reducing poverty and hunger. They play an important role in the economic development and if implemented effectively they may contribute to the livelihood of people in general and to the poor in particular (World Development Report, 2008).

There is a widely-held perception that monitoring is an activity carried out by monitors who monitor the work of others, and there is limited appreciation of the importance of

managers themselves in monitoring and evaluating their own work. Monitoring expenditure against budget for example, is one of the requirements for managing performance information and should be a responsibility of all the managers (Presidency, 2013). The need for monitoring and evaluation is becoming increasingly recognised; as it plays a significant role in budget allocations, monitoring service delivery and value for money.

Monitoring and evaluation contributes to ensuring that the objectives are achieved. Monitoring and evaluation are complementary, but separate functions, which often serve distinct purposes. Public Service Commission (PSC) conducted a survey that shows the gaps between service expectations and actual service delivery. Monitoring and evaluation has been identified as priority in improving service delivery and closing the existing gaps. There is an acknowledgement across the public sector that there is a need to institutionalise monitoring and evaluation to ensure that public institutions deliver goods and services in accordance with expected requirements and standards. The discussions that are dealt with in this chapter provide a general introduction to the study and focus on the problem statement, research questions, research objectives, unit of analysis, units of observation and the research design and methodology. This chapter also describes the limitations, defines the keywords that are used and explain an overview of each chapter.

## 1.2.   PROBLEM STATEMENT

The Department of Agriculture, Forestry and Fisheries plays a significant role in enhancing economic activity and in the process, reduces income inequalities and creates employment opportunities for the poor. Participants within the three sectors on which the department has a significant mandate are faced with daunting challenges, an example of which is agricultural value chain. The transition from apartheid to democracy in South Africa has fostered hope in which members of the society had expected would reach their potential. This hope is captured in the Constitution of the Republic of South Africa (1996), which spells out that citizens are entitled to adequate housing, basic education, health care, food and water and social security.

Although the rights are to be realised progressively over time within the available resources, the gap between vision and reality remains large. Notwithstanding the aim

of the Integrated Food Security Strategy (IFSS) (DAFF, 2012) to streamline, harmonise and integrate the diverse food security programmes, food insecurity still remains a challenge for the country, especially at the household level. The problem is especially acute in rural provinces such as Limpopo, Eastern Cape and Kwa-Zulu Natal, because residents in rural areas tend to pay higher prices for food, despite them constituting a large proportion of under-utilised arable land. Agriculture, forestry and fisheries are widely recognised as sectors with significant job creation potential and with strategic links to beneficiation opportunities (DAFF, Agriculture Policy Action Plan (APAP, 2015:7).

While there has been a variety of sector strategies that were instituted between 1994 and 2012, and some progress as a result being made, there is a growing recognition by senior managers of the department that monitoring and evaluation still need to be improved to understand the causes of slow growth. Whilst the Department of Agriculture, Forestry and Fisheries plays strategic roles in respect of food security, agrarian transformation and rural development, and in supporting industrial development, it does not acquire enough funding from the government. According to the Estimates of Consolidated Government Budgets and Expenditure (functional classification), the budget that was allocated to the Department of Agriculture, Forestry and Fisheries was 1, 7% of South Africa's total budget in the year 2011, and it was expected to decline to 1, 6% in 2016. The OECD (2006) recognises South Africa's agriculture sector as among the least supported in the world: South Africa's Producer Support Estimate in 2014 was 3, 2%, when compared to 4, 6% for Brazil, 7, 1% for the United States of America, and 18, 6% for the OECD (DAFF, APAP, 2015:7).

The constraints and challenges as analysed above require a response that is comprehensive and yet focused. Poor governance and ineffective governance structures have resulted in poor, fragmented implementation of existing strategies and policies, often diluting and undermining the intended impact. Ineffective monitoring and evaluation is identified as one of the governance challenges that confront the Department of Agriculture, Forestry and Fisheries.

This study focuses on the implementation of monitoring and evaluation at the Department of Agriculture, Fisheries and Forestry. The department is mandated to

increase access to affordable and diverse food and job creation. The Department of Agriculture, Forestry and Fisheries was appropriated budgets of R6.182 282 for the 2013/14 and R6 692 383 in the 2014/15 financial years. Despite being unable to deliver on the planned targets, the Department spent about 99% of its appropriated budget in 2013/14 and 99.1% in 2014/15 financial years.

The picture looks grey when the performance of the department is appraised against budgets that were spent. During the 2013/14 and 2014/15 financial years, the Auditor-General found out that a total of 33% of the reported objectives and 20% of the reported targets were not consistent with those that were contained in the approved Strategic Plan and Annual Performance Plan. This inconsistency was as a result of insufficient review of the annual performance report by senior managers. The Auditor-General also found out that 40% of the planned performance targets were not specific, 40% of indicators were not verifiable and 48% of planned performance targets were not reliable as there was no sufficient audit evidence. The findings were raised in terms of the requirements from the Framework for Managing Programme Performance Information (National Treasury, FMPPI, 2007) that the auditee should have appropriate systems to collect, collate, verify and store performance information to ensure valid, accurate and complete reporting of actual achievements against planned indicators and targets. The National Treasury Relations 5.2.4(2007) require that Strategic Plans and Annual Performance Plans form the basis of the Annual Report. It therefore requires that the objectives, indicators and targets are consistent between planning and reporting (DAFF, 2013/14 Annual Report: 124).

Central amongst the reasons for poor performance in Department of Agriculture, Forestry and Fisheries is poor planning and uncoordinated monitoring and evaluation. In-year monitoring of non-financial performance (quarterly performance reporting) plays an important role in the entire planning and budgeting processes. Despite the institutionalisation of monitoring and evaluation in Department of Agriculture, Forestry and Fisheries, there is still a proportionate number of deliverables that are not achieved. There is a level of inconsistency in terms of the planned targets and what the department reports on. In many instances, the Department reports on the activities that are carried out and not necessarily about the outputs that are reflected in the Annual Performance Plan.

In instances where there are deviations, the explanations that are given do not necessarily indicate the linkage to the measure of the planned targets. There also is a worrisome discrepancy in the indicators between the Annual Report and the Annual Performance Plans of Department of Agriculture, Forestry and Fisheries (as tabled in Parliament in 2013/14). Some indicators are simply not reported on. In some cases, a target will be presented as a percentage whilst the actual achievement will be reported in numbers or vice versa and the relevance of these numbers is not explained. Due to these inconsistencies, it is difficult to assess the performance of the department and it may emerge as though the Department of Agriculture, Forestry and Fisheries have not implemented its plans.

The Department of Agriculture, Forestry and Fisheries, like many other public institutions, has acknowledged its responsibility towards service delivery and has therefore developed a Guideline for Monitoring, Evaluation and Reporting (2014) within the context of promoting good governance. These guidelines are developed to ensure that the processes and programmes of the department are properly executed, monitored, evaluated and reported on within a system that is coherent, effective and compliant with the legislative administrative requirements. The development of the guidelines will serve no purpose if it is not implemented appropriately.

Monitoring and evaluation remain a critical component of strategic planning within the Department of Agriculture, Forestry and Fisheries, yet a great area of challenge. With a brief understanding of the background on monitoring and evaluation and support structure interventions that have been instituted to coordinate performance management in the department, there is a clear and cross cutting understanding about the need to conduct research on the effectiveness of monitoring and evaluation in order to improve the performance of department. The general challenges can be noted include lack of:

- Capacity to implement monitoring and evaluation.
- Methodologies to facilitate monitoring and evaluation.
- Integration of monitoring and evaluation with policy, budgeting and planning.

- Participation by a range of stakeholders in the implementation of monitoring and evaluation.

- Baseline information that supports the implementation of monitoring and evaluation.


## 1.3.  RESEARCH QUESTIONS

The problem statement that has been explained in the previous subsection raises a number of research questions that require to be attended to. These research questions are:

- What is monitoring and evaluation and how can it help to improve service delivery in the public sector?

- Which research design and methodology can be used to determine the effectiveness of the implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries?

- What was the status of implementation of monitoring and evaluation during the 2014/15 financial year in the Department of Agriculture, Forestry and Fisheries?

- Which concluding remarks can be put forth and what are the recommendations that can be proposed to improve the implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries?


## 1.4.  RESEARCH OBJECTIVES

As explained in the introductory remarks of this chapter, the objective of this study is to determine the status of implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries. The four research objectives that have been formulated consistently with the research questions that were posed in the previous subsection are to:

- Discuss the literature review of monitoring and evaluation and in particular, how it can help improve service delivery in the public sector;

- Discuss the research design and methodology that were used to determine the status of implementation monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries;

- Present the findings of the status of the implementation of monitoring and evaluation during the 2014/15 financial year; and

- Conclude and recommend ways through which the implementation of monitoring and evaluation can be improved.

## 1.5.  UNIT OF ANALYSIS AND UNITS OF OBSERVATION

The unit of analysis of this study is the implementation of monitoring and evaluation. The units of observation are (1) training and experience on monitoring and evaluation, (2) effectiveness of the implementation of monitoring and evaluation, (3) value that is added by oversight institutions to the department's performance, (4) challenges that are encountered in the implementation of monitoring and evaluation and (5) the general remarks on how the implementation of monitoring and evaluation can be improved.

## 1.6.  RESEARCH DESIGN AND METHODOLOGY

A detailed discussion of the research design and methodology is dealt with in chapter 3. The purpose of this part is therefore to reflect on them as part of the general introduction. Both the literature review and empirical research are used in this study and are reflected upon in the next subsections.

### 1.6.1.  Literature review

The literature review of monitoring and evaluation and in particular how monitoring and evaluation can help improve service delivery forms an integral part of the discussions in this study. The literature sources that are consulted include books, research reports, academic journal articles, dissertations, theses and information retrieved from Google scholar.

### 1.6.2.  Legislation and official reports

Despite consulting literature sources, reference is also made to legislation that governs the implementation of monitoring and evaluation in the South African public sector. Examples of official reports that are referred to include those that are authored by the Department of Performance Monitoring and Evaluation, Department of Agriculture, Forestry and Fisheries, Public Service Commission and World Bank.

### 1.6.3. Empirical research

As explained earlier, a quantitative research method is used in this study and the data is gathered through the use of a specially designed research questionnaire that is briefly explained in the subsequent subsection.

### 1.6.4. Research questionnaire

A research questionnaire was designed (see Annexure A) and used to collect data from a target group consisting of respondents selected from the study area. The research questionnaire was divided into six sections and comprised of both closed and open-ended questions. Prior to the data collection stage, the research questionnaire was pretested for both validity and reliability. The research questionnaire is explained in detail at the discussions of the research methodology in chapter 3.

### 1.7. LIMITATIONS OF THE STUDY

The two factors, namely the study area and period under review, that have been identified as limitations of the study are briefly explained in this subsection.

**Study area**

Despite sometimes making reference to the National Department Agriculture, Forestry and Fisheries in general, this study is limited to the national Department Agriculture, Forestry and Fisheries. It is a national head office of the Department Agriculture, Forestry and Fisheries which is located in Pretoria. As such, the target population is drawn from this office and does not include employees that are based in the provincial departments.

**Period under review**

This department has instituted monitoring and evaluation in 2005 and as such its implementation has gone through various phases, some of which are policy development, development of strategy and structuring for implementation. This study is limited to the implementation phase and specifically during the 2014/15 financial year. The data that has been used in this study was collected during October to December 2014.

## 1.8. DEFINITION OF KEYWORDS

The keywords that are frequently referred to in this study are explained briefly in this section. Some of these keywords are explained elaborately in the discussions of the literature review of monitoring and evaluation in chapter 2.

### Monitoring

The definition that is used in this study is consistent with that which is supported by the Department of Planning Monitoring and Evaluation (DPME, 2004:5). Monitoring in this regard refers to a continuous managerial function or a systematic process (Gage, Anastasia and Dunn, 2009:14) that aims to provide managers, decision makers and stakeholders with regular feedback and early indications of progress or lack thereof in the achievement of intended results, goals and objectives. Monitoring involves collecting, analysing, reporting and using information to compare the actual performance against what was planned or expected (pre-determined standards).

### Evaluation

Evaluation refers to a systematic process of collecting and analysis of evidence on for example public policies, programmes, projects and functions to assess whether there is relevance, performance (effectiveness and efficiency), value for money, impact and sustainability (DPME, 2004). As defined by the United Nations Development Programme (UNDP 2009), evaluation is a rigorous and independent assessment of either completed or ongoing activities to determine the extent to which they help to achieve pre-determined objectives. Evaluation focuses on expected and achieved accomplishments and examines the results chain (inputs, activities, outputs, outcomes and impacts), processes, contextual factors and causality and it helps managers to understand achievements or the lack thereof (Frankel and Gage. 2007:4).

### Monitoring & evaluation

Monitoring and evaluation is defined by the United Nation Development Programme (UNDP, 1997) as a process that helps to improve performance and to achieve results. According to Scriven (1983) monitoring and evaluation is about the construction of value statements and indicators that reflect these value statements. Monitoring and evaluation, as explained by the Organization for Economic Cooperation and Development (OECD, 2002) is used to assess the performance of projects,

programmes and institutions. The goal of implementing monitoring and evaluation is to improve current and future outputs, outcomes and impact. The process of monitoring and evaluation involves a combination of activities such as monitoring change, understanding why the change happened and how best to improve in the future.

**Public Sector**

The term 'public sector' refers to the organs of state or entities that are established in accordance with the law of a country and that exist to deliver goods and services to members of the society. According to Pauw, Woods, Van der Linde, Fourie and Visser (2009:1), the public sector consists of a group of public institutions or public service departments that may be located in national, provincial or local spheres of government whose mandates, roles, activities and establishment are justified on the grounds that they render services to the public. The Department of Agriculture, Forestry and Fisheries deliver services to the South African society and as such, it is an integral part of the South African public sector.

**Department of Agriculture, Forestry and Fisheries**

The Department of Agriculture, Forestry and Fisheries is one of the public institutions in the Republic of South Africa. This department was re-constituted in 2009 from being Department of Agriculture to the new Department of Agriculture, Forestry and Fisheries, after the pronouncement by the State President, Mr Jacob Zuma. The forestry function was transferred from the former Department of Water Affairs and Forestry (DWAF), and the marine aquaculture function from the Department of Environmental Affairs and Tourism (DEAT) to establish a united and prosperous agricultural sector, with the aim of supporting sustainable agricultural development. Like all other public institutions, this department is established in accordance with the requirements of the legislation to deliver services such as agriculture, forestry and fisheries. The legislative mandate of the Department of Agriculture, Forestry and Fisheries is entrenched in section 27(1) (b) of the Constitution of the Republic of South Africa (1996).

## 1.9.  STRUCTURE OF CHAPTERS

This study is divided into five chapters and the discussions that are dealt with in each are briefly outlined in subsequent subsections.

### Chapter 1: General introduction

This chapter is introductory in nature and broadly outlines the significance of conducting research on monitoring and introduction in the South African public sector. Some of the discussions that are dealt with in this chapter are about background and introduction, problem statement, research questions, research objectives, research design and methodology, units of analysis and observation and the definitions of keywords.

### Chapter 2: Monitoring and evaluation

The discussions in Chapter 2 focus on the literature review of monitoring and evaluation. The discussions that are dealt with in this chapter are about the definition and value of monitoring and evaluation, types of monitoring and evaluation, legislative framework for monitoring and evaluation and the roles and responsibilities for monitoring and evaluation in the South African public sector.

### Chapter 3: Research design and methodology

The crux of the deliberations in chapter 3 is to discuss the research design and methodology. However, some secondary discussions that have been considered important in this chapter are about the study area at which the research activities were conducted and adherence to the ethical requirements.

### Chapter 4: The findings of the study

The purpose of the discussions in chapter 4 is to present the findings of the study. The sequence that is used in the presentation of these findings is consistent with that which was used in the discussion of the research methodology in chapter 3.

### Chapter 5: Concluding remarks and recommendations

The concluding remarks and recommendations that are discussed in chapter 5 are based on the findings that were presented in chapter 4. The purpose of these

discussions is to draw the discussions to a close and to recommend ways through which the implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries can be improved.

# CHAPTER 2

# LITERATURE REVIEW OF MONITORING AND EVALUATION

## 2.1. INTRODUCTION

The purpose of the discussions in chapter 1 was to set the context around which the need to conduct research on monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries arouse. Being an introductory chapter, the discussions that were dealt with in it were about the problem statement, research questions, research objectives, unit of analysis and units of observation and the research design and methodology. Chapter 1 also explained the limitations of the study, definitions of keywords and the structure of the chapters. Despite confining the need to conduct research on monitoring and evaluations to the study area, research on monitoring and evaluation can be of benefit to the South African public sector in general. As explained in the structure of the chapters in chapter 1, the purpose of chapter 2 is to discuss the literature review of monitoring and evaluation.

This literature review exclusively focuses on four different topics, namely (1) definition and value of monitoring and evaluation, (2) types of monitoring and evaluation, (3) discussion of the legislative framework for monitoring and evaluation in the South African public sector and (4) description of the context within which monitoring evaluation is implemented in the South African public sector. The roles and responsibilities for monitoring and evaluation are discussed as part of the context within which monitoring and evaluation is implemented in the South African public sector. The basis of the discussions in this chapter is to contribute to the development of the body of knowledge, particularly on how the literature of monitoring and evaluation evolves in the South African public sector.

## 2.2. DEFINITION AND VALUE OF MONITORING AND EVALUATION

Monitoring, evaluation and monitoring and evaluation were defined as part of the general introduction under the definitions of keywords in chapter 1. Although there is a distinction between the terms 'monitoring' and 'evaluation', the two are complementary. They are complementary in that monitoring is an ongoing function

and evaluation is a post-event activity. This means that 'monitoring' and 'evaluation' provide managers with continuous feedback, both during and after the processes of implementation. By implementing monitoring, public institutions are simultaneously evaluating as they make judgments about progress and interventions that need to be introduced. Similarly, when they evaluate, they do so on the basis of the insights and information they have acquired from monitoring. In practice, the sequence is not as linear as one that follows the other, but dynamic depending on the situation. An evaluation must provide credible and useful information that enables the incorporation of lessons that have been learned into decision-making.

The purpose of defining monitoring in this chapter is to elaborate on it as part of the literature review and to illustrate its value to the public sector. Monitoring and evaluation is defined differently by authors and most of the definitions are discipline specific. Monitoring and evaluation is about the construction of value statements and indicators that reflect these value statements (Scriven, 1983). It is defined as a process that involves regular observations, gathering of information and the recording of activities (Bartle, 2007). Because it responds to the questions that are about how well projects or strategies are implemented, it identifies the conditions under which certain actions must be preserved or halted (Hatry 1999; Blann & Light 2000).

Monitoring and evaluation serves as an early warning system for potential problems and helps with the process of developing ideas on how problems can be solved (Hatry 1999; Rigby *et al*. 2000). Monitoring and evaluation is the basis of informed decision making, a management function (Margoluis & Salafsky 1998; Hockings *et al*. 2000; Woodhill 2000) and a tool that can be used by managers in public institutions to achieve results (Kusek and Rist, 2004, (UNDP, 1997), enhance accountability within institutions and to the public (Kusek & Ray, 2004; Fox, 2002; Hockings et al. 2000; Sawhill & Williamson 2001), safeguard the use of limited resources and to assess the performance and impact of projects, programmes and institutions (PRIA, 1995:5; OECD, 2002). Monitoring and evaluation is a function that assesses the effectiveness of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships.

The definitions of the keywords 'monitoring', 'evaluation' and 'monitoring and evaluation' demonstrate how valuable monitoring and evaluation is to the public sector. In the South African public sector, the value of monitoring and evaluation is aligned to the values and principles of public administration for which provision is made in Section 195 (1) of the Constitution of the Republic of South Africa. These values and principles require that public administration be effective, efficient, responsive to needs and developmental. The value of implementing monitoring and evaluation is associated to the outcomes that the policy makers intend to achieve.

The value attachment of policy makers to implementing monitoring and evaluation is not similar to that of public officials. The discussion of the value of monitoring and evaluation is necessary because it responds to the questions 'why is monitoring and evaluation implemented and what are the outcomes that the policy makers intend to achieve?' In the public sector environments, monitoring and evaluation is not implemented in a vacuum, but to achieve different outcomes, some of which are to inform the development agenda, improve strategic and operational performance, generate knowledge and evidence, enhance accountability and transparency, support decision making and to improve service delivery.

In democracies, the value for implementing monitoring and evaluation derives from the programmes of political parties that have been voted into power. In this context, the need to implement monitoring and evaluation descends from a political decision with which the political party anticipates to achieve certain outcomes. In the context of the South African public sector, the need to implement monitoring and evaluation stems from a political decision. Monitoring and evaluation therefore enjoys immense support of legislation. Monitoring and evaluation has been instituted as a reform strategy to transform the public sector. It is implemented to improve adherence to the values and principles of public administration, achieve value for money and to restore public confidence in public institutions. Monitoring and evaluation in the South African public sector therefore enjoys immense political support as an initiative for transformation (see Khan, 1998; Kusek and Rist, 2004; White, 2005; Mackay, 2007; Taylor and Balloch, 2005). It is used as a means to promote good governance, development and democracy and a means of support to a developmental state and to

eradicate the legacy of apartheid. The different types of monitoring and evaluation are discussed in the following subsection.

## 2.3.   DIFFERENT TYPES OF MONITORING AND EVALUATION

There are basically two types, forms of or approaches to monitoring and evaluation, namely, internal and external monitoring, which are briefly explained subsequently.

### 2.3.1.  Internal monitoring and evaluation

Internal monitoring and evaluation refers to activities that are performed by managers and employees within public institutions to monitor and evaluate the progress that is being made to achieve pre-determined objectives. The basis of this type of monitoring and evaluation is that whilst a designated monitoring and evaluation unit or directorate may have been instituted, all employees play a significant role in ensuring that outcomes are achieved. The role of the monitoring and evaluation is to co-ordinate activities; therefore, without resolute efforts and support of employees, monitoring and evaluation becomes ineffective.

Employees in this regard can use the information that they obtain from citizens and clients to improve service delivery. Internal monitoring and evaluation entail that employees make use of internal practices and that they adhere to service delivery standards to achieve predetermined objectives. The internal role players that play a significant role in the implementation of monitoring and evaluation in the South African public sector are highlighted in the discussion of the roles and responsibilities for monitoring and evaluation.

### 2.3.2.  External monitoring and evaluation

Unlike internal monitoring and evaluation, with external monitoring and evaluation, the activities are performed by an external oversight institution or mandatory monitoring and evaluation (MME) institutions. In the South African public sector, legislation makes provision for the Parliament, Provincial Legislatures and Municipal Councils, Auditor-General, Public Service Commission and the Department of Performance Monitoring and Evaluation, whose oversight roles are a critical component of monitoring and evaluation.

Despite the roles of MMEs being alleged to duplicate the roles that are performed within public institutions, their roles complement internal activities and as such they contribute immensely in assisting public institutions to achieve their pre-determined objectives and to comply with the legislative requirements. The oversight institutions that play a significant role in the implementation of monitoring and evaluation in the South African public sector are highlighted in the discussion of the roles and responsibilities for monitoring and evaluation.

## 2.4. LEGISLATIVE FRAMEWORK FOR MONITORING AND EVALUATION

South African legislation provides a framework within which monitoring and evaluation has to be implemented. This legislation specifies the activities that must be undertaken, goals that must be achieved, procedures that must be followed and the incumbents to whom the authority to implement monitoring and evaluation is entrusted. Essentially, the legislative and policy framework therefore constitute an important component of the literature of monitoring and evaluation.

The legislation that has been identified for discussion in this part consists of the Constitution of the Republic of South Africa (1996), Public Finance Management Act (1 of 1999), Public Audit Act (25 of 2004), Government-wide Monitoring and Evaluation Framework (2004), Framework for Managing Programme Performance Information (2007), National Evaluation Policy Framework (2011) and Statistical Quality Assessment Framework (2011). Some of the theoretical aspects that are reflected upon in the discussions of this legislative framework are the years during which they were enacted into law or adopted as policies and how they guide the process of implementing monitoring and evaluation in the South African public sector.

### 2.4.1. Constitution of the Republic of South Africa (1996)

The Constitution of the Republic of South Africa (1996), as the supreme law of the country, gives credence to the Parliament to promulgate laws that are consistent with its provisions. Some examples of these laws are the Public Finance Management Act (1 of 1999) and Public Audit Act (25 of 2004) which directly lays the foundation for monitoring and evaluation in the South African public sector. The Constitution of the Republic of South Africa requires public institutions to conduct their business effectively, transparently, accountably and coherently. It obliges senior managers of

public institutions to provide members of the society with timely and accurate information, which they may in return use to monitor and evaluate the performance of public institutions. The Constitution furthermore bestows on Parliament and the provincial legislatures the oversight powers to hold the executive accountable.

### 2.4.2. Public Finance Management Act (1 of 1999)

The Public Finance Management Act (1 of 1999) assists to modernise financial management in the South African public sector and embraces the scarcity factor as one other condition that must be taken into consideration when financial decisions are made. The scarcity factor simply means that the governments have far more less financial resources that enable them to deliver goods and services to satisfy the changing needs of members of societies. Whilst it grants managers some flexibility to exercise their powers, the Public Finance Management Act requires them to ensure that resources are utilised effectively and efficiently. Not only does it enforce compliance and procedural accountability, but emphasises on outputs, results and value for money. It requires public institutions to divert from input-based to output or results-driven system of financial management.

### 2.4.3. Public Audit Act (25 of 2004)

The Public Finance Management Act and Public Audit Act were promulgated in accordance with the provisions of the Constitution of the Republic of South Africa. Chapter 9 of the Constitution establishes the Auditor-General of South Africa as the supreme audit institution that has the powers to audit[1] and express an audit opinion on the performance of public institutions. The functions of the Auditor-General as an oversight institution are further enlisted in the Public Audit Act. Amongst the significant functions of the Auditor-General, is to audit and report on whether there is value for money; whether resources are used efficiently and effectively, legislation is complied with and whether public institutions (auditees) have achieved the predetermined outcomes that are contained in their institutional performance plans. Auditing can therefore not be completely dissociated from the monitoring and evaluation function.

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[1] Auditing is defined as a systematic and objective process of obtaining and evaluating evidence to determine whether information or actual conditions conform to established criteria.

### 2.4.4. Government-wide Monitoring and Evaluation Framework (2004)

The Government-wide Monitoring and Evaluation Framework (GWMEF, 2004) is an overarching policy framework for monitoring and evaluation in the South Africa public sector. It was issued in 2004 by the Cabinet of the Republic of South Africa to, amongst other objectives, promote good governance, enhance the effectiveness of public institutions and to support the Framework for Managing Programme Performance Information and Statistical Quality Assessment Framework. The GWMEF is an integrated and results-driven framework that explains monitoring and evaluation principles, practices and standards and that aims to respond to the requirements of government's programmes, policies and projects, that generates information to inform the decision-making processes and that helps to promote accountability. This framework is intended to assist managers that interact at different levels and in different occupations to undertake their monitoring and evaluation functions effectively.

### 2.4.5. Framework for Managing Programme Performance Information (2007)

The Framework for Managing Programme Performance Information (FMPPI, 2007) was issued by the National Treasury in 2007 to give clarity on the definitions, standards, structures and systems that are required to manage performance information to support regular audits. It is embedded in making performance information available to enable members of the public and oversight institutions to appraise whether public institutions deliver value for money by comparing their performance against budgets and service delivery plans. The FMPPI gives clarity about the roles and responsibilities of oversight institutions and individuals whose roles constitute monitoring and valuation. It helps to promote accountability and transparency by providing parliament, legislatures, municipal councils and members of the public with timely and accurate performance information to make accurate judgements. Within an institutional environment, the FMPPI alerts managers of areas where corrective action is required.

### 2.4.6. National Evaluation Policy Framework (2011)

Unlike FMPPI which assists in generating performance information, the National Evaluation Policy Framework (NEPF) is an evaluations framework that has been adopted in 2011 to promote quality, improve effectiveness and impact of government.

It helps to assess whether interventions achieve the intended outcomes and helps managers to create credible and objective evidence which is necessary for planning, budgeting, organisational improvements, policy reviews, programme and projects management to improve performance. Similar to the FMPPI, the NEPF helps to improve accountability and transparency. It provides for six types of evaluations, namely, diagnostic, design, implementation, impact, economic and synthesis evaluations that can either be undertaken before, during or after the implementation.

### 2.4.7. Statistical Quality Assessment Framework (2011)

Similar to the NEPF, the Statistical Quality Assessment Framework (SQAF) was adopted in 2011. The SQAF is implemented by the National Statistical System (NSS), a unit within Statistics South Africa to improve the integrity of official statistics. The purpose of the statistics is to assist public institutions, businesses and other interested parties with information that they require to plan, make decisions and to monitor and evaluate.

## 2.5.   ROLES AND RESPONSIBILITIES FOR MONITORING AND EVALUATION

Because monitoring and evaluation is a cross-cutting function, it is implemented by multiple role-players or stakeholders. This is particularly evident in the public sector in which the services are of benefit to diverse groups of beneficiaries. It is therefore necessary to highlight the roles and responsibilities of other role players other than oversight institutions. This discussion distinguishes between two categories of role players, namely, internal and external role players. These role players perform complementary and equally important roles in the implementation of monitoring and evaluation in the South African public sector.

### 2.5.1. INTERNAL ROLE PLAYERS

The internal role players are employees within public institutions. Despite interacting at different levels and occupations, these employees play a critical role in the implementation of monitoring and evaluation. There are three types of internal role players that have been identified for discussion, namely, accounting officer, internal audit, institutional committees and public officials.

## 2.5.1.1 Accounting officer

The responsibility to implement monitoring and evaluation in public institutions is vested in the accounting officer. Sometimes referred to as Heads of Departments (HoDs), the accounting officers are statutorily required by section 38(1) (a) (i) of the Public Finance Management Act to maintain an effective, efficient and transparent systems of financial and risk management and internal controls. They are legislatively required to ensure that there is strategic leadership and management, as well as overall administrative, governance and performance oversight by holding senior managers accountable for the performance of sections that they lead. The accounting officers' responsibilities involve establishing procedures for quarterly reporting, facilitating effective performance monitoring and evaluation, instituting corrective measures and approving performance and financial reports before they are submitted to external oversight institutions.

They are required to ensure that there is sufficient human resource capacity, financial resources and the necessary information technology equipment to effectively implement monitoring and evaluation. Even though the legislation empowers the accounting officers to delegate the responsibility for monitoring and evaluation to line managers, they cannot delegate accountability. They furthermore have the responsibilities to consult with unions to ensure that monitoring and evaluation is supported, keep employees informed of their monitoring and evaluation roles and responsibilities, undertake regular risk assessments to identify emerging risks (Treasury Regulations, 2007) and to establish information plans that support the planning processes and information management (Public Service Regulations, 2001).

## 2.5.1.2 Internal audit function

An internal audit function or section is an independent appraisal activity that operates within public institutions. It is designed to add value, improve the efficiency of operations and to assist public institutions to systematically manage risks and institute governance processes (Bender, 2007) .The scope of functioning of an internal audit functions is to monitor and evaluate the adequacy and effectiveness of internal controls, give assurance, but not absolute assurance, that pre-determined goals will be achieved. Although the internal audit function advises managers about the functioning of internal controls, it remains the prerogative of managers to implement

or reject their recommendations. The responsibility of the internal audit function does not replace the responsibility of managers to account for the implementation of internal controls.

The primary responsibilities of internal audit functions are to prepare, in consultation with the audit and risk committees, three-year strategic internal audit plans that are based on the assessment of key areas of risk and risk management strategy. Internal audit functions are empowered by the Public Finance Management Act to independently provide assurance on the effectiveness of internal controls, evaluate the effectiveness of the system for monitoring and evaluation and to give recommendations on how the system can be improved. The internal audit functions also audits the performance reports, monitors the implementation of corrective actions and assesses status of validated reports for usefulness and reliability before they are presented to the accounting officers and audit and risk committees (King, 2009).

### 2.5.1.3 Internal committees

In addition to the internal audit functions, the accounting officer is supported by internal or institutional committees such as for management, financial management, human resource management (HRM), supply chain management (SCM), risk management and oversight. These committees are constituted in accordance with the requirements of the legislation and are therefore critical to the implementation of monitoring and evaluation in the public sector. The oversight committee such as the municipal public accounts committee (MPAC) whose roles are confined to municipalities in South Africa's local government perform an important financial oversight function to ensure that municipal budgets are used to deliver the goods and services to the communities.

The roles of the risk management committee is to review the system of risk management and to identify and monitor risks (National Treasury,, 2010), whilst the HRM committee assists with the development, implementation and monitoring of HRM plan and compliance to the requirements of the legislation and policies such as Skills Development Act (97 of 1998), Employee Health and Wellness Strategic Framework for the Public Service (2012) and Employment Equity Act (55 of 1998). In terms of the White Paper on Human Resource Management in the Public Service (1997), the HRM committee assists the accounting officers to fulfill their oversight responsibilities by

implementing and monitoring HRM policies and practices. In accordance with the requirements of the Public Finance Management Act, the budget committee executes budget planning, implementation and establishes value for money. It also assists the accounting officer to avoid fruitless, wasteful and unauthorised expenditure.

### 2.5.1.4 Public officials

Public officials are employees that are appointed into the public sector and service to serve the public. They deliver goods and administer the services to satisfy the needs of the society. Regardless of the amount of authority they wield, in their normal routine, public officials make decisions on how to use public resources. They therefore, in their areas of functioning and responsibility, contribute immensely to the success or failure of monitoring and evaluation. Section 45 of the Public Finance Management Act extends the responsibilities for internal controls, risk management, financial management and performance management to public officials. In terms of the requirements of this legislation, public officials are responsible for administrative monitoring and evaluation and are required to comply and adhere to monitoring and evaluation guidelines. Examples of guidelines to which they are required to adhere include quality assurance, implementation of corrective measures and reporting guidelines (DAFF, 2015)

### 2.5.2. EXTERNAL ROLE PLAYERS

There are seven external role players that have been identified for discussion in this chapter. These roles of these role players are briefly discussed in subsequent subsections.

### 2.5.2.1 Parliament of the Republic of South Africa

Section 55 of the Constitution of the Republic of South Africa (1996) grants the Parliament of the Republic of South Africa the powers to oversee the activities of national departments and state institutions that are established in accordance with the requirements of the law. As the supreme law of the country, the Constitution also grants Parliament the powers to hold the accounting officers of these institutions accountable. The state institutions, for example the Auditor-General, report the findings of its oversight function over national departments to Parliament and its committees, which in return has to call senior managers of these departments to

account. The Parliament is thus the convenor. The Parliament, especially through its Portfolio Committees such as the Public Accounts Committee, uses the information that is generated through monitoring and evaluation to support their oversight over the Executive.

These portfolio committees are able to obtain information from a range of sources examples of which are Public Service Commission, National Treasury, Department of Public Service and Administration or Department of Performance Monitoring and Evaluation, as well as from Non-government organisations. The Parliament also uses the information that is generated by Chapter 9 institutions to carry out its oversight functions. The Auditor-General, Public Protector and the South African Human Rights Commission are all constitutionally mandated to assist Parliament (and provincial legislatures and municipal councils) with information that they may require to perform their oversight function (DPME, 2014:3).

### 2.5.2.2 Presidency of the Republic of South Africa

The role of the Presidency is to support the State President of the Republic of South Africa to give policy direction to government. Some of the key roles of the Presidency in South Africa are to compile the Medium Term Strategic Framework, Government Programmes of Action (GPA) such as the National Development Plan (NDP), compile bi-annual progress reports on the implementation of GPAs and to monitor the country's performance against key development indicators. In order to perform its oversight function, the Presidency depends on the data that it sources from government departments (PSC, 2008:14). In order to emphasise on political accountability, the Presidency in South Africa require that political office-bearers (ministers) sign performance agreement through which they commit themselves to delivering on government priorities for each electoral cycle. Political accountability is cascaded further down into the administrative realm.

Government departments are required to ensure that their strategic plans reflect their commitments in the delivery agreements. These commitments should also be reflected in the performance agreements that are signed by public officials. The purpose of the performance management system that is championed by the Presidency is not only limited to measuring outcomes and outputs, but it involves all

the aspects of the delivery chain, which are outcomes; outputs; activities and inputs. This, in essence, intends to ensure that only what matters the most gets done (Presidency, 2009). The DPME as an integral part of the Presidency has been instituted to, among others functions, implement the outcomes approach to planning, implementation and monitoring and evaluation, promote monitoring and evaluation in the public sector and to monitor the performance of public institutions at national, provincial and local spheres of government.

This department is the custodian of monitoring and evaluation within the executive branch of the state and assists senior managers to implement monitoring and evaluation. Its custodial role for monitoring and evaluation is similar to that of the National Treasury for financial management and DPSA for human resource management. Its role is to develop policy frameworks and guidelines to promote monitoring and evaluation practices, provide support and capacity development for monitoring and evaluation and to coordinate and facilitate the development of cross-cutting delivery agreements for priority outcomes.

### 2.5.2.3 National Treasury

The National Treasury supports the Minister of Finance to determine fiscal policy and as such it compiles the national budget, develops and implements financial management policy and monitors a range of economic indicators and targets. The National Treasury plays an important role in monitoring whether financial performance helps to achieve predetermined objectives. Monitoring is done by means of evaluating the quarterly reports that are submitted to the National Treasury. The National Treasury also evaluates whether financial expenditure helps public institutions to achieve value for money (PSC, 2008).

The roles of the National Treasury in monitoring and evaluation involves monitoring whether financial spending of funds is in accordance with the legal requirements and whether monthly expenditure reports are available for analysis by the Parliament. The National Treasury also uses monthly expenditure reports to advice the accounting officers of public institutions about over or under expenditure risks during the year and recommends measures that can be instituted to avoid eventualities. The analysis of quarterly performance and financial reports enables the National Treasury to monitor whether allocated funds help to achieve the intended outputs (PSC, 2012).

### 2.5.2.4 Auditor-General of South Africa

As reflected upon in the discussion of the legislative framework for monitoring and evaluation, the Auditor-General is the supreme audit institution that has been established in accordance with Chapter 9 of the Constitution of the Republic of South Africa (1996). The Auditor-General functions independently and reports to the Parliament, provincial legislatures and to any other institution that is prescribed by national legislation. The audit outcomes of the Auditor-General are intended to enhances the quality of financial statements and to give assurance to the users of financial statements that the public institutions adheres to the requirements of the law and will achieve its predetermined objectives. The reports of the Auditor-General are indicative of the quality and state of financial governance in public institutions. The roles of the National Treasury and Auditor-General must be considered in the context of the various internal oversight committees that amplify their work in that they receive reports and evaluate them, the processes after which they express opinions and issue directives to the accounting officers of public institutions.

### 2.5.2.5 Public Service Commission

The Constitution of the Republic of South Africa furthermore establishes the Public Service Commission (PSC) as an independent and impartial state institution and mandates it to enhance excellence in the public service by promoting a professional and ethical environment and adding value to a public administration. Section 195 of the Constitution of the Republic of South Africa grants the PSC the mandate to promote the values and principles that govern public administration, namely accountability, equality, efficiency, effectiveness and responsiveness (cf. PSC, 2008). The Constitution further mandates the PSC to monitor and evaluate the organisation and administration of the Public Service and to propose measures through which public institutions can improve their performance. The PSC also monitors and evaluates the extent to which public institutions comply with the values and principles that govern public administration and monitors and evaluates the performance of the public institutions.

## 2.5.2.6 Audit and Risk committees

The audit and risk committees, as external role players, play an important monitoring and evaluation role. Their roles are provided for in the Public Finance Management Act (1 of 1999) which was identified as part of the legislation that makes provision for monitoring and evaluation in the South African public sector. The Public Finance Management Act (1 of 1999) and South African Companies Act (71 of 2008) assigns to the Audit and Risk Committees, the responsibilities to independently perform oversight on the internal controls, governance, risk and performance management, review and recommend disclosures on matters of performance and risk management in the annual report and to recommend ways through which monitoring and evaluation processes can be improved (Gelman, Rosenberg, Freedman, 2015).

According to the King III (2009), audit and risk committees fulfil a vital corporate governance role. They guarantee the integrity of the reporting of internal financial controls and management of financial and non-financial risks. They have unrestricted access to all records of public institutions and are authorised to investigate, evaluate and report on the integrity of financial and non-financial reporting.

## 2.5.2.7 Citizens

In a democracy, citizens and the governments share common interests. Democracy requires that governments and citizens are co-producers of information on service delivery and to foster active citizenship that contributes to a developmental state (DPME, 2012). Ordinary citizens play an important role in monitoring and evaluation and their roles are supported by the Framework for Strengthening Citizen-Government Partnerships for Monitoring Service Delivery (2013). This framework gives recognition to citizens as the recipients or beneficiaries of goods and services that are administered by public institutions. Although informally so, this framework empowers citizens with the rights to monitor and evaluate the services that are rendered to them and the responsibility to provide feedback to public institutions. Examples of initiatives that have been instituted to enable citizens to monitor and evaluate the performance of public officials and public institutions are hotlines, such as of the Presidency, which enable citizens to either complain or give compliments. Complaints or complimentary boxes, which are usually placed at the entrances of public institutions, are another example.

In order to be transformative, especially in South Africa, a country in which certain groups were historically disadvantaged, citizen-led monitoring need to be instituted relative to a receptive and capacitated state (Kitching & Van Donk, 2015). The South African Twenty Year Review Report (2014) identifies the need by governments to enable citizens to provide direct feedback on the quality of services and emphasises on the importance of engaging citizens in their own spaces rather than expecting them to use forums and structures that are established by the state (The Presidency, 2014). Citizens as the consumers of goods and users of services that are provided by governments have the responsibility to inform governments about the quality and value of the services. It is therefore necessary that measures that enable them to do so are initiated and supported as the basis of improving service delivery (Paul, 2002).

## 2.6. CONCLUSION

The purpose of this chapter was to discuss the literature review of monitoring and evaluation. The discussions that were dealt with in it were about the definition and value of monitoring and evaluation, types of monitoring and evaluation, legislative framework for monitoring and evaluation and the roles and responsibilities for monitoring and evaluation in the South African public sector. Evidence from the literature search reveals that monitoring and evaluation is a multidisciplinary subject. Research on monitoring and evaluation is conducted by researchers from different disciplines. In the context of South Africa, monitoring and evaluation is a fairly new phenomenon and as such research on it is evolving. The results of a literature search also reveal that in the South African public sector, legislation, policies, guidelines, official government strategic plans and reports that are published by oversight institutions or MMEs are the main source of information about monitoring and evaluation.

The literature review reveals that monitoring and evaluation as an initiative that has been instituted as a reform strategy in the South African public sector, enjoys immense legislative support. It is implemented by internal and external role players whose roles and responsibilities are complementary. Despite the roles of MMEs being alleged to duplicate those that are performed by internal role players – their roles are unique and are intended to achieve unique outcomes. In general, the discussion of the literature

review demonstrates the essence of monitoring and evaluation in the public sector, particularly in assisting public institutions to operate efficiently, effectively and economically to ensure that there is value for money. This literature review highlights the significance of monitoring and evaluation in raising awareness about the use of limited resources to achieve pre-determined objectives, enhancing performance of public institutions to be responsive and increasing impact to satisfy the needs. This literature review furthermore reveals the essence of monitoring and evaluation in improving service delivery to cater for the needs of the society. The discussions of the research design and methodology are dealt with in chapter 3.

# CHAPTER 3
# RESEARCH DESIGN AND METHODOLOGY

## 3.1.    INTRODUCTION

The discussions that were dealt with in chapter 2 focused on the literature review of monitoring and evaluation. Evidence from these discussions reveals that monitoring and evaluation are a fairly new phenomenon in the South African public sector, as such there is limited research that is conducted on them. To a great extent, information about monitoring and evaluation is issued in the form of government reports and guidelines by the Department of Planning, Monitoring and Evaluation in the Presidency of the Republic of South Africa. It is also evident from the discussions in chapter 2 that monitoring and evaluation may assist public institutions to use scarce public resources efficiently and effectively. This is because monitoring and evaluation assists public institutions to monitor progress, identify barriers to effective implementation, and institute corrective measures to achieve their predetermined objectives. In particular monitoring and evaluation may assist public institutions to improve on the delivery of services to satisfy the needs of the society.

The two fundamental discussions that are dealt with in this chapter are about the research design and methodology. However, prior to engaging on these, the chapter reflects briefly on the study area at which the research activities were undertaken. Amongst others, the discussions that are dealt with in this chapter include the organisational structure that is used to illustrate the composition of and occupations to which employees are attached, levels of strategic planning, status of implementation of monitoring and evaluation and the processes that are instituted to monitor and evaluate activities in the Department of Agriculture, Forestry and Fisheries. As part of the research design, this chapter explains the research population, sampling procedure, target population and diversity of the target population. The discussion of the research methodology explains in detail the sections and research items that are contained in the research questionnaire. The ethical requirements that were adhered to are discussed as an extension of the research design and methodology.

## 3.2. THE STUDY AREA

As explained in chapter 1, the national Department of Agriculture, Forestry and Fisheries was chosen as the study area. This department is an organ of state that has been established in accordance with Section 239 of the Constitution of the Republic of South Africa (1996). As a public institution, it has been established to perform a constitutional function – to fulfil the needs of the society (Senior, 2002). The legislative mandate of the Department of Agriculture, Forestry and Fisheries is to advance food security and to transform the agriculture, forestry and fisheries sector through innovative, inclusive and sustainable policies, legislation and programmes. In order to achieve this legislative mandate, this department has developed four main strategic goals and objectives, which are to provide effective and efficient strategic leadership, governance and administration, enhance production, employment and economic growth, create an enabling environment for food security and sector transformation and sustainable use of natural resources.

This department was chosen as the study area because, unlike other public institutions in the South African public sector, it has a well constituted Monitoring and Evaluation Directorate which is considered a critical component in ensuring that there is proper strategic management and reporting. As illustrated in the organizational structure of the Department of Agriculture, Forestry and Fisheries in figure 3.1, monitoring and evaluation is considered a support function that is integral to the functioning of the department. Resources are annually allocated to this function to ensure that it assists the department to achieve its performance goals.

As a constitutional institution, the Department of Agriculture, Forestry and Fisheries is regulated by and has to conduct is business in terms of the requirements of the law, most notably Public Finance Management Act (1 of 1999). This legislation requires that the Department of Agriculture, Forestry and Fisheries uses public resources efficiently, effectively, and as economically as possible. The Department of Agriculture, Forestry and Fisheries is required to formulate strategic plans, commit resources to the implementation of these plans and to monitor and report on the results. It functions in a critical sector of the economy, which amongst other outcomes, it is expected to create employment, guarantee food security, lessen dependence by citizens over the government and reduce poverty. This department is expected to within available

resources; progressively contribute to the realisation of the right to sufficient food as required by section 27(1) (b) of the Constitution of the Republic of South Africa, 1996 (Act No. 108 of 1996)).

The offices of the national Department of Agriculture, Forestry and Fisheries are situated at 20 Steve Biko Street in Arcadia, Pretoria. The contact details to which monitoring and evaluation enquiries can be directed can be accessed on the official website of the department and are updated regularly. The department consists of nine Provincial Agriculture departments that are situated in the provinces of the Republic of South Africa. The discussions that are reflected upon as part of introducing the study area focus on the organisations structure, levels of strategic planning, status of implementation of monitoring and evaluation and roles and responsibilities for monitoring and evaluation.

### 3.2.1. Organisational structure

Similar to other public institutions in the South African public sector, the Department of Agriculture, Forestry and Fisheries is structurally arranged to give purpose to its mandate and to deliver the goods and services it is entrusted with. At the time of conducting the research activities (October – December 2014), the Department of Agriculture, Forestry and Fisheries had a staff complement of six thousand and ninety-five (6 095) employees. As illustrated in figure 3.1 below, this department is headed by the Head of Department, sometimes referred to as the Accounting officer. The formal designation that is used in this department is 'Director-General'. The Director-General is responsible for the administration of the department and reports to the Executive Authority, Minister and Deputy Minister whose responsibilities are to give political direction.

The Department of Agriculture, Forestry and Fisheries implements its mandate through six programmes, each of which is headed by a Deputy Director-General. These programmes are Administration, Agriculture Production and Food Safety, Food Security and Agrarian Reform, Economic Development, Trade and Marketing, Forestry and Natural Resource Management and Fisheries Management.

Figure 3.1: Organisational structure

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                          ┌─────────────────────┐
                          │  DIRECTOR-GENERAL    │
                          └─────────────────────┘

   ┌──────────────────────────┐
   │ Chief Director Operations │
   │        Support            │
   └──────────────────────────┘

   ┌──────────────────────────┐
   │   Chief Audit Executive   │
   └──────────────────────────┘
```

**PROGRAMMES**

| Programme 1: Administration | Programme 2: Agriculture Production, Health and Food Safety | Programme 3: Food Security and Agrarian Reform | Programme 4: Economic Development, Trade and Marketing | Programme 5: Forestry and Natural Resources Management | Programme 6: Fisheries Management |
| --- | --- | --- | --- | --- | --- |

**BRANCHES/CHIEF DIRECTORATES**

| Corporate Services | Plant Production and Health | Food Security | International Relations and Trade | Forestry Operations | Aquaculture and Economic Development |
| --- | --- | --- | --- | --- | --- |
| Chief Financial Office | Animal Production and Health | Sector Capacity Development | Cooperatives and Rural Enterprise Development | Forestry Development and Regulation | Fisheries Research and Development |
| Policy, Planning and Monitoring & Evaluation | Inspection and Quarantine Services | National Extension Support Services | Agro-Processing and Marketing | Natural Resources Management | Marine Resources Management |
| Stakeholder Relations, Communication & Legal Services | | | | | Monitoring, Control and Surveillance |

(DAFF, Strategic Plan, 2014:14)

As illustrated by figure 3.1, each programme consists of branches or chief directorates that are headed by Chief Directors. Managers and stakeholders in the department engage annually in human resource planning to ensure that the department has and maintains the required capacity to deliver on its mandate. Through this engagement, the department has over periods of time been able to align its programmes and projects to the resources that are available and the changing needs of the society.

### 3.2.2. Levels of strategic planning

Strategic planning in the Department of Agriculture, Forestry and Fisheries is undertaken to comply with the requirements of chapter 5 of the National Treasury Regulations (2007). In terms of these Regulations, the Director – General has to prepare a strategic plan that is consistent with the Medium Term Expenditure Framework (MTEF). In this department, strategic planning is a team effort and is an

outcome of engagements by internal stakeholders from different levels and functional units. Although the process of formulating the strategy is predominantly driven by senior managers, the implementation and alignment of this strategy are enforced through a top-down and bottom-up approach. The Department's Strategic plan is then cascaded into programme plans that are costed and budgeted for. Figure 3.2 below illustrates the levels of strategic planning in the Department of Agriculture, Forestry and Fisheries.

Figure 3.2: Levels of strategic planning
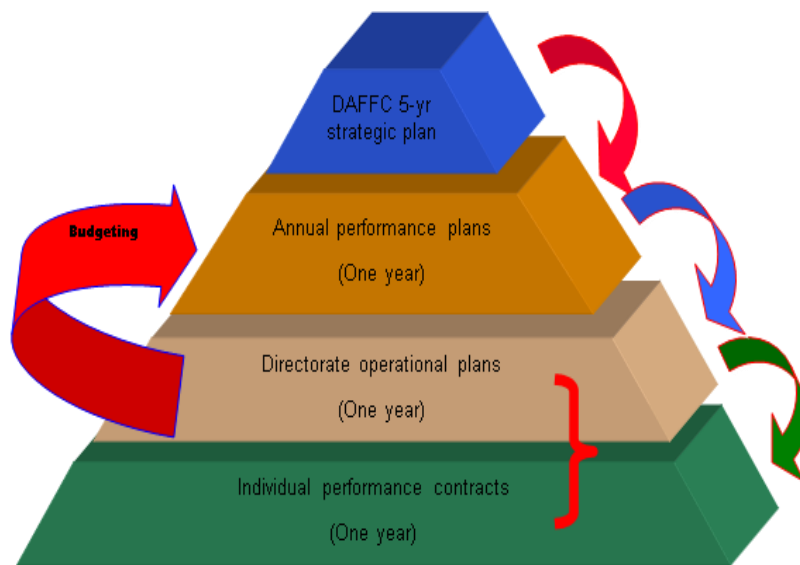


(DAFF, Strategic and Operational planning guideline, 2013, 14)

As illustrated in figure 3.2, programme plans are cascaded down into directorates' annual performance plans (APPs), for which quarterly targets are determined. Annual performance plans are cascaded down into directorate Annual Operational Plans (AOPs), and finally, programme plans are furthermore unpacked to develop employee performance contracts. By cascading programme plans into performance contracts and performance plans, the department ensures that the roles of employees in general are aligned to intended performance outcomes. The discussion of the status of implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries is explained in the subsequent subsection.

### 3.2.3. The status of implementation of monitoring and evaluation

As shown in the diagrammatic representation of the organisational structure in figure 3.1, the Department of Agriculture, Forestry and Fisheries has a directorate that is responsible for implementing monitoring and evaluation. This directorate is located within the Branch: Policy Planning and Monitoring and Evaluation and consists of a staff complement of eight (8) employees. The total number and designations of the employees in this branch are the Director, five (5) Monitoring and Evaluation Practitioners and two (2) Monitoring and Evaluation Officers. The role of the director of the directorate is to oversee the administration and implementation of monitoring and evaluation. As illustrated in the organisational structure in figure 3.1, the Director reports to the Chief Director. The directorate has six key performance areas, which are to develop monitoring and evaluation frameworks and guidelines, conduct organisational performance analysis, conduct performance analysis on service delivery programmes, conduct impact assessments, and monitor service delivery performance in line with Batho-Pele principles and to co-ordinate the drafting of the annual reports.

The main task of the directorate is to help the Department of Agriculture, Forestry and Fisheries to report on its programmes as per the requirements of the National Treasury and Department of Planning, Monitoring and Evaluation. The directorate for Monitoring and Evaluation has, in partnership with Strategic Planning directorate, assisted other directorates of the department to identify outputs, develop performance indicators and targets. These directorates have had a meaningful role in assessing the measurability of performance indicators of other directorates and reporting on achievements and systemic failures that were experienced by the directorates. The directorate for Monitoring and Evaluation thus provides the Department of Agriculture, Forestry and Fisheries with the technical capacity to monitor and evaluate progress towards achieving the outcomes of the strategy.

### 3.2.4. Roles and responsibilities for monitoring and evaluation

The previous discussions have highlighted on the roles of the Director – General of the Department of Agriculture, Forestry and Fisheries and Director of the Directorate for Monitoring and Evaluation. Despite the roles of these senior managers, various employees play a significant role in ensuring that monitoring and evaluation are

undertaken within the department. The roles and responsibilities of programme managers are outlined in the Guidelines on Budget Programmes that has been published by the National Treasury in June 2010.

In terms of these guidelines, the role of the Director - General is to oversee and provide strategic leadership and management and overall administrative, governance and performance oversight. The Director - General is also required to hold Deputy Director – Generals accountable for performance of branches. The Deputy Director - Generals are responsible for the overall administrative monitoring and evaluation of branches and to ensure that the branches comply with the guidelines and quality assurance requirements. The PFMA indicate that each institution must have a chief financial officer serving on the senior management team. The chief financial officer is directly accountable to the accounting officer.

The responsibility of the Chief Financial Officer (CFO) as outline by chapter 5 of the PFMA is to manage and coordinate budget allocation and financial performance. The Strategic Planning directorate as the Custodian of strategic and operational planning processes in the Department of Agriculture, Forestry and Fisheries, is required to develop and facilitate frameworks and guidelines on strategic planning processes as well as the development of Strategic and Annual Performance Plans. As the Custodian for monitoring and evaluation, Directorate: Monitoring and Evaluation   is responsible for the compilation of non- financial performance reports and for monitoring and evaluating progress of performance against planned outputs and services. The Internal Audit directorate is required to audit non-financial preliminary performance reports, provide advice on areas that require improvements and provide support for the implementation of corrective action. The role of the Internal Audit directorate is to assess the usefulness and reliability of the performance information.

## 3.3.   RESEARCH DESIGN

A brief introductory discussion of the research design was reflected upon in chapter 1. In this chapter, the research design is explained in some detail and some of the aspects that were not dealt with in chapter 1 are explained. The writing of the research design in this study was guided by a perusal of the literature review (see Zikmud, 1994: 43; Welman & Kruger, 2003:47; De Vos *et al*, 2002:199; Churchill, 1996:483; Leedy &

Ormrod, 2010 and Patton, 2001:14) that focuses on various aspects of the research design and methodology. As explained in the introductory remarks of this chapter, the discussions that are dealt with as part of the research design include research population, sampling procedure, target population and diversity of the target population.

### 3.3.1 RESEARCH POPULATION

The research population in this study were the employees of the national Department of Agriculture, Forestry and Fisheries. As illustrated in the diagrammatic representation of the organisational structure of the Department of Agriculture, Forestry and Fisheries, this department is divided into nine (9) branches or programmes and during the time of conducting the research activities (October – December 2014), it had a staff compliment of six thousand and ninety-five (6 095) employees. There were four hundred and sixty-seven (467) middle managers and one hundred and twenty-eight (128) senior managers.

### 3.3.2 SAMPLING PROCEDURE

A purposive sampling procedure was used to select the target respondents from the research population. The purpose of using the purposive sampling procedure was to identify employees whose roles are critical to the implementation of monitoring and evaluation in the department. Employees that do not perform the tasks that are related to monitoring and evaluation were purposefully excluded from the target population.

### 3.3.3 TARGET POPULATION

In total, the target population consisted of fifty-one (51) respondents. In terms of composition, the sample consisted of ten (10) Monitoring and Evaluation Practitioners, five (5) Specialists that were drawn from the directorate for Strategic Planning, eighteen (18) middle managers and 20 senior managers. As explained in the discussion of the roles and responsibilities for monitoring and evaluation, the directorates for Monitoring and Evaluation and Strategic Planning regularly engage in joint-initiatives to assist other directorates to resolve monitoring and evaluation related challenges.

The selection of senior and middle managers as part of the target population, as reflected upon in the discussion of the roles and responsibilities for monitoring and evaluation, was justified in that their roles entails upholding the principles of monitoring and evaluation. Although the Provincial departments are an integral functioning of the Department of Agriculture, Forestry and Fisheries, employees that are based at the provinces were purposefully excluded from the target population.

### 3.3.4 DIVERSITY OF THE TARGET POPULATION

In order to ensure that the target sample was diverse and representative, the different features of the department's workforce profile were considered as critical. The features that were used to diversify the target sample are race, gender, age, occupations and years of experience.

### 3.3.4.1 Racial groups

By using a purposive sampling procedure, the intention was to include employees from different race groups into the target sample. The four official race groups that are recognised by employment equity legislation in South Africa are Africans, Coloureds, Whites and Indians.

### 3.3.4.2 Gender groups

Both male and female employees were targeted as respondents in this study. This was done to ensure that there was gender parity and that the findings are not biased towards any gender.

### 3.3.4.3 Age groups

Employees of different age groups were targeted as respondents in this study. Age restriction was not used as criteria in the selection of potential respondents and therefore employees of different age groups had the fair chance of being selected as part of the target population.

### 3.3.4.4 Occupations

The respondents were selected from different branches or programmes of the department. The directorates from which the Practitioners and Specialists were drawn are Monitoring and Evaluation and Strategic Planning. Senior and middle managers

were drawn from all the directorates that have been shown in the organisational structure of the Department of Agriculture, Forestry and Fisheries in figure 3.1. Because of the different roles and conditions under which work is performed, employees from different occupations are exposed to different challenges. They therefore are likely to assess the implementation of monitoring and evaluation differently.

### 3.3.4.5 Levels of interaction

The target population consisted of practitioners, specialists as well as senior and middle managers. These respondents interacted at different levels and are entrusted with different amounts of authority.

### 3.3.4.6 Years of experience

Employees of different years of experience had a fair chance of being selected respondents. As explained in the research methodology in the subsequent section and the presentation of the findings of the respondents' years of experience in chapter 4, the respondents were drawn from five (5) categories of different years of experience in the department.

### 3.4.  RESEARCH METHODOLOGY

As explained in the discussion of the research methodology in chapter 1, this study used a quantitative research method and a research questionnaire (see Annexure A) was compiled, subjected to a critical analysis by the supervisor before being approved and used for the purpose of gathering data from targeted respondents. . This research questionnaire gathered data on six (6) main sections; namely, (1) biographical data, (2) training and experience on monitoring and evaluation, (3) effectiveness of monitoring and evaluation, (4) perceptions of the value that is added by oversight institutions to the department's performance, (5) challenges that are encountered and (6) general concerns that the respondents could raise about the implementation of monitoring and evaluation. The research items that formed part of each section of the questionnaire are explained in subsequent subsections.

### 3.4.1. BIOGRAPHICAL DATA

The first section of the research questionnaire gathered data on five biographical details, namely, the respondents' gender and racial composition, age and occupational distribution, years of experience and highest educational qualifications achieved.

### 3.4.1.1 Gender composition

Whilst responding to this research item, the respondents could select whether they were male or female.

### 3.4.1.2 Racial composition

The four race groups, namely: African White, Coloured and Indian, were listed as alternatives from which the respondents could select. In the case in which they could not identify with any the respondents could specify any other race group of their choice.

### 3.4.1.3 Age distribution

The respondents' age groups were determined using five age group brackets from which they could select. These age brackets ranged between 18 – 29, 30 – 35, 36 – 45, 46 – 54 and 55 – 65 years.

### 3.4.1.4 Occupational distribution

Whilst responding to this research item, the respondents could select from four alternative occupations. Alternative occupations from which they could select are of Senior Management Services (SMS) or Branch Coordinator, or Monitoring and Evaluation Specialist. If they were not appointed to any of the listed occupations, they could specify any other occupation.

### 3.4.1.5 Years of experience

The years of experience of respondents were determined using five (5) alternatives. The categories of years of experience ranged between 0 – 5, 6 – 10, 11 – 15, 16 – 20 and over 21 years.

### 3.4.1.6 Highest educational qualifications achieved

The three alternatives from which the respondents could select to indicate their highest educational achievements were Bachelor's degree or lower, Honours degree or postgraduate diploma and Master's degree and above.

### 3.4.2. TRAINING AND EXPERIENCE ON MONITORING AND EVALUATION

This section gathered data about the training that the respondents had been exposed to and the experience that they had acquired. The research items that were contained in it required the respondents to:

- Indicate whether they were exposed to monitoring and training in the past seven (7) years;
- Specify the type of training that they were exposed to; and
- Select from the list, the types of monitoring and evaluation skills that they have acquired. This section was critical in that it intended to establish the extent of monitoring and evaluation capacity in the department.

The list from which the respondents could select (see Annexure A) was extensive in that it contained fifteen (15) types of skills. In the case in which the respondents felt that certain types of skills were omitted from the list, they could specify them.

### 3.4.3. EFFECTIVENESS OF MONITORING AND EVALUATION

The third section of the research questionnaire enquired about the effectiveness of monitoring and implementation in the Department of Agriculture, Forestry and Fisheries. The twelve (12) research items that were contained in this section enquired about whether the:

- Process of monitoring and evaluation is clearly outlined;
- Respondents have the required expertise to implement monitoring and evaluation;
- Monitoring and evaluation directorate enjoys the support of senior managers;
- Monitoring and evaluation directorate is seen as duplicating other similar functions;
- Monitoring and evaluation function is structurally well located or not;
- Monitoring and evaluation directorate is adequately budget for;

- Monitoring and evaluation directorate is adequately staffed;

- Monitoring and evaluation directorate has the necessary information technology;

- Monitoring and evaluation function is acknowledged as a critical management tool;

- Lack of adequate monitoring and evaluation contributes to poor service delivery; and

- The department tracks the implementation of the recommendations that are made in the quarterly performance reports; and

- If so, which system was used to track the implementation of these recommendations?

### 3.4.4. VALUE ADDED BY THE OVERSIGHT INSTITUTIONS TO DEPARTMENT'S PERFORMANCE

The oversight institutions that are referred to in this research item are the Parliament, National Treasury, Department of Performance Monitoring and Evaluation, Auditor-General and Public Service Commission. This research item afforded the respondents an opportunity to assess the value of these oversight institutions to the performance of the Department of Agriculture, Forestry and Fisheries. As in the previous section, the respondents could select an alternative that was indicative of their assessment from a five-point Likert scale that comprises of (1) Strongly agree, (2) Agree, (3) Neither agree nor disagree, (4) Disagree and (5) Strongly disagree. The research items that were contained in this section enquired whether:

- The monthly financial reports that are required by the National Treasury helps the department to better manage spending on planned objectives;

- The quarterly performance reports that are required by the National Treasury add value to the work of the department;

- The work of the Auditor-General in auditing the department's performance promotes accountability and transparency;

- The format of the annual report is useful in that it compels the department to develop internal systems, produce performance information around the key areas and helps the department to self-manage;

- The submission of reports to oversight institutions helps strengthen internal management processes and helps to develop monitoring and evaluation capacity; and

- There are too many reporting obligations that are imposed on the department, which distracts it from achieving its strategic goals.

### 3.4.5. CHALLENGES ENCOUNTERED IN THE IMPLEMENTATION OF MONITORING AND EVALUATION

The fifth section of the research questionnaire gathered data about the monitoring and evaluation – related challenges that are encountered in the department. Whilst responding to this research item, the respondents could select multiple alternatives from the six (6) types of possible challenges that were listed. They could also specify other types of challenges which they thought were omitted from the list. The challenges from which the respondents could select were about:

1) Lack of accountability by managers;

2) Monitoring and evaluation not being viewed as a priority;

3) Absence of a monitoring and evaluation system that helps to collect information easily and systematically;

4) Lack of reliable reported information;

5) Lack of evidence to support the targets that have been achieved;

6) Lack of an effective communication strategy for monitoring and evaluation results to inform policy development and planning; and

7) Lack of implementation of monitoring and evaluation recommendations that are made to senior managers.

### 3.4.6. GENERAL

The last section of the research questionnaire gathered data of a generic nature. This section afforded the respondents the opportunity to propose ways through which the implementation of monitoring and evaluation could be improved. This section consisted of a closed question from which the respondents could select from five predetermined alternatives and an open-ended question through which they could explain in some detail.

## 3.5. ADHERENCE TO ETHICAL GUIDELINES

In addition to the research design and methodology, the ethical guidelines that were adhered to in this study were briefly reflected upon in chapter 1. Measures were undertaken to ensure that the information is handled confidentially, that the respond give consent to participate in the research activities and that permission to conduct the study was obtained prior to engaging in the research activities. Measures were also undertaken to ensure that the findings are valid, presented reliably and that the data is analysed rationally and logically.

### 3.5.1 Confidentiality

As highlighted in the preface of the questionnaire, the respondents were assured that their names or identities would not be disclosed to any other party. Their participation was anonymous in that they were not required to disclose their names or any personal information on the research questionnaire.

### 3.5.2 Respondents' consent

Despite encouraging them to complete the questionnaire, the respondents were informed that their participation is voluntary and that they could decline from participating. The purpose of the study was also explained in the preamble of the questionnaire and as such, those that completed and returned the questionnaire to the researcher, automatically gave consent to participate in the research activities. The respondents were not coerced or incentivised to participate in this study.

### 3.5.3 Permission to conduct the study

Written permission to conduct the study was obtained from the Director of Organisational Performance (see Annexure B). The documents that were attached to support the application for permission to conduct the study were the letter of motivation and the research proposal. The permission to conduct the study was sought in order to comply with legislation that guides research in the South African public sector and to adhere to the requirements of Unisa's Policy on Research Ethics.

### 3.5.4 Reliability and validity

The findings of this study are presented consistently and accurately and are a truthful representation of the assessments of the respondents. The research questionnaire

was pretested using the critical analysis by the supervisor to ensure that it was reliable and valid. Five (5) employees of the department were also requested to assign meaning to the research items that are contained in the research questionnaire. This activity was undertaken to ensure that the research items were clear and could be simply understood.

### 3.5.5 Data analysis

The data was processed, analysed and interpreted rationally to limit the occurrence of bias. The findings were tabulated using the Statistical Package for Social Science and Microsoft Spreadsheet. This analysis was used as a basis of the conclusions that are drawn in this study. The findings therefore propose ways through which the implementation of monitoring and evaluation in the department can be improved, not to incite any form of controversy.

### 3.5.6 Enumeration of the research questionnaire

The research questionnaires were directly sent to the respondents and if there were uncertainties they could enquire directly from the researcher. This was done to minimise the occurrence of misinterpretations by enumerators and to save time and costs.

### 3.6.    CONCLUSION

As explained at the introductory remarks, the purpose of this chapter was to discuss the research design and methodology. It however became necessary to first explain the study area at which the research activities were undertaken – national Department of Agriculture, Forestry and Fisheries, before engaging in the discussions of the research design and methodology. From this discussion, it is evident that this department has significant roles to play in the South African society. As a public institution, this department derives its mandate from the Constitution and utilises limited public funds to deliver on its mandate. It therefore has institutionalised monitoring and evaluation to guarantee that it effectively delivers on its mandate.

From the discussion of the research design it can be concluded that the composition of the target population was diverse and representative in that it consisted of the respondents that were drawn from different gender, race and age groups. The

respondents were purposefully selected from different occupational categories, levels of interaction and had different years of experience. The discussion of the research methodology has shown that the research questionnaire was comprehensive - it gathered critical information that may be required to improve the effectiveness of monitoring and evaluation in the department. Lastly, this chapter discussed the ethical requirements that were adhered to. Adherence to these requirements is necessary, not only as an issue of compliance, but to protect the rights of the respondents as is required by the law. The findings of this study are discussed in the subsequent chapter.

# CHAPTER 4:
# FINDINGS OF THE STUDY

## 4.1.    INTRODUCTION

The purpose of the discussions in chapter 3 was to explain the research design and methodology. It however became necessary to first explain the study area at which research activities were undertaken – national Department of Agriculture, Forestry and Fisheries. The introduction of the study area, especially the organisational structure of the department, depicted the branches, directorates and levels at which employees interact. This discussion also highlighted how the employees, as the key role players in the implementation of monitoring and evaluation, feature in the organisational structure of the department. The discussion of the study area also explained an overview of the status of the implementation of monitoring and evaluation by the national Department of Agriculture, Forestry and Fisheries. The discussions of the research methodology in chapter 3 also explained in detail the sections and research items of the research questionnaire. The discussions in that chapter were critical in that they laid the foundation of the findings that are presented in this chapter.

The purpose of the discussions in this chapter is to present the findings of the study. The sequence that is used in the presentation of these findings flows from the discussions of the research methodology in chapter 3 and from the research questionnaire that has been attached as Annexure A. In terms of the sequence, the chapter presents the findings of the respondents' biographical data, training and experience on monitoring and evaluation, effectiveness of monitoring and evaluation, value that is added by oversight institutions to the department's performance and challenges that are encountered by the department. The respondents did not comment in the sixth section of the research questionnaire and as such, there are no findings that will be presented on the respondents' general comments.

## 4.2.    FINDINGS OF THE STUDY

As explained in the introductory remarks of this chapter, the findings of the study are consistent with the discussion of research methodology in chapter 3 and research

questionnaire in Annexure A. They are divided into sections that focus on the (1) biographical data, (2) training and experience on monitoring and evaluation, (3) effectiveness of monitoring and evaluation, (4) value added by the oversight institutions to the department's performance and (5) key challenges that are encountered by the department in the implementation of monitoring and evaluation.

## 4.2.1. BIOGRAPHICAL INFORMATION OF RESPONDENTS

The first section of the research questionnaire enquired about gender, race, age, occupational distribution, years of experience and highest educational achievements of respondents. The findings of each of these research items are presented in subsequent sections.

### 4.2.1.1 Gender composition of the respondents

As shown in figure 4.1, the respondents could select whether they are male or female.



Figure 4.1:
Gender composition of respondents
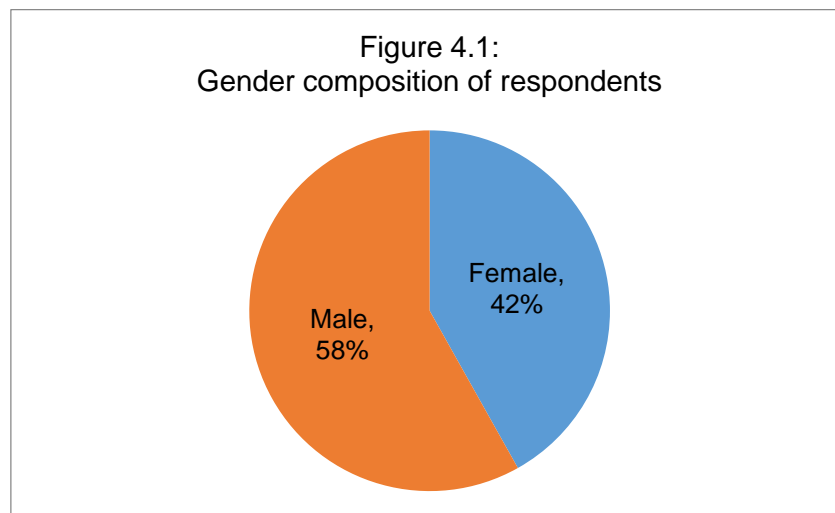
The majority of the respondents were male (58%) and females accounted for 42% of the target population.

### 4.2.1.2 Racial composition of the respondents

As explained in the discussion of the research methodology in chapter 3, the respondents could select their race from a list that contained four race groups that are

determined legislation in South Africa. As shown in figure 4.2, the majority of the respondents were African (86%) and the second majority were Whites (6%).



Figure 4.2:
Racial composition of respondents
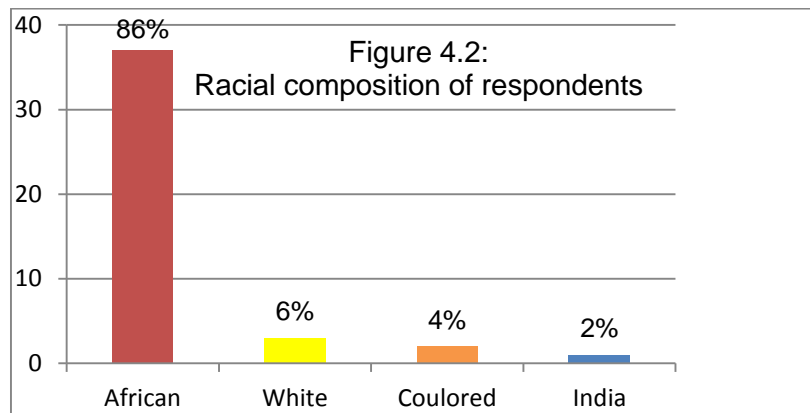
Four percent (4%) of the respondents were Coloured and the minority (2%) were Indians.

### 4.2.1.3 Age distribution of respondents

As illustrated in figure 4.3, the respondents could select their age from a list that contained five (5) predetermined age categories. The majority of the respondents were young; between 30 and 35 years.



Figure 4.3:
Age distribution of respondents
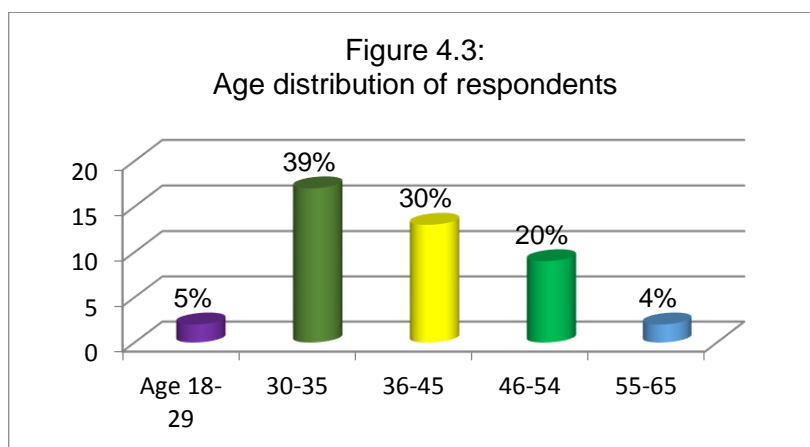
As shown in figure 4.3, the second highest majority consisted of middle-aged respondents (whose age ranged between (36 – 45) years. The target population also consisted of respondents that were aged between 18 – 29 and 55 – 65 that accounted for 5% and 4% respectively.

### 4.2.1.4 Occupational distribution of respondents

The roles of senior and middle managers, practitioners and specialists in the implementation of monitoring and evaluation were reflected upon in the discussions of the research methodology in chapter 3. Information about the occupational distribution of respondents is a useful indicator of the amount of authority that is entrusted to incumbents and the types of tasks that they perform. As shown in figure 4.4, the majority of the respondents (41%) were Branch Coordinators that interacted at the level of middle management in the department.



Figure 4.4:
Occupational distribution of respondents
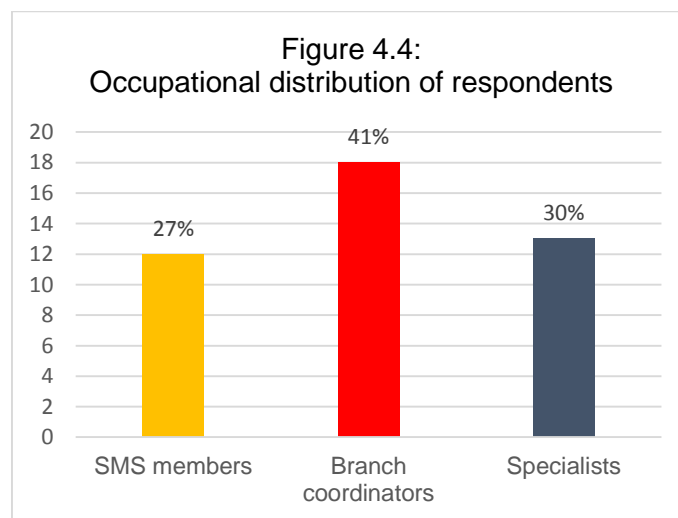
Thirty percent (30%) of the respondents were Specialists and 27% were senior managers. The discussion of the years of experience of respondents is dealt with subsequently.

### 4.2.1.5 Years of experience of respondents

The information about the years of experience of respondents is an indicator of their experience and can be used as a basis of human resource management policies, such as talent management and succession planning. The findings of the years of experience of respondents indicate that most (35%) of them were relatively new, since they had been employed in the department for between 0 and 5 years. The second highest majority (28%) consisted of respondents whose experience ranged between 11 and 15 years.

Figure 4.5:
Years of experience of respondents
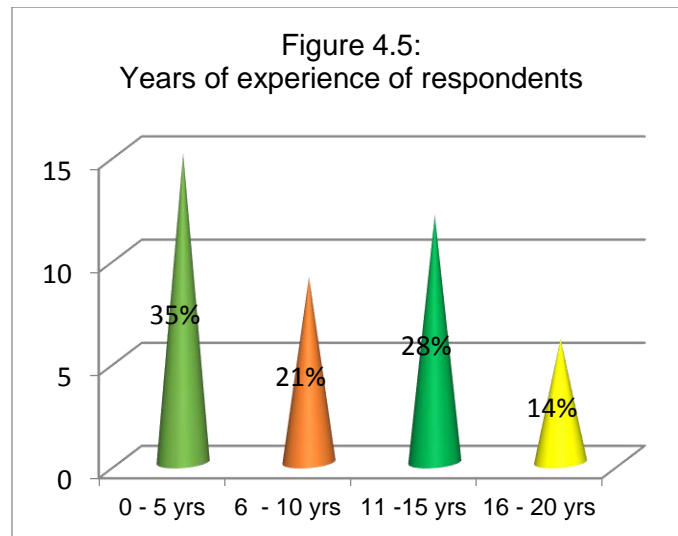
As shown in figure 4.5, 21% of the respondents were employed by the department for between 6 and 10 years. Fourteen percent (14%) were highly experienced employees that had been with the department for over 16 years.

## 4.2.1.6 Highest educational qualifications achieved

The ability of employees to implement monitoring and evaluation effectively is based on the types of skills that employees possess. Education, in the form of skills and knowledge, is therefore a critical factor. As shown in figure 4.6, the majority of the respondents (42%) were highly skilled in that they had achieved post-graduate qualifications (honours degrees and post-graduate diplomas).



Figure 4.6:
Highest educational qualifications achieved
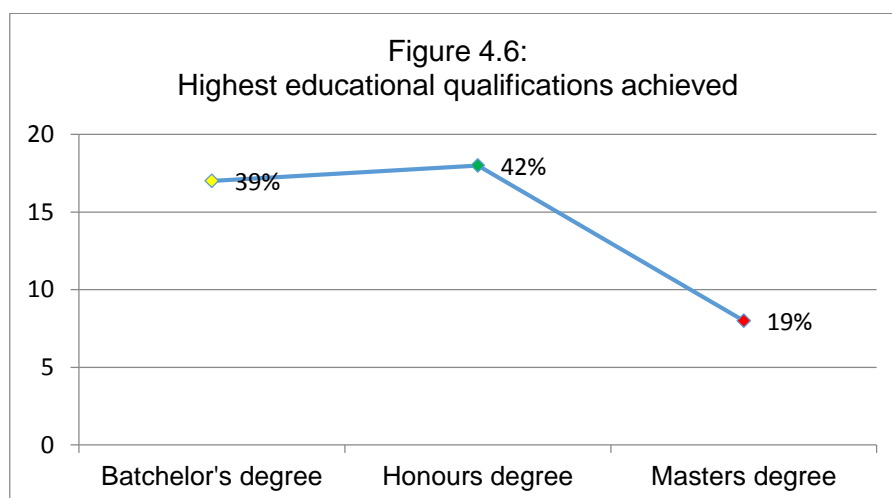
A further 39% of the respondents had bachelor's degrees or lower qualifications and the least (19%) had obtained masters degrees and above.

## 4.2.2. TRAINING AND EXPERIENCE ON MONITORING AND EVALUATION

Consistent with the research items that were introduced in the discussions of the research methodology in chapter 3, the respondents were required to state whether they had attended monitoring and evaluation training in the past seven years, to specify the type of training that they had attended, identify the training that they required to perform monitoring and evaluation effectively and select they types of skills that are required by a Monitoring and Evaluation Practitioner. Each of these findings is presented subsequently.

### 4.2.2.1 Attendance of monitoring and evaluation training in the past seven years

A period of seven years may be lengthy, but it is justified in that monitoring and evaluation was institutionalised during 2002 in this department. The training that is referred to in this research item could have been in the form of workshops, seminars, on-the-job training or informal initiatives through which the skills to implement monitoring and evaluation are acquired. An example of informal initiative may include participating in the Monitoring and Evaluation Forum[2] which is managed by the DPME (Mackay, 2006). As shown in figure 4.7, the majority of the respondents (72%) were not exposed to any form of training on monitoring and evaluation.

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[2] Monitoring and Evaluation Forum is a network that is used for knowledge sharing of the role of the Presidency of the Republic of South Africa in monitoring and evaluation. Although it is a useful initiative, attendance to the Forum events are limited to managers in national government departments. It therefore does not constitute a formal capacity building initiative.

Figure 4.7:
Attendance of monitoring and evaluation training in past seven years

28%,
Yes - Attended M+E training

72%,
No - Didnt attend M+E training
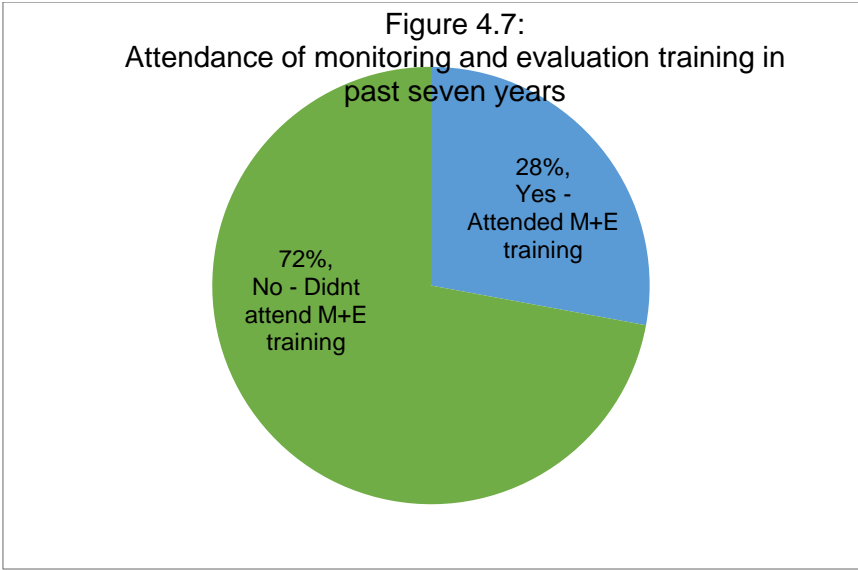
A further 28% of respondents, who evidently are Monitoring and Evaluation Practitioners, reported that they were in the past seven years exposed to monitoring and evaluation training.

**4.2.2.2 Types of skills required by Monitoring and Evaluation Practitioners**

The respondents were provided with a list of types of skills that are required by Monitoring and Evaluation Practitioners to be able to perform their functions effectively. They could select as many alternatives as possible or add any other types of skills that may have been omitted. Table 4.1 shows the types of skills from which the respondents could select and the findings of each.

Table 4.1: Types of skills required by Monitoring and Evaluation Practitioners

| Types of skills | Percentage |
|---|---|
| Developing relevant indicators to measure all aspects of an intervention (inputs, activities, outputs, outcomes and impact) | 28% |
| Using indicators as measuring instruments | 29% |
| Qualitative research | 24% |
| Quantitative research | 24% |
| Statistics | 14% |
| Situational analysis | 20% |
| Baseline information | 22% |
| Drawing samples | 16% |
| Conducting interviews | 24% |
| Developing questionnaires | 27% |
| Establishing data bases | 20% |
| Using existing data bases | 22% |
| Data analysis | 24% |
| Report-writing | 33% |
| Constructing tables | 24% |
| Presenting M&E findings | 26% |

As illustrated in table 4.1, the findings demonstrate that Monitoring and Evaluation Practitioners need all the listed types of skills to perform their duties effectively. These findings also demonstrate that certain types of skills are valued as more critical than others, for example the skills to write monitoring and evaluation reports (33%), develop indicators to measure aspects of the intervention (29%), develop questionnaires (27%) and to present monitoring and evaluation findings (26%). The frequencies for these types of skills were significantly higher when compared to the skills to use qualitative and quantitative research methodologies (24%), conduct interviews (24%), analyse

data and construct tables (24%). The respondents furthermore assigned an equal value of 22% for both the skills to collect baseline information and to use existing data.

### 4.2.3. EFFECTIVENESS OF MONITORING AND EVALUATION

As reflected upon in the discussions of the research methodology in chapter 3, the third section of the research questionnaire assessed whether the implementation of monitoring and evaluation was effective or not. As illustrated by table 4.2, this section gathered data on ten (10) indicators, whose findings are presented in subsequent sections.

Table 4.2: Effectiveness of monitoring and evaluation

| Effectiveness of monitoring and evaluation | | | | | |
|---|---|---|---|---|---|
| Scale / Questions | Strongly Agree 5 | Agree 4 | Neither Agree Nor Disagree 3 | Disagree 2 | Strongly Disagree 1 |
| 1. The process is clear | 37% | 42% | 5% | 9% | 7% |
| 2. I have all relevant expertise needed for Monitoring and Evaluation in the public sector | 0% | 28% | 44% | 14% | 14% |
| 3. The M+E function does not enjoy the support of leadership | 0% | 33% | 23% | 23% | 21% |
| 4. The M+E function may be seen as duplicating other similar functions in the department, such as the audit function | 5% | 9% | 16% | 60% | 9% |
| 5. The M+E function within my department is well located (structurally) | 5% | 24% | 15% | 41% | 15% |
| 6. Do you feel that M+E unit is adequately resourced (Budget)? | 5% | 0% | 49% | 33% | 14% |
| 7. Do you feel that M+E unit is adequately resourced (Human Resource)? | 5% | 19% | 15% | 34% | 27% |
| 8. Do you feel that M+E unit is adequately resourced (IT)? | 5% | 17% | 44% | 19% | 14% |

| | | | | | |
|---|---|---|---|---|---|
| 9. The department takes M+E seriously, and sees M+E as a critical management tool | 23% | 28% | 26% | 19% | 5% |
| 10. Lack of proper M+E in public sector does contribute to public riots on poor service delivery in various locations | 20% | 15% | 39% | 20% | 7% |

As illustrated in table 4.2, a five-point Likert scale that comprised of (1) Strongly agree, (2) Agree, (3) Neither agree nor disagree, (4) Disagree and (5) Strongly disagree, was used to determine the effectiveness of monitoring and evaluation in this department. Although table 4.2 illustrates the findings of all the research items that were included in this third section, each of these findings are dealt with separately to highlight their significance to the (in)effectiveness of monitoring and evaluation in the department.

### 4.2.3.1 Monitoring and evaluation process is clearly outlined

Monitoring and evaluation processes are developed as part of the roles that are assigned to Monitoring and Evaluation units of public institutions. These processes are meant to guide employees on how they should perform their day to day tasks and outline the types of conduct and work standards to which they should adhere to. As explained in the discussion of the roles and responsibilities for monitoring and evaluation in chapter 3, the Department of Agriculture, Forestry and Fisheries implements the Monitoring and Evaluation Guidelines Policy which outlines the processes and principles within which monitoring and evaluation activities must be undertaken.

As illustrated in figure 4.7, the highest majority of the respondents (79%) affirmed that monitoring and evaluation processes are clearly outlined.

Figure 4.8:
Monitoring and evaluation process is clearly outlined
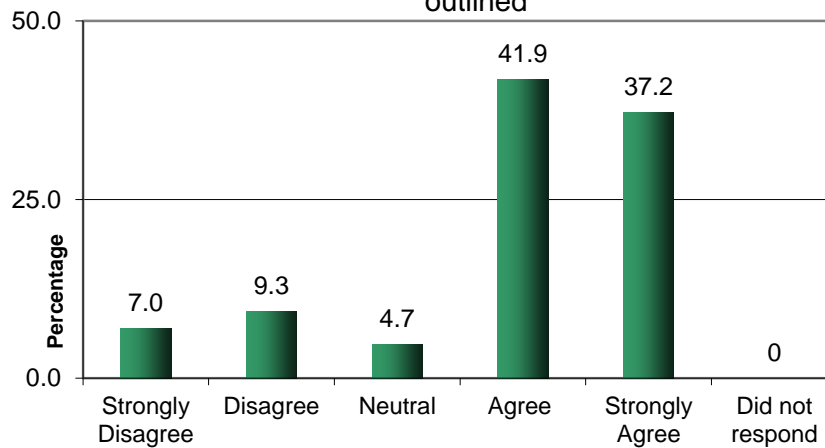
However, there was an insignificant number (16.3%) of those whose assessments were contrary. A relatively small number of respondents (4.7%), who possibly could have been new appointees, chose to be neutral.

**4.2.3.2 Expertise to implement monitoring and evaluation**

The expertise that is referred to in this research item is essentially about the types of skills that are listed in table 4.1. This research item does not single-out any specific type of skill, but refer to multiple skills that employees must be able to apply to comprehensively implement monitoring and evaluation. Although the majority of the respondents (44.2%) chose to be neutral, a significant proportion of the respondents (41.9) agreed that they have acquired the expertise that they need to implement monitoring and evaluation.

Figure 4.9:
Expertise to implement monitoring and evaluation
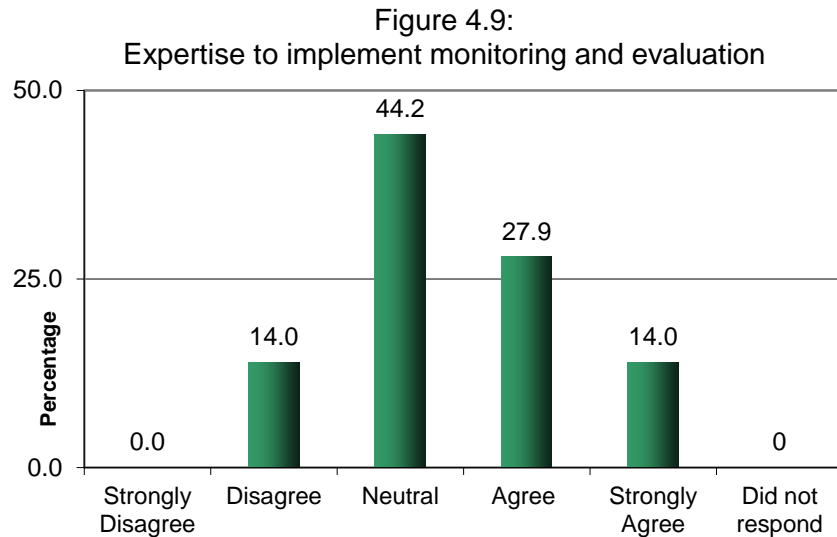


The least majority of the respondents (14%) reported that they do not have the required expertise to implement monitoring and evaluation. This finding may be correlated to the one in figure 4.7 in which the largest majority of the respondents (72%) reported that they have not been exposed to any form of training on monitoring and evaluation in the past seven years.

**4.2.3.3 Monitoring and Evaluation function enjoys the support of senior managers**

Support by managers is a critical component of not only the implementation of monitoring and evaluation, but for all initiatives that reinforce the achievement of the goals of public institutions. Support by managers is even more critical in the transforming public sectors in which new initiatives are implemented in the face of excessive resistance and uncertainty. In essence, providing support is the single most important function of every manager. As illustrated in figure 4.10, the majority of the respondents (44.2%) reported that managers do not sufficiently support the monitoring and evaluation function.

Figure 4.10:
Monitoring and Evaluation function enjoys the support of senior managers
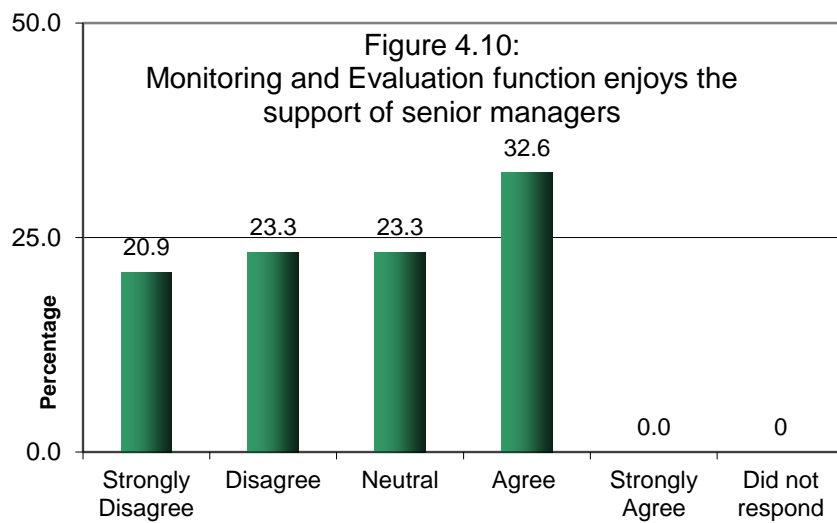
Contrarily, as shown in figure 4.10, another group consisting of 32.6% of the target population reported that monitoring and evaluation enjoys the support of managers in the department.

**4.2.3.4 Monitoring and Evaluation function duplicates other functions**

By its nature, monitoring and evaluation is a cross-cutting function that is implemented by employees in different occupations and levels of interaction. Although Monitoring and Evaluation directorates are often established as part of the organisational structures of public institutions, employees and managers of other directorates contribute immensely to achieving the intended outcomes. The Monitoring and Evaluation directorate may be thought to duplicate the functions of oversight institutions, such as auditing by the Auditor-General (Bemelmans-Videc *et al*, 2007b & Tuckermann, 2007). Figure 4.11 below shows the finding of this research item.

Figure 4.11:
Monitoring and Evaluation function duplicates
other functions
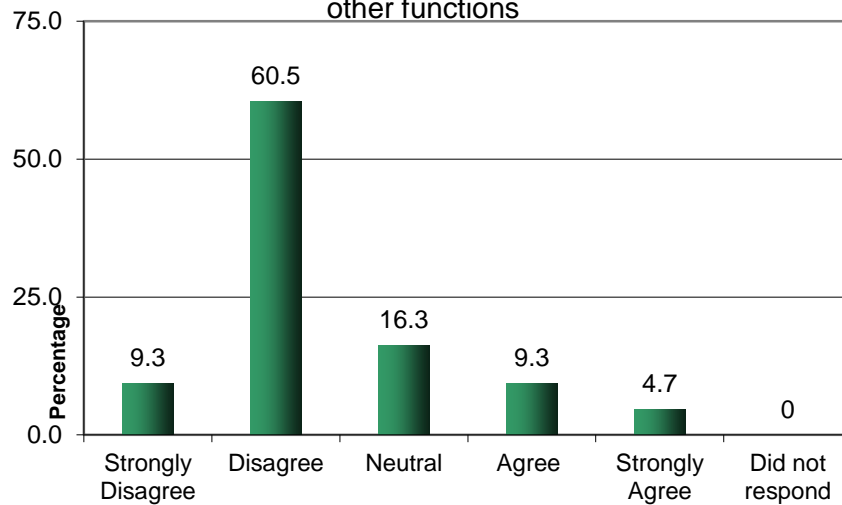


As shown in figure 4.11, the majority of the respondents (69.8%) were of the opinion that the Monitoring and Evaluation function does not duplicate any other function.

**4.2.3.5 Monitoring and Evaluation function is structurally well located**

Figure 3.1 in chapter 3 has illustrated how the Monitoring and Evaluation directorate features in the organisational structure of the Department of Agriculture, Forestry and Fisheries. The location of the Monitoring and Evaluation directorate or any other directorate is a matter that must thoroughly though of because it impacts on its overall effectiveness. The location of the Monitoring and Evaluation directorate can be political in that Moniotoring and Evaluation directorates are associated with power, given their ability to generate performance information that can be used to make decisions (see Patton, 1997).

Figure 4.12:
Monitoring and Evaluation funtion is structurally
well located
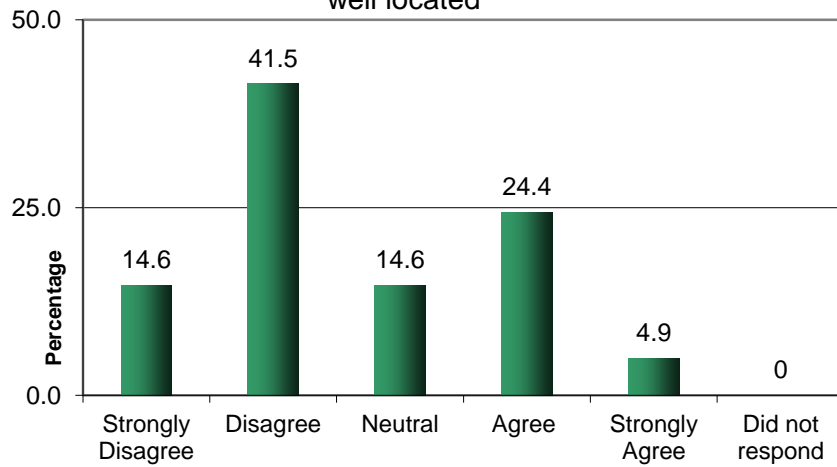
As shown in figure 4.12, the highest majority of respondents (56.1%) reported that the Monitoring and Evaluation directorate is in appropriately located. A further group that consisted of 29.3% of the total respondents reported that the Monitoring and Evaluation directorate was structurally well located. About 14.6% of them chose to be neutral.

**4.2.3.6 Monitoring and Evaluation directorate is adequately resourced with budget**

The budget is a critical resource for the implementation of monitoring and evaluation. For example, conducting visits to verify the achievements and to assess value for money for each project are cost bearing activities that require to be budgeted for. In the absence of the budget, none of the outcomes can be achieved. As shown in figure 4.13, the majority of the respondents (48.8) chose to be neutral.

The Monitoring and Evaluation directorate is
adequately resourced with budget
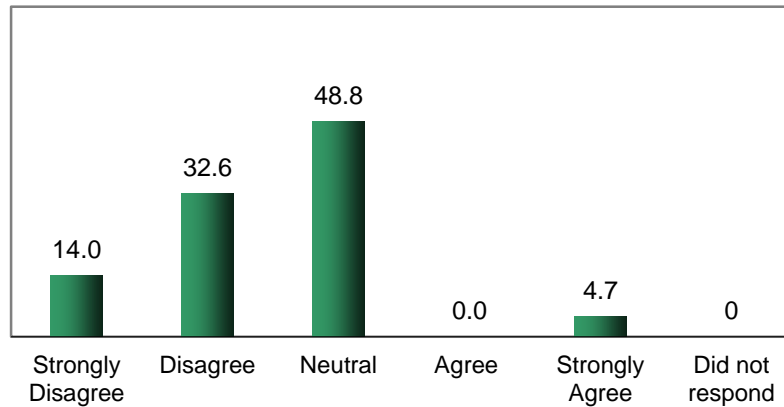


Almost half of the respondents (46.6%) reported that the Monitoring and Evaluation
directorate does not have the required budget to perform the roles that are assigned
to it. The appointment of skilled and experienced employees and the purchasing of
information and technology equipment, whose findings are presented in subsequent
subsections, also require that the Monitoring and Evaluation directorate has an
appropriate budget. Therefore, the findings of these research items are strongly
correlated.

**4.2.3.7 Monitoring and Evaluation directorate is adequately resourced with human resources**

The ability to recruit, appoint and retain skilled and experienced Monitoring and
Evaluation Practitioners and managers is dependent on whether the Monitoring and
Evaluation directorate has the appropriate budget. As shown in figure 4.14 below, the
majority of the respondents (60.9%) reported that the Monitoring and Evaluation
directorate does not have an adequate budget to cater for the required human
resource capacity.

Monitoring and Evaluation directorate is
adequately resourced with human resources
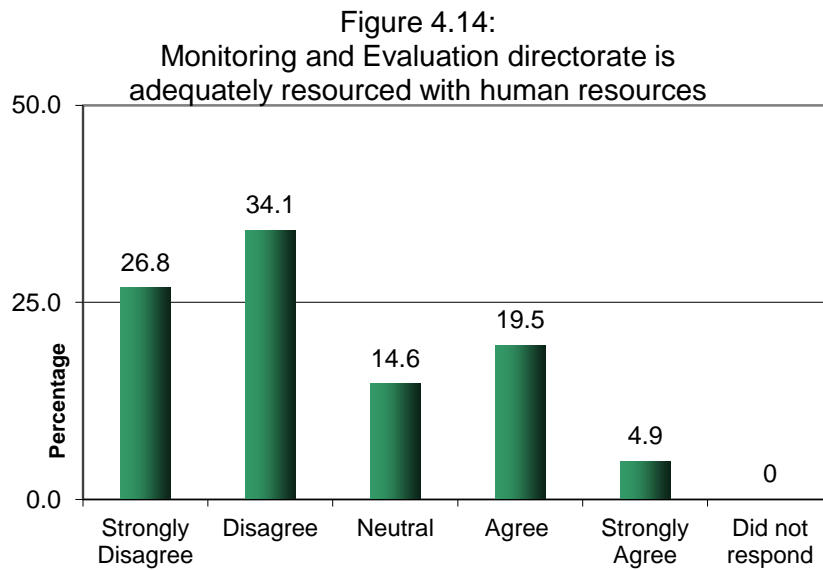


The second highest majority of the respondents (24.4%) reported contrarily, whilst a further 14.6% chose to be neutral.

## 4.2.3.8 Monitoring and Evaluation directorate is adequately resourced with Information Technology equipment

Like human resources, information technology equipment is a critical resource for implementing monitoring and evaluation. Depending on the nature of monitoring and evaluation activities that employees perform, examples of information technology equipment may include analytical tools, mapping and data visualization software and mobile data collection systems. The equipment may require to be periodically serviced and because of rapid technological advancements, new technology may require to be purchased. Employees too may require to be trained on how to use the new technological equipment, all which are cost-bearing.

Monitoring and Evaluation directorate is
adequately resourced with Information
Technology equipments
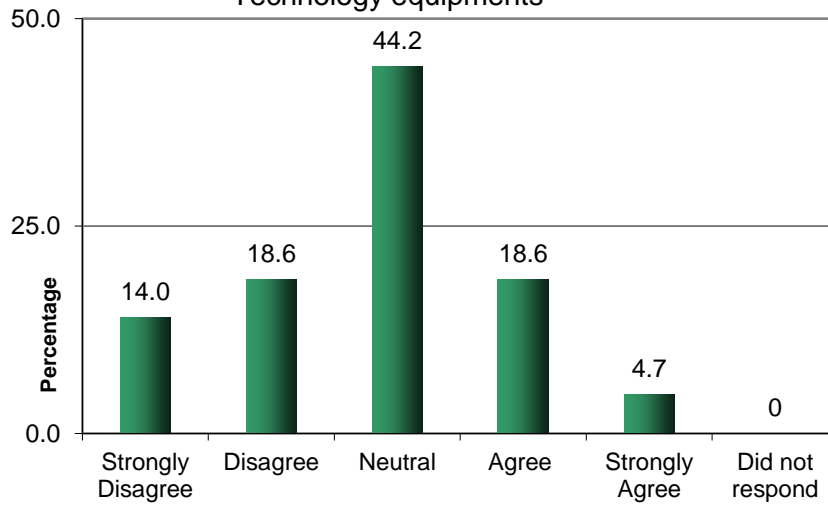


As illustrated in figure 4.15, the majority of the respondents (44.2%) chose to be neutral. The second majority of the (32.6%) reported that the directorate does not have the required IT equipment. A further 22.23% of them reported that the directorate has all the required IT equipment.

**4.2.3.9 Acknowledgement of Monitoring and Evaluation function as a critical management tool**

If managers consider monitoring and evaluation as a critical management tool, they are likely to support it by means of for example, allocating appropriate budget for it. The finding of this research item correlate to the findings that were presented in figures 4.14 and 4.15. An overwhelming majority of the respondents (51.2%) reported that managers acknowledge monitoring and evaluation as a critical management tool and 23.3% of another group reported contrarily.

Figure 4.16:
Acknowledgement of Monitoring and Evaluation function as a critical management tool
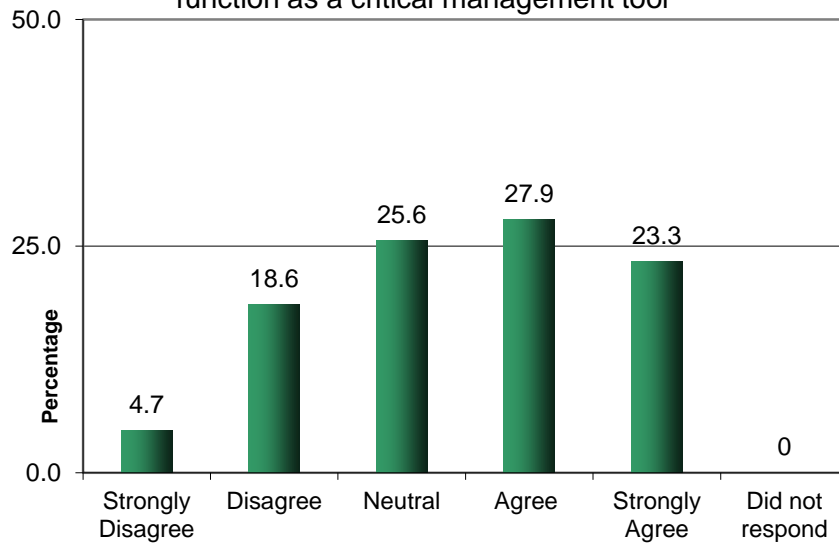
As shown in figure 4.16, close to a quarter of the respondents (25.6) were neutral. The finding of the degree of effectiveness of the implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries is presented in the following subsection.

**4.2.3.10 Ineffective implementation of monitoring and evaluation contribute to poor service delivery**

As explained at the discussions of the literature review of monitoring and evaluation in chapter 2, monitoring and evaluation is implemented to help public institutions to deliver the services to satisfy the needs of the society. The finding about the degree of effectiveness of the implementation of monitoring and evaluation correlates to the findings that are depicted in figures 1.14, 4.15 and 4.16. The source of this correlation is that, in the absence of an appropriate budget, skilled and experienced employees and the required IT equipment, the implementation of monitoring and evaluation is weakened and as a result the delivery of services becomes poor and vice versa.

Figure 4.17:
Ineffective implementation of monitoring and
evaluation contributes to poor service delivery
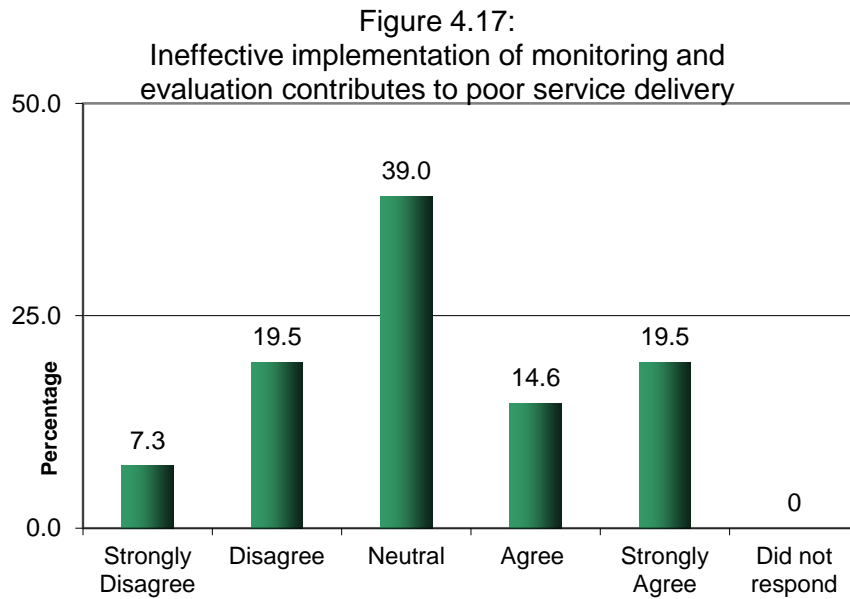
As shown in figure 1.17, the majority of the respondents (39%) were neutral. The second majority (34.1%) consisted of the respondents that agreed that ineffective implementation of monitoring and evaluation contributes to poor service delivery, whilst the minority (27%) disagreed.

**4.2.3.11 Tracking of the implementation of recommendations that are made in quarterly performance reports**

Quarterly performance reports serve as an 'early warning system' that alert managers to areas of poor performance, potential problem areas and areas were corrective measures may be required. Reporting non-financial performance is important in measuring the performance of public institutions. Quarterly performance reports generate non-financial information that is essential for assessing progress towards predetermined service delivery standards or performance targets. This performance information allows for a results-based management approach through which performance can be measured to recognise success, identify performance gaps, and adjust strategy accordingly and to achieve value for money.

Figure 4.18:
Tracking of the implementation of recommendations that are made in quarterly performance reports
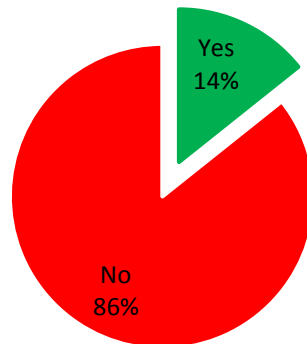
This research item enquired from the respondents whether the department does track the implementation of the recommendations that are made in the quarterly performance reports. The respondents were further required to specify the type of a system that is used to track the implementation of those recommendations. As illustrated in figure 1.18, the majority of the respondents (86%) reported that the department does not track the implementation of the recommendations that are made in quarterly performance reports. Only 14% of the respondents agreed that the department does track the implementation of the recommendations that are made in the reports that were referred to.

## 4.2.4  VALUE ADDED BY OVERSIGHT INSTITUTIONS TO THE DEPARTMENT'S PERFORMANCE

The purpose of gathering the data about the respondents' opinions of the value that is added by oversight institutions was reflected upon in the discussion of the research methodology in chapter 3. As a public institution, the Department of Agriculture, Forestry and Fisheries is the subject of oversight that is performed by state institutions. Assessing the value of the roles of the oversight institutions is necessary, given that compliance may be sanctions-driven rather being value-driven. The findings of this section are a retrospection of the roles and value that is added by oversight institutions and may also be used by managers of both the public institutions and oversight institutions as a framework for engaging in dialogue, the purpose of which may be to understand and appreciate the value of oversight institutions.

This section reveals the findings of the usefulness of submitting (1) financial reports and (2) quarterly performance reports to the National Treasury, (3) effectiveness of the role of the Auditor-General in promoting accountability and transparency, (4) usefulness of the format of the annual report, (5) whether the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity and (6) whether excessive reporting obligations distracts the Department of Agriculture, Forestry and Fisheries from achieving its objectives.

**4.2.4.1 Usefulness of submitting financial reports to National Treasury**

As shown in figure 4.19, the majority of the respondents share the sentiment that the submission of monthly financial reports to the National Treasury is useful. This is despite a proportionate number of other (24%) who were of the opinion that the submission of monthly financial reports to the National Treasury was of no value to the department.



Figure 4.19:
Usefulness of submitting monthly financial reports
to the National Treasury
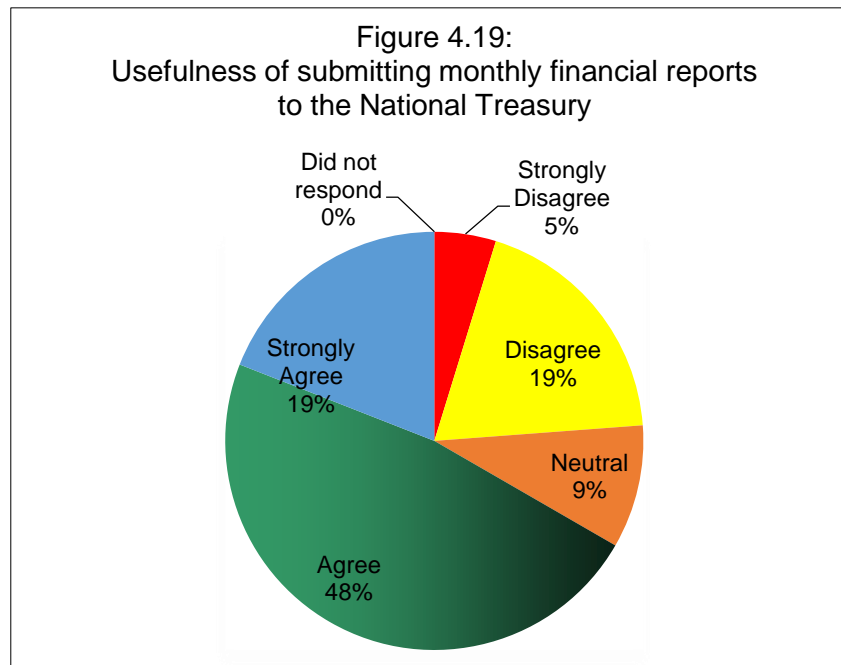
As shown in figure 4.19, 9% of the respondents were neutral. The finding of the usefulness of submitting quarterly performance reports to the National Treasury are presented in the next subsection.

**4.2.4.2 Usefulness of submitting quarterly performance reports to National Treasury**

As shown in figure 4.20, more than half of the respondents (52%) thought that it was of no value to submit quarterly performance reports to the National Treasury. A significant number of respondents (29%) were neutral and a minority (19%) thought that there was value in submitting quarterly performance reports to the National Treasury.

Figure 4.20:
Usefulness of submitting quarterly performance
reports to National Treasury
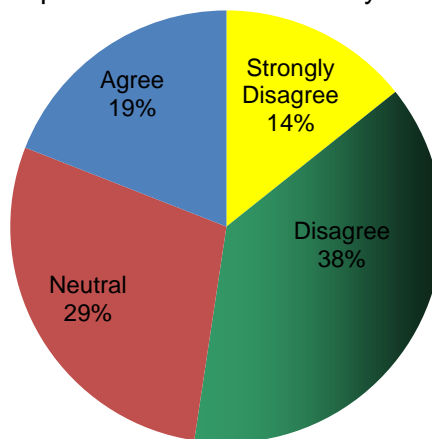


The majority of the respondents did not see the value in submitting the quarterly performance reports to the National Treasury because the National Treasury did not provide any form of feedback on these reports.

**4.2.4.3 Auditor-General helps to promote accountability and transparency**

As reflected upon in the discussions of the literature review of monitoring and evaluation in chapter 2, the Auditor-General plays a significant role in enforcing accountability and promoting good governance in the South African public sector. As the supreme audit institution in the Republic of South Africa, the Auditor-General is entrusted with the powers to perform the oversight function, by for example conducting mandatory and discretionary audits over public institutions. As shown in figure 4.21, an overwhelming majority of the respondents (91%) agreed that the Auditor-General helps to promote accountability and transparency in the department.

Figure 4.21:
Auditor-General helps to promote accountability and tranparency
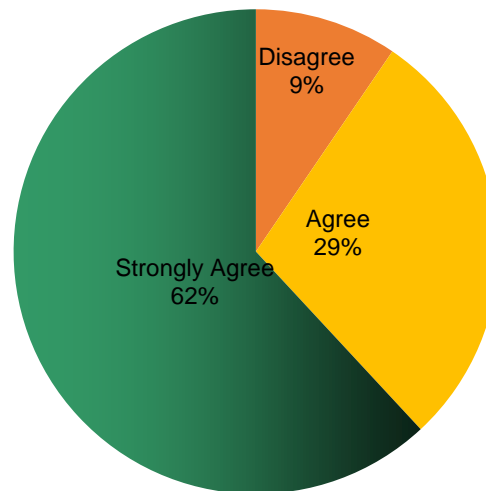


As shown in figure 4.21, only 9% of the respondents held a contrary viewpoint. This finding is justifiable, given that the findings of the Auditor-General are taken seriously as compared to those that are revealed by other oversight institutions. The finding of the usefulness of the format of the annual report is presented in the subsequent subsection.

**4.2.4.4 Usefulness of the format of the Annual report**

The format of the annual report is important because the annual reports are used by external users such as investors, who at times invest resources that are required by public institutions to deliver services. Before the establishment of the DPME, the development of the reporting templates, including of the annual reports, was an exclusive function performed by the National Treasury. This role was reassigned to the DPME in 2010.The role was reassigned to DPME in order to ensure the development of a standardised methodology and mechanisms to monitor the quality of management practices in national and provincial government departments. As per the findings that are presented in figures 4.19 and 4.20 respectively, public institutions regularly report their financial and performance statuses to the National Treasury. As shown in figure 4.22, 62% of the respondents agreed that the format of the annual reports is useful.
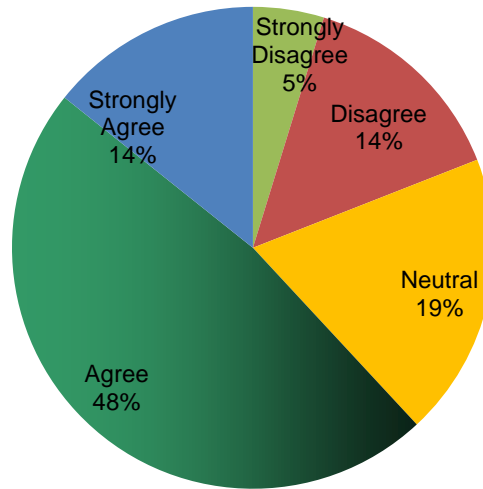
Nineteen percent (19%) of the respondents considered the format of the annual reports as un-useful and a further 19% of others were neutral.

## 4.2.4.5 Submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity

Financial and performance reports whose findings were shown in figures 4.19 and 4.20 are examples of reports that are referred to in this research item. Feedback that is provided by oversight institutions on these reports is critical in that it supports internal management processes and improves monitoring and evaluation capacity. As shown in figure 4.23, an overwhelming majority of the respondents (90.59) reported that the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity in the department.

Figure 4.23:
Submission of reports to oversight institutions
strengthens internal management processes and
improves monitoring and evaluation capacity
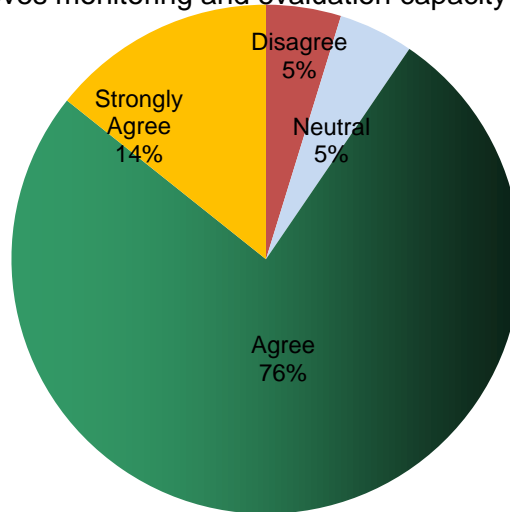
However, 5% of the respondents reported contrarily, that the submission of reports to oversight institutions does not help to strengthen internal management and to improve monitoring and evaluation capacity in the department. Interpreted differently, this finding means that the submission of reports is value-detracting, which probably may be ascribed to lack of feedback by oversight institutions. In addition, 5% of the respondents were neutral.

**4.2.4.6 Excessive reporting obligations distracts the department from achieving objectives**

The last research item in this section enquired from the respondents whether the (excessive) reporting obligations distracted the department from achieving its objectives or not. As shown in figure 4.24 below, the majority of the respondents (38%) were neutral. This finding may be as a result of most of the respondents being new appointees (see figure 4.5) or placed in occupations in which they are not exposed to the reporting requirements that the department is obliged to adhere to (see figure 4.4).

Figure 4.24:
Excessive reporting obligations distracts the department from achieving
objectives
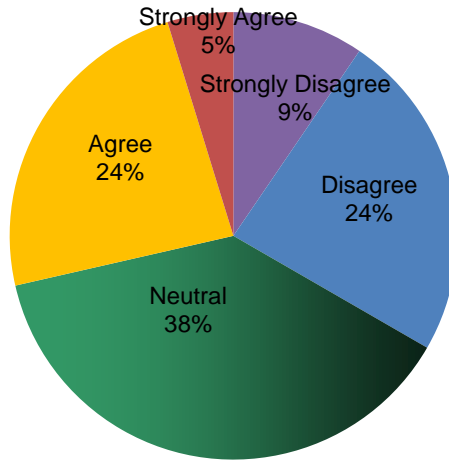


A proportionate number of the respondents (33%) reported that the reporting requirements do not distract the department from achieving its objectives. The least number of respondents (29%) agreed that the reporting requirements distract the department from achieving its objectives.

## 4.2.5 CHALLENGES ENCOUNTERED IN THE IMPLEMENTATION OF MONITORING AND EVALUATION

The respondents were provided with a list of predetermined challenges from which they could select or add the challenges that had been omitted. As illustrated in table 4.3, there are four types of challenges that appear to be dominant, namely lack of accountability and failure by senior managers to prioritise monitoring and evaluation. The respondents also identified failure by senior managers to implement the recommendations and lack of evidence to support the targets that are achieved as challenges that are encountered in the implementation of monitoring and evaluation. These findings validate a finding that was presented earlier in this chapter, in which the respondents reported that senior managers' support for monitoring and evaluation is inadequate. Table 4.3 illustrates the types of challenges that are encountered in the implementation of monitoring and evaluation.

Table 4.3: Types of challenges for monitoring and evaluation

| Types of challenges | Response (%) |
|---|---|
| Lack of accountability by senior managers | **29%** |
| Implementation of M&E not prioritised by senior managers | **29%** |
| M&E system that helps to collect information easily and systematically is not in place | 14% |
| Lack of reliable reported information | 16% |
| Lack of evidence to support achieved targets | **25%** |
| Lack of an effective communication strategy for M&E results to inform policy development and planning | 18% |
| Monitoring and Evaluation recommendations made to senior managers not implemented | **27%** |

As illustrated in table 4.3, the three other challenges that were identified by respondents are lack of an effective communication strategy for monitoring and evaluation, lack of reliable information and the inability of the monitoring and evaluation system to collect information easily and systematically. Table 4.3 also illustrates the percentage value that the respondents attached to each type of challenge.

## 4.3   CONCLUSION

As explained in the introductory remarks, the purpose of this chapter was to present the findings of the study. What echoes from these findings is that since the monitoring and evaluation function was institutionalised, there is some form of stability and progress in its functioning. Stability is embedded in a stable policy environment that the department has for over years of functioning maintained. The department's Monitoring, Evaluation and Reporting Guidelines (2015) appear to be instrumental in creating an environment in which the implementation of monitoring and evaluation is seamless. Progress is evident in the findings that reveal that monitoring and evaluation process is clearly outline, employees understand monitoring and evaluation and they understand the types skills that are required to perform monitoring and evaluation effectively.

The implementation of monitoring and evaluation is however, faced with numerous challenges that require to be attended to. The findings reveal that there is a need for the department to initiate regular training interventions to capacitate employees on

their roles in the implementation of monitoring and evaluation and in particular the types of support by senior managers that are required for the effective implementation of monitoring and evaluation. The findings also necessitate the review of the structural location of the Monitoring and Evaluation directorate, budget that caters for the required human resource capacity and information technology requirements. There is also an expressed need for senior managers to track the implementation of the recommendations that are made in the quarterly performance reports.

Because monitoring and evaluation is not only performance by a designated directorate of the department, it therefore becomes necessary to integrate the roles of the department and those that are performed by oversight institutions to ensure that there is no duplication. A worrying observation that can be made from the findings is that there are proportionate numbers of respondents that are perpetually neutral. This neutrality can be ascribed to insufficient experience by certain respondents about how the department has advanced over years with the implementation of monitoring and evaluation, which may suggest that respondents whose responses were neutral could be relatively new employees that served the department for a period of less than five years or those that are unfamiliar with monitoring and evaluation activities.

# CHAPTER 5

# CONCLUDING REMARKS AND RECOMMENDATIONS

## 5.1. INTRODUCTION

The purpose of the discussions that were dealt with in chapter 4 was to present the findings of the study. These findings were separated into five sections, namely, the respondents' (1) biographical information, (2) training and experience on monitoring and evaluation, (3) effectiveness of monitoring and evaluation, (4) the value of oversight institutions to the department's performance and (5) challenges that are encountered in the implementation of monitoring and evaluation. These findings contribute to the knowledge of the status of the implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries. In particular, they highlight areas in which implementation is effective and those for which appropriate interventions or remedial action should be instituted. From these findings there is evidence that, despite the challenges that are encountered, the Department of Agriculture, Forestry and Fisheries has invested a great deal of resources on the implementation of monitoring and evaluation.

The purpose of this chapter is to conclude and recommend ways through ineffective implementation of monitoring and evaluation can be improved. In the case in which implementation is effective, sustenance measures are proposed. The concluding remarks that are explained in this chapter summarily reflect on discussions of the general introduction, literature review of monitoring and evaluation, research design and methodology and the findings that were dealt with respectively in chapters 1 – 4. Despite proposing corrective measures that must be instituted, this chapter also highlights negative consequences that may result from failure to institute the corrective measures. The proposed recommendations are not imposed, but serve as guidelines that could be considered during decision making processes that relate to monitoring and evaluation.

## 5.2. CONCLUDING REMARKS

The basis of chapter 1 was to set the context for and to introduce the discussions that are dealt with in this study. Key discussions that were considered central to this introduction were about the problem statement, research questions and research objectives. Not only did the description of the problem statement distinguish this study from existing ones, but discovered the need for extensive research on monitoring and evaluation and justified why such research is necessary to the public sectors and the South African public sector in particular. The need for extensive research on monitoring and evaluation in South Africa is necessitated by official government reports and magazines being the dominant source of literature on monitoring and evaluation.

Four research questions and research objectives that emerged from the description of the problem statement to determine the nature of the discussions that were to be dealt with in each chapter. On the basis of the interdependence and link between the problem statement, research questions and objectives and the units of analysis and observation, it therefore can be concluded that chapter 1 laid a solid foundation for this study. It has successfully done so in that it laid the foundation for the discussions of the literature review that was explained in chapter 2, the research design and methodology that was described elaborately in chapter 3 and the findings of the study that were presented in chapter 4. As explained at the introductory remarks in chapter 1, the purpose of this study was to determine the status of implementation of monitoring and evaluation in the national Department of Agriculture, Forestry and Fisheries.

Firstly, the research questions and research objectives necessitated the discussions of the literature review of monitoring and evaluation, which was dealt with in chapter 2. The main finding of the literature search of the literature review reveals that monitoring and evaluation is multidisciplinary in that it is of interest to researchers from different academic disciplines and as such, it is defined differently. In South Africa, monitoring and evaluation is a fairly new phenomenon on which research is evolving.

In the public sectors, monitoring and evaluation enjoys legislative support and it is implemented by public sector institutions and non-government institutions to achieve

different outcomes. In the South African public sector, the implementation of monitoring and evaluation is supported by the Constitution of the Republic of South Africa (1996) which makes provision for the promulgation of other legislation, policy guidelines and frameworks that guide its implementation. Not only does this legislation shed light about the roles and responsibilities for monitoring and evaluation, but the outcomes that must be achieved. In the South African public sector, it is implemented as a public sector reform initiative that is intended to safeguard the use of limited resources, improve transparency, and enforce accountability and to ultimately assist public institutions to achieve their predetermined objectives.

As such, various internal and external role players perform complementary and co-existing roles to ensure that public institutions use the resources that are allocated to them reliably. Because the roles and responsibilities for monitoring and evaluation are derived from legislation, both the internal and external role players enjoy the legislative support that the legislation officially grants to them. The legislation grants internal role players, for example the accounting officers and internal committees, the authority to ensure that employees choose to abide by the guidelines that serve to ensure that resources are used efficiently and effectively. In the same spirit, the powers, roles and responsibilities of external oversight institutions such as the Auditor-General, parliament and municipal councils, are spelt out in the legislation, in terms of which they are able to hold the executive accountable and to enhance transparency. Monitoring and evaluation in the South African public sector is implemented to ensure that there is value for money and to improve service delivery to satisfy the needs of the society.

Secondly, the research question and research objective that were described in chapter 1 necessitated the discussion of the research design and methodology, in which the study area and adherence to ethical requirements were dealt with as secondary discussions. The organisational structure and status of implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries, with specific reference to the roles of employees of different occupations were explained. From the discussions of the study area, it can be concluded that there is progress that has been made in this department to lay the foundation for the implementation of monitoring and evaluation.

The organisational structure of the department caters for the operation of the Monitoring and Evaluation directorate in which the roles of Monitoring and Evaluation Practitioners for example, are defined. The department furthermore allocates resources for the implementation of monitoring and evaluation and has instituted guidelines that defines the roles of internal role players in monitoring and evaluation and that support senior managers to comply with the requirements of mandatory external oversight institutions. Most importantly, monitoring and evaluation features in the strategy of the department and as such the Monitoring and Evaluation directorate been assigned predetermined outcomes that it has to achieve.

The discussions that were dealt with as part of the research design included the research population, sampling procedure, target population and diversity of the target population. From these discussions, it can be concluded that the Department of Agriculture, Forestry and Fisheries is complex. It is complex in that its mandate is derived from three areas of functioning (agriculture, forestry and fisheries), which are further delegated to provincial offices to perform. This department is structured into different directorates that consist of employees that are appointed to different occupations. From the research design perspective, this complexity justifies why the head office of the department was chosen as the study area and why only 44 employees were selected as respondents.

Conducting research that involves all employees of the department may have required a lengthy period of time and much more resources than those that were at disposal. However, the target population was diverse in that it consisted of respondents that were selected from different age, race and gender groups. These respondents were further drawn from different occupations; they had different educational backgrounds and years of experience in the department. The research methodology highlighted all the research items that are contained in the research questionnaire. There is evidence that the research items that are contained in the research questionnaire are embedded in the literature review that was discussed in chapter 2. This research methodology is therefore consistent with the units of analysis and observation that were described in chapter 1. It can therefore be concluded that the research methodology assured that

the information that was gathered from the respondents was consistent, valid and reliable.

Fourthly, the discussions that were dealt with in chapter 4 emanated from the fourth research question and research objective that were described in chapter 1. The purpose of this chapter was to present the findings of the study. In terms of structure, the presentations of these findings were separated into five sections, namely, the respondents' biographical information, training and experience on monitoring and evaluation, effectiveness of monitoring and evaluation, value that is added by oversight institutions to the Department's performance and the challenges that are encountered in the implementation of monitoring and evaluation. These findings reveal progress that has been made since the monitoring and evaluation was function instituted in 2002 in the Department of Agriculture, Forestry and Fisheries. The findings also create an awareness of the challenges that require to be attended to ensure that monitoring and evaluation is implemented effectively.

Progress and effective implementation of monitoring and evaluation in this department is demonstrated by cross-sectional findings that report that monitoring and evaluation processes are clearly outlined (see figure 4.8), respondents have the required expertise to implement monitoring and evaluation (see figure 4.9), the monitoring and evaluation function complements other functions (see figure 4.11), monitoring and evaluation is a critical management tool (see figure 4.16), effective implementation of monitoring and evaluation improves service delivery (see figure 4.17), submission of financial reports to the National Treasury is valuable (see figure 4.19), Auditor-General helps to promote accountability and transparency (see figure 4.21), the prescribed format of the annual report is helpful (see figure 4.22), the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity (see figure 4.23) and that reporting obligations helps the department to achieving its objectives (see figure 4.24).

Contrarily, there is a list of findings that indicate ineffective implementation of monitoring and evaluation in this department. The majorities of respondents reported that they are not regularly trained on monitoring and evaluation (see figure 4.7), there is lack of accountability (see Table 4.3), support (see figure 4.10), and failure by senior

managers (see Table 4.3) to prioritise monitoring and evaluation. Most of the respondents perceived the monitoring and evaluation function as inappropriately located (see figure 4.12), insufficiently budgeted for (see figure 4.13), lacking the required human resource capacity (see figure 4.14) and information technology equipment (see figure 4.15). they further reported that progress with the implementation of the recommendations that are made in quarterly performance reports is not tracked (see figure 4.18), that submission of quarterly performance reports to the National Treasury is not helpful (see figure 4.20) and that there is lack of evidence to support the targets are achieved (see Table 4.3).

## 5.3.   RECOMMENDATIONS

In terms of the structure, this section first recommends sustenance measures for areas in which monitoring and evaluation was found to be effective. Secondly, it proposes corrective measures that should be sought for areas in which implementation was found to be ineffective.

## 5.3.1.  FINDINGS FOR WHICH SUSTENANCE MEASURES SHOULD BE SOUGHT

As explained in the concluding remarks, ten findings that are indicative of effective implementation of monitoring and evaluation in the Department of Agriculture, Forestry and Fisheries and for which sustenance measures should be sought were identified. Measures through which this status of implementation can be sustained are explored in subsequently.

### 5.3.1.1 Monitoring and evaluation processes are clearly outlined

The largest majority of respondents (79%) affirmed that monitoring and evaluation processes are clearly outlined. In essence, this finding implies that the majority of the employees are aware that the department has instituted monitoring and evaluation processes that need to be adhered to. From the author's experience, these processes are prescribed in the department's Monitoring, Evaluation and Reporting Guidelines (2015) and are meant to guide employees on how they should perform their daily tasks. These processes also provide for the types of behaviour and work standards to

which employees should abide. The awareness by a large majority of employees that monitoring and evaluation processes are clearly outlined is an indicator of effective implementation in that the implementation of the function is supported by appropriately designed internal controls. In order to sustain this level of awareness, senior managers need to ensure that these guidelines are periodically reviewed to keep them abreast of the changes in employee behaviour and other types of internal risks. It is also necessary to ensure that employees are constantly made aware of the changes to the guidelines, their responsibilities in ensuring that the processes are adhered to and about the sanctions that may be imposed for failure to adhere to the guidelines.

### 5.3.1.2 Expertise to implement monitoring and evaluation

Despite being cluttered by a majority of respondents (44.2%) who were uncertain of whether they have the expertise to implement monitoring and evaluation or not, this finding contradicts the one that was presented in figure 4.7 in chapter 4 in which 72% of the respondents reported that they were not exposed to any form of training on monitoring and evaluation in the past seven years. In total, 42.8% of the respondents reported that they have the expertise to implement monitoring and evaluation. Even though this is not an outright majority, it constitutes a significant number of respondents. It could be expected that if employees are not exposed to any form monitoring and evaluation training, they will lack the required expertise, except for the case in which they may have self-initiated and funded attendance to such training.

Regular training is necessary, especially in complex and large public institutions such as the Department of Agriculture, Forestry and Fisheries in which new employees are rapidly recruited and those that are experienced depart to search for more fulfilling and rewarding jobs. Considering that 44.2% of the respondents, who presumably were new appointees, were uncertain whether they have the skills to implement monitoring and evaluation or not, it is important that awareness of the skills that are required to implement monitoring and evaluation is created. The creation of this type of awareness is necessary because the skills requirements will differ between employees' occupations and levels of interaction.

**5.3.1.3 Monitoring and evaluation function duplicates other functions**

Because monitoring and evaluation is performed by multiple role players whose roles and responsibilities co-exist, it may be construed as a duplication of other functions. The third finding that substantiates the implementation of monitoring and evaluation as effective is the acknowledgement by respondents that the monitoring and evaluation function does not duplicate, but complements other functions. As shown in figure 4.11 in chapter 4, an overwhelming majority of the respondents (69.8%) affirmed that the monitoring and evaluation function complements the functions that are performed by other role players that were explained as part of the literature review of monitoring and evaluation in chapter 2.

This finding verifies that employees understand the roles that are performed by different role players in the implementation of monitoring and evaluation and are able to distinguish between them.  In order to sustain this understanding, it is necessary for senior managers to ensure that the roles and responsibilities of employees in different occupations, levels of interaction and of various internal and external committees and oversight institutions are defined in the Monitoring and Evaluation Guidelines. If the roles and responsibilities are clearly defined, each role player will be acquainted with their scope of work and how theirs co-exist with others.

**5.3.1.4 Monitoring and evaluation function as a critical management tool**

Despite a considerable number of respondents (25.6%) having chosen to be neutral, a large proportion of them (51.2%) acknowledged monitoring and evaluation as a critical management tool. This acknowledgement is not a detached finding, but correlates to others in which the respondents affirmed that monitoring and evaluation helps to improve service delivery (see figure 4.17), promotes accountability and transparency (see figure 4.21), strengthens internal management processes and monitoring and evaluation capacity (see figure 4.23) and that it helps the department to achieve its predetermined objectives (see figure 4.24). Because 68% of the respondents were managers (see figure 4.4) this finding is a confirmation that they accede their responsibility for monitoring and evaluation and are aware of the benefits of monitoring and evaluation to their work and to the department. Although this

acknowledgment was affirmed by a large majority (51.2%), the basis of a contrary assessment by 23.3% of the respondents needs to be understood by instituting a dialogue through which managers share ideas about how the responsibility to implement monitoring and evaluation impacts on their work in general.

In the absence of concrete reasons, this contrary assessment may be correlated to the finding in which large proportions of respondents perceived the monitoring and evaluation function as duplicating other functions or likened to newly appointed or junior employees who absolutely do not have any knowledge of the benefits of monitoring and evaluation to managers. In order to sustain the acknowledgement of the monitoring and evaluation as a critical tool to managers, training interventions that creates awareness about the legislative framework for, importance and benefits of monitoring and evaluation and that target managers and employees in general need to be initiated. This type of training may assist in changing the perceptions towards the monitoring and evaluation function. Because monitoring and evaluation is evolving as a new phenomenon in the South African public sector, this intervention has the potential of helping to reduce any form of resistance if there is any.

**5.3.1.5 Ineffective implementation contributes to poor service delivery**

This finding basically demonstrates the respondents' ability to distinguish between effective and ineffective implementation of monitoring and evaluation and the result that each may lead to. Effective implementation in this regard increases the likelihood by the department to achieve its predetermined objectives and the outcome of ineffective implementation is poor service delivery. For the reason that 39% of the respondents were neutral, then 34.1% of those that consent that ineffective implementation of monitoring and evaluation contributes to poor service delivery turns out to be significant, despite that it is not an outright majority. Measures through which this finding can be sustained do not significantly differ to those that were proposed earlier in this section. Because monitoring and evaluation is performed by different role players, the outcomes of each are different. However, because their roles and responsibilities co-exist, the outcomes of the performance of these role players either distract or enhance the ability of the department to achieve its objectives.

Regular communication and the initiation of an intervention through which employees are informed of the outcomes that the department intends to achieve by implementing monitoring and evaluation can help sustain this finding. Another aspect that should be built into these interventions is the holistic outlook of how each role player strengthens or weakens the ability of the department to deliver on its services. These initiatives will help build concrete knowledge of the outcomes of the roles of each role player and how their performances reinforce that of the department. Most importantly, the initiatives will circumvent the condition in which employees are clueless. Newly appointed employees and those whose core responsibilities are not necessarily about the implementation of monitoring and evaluation must be targeted.

**5.3.1.6 Usefulness of submitting monthly financial reports to National Treasury**

Another finding that is illustrative of effective implementation is the acknowledgement by 67% of the respondents that the submission of monthly financial reports to the National Treasury is useful. Although this finding correlates to the one in which an overwhelming majority of 90% respondents affirmed that the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity, it is contradictory to 52% of the respondents that pointed out that it was of no value to submit quarterly performance reports to the same oversight institution. The underlying reason for the difference between these two findings may be as a result of the National Treasury prioritising financial reports over performance reports and as such limited feedback being given for performance reports.

Another justification may be about the difference in the frequency of submitting these reports, which may be construed by respondents as an indicator of the importance of financial reports over performance reports. However, whether the submission of the reports to the National Treasury is useful or not, this is a policy issue from which managers cannot be excused. In order to sustain this finding, strict measures through which attempts are made to submit all the reports by the prescribed dates must be developed. Internally, the Director-General has to ensure that whoever is delegated this responsibility is given time to prepare the reports, submit them in good time and that the records of such submissions are kept safe.

**5.3.1.7 Auditor-General helps to promote accountability and transparency**

Not only does this finding exemplify effective implementation, but the value that managers in the department ascribe to the role of the Auditor-General.  An overwhelming majority of 91% respondents affirmed that, by performing mandatory audits that were reflected upon in the discussions of the literature review in chapter 2, the Auditor-General helps to enforce accountability and to promote transparency. This finding is justifiable, given the autonomy with which the Auditor-General performs its functions. Having defined the roles of the Auditor-General in the Monitoring and Evaluation Guidelines, it therefore will be incumbent to sensitise newly appointed managers about the powers and roles of the Auditor General and in particular how the Auditor-General strengthens the monitoring and evaluation function of the Department. The scope of this intervention may be broadened to embrace the powers and roles of the PSC and DPME that are in South Africa entrusted with the powers to strengthen the implementation of monitoring and evaluation and to assist public institutions to efficiently and effectively deliver services.

**5.3.1.8 Usefulness of the format of the annual report**

Effective implementation of monitoring and evaluation in this department is also demonstrated by a proportionate majority of 62% respondents whose opinions were that the format of the annual report is useful. As explained at the literature review in chapter 2 and the findings in paragraph 4.3.3.5 in chapter 4, the development of the format of the annual report is the competence of the DPME and as such it is beyond the scope of functioning of the department. Nonetheless, it is impressive that the majority of employees found it useful. It may be a best practice if the DPME can periodically review the format of the annual report to ensure that it comprehensively gathers the types of information that is required by the users, especially ordinary members of the public who depend on annual reports to undertake their citizenship responsibilities. In as far as the assertion by 19% of the respondents that the format of the annual report is unhelpful is concerned, the Director-General or the senior manager to whom the responsibility may be assigned, has to investigate the underlying reasons for that and communicate the result to the DPME.

**5.3.1.9 Submission of reports to oversight institutions strengthens the internal management processes and improves monitoring and evaluation capacity**

This finding, in which 90.5% of the respondents affirmed that the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity, has been acknowledged on numerous occasions. The respondents' assertion that the submission of reports to oversight institutions strengthens internal management processes and improves monitoring and evaluation capacity derives from their experience of valuable feedback the department has historically received from oversight institutions, especially feedback on monthly financial and quarterly performance reports to which reference was made. As explained in the concluding remarks and sustenance measures that were dealt with earlier, not only does the submission of reports to oversight institutions strengthen internal management processes and improve internal monitoring and implementation capacity, but also helps the department to enforce accountability and improve transparency (see figure 4.21), improve service delivery (see figure 4.17), complements internal monitoring and evaluation function (see figure 4.11), and support the department to achieve its objects (see figure 4.24).

This level of awareness of the support of oversight institutions to the department can be sustained by re-accentuating a sustenance measure that was proposed in paragraph 5.3.1.6, developing an annual checklist that contains the due dates at which the reports must be submitted to oversight institutions, assigning the responsibility to employees and periodically monitoring whether the reports are submitted in time and in the required templates. The responsibility manager must ensure that the checklist contains the dates that are provided for in legislation, specifies the type of report and the name of the oversight institution to which it has to be submitted. It may also be motivating if the Director-General could share the feedback from oversight institutions with employees to keep them informed of the developments in the implementation of monitoring and evaluation in the department.

### 5.3.1.10 Excessive reporting obligations distracts the department from achieving objectives

Besides the risk of being interpreted as a duplication of other functions, the obligations to report to multiple internal and external role players may be construed as excessive and destructive. For the reason that a simple majority, consisting of 38% of respondents were neutral, the second majority that consisted of 33% of respondents that disagreed that the reporting obligations enhance the ability of the department to achieve its objectives was considered significant.

In order to thwart reporting obligations from being interpreted as excessive and destructive, which in this case has been affirmed by 29% of the respondents, a common understanding that the obligations to monitor and evaluate co-exist has to be created. Without overly emphasising a sustenance measure that was proposed in subsection 5.3.1.5, awareness of the responsibilities and outcomes of role players and how the performance of these role players strengthens the implementation of monitoring and evaluation in the department must be created. This initiative must target newly appointed employees and those whose core responsibilities are not necessarily about the implementation of monitoring and evaluation.

### 5.3.2.  FINDINGS FOR WHICH REMEDIAL ACTION SHOULD BE SOUGHT

Nine findings for which remedial action should be sought were also highlighted in the discussions of the concluding remarks. For the fact that some of these findings are related, they are grouped into five subsections.

### 5.3.2.1 Training on monitoring and evaluation

Although a proportionate number of respondents (42.8%) reported that they have the expertise to implement monitoring and evaluation effectively (see figure 4.9), the finding in figure 4.7 revealed a contrary finding. About 72% of the respondents reported that they were not trained on monitoring and evaluation in the past seven years. Interventions through which employees can acquire the skills to implement monitoring and evaluation were proposed under subsection 5.3.1.2. The priority

ranking of the types of skills that are required to implement monitoring and evaluation were also presented in Table 4.1 in chapter 4. Even though employees are responsible for their self-development, due to persistent income inequalities in the South African labour force, not all employees may be able to do so. The Skills Development Act (4 of 1998) assigns managers the responsibilities to reduce skills deficits in workplaces. It entrusts them with the powers and responsibilities to initiate skills development interventions through which employees are able to acquire new skills, gain appropriate experience and take advantage of advancement opportunities that may exist.

An intervention that the Director-General can initiate in this regard is to assign the responsibility to the Human Resource Management directorate to coordinate a Monitoring and Evaluation Skills Audit. The purpose of this skills audit must be to identify the skills that internal role players (employees and committees) require to implement monitoring and evaluation effectively. After the skills have been identified, they then must be recorded in the department's Skills Development Plan and implemented. Internal role players will in this regard be able to attend monitoring and evaluation training that is relevant to their occupations and levels of interaction, which ultimately will help them to better perform their monitoring and evaluation responsibilities. It is however necessary to ensure that their performance of monitoring and evaluation responsibilities is regularly assessed. This initiative will create awareness that the responsibility to implement monitoring and evaluation is not solely assigned to the monitoring and evaluation practitioners, but to employees and internal committees across different occupations and levels of interaction in the department.

### 5.3.2.2 Lack of accountability, support and failure to prioritise monitoring and evaluation

As explained in chapters 2 and 3, managers play a significant role in the development and implementation of monitoring and evaluation policies and guidelines. Accountability and support are the most critical components of managers' key performance areas. Their inability to take responsibility, provide support and to prioritise monitoring and evaluation renders the process of implementing it ineffective. As shown in figure 4.10, the majority of the respondents (44.2%) identified lack of support for monitoring and evaluation as the source of ineffective implementation. In

addition to lack of support, they raised lack of accountability, failure by senior managers to prioritise and implement the recommendations that are made to them as impediments to effective implementation. Because the roles and responsibilities of managers in the implementation of monitoring and evaluation are provided for in the legislation, the Director-General has to institute measures through which they can be held accountable to support monitoring and evaluation initiatives.

Amongst other initiatives that can be instituted to improve on their roles, the Director-General has to ensure that the Monitoring and Evaluation Guidelines distinguishes between the roles of senior, middle and junior managers. Measures must be undertaken to ensure that the performance contracts of senior managers and performance plans of middle managers and junior managers contain the responsibilities to monitor and evaluate and that their performance on these roles is assessed regularly. These managers further need to cascade the responsibilities to monitor and evaluate further down to employees that report to them and to assess their performances regularly. Managers must report periodically on progress that is being made in their respective areas of functioning.

## 5.3.2.3 Resource allocation for the monitoring and evaluation function

If the managers do not take the responsibility to monitor and evaluate seriously, they are unlikely to support its initiatives and to allocate sufficient resources for its implementation. The three findings that reveal that the monitoring and evaluation function is under resourced are depicted in figures 4.13, 4.14 and 4.15, in which majorities of respondents reported that the monitoring and evaluation function is not allocated sufficient budget, human resources and information technology equipment. Without having these resources fairly allocated, the process of implementation becomes ineffective, and as such internal role players will not be able to perform their monitoring and evaluation responsibilities satisfactorily. As a result, the significant part of the budget that is allocated to the directorate will result in wasteful expenditure.

It is therefore necessary that the resources and costs of implementing monitoring and evaluation are estimated in consultation with the Director of the monitoring and evaluation directorate annually before they are approved. Further improvement

measures that must be instituted include the development of a structure that is supportive of the amount of responsibilities that are assigned to the monitoring and evaluation directorate, advertisement and filling vacant positions with employees that have the required expertise. Lastly, the Director-General, in consultation with the Director of the monitoring and evaluation directorate, must acquire the information technology equipment that may be required by employees in general and in the directorate.

**5.3.2.4 Strategic location of the monitoring and evaluation function**

Although the monitoring and evaluation function or directorate features in the organisational structure of the department, more than half of the respondents (56.1%) disagreed that it was structurally well located. By implication, this finding means that the monitoring and evaluation function does not function effectively, which may be as a result of multiple reasons such as for example, the amount of authority that is allocated to it. The location of the monitoring and evaluation function is of strategic importance and must therefore be dealt with as part of the review of the department's strategy. Amongst the issues that must be deliberated upon is whether the directorates has the appropriate authority, resources (physical and human) it requires to perform its responsibilities effectively and whether it has the support that it requires from senior managers.

Unfortunately, some of the findings reveal the contrary. It is also important to bear in mind that the monitoring and evaluation function has the responsibility to coordinate and guarantee that the findings or recommendations of external role players such as the National Treasury and Auditor-General are attended to by internal role players. Experience shows that if this directorate is placed in the same level of interaction as others, it lacks the required supervisory authority to guide and make it obligatory for employees and other directorates to comply with legislative requirements. The possibility of this directorate being instituted as a support function in the office of the Director-General therefore needs to be explored.

## 5.3.2.5 Failure to track the implementation of recommendations and to store information

Failure by managers to track the implementation of recommendations that are made by mandatory oversight institutions in quarterly performance reports (see figure 4.18 and table 4.3) was identified as an impediment to effective implementation of monitoring and evaluation by an overwhelming majority of respondents (86%). Furthermore, their inability to securely store performance information, which is marked by the inability of the monitoring and evaluation system to collect information easily and systematically, lack of data integrity and evidence to support achieved targets and the absence of an effective communication strategy that informs policy development and planning were identified as challenges that are encountered in the implementation of monitoring and evaluation (see table 4.3). Corrective measures that may be instituted to resolve on these challenges correlate to those that were proposed in subsections 5.3.2.1 and 5.3.2.2.

That is, if managers are not aware of their monitoring and evaluation responsibilities and how the roles differ, they will lack clarity of the tasks that they need to perform. As a result, they may even miss the opportunity to acquire the skills that they require to implement monitoring and evaluation effectively. Because these are the functions that are outlined in the legislation, it is therefore necessary to ensure that they are made aware of these legislative requirements and that the responsibilities specified and assigned accordingly amongst them. In order to ensure that the performance information that is collected is reliable, appropriate information technology equipment needs to be used. The users of the equipment must be trained and their roles need to be clarified. An effective monitoring and evaluation communication strategy needs to be dealt with as part of the overall strategy of the department. The responsibility to resolve these challenges may be delegated to the monitoring and evaluation directorate.

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**MASTER OF PUBLIC ADMINISTRATION**

**TITLE:**
**MONITORING AND EVALUATION IN THE NATIONAL DEPARTMENT OF**
**AGRICULTURE, FORESTRY AND FISHERIES**

**_NB!_** _Please note that this questionnaire has been designed for study purposes for an MPA degree at UNISA and therefore, information provided by the respondent will solely be used for that purpose and will be treated as confidential. A report on the findings of this study may be made available electronically after the study has been completed._

**SECTION 1: BIOGRAPHICAL DATA OF RESPONDENTS**

**1.1. Gender: Select your gender (X)**

Male              Female

**1.2. Race group: Select your race group from the list below**

| African | |
|---|---|
| White | |
| Coloured | |
| Indian | |
| Other (please specify) | |

**1.3. Age group: Select your age group from the list below**

| 18 – 29 | |
|---|---|
| 30 – 35 | |
| 36 – 45 | |
| 46 – 54 | |
| 55 – 65 | |

**1.4. What is your occupation in the department? Select from the list below**

| Position | Please select (X) the appropriate occupation | Level |
|---|---|---|
| SMS member | | |
| Branch Coordinator | | |
| Specialist | | |
| Other (please specify) | | |

**1.5. How long were you appointed in the current position? Select response from below**

| Years of work experience | X |
|---|---|
| 0-5 | |
| 6-10 | |
| 11-15 | |
| 16-20 | |
| 21+ | |

**1.6. What are your educational qualifications? Select response from the list below**

| Highest level of education | *X* |
|---|---|
| Batchelor's degree or lower | |
| Honours degree or post-graduate diploma | |
| Master degree and above | |

## SECTION 2: TRAINING AND EXPERIENCE ON MONITORING AND EVALUATION

2.1 Have you attended any M&E training sessions/ workshops in the past 7 years? (**Select relevant response***(X)*

| Yes | |
|---|---|
| No | |

**2.2 If yes, specify type of training or workshop that you have attended?**
……………………………………………………………………………………………………
……………………………………………………………………………………………………
……………………………………………………………………………………………………
………………………………………...

**2.3 What type of training do you think you and/ or your staff need to perform M&E effectively?**
……………………………………………………………………………………………………
……………………………………………………………………………………………………
…………………………

2.4 Below are the skills that are required for performing the work of an M&E practitioner in government? Which skills do you have? (**You can select multiple responses and add if needed)**

| Types of skills | X |
|---|---|
| Developing relevant indicators to measure all aspects of an intervention (inputs, activities, outputs, outcomes and impact) | |
| Using indicators as measuring instruments | |
| Qualitative research | |
| Quantitative research | |
| Statistics | |
| Situational analysis | |
| Baseline information | |
| Drawing samples | |
| Conducting interviews | |
| Developing questionnaires | |
| Establishing data bases | |
| Using existing data bases | |
| Data analysis | |
| Report-writing | |
| Constructing tables | |
| Presenting M&E findings | |
| Other specify | |

## SECTION 3: EFFECTIVENESS OF MONITORING AND EVALUATION

Please indicate your level of agreement with the following statements:

3.1 **Select your choice per each question**

| Questions \ Scale | Strongly Agree | Agree | Neither Agree Nor Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| The M&E reporting process in the DAFF is clearly outlined | | | | | |
| I have all relevant expertise that I need to apply/implement M&E in the DAFF | | | | | |
| The M&E function enjoys the support of senior managers in the DAFF | | | | | |
| The M&E function is seen as duplicating other similar functions in the department (e.g. audit function) | | | | | |
| The M&E function within DAFF is well located (structurally) | | | | | |
| The M&E directorate is adequately resourced in terms of Budget | | | | | |
| The M&E directorate is adequately resourced in terms of Human Resources | | | | | |
| The M&E directorate is adequately resourced in terms of IT | | | | | |
| The department acknowledges the M&E function and sees it as a critical management tool | | | | | |
| Lack of adequate M&E in the DAFF contributes to poor service delivery | | | | | |

3.2. Does the department track implementation of recommendations made in the quarterly performance reports Yes [ ] / No [ ]

3.3 If yes, specify what system is used to track implementation of those recommendations

…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
…………………………………………………………………………………………………………
………………………………………

**SECTION 4: Value that is added by oversight institutions to DAFF's performance**

This section is intended to assess your views on the **mandatory reports that DAFF is obliged to submit to oversight institutions**. Indicate **your level of agreemen**t with the following statements:

4.1 **Select your choice per each question**:

| Scale / Questions | Strongly Agree | Agree | Neither Agree Nor Disagree | Disagree | Strongly Disagree |
|---|---|---|---|---|---|
| The monthly financial reports required from National Treasury helps the department to better manage spending on planned objectives | | | | | |
| The quarterly performance reports required from National Treasury do not add value to the department's work | | | | | |
| The work of the Auditor-General in auditing DAFF's performance is important, as it promotes Accountability and Transparency | | | | | |
| The format of the annual report is useful in that it compels the department to develop internal systems to produce performance information around the key areas and helps to self-manage | | | | | |
| The submission of reports to external oversight bodies (DPME, National Treasury and portfolio committee) helps to strengthen the internal management processes in the department and improve its own M&E capacity and capability | | | | | |
| There are too many reporting obligations that are imposed on the department, and this detracts the department from achieving its strategic objectives | | | | | |

**SECTION 5: CHALLENGES**

5.1 What do you think are the key challenges that are encountered in DAFF? (Multiple responses – you can select (X) as many statements as possible and add if need be)

| Challenges | X |
|---|---|
| Lack of accountability by managers | |
| M&E not viewed as a priority by senior managers | |
| M&E system that helps to collect information easily and systematically is not in place | |
| Lack of reliable reported information | |
| Lack of evidence to support achieved targets | |
| Lack of an effective communication strategy for M&E results to inform policy development and planning | |
| M&E recommendations made to senior managers are not implemented | |
| Other (specify) | |

## SECTION 6: GENERAL

6.1 What can be done to improve the effectiveness of M&E in DAFF? (Multiple responses – you can select (X) as many statements as possible and add if there is a need)

| | |
|---|---|
| More regular reporting mechanisms | |
| Employ more staff who are trained and responsible for M&E information | |
| Conduct more training sessions | |
| Asses senior managers on how they utilise M&E reports to inform policies and plans | |
| Other specify | |

6.2 Other

Are there any other comments you think will help to improve the implementation of M&E by the department.

……………………………………………………………………………………………………
……………………………………………………………………………………………………
……………………………………………………………………………………………………
………………………………………

Kindly email back completed questionnaire to KediboneP@daff.gov.za or fax to (012) 319 6942. I would appreciate the responses by **12 December 2014**.

You may also call me should you require any clarity on the questions, at 012-319 7396 or 072 255 0447.

THANK YOU FOR YOUR VALUABLE TIME AND INSIGHTS.
Kedibone Phetla (Researcher)

# ANNEXURE B:

## Permission from the Department of Agriculture, Forestry and Fisheries to conduct the study



Department:
Agriculture, Forestry and Fisheries
**REPUBLIC OF SOUTH AFRICA**

Private Bag x250, Pretoria, 0001
Agriculture Place, 20 Steve Biko Street, Arcadia, Pretoria 0002

**30 September 2014**

Kedibone Phetla

Deputy Director: Strategic Planning

Directorate: Strategic Planning

Dear Ms Phetla

**PERMISSION TO CONDUCT RESEARCH**

As per your letter dated 12 September 2014, please be advised that I support the research you wish to conduct on Monitoring and Evaluation in the Department of Agriculture, Forestry and Fisheries in the completion of your degree. I wish to add that the M&E division in the department will naturally be interested in interacting with you about the findings of your study and hope that the information is strictly for academic purpose and will not be distributed or published without getting consent of the department.

I wish you well with your studies. Thank you

Mr R D Phuti
Director: Organisation Performance