

**INSTITUTIONALISATION OF THE GOVERNMENT-WIDE MONITORING AND  
EVALUATION SYSTEM BY THE DEPARTMENT OF PLANNING, MONITORING  
AND EVALUATION IN THE PRESIDENCY**

by

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## DECLARATION

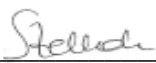
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### **INSTITUTIONALISATION OF THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM BY THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION IN THE PRESIDENCY**

I declare that this dissertation is my own work, and that all the sources used and from which were quoted have been reflected accordingly and acknowledged in the reference list.

Furthermore, I declare that the dissertation was subjected to originality-checking software and has been confirmed to comply with the accepted requirements for originality.

Finally, I declare that neither part of this work has been submitted previously for examination purposes at Unisa for another qualification or any other institution of higher education.

  
\_\_\_\_\_

SIGNATURE

30 January 2023

DATE

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I appreciate my entire family (Mahlangu, Mthombeni, Masombuka) for always celebrating my success and achievements as theirs. May you ALL continue to receive the favour of the Almighty, be protected and be blessed!

## DEDICATION

I am grateful to God for an opportunity, love and memories shared with my beloved husband, Josia Oupa Masombuka who passed on the 2<sup>nd</sup> of March 2023. Although your departure was so soon, from the inner chambers of my heart, I am truly humbled to have you in my life and the journey we have travelled together. This is dedicated to you *sthandwasam* and may your soul continue to rest in eternal peace.

## ABSTRACT

Performance monitoring and evaluation, as a development agenda, has been one of the core drivers and policy imperatives in South Africa, with an increasing acceptance of the need to improve governance, accountability, and continuous transformation in the public service. This affirmation has been realised through the policy pronouncement of the Government-wide Monitoring and Evaluation System in 2005, which was approved and adopted by the South African government for systematic collection and use of performance information to evaluate government performance through programmes.

The formation of the Department of Performance Monitoring and Evaluation, now called the Department of Planning, Monitoring and Evaluation in the Presidency, aimed to coordinate a systemic programme of policy performance monitoring and evaluation across government through the Government-wide Monitoring and Evaluation policy framework. Key enablers to this mandate have been the development trajectory set by the National Development Plan and the subsequent outcome-based approach, which provided for the alignment of the delivery agreements of ministers with the departmental strategic plans to improve coordination within and amongst departments. This has placed the department at the centre of government to institutionalise the Government-wide Monitoring and Evaluation System through its policy framework, to improve the quality of service delivery, measure results and foster accountability and evidence-based decision-making.

Using a systemic document analysis, this study aims to examine the role of the Department of Planning Monitoring and Evaluation in relation to the institutionalisation of the Government-wide Monitoring and Evaluation System. Further, it aims to examine the practice and sustainability of the system together with the related challenges. Findings confirm strides that have been made and the conducive environment with enhanced capacities, skills development and legislation that has been created for the system. This is with an acknowledgement of the complexities and the elaborate nature of the institutional arrangements and intergovernmental relations across government for monitoring and evaluation, which continue to constrain the delivery environment. As the coalface of services, the local government continues to lag and requires attention. Thus, the recommendations of this study are based on policy, process, and institutional improvement to sustain the Government-wide Monitoring and Evaluation System to safeguard the investments made and meet the demand that has been created.

**KEY TERMS** : institutionalisation; Government-wide Monitoring and Evaluation System; monitoring; evaluation; system; governance; accountability.

## NGOBUFITJHAZANA

Ukuhlola nokutjhejiswa kwezinga lokusebenza njengehloso yetuthuko kade kungenye yeenkhwezeleli ezisisekelo begodu neziziinsika zomthethomgomo eSewula Afrika. Lokhu kubonakala nakuqalwa izinga elikhulako lokuhlonitjha kwesidingo sokuthuthukiswa kwendlela yokubusa, ukuziphendulela kanye nehlelo lezamatjhuguluko eliragela phambili lokuphakelwa kwezenzelwa zomphakathi. Lesi siqinisekiso kade safikelelwa ngokusungulwa kwehlelo elinabileko likaRhulumende lokukuHlola nokuTjhejiswa (*Government-wide Monitoring and Evaluation System*) ngonyaka ka 2005. Lelihlelo laphumelelwa belamukelwa ngurhulumende weSewula Afrika ngehloso yokubuthelelwa kanye nokusetjenziswa kwelwazi ukuhlola kanye nokukutjhejiswa ikambiso kanye nomthintela wemizamo yokungenelela karhulumende.

Ukusungulwa koMnyango wezokuHlola nokuTjhejiswa kwezinga lokuSebenza, gadesi osele ubizwa ngoMnyango wezokuHlela, UkuHlola kanye nokuTjhejiswa e-ofisini likaMongameli, wawunqophe ukusebenzisa ihlelo lezokutjhejiswa kwezinga lokusebenza kanye nokuhlola kurhulumende woke ngokusebenzisa iSakhiwo soMthethomgomo sehlelo likaRhulumende elinabileko lezokuHlola kanye nokuTjhejiswa (*Policy Framework for the Government-wide Monitoring and Evaluation*). Abakghonakalisi abaqakathekileko balomnqopho bebafake umhlahlandlela wezetuthuko ondlalwe lihlelo leNarha lezeTuthuko (*National Development Plan*) kanye nendlela yokuhlaziya edzimelele kumiphumelela evumela ukukhambisana kweemvumelwano zokusebenza zabongqongqotjhe kanye namahlelo wamano wezokuphatha aphezulu, ngehloso yokwenzangcono ukusebenzisana ngaphakathi begodu hlangana neminyango karhulumende. Lokhu sekubeke uMnyango wezokuHlela, ukuHlola kanye nokuTjhejiswa phambili kwemizamo karhulumende yokufaka ngaphakathi kwawo woke amaziko ihlelo likaRhulumende enabileko lezokuHlola nokuTjhejiswa ngokusebenzisa isakhiwo sayo somthethomgomo, ukuthuthukisa izinga lokuphakelwa kwezenzelwa, ukulinganisa imiphumela, nokuqinisa ukuziphendulela kanye nokuthathwa kweenqunto ezidzimelele phezu kobufakazi.

Umnqopho werhubhululo bekukuhlola indima yoMnyango wezokuHlela, ukuHlola kanye nokuTjhejiswa malungana nokufakwa ngaphasi kwehlelo likaRhulumende enabileko lezokuHlola kanye nokuTjhejiswa ngokusebenzisa ihlelo lokutsengwa komtlo. Umnqopho werhubhululo kanti godu bekukuhlola ukusetshenziswa kanye nokusimelelwa kwehlelo, nokuthola neentjhihilo ezihlobene nokukhanjiswa kwehlelo leli. Ilwazi elitholakeleko liqinisekisa ukuthi imizamo kade yenziwa ukufaka ihlelo ngaphasi komthetho kanti nokuthi isekelo elifaneleko selakhiwe ngokuqinisa amandla, amakghonofundwa wezetuthuko kanye nokwakhiwa komthetho wepalamende ngehloso yokusekela ihlelo leli. Letuthuko yenziwe naphezu kobujamo kanye nobunjalo obubudisi bamahlelo weziko kanye nokusebenzisana

kwangaphakathi kweenhlaka zikarhulumende woke ngehloso yokutjhejisisa kanye nokuhlola, eragela phambili ukuqabela ukwenziwa kwemisebenzi. Njengomgogodlha wezenzelwa, umkhakha karhulumende wezemakhaya uragela phambili nokusalela begodu ufuna ukutjhejwa. Yeke-ke, iinqunto zaleli rhubhululo zisuselwa phezu komthethomgomo, ikambiso nokwenza ncono indela yamaziko yokuphatha ngehloso yokusimelelisa ihlelo enabileko likaRhulumende lokuHlola nokuTjhejisisa begodu, ngalokho, zivikela amano namahlelo asele enziwe begodu nakhambisana nokufezwa kweendingo lezo esele ziphumelelisiwe.

**AMAGAMA AQAKATHEKILEKO:** ukufakwa emthethweni; ihlelo enabileko kaRhulumende lokuHlola nokuTjhejisisa; ukuhlola; ukutjhejisisa; ihlelo; indlela yokubusa; ukuziphendulela.

## SICAPHUNO

Kucaphela nekuhlola kusebenta kahle, njengeluhlelo lwentfufuko, kube ngulenywe yetintfo letibalulekile kanye nemigomo lesemcoka eNingizimu Afrika, uma kubukwa kwesidzingo lesikhulako sekutfufukisa kwengamela, kutiphendvulela kanye nengucuko lechubekako emisebentini yahlumende. Lesicinisekiso sifezeke ngekusungulwa kweLuhlelo Lwahulumende Wonkhe Lekucaphela Nekuhlola nga-2005. Loluhlelo lwavunywa futsi lwawmukelwa ngahlumende waseNingizimu Afrika kute kugcogcwe ngendlela lehlelekile futsi kusetjentiswe umningwane wekusebenta kute kucaphelwe futsi kuhlolwe umtselela wekungenelela kwahlumende.

Kwakhiwa kweLitiko Letekucaphela Nekuhlola Kusebenta, nyalo leselatiwa ngekutsi Litiko Letekuhlela, Kucaphela kanye Nekuhlola eHhovisini laMengameli, bekhloswe kucalisa luhlelo loluhlelekile lekucaphela kusebenta nekuhlola kuhulumende wonkhe ngekusebentisa Luhlelo Lwanchubomgomo Yekucaphela kanye Nekuhlola Kuhulumende Wonkhe. Tinyatselo letibalulekile taleligunya tibandzakanya umgudvu wentfufuko lobekwe Luhlelo Lwekutfufukiswa Lwavelonkhe kanye nendlela leyalandzela lesekelwe emiphumelweni, leniketela kucondziswa kwetivumelwano tekuphakelwa kwetinsita kwetindvuna kanye netinhlelo temasu elitiko kute kwentiwencono kusebentisana ngekhatshi nangaphakatsi kwematiko. Loku kubeke Litiko Letekuhlela, Kucaphela kanye Nekuhlola phakatsi kwemitamo yahlumende yekufaka Luhlelo Lekucaphela Nekuhlola Lolubanti Lwahulumende ngeluhlaka lwalo lwanchubomgomo, kwentancono lizinga lekuphakelwa kwetinsita, kulinganisa imiphumela kanye nekugcugcutela kutiphendvulela kanye nekutsatsa tincumo lokusekelwe ngebufakazi.

Inhloso yalolucwaningo bekukuhlola indzima yeLitiko Letekuhlela, Kucaphela Nekuhlola macondzana nekufakwa kweLuhlelo Lwahulumende wonkhe Lekucaphela Nekuhlola ngendlela yekuhlaliya imibhalo lokuhlelekile. Inhloso yalolucwaningo futsi bekukuhlola umkhuba kanye nekusimama kweluhlelo, kanye netinsayeya letihlobene. Lokutfoliwe kucinisekisa kutsi sekweniwe umtamo ekufakweni kweluhlelo futsi kwakhiwe simondzawo lesifanelekile ngekutfufukiswa kwemtsamo, kutfufukiswa kwemakhono kanye nekwakhiwa kwemtsetfo wekusekela luhlelo. Lenchubekelaphambili yentiwe ngetulu kwebumetima kanye nesimo lesilandzisisako semalungiselelo etikhungo kanye nebudlelwano phakatsi kwabohulumende kuhulumende wonkhe kute kucaphelwe futsi kuhlolwe, lokuchubeka nekubeka engcupheni simo sekuphakelwa kwetinsita. Njengendzawo lapho kuphakelwa khona tinsita, umkhakha wabohulumende basekhaya uyachubeka nekuntengantenga futsi udzinga kunakwa. Ngako-ke, tincomo talolucwaningo tisekelwe ngenchubomgomo, inchubo kanye nekwentancono tikhungo, ngenhloso yekusimamisa Luhlelo Lahulumende Wonkhe



Lekucaphela Nekuhlola futsi, ngaloko, kuvikelwe kuiswa kwetimali lesekweniwe kanye nekuhlangabetana nesidzingo lesesidaliwe.

**EMATHEMU LAMCOKA:** kusungulwa kwetikhungo; Luhlelo Lwahulumende Wonkhe Lekucaphela Nekuhlola; kucaphela; kuhlola; luhlelo; kwengamela; kutiphendvulela.

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### 1.1 INTRODUCTION

The call to “strengthen monitoring and evaluation capacity across all spheres of government” was proposed by the former state President, Mr. Thabo Mbeki, in the 2007 State of the Nation Address (Department of International Relations and Corporation, 2007). This led to enhancing and strengthening accountability systems in the presidency through policy coordination and advisory services (PCAS). Although the desire for monitoring and evaluation was pronounced in earlier years, it dominated and became more realised in the South African development agenda in 2014. This brought about policy certainty and impetus in the monitoring and evaluation landscape (PSC 2014:10). The momentum led to the development of the policy framework for the Government-wide Monitoring and Evaluation System (GWMES), also referred to as a system in 2005, approved and adopted by government and subsequently gave legitimacy to the Policy Framework of 2007 for implementation. This system was meant to be infused and integrated with already existing systems and processes in government to function optimally while improving coordination and accountability (Presidency 2007:4).

The rationale for the study is to understand developments within monitoring and evaluation as a system and a management function aimed at improving governance and accountability in government, with a focus on the evolution of the policy framework for GWMES. The study is intended to identify gaps and areas of improvement in the structure, governance and operation of the GWMES using evidence-based information.

This study investigates the extent to which the monitoring and evaluation systems have been institutionalised within the public service, milestones and challenges encountered as the system evolved with a focus on DPME up to 2019. The study further highlights the functions and role of the DPME in relation to the institutionalisation of monitoring and evaluation systems. In addition, it explores the practice of monitoring and evaluation to further examine how it has been sustained. The implementation successes and impediments in institutionalising the monitoring and evaluation systems are further explored.

Thus, this chapter provides a background on the conception, development and trends in performance monitoring and evaluation, particularly within the public service. It provides the problem statement, research questions and objectives, conceptual analysis, the proposed research design and methodology, ethical considerations and limitations. The following section focuses on the background to the study.

## **1.2 BACKGROUND TO THE STUDY**

Post 1994 developments in South Africa focused on the restructuring of the public service through coordination and integration of government systems. This was aimed at increasing effectiveness for greater outcomes and impact (Presidency 2007:5). Section 195 of the Republic of South Africa (RSA) Constitution of 1996, hereafter referred to as the RSA Constitution, outlines several basic principles and values to guide public administration, including professional ethics, impartial and equitable provision of services, effective and efficient use of state resources, an active citizenry and, finally, an accountable and developmental public service. According to the Public Service Commission (PSC) (2008:21), good governance is regarded as compliance with these basic principles and values governing public administration. Capacity building needs to cut across the political, administrative and civil society interface to establish a proper balance, credibility, trust and legitimacy within the state (Fakir, 2007:9). Therefore, as the key player in creating a capable and responsive state, the public service needs to adequately invest in building the capacity and development of human resources, policy reforms and the ability to implement them.

The initial transformation initiative in the White Paper on Transformation of the Public Service (WPTPS) identified processes that included *policy formulation and performance measures; strategic planning and implementation; and monitoring, evaluation and performance measurement* as part of development strategies (DPSA 1995:16). Monitoring and evaluation has always been one of the key strategies “*to measure progress and introduce corrective actions, where appropriate*” (DPSA 1997:4) to ensure accountability. The reflections and gains that came with the maturing democracy emerged with an empowered and demand-driven active citizenry. These demands are based not only on the delivery of basic services as mandated by the RSA Constitution, but also on leadership and accountability for the quality and standards of services as per the electoral mandate.

Performance monitoring and evaluation agendas have been one of the core drivers of public service transformation in progressively realising the socio-economic rights accorded to citizens by the RSA Constitution of 1996. There has been an increasing acceptance of the need for monitoring and evaluation within the South African public service. This has become the basis for engagements with international bodies such as Independent Evaluation Group (IEG), Organisation for Economic Co-operation and Development (OECD), Centre for Learning on Evaluation and Results (CLEAR), United Kingdom's Department for International Development (DFID), African Development Bank and the World Bank. Tshatsinde (2015:2) argues that these bodies have spearheaded the development and practice of monitoring and evaluation. Moreover, Mackay (2007:15) states that most OECD governments place considerable emphasis on the use of monitoring and evaluation information to support evidence-based policy-making, management and accountability. Commitments made on the Millennium Development Goals (MDG) and responses to the Country Assessment Report of the African Union Peer Review Mechanism to advance development issues in South Africa affirm the alignment with international requirements for sound governance (Naidoo 2010:304). This is manifested in the efforts to address challenges of poverty, inequality and unemployment, which provide a result-oriented development by default.

The adoption of the GWMES by the Cabinet in 2005 resulted from coordinating a systemic programme of policy monitoring and evaluation across the three spheres of government and a tool for international reporting. This led to the establishment of the then Department of Performance (later Planning) Monitoring and Evaluation (DPME) in the presidency in 2010 to drive the implementation and coordination of the monitoring and evaluation functions by facilitating the outcomes and institutional performance monitoring across the three spheres of government as conceptualised in the strategic plan document (DPME 2012:5). The NPC was set up to bring these issues together through a diagnostic report, map a plan for the future and suggest possible solutions towards a developmental trajectory. The initiative gave rise to the 2012 National Development Plan (NDP) with a 2030 vision for the country (NPC 2011:05), which became the foundation for government planning and performance monitoring through an outcome-based approach. The outcome-based approach provides for the alignment of the delivery agreements of ministers with the



departmental strategic and annual performance plans and improves coordination within and among departments. This form of accountability allows for results-based approach for each outcome, a stronger culture of improvement and a basis for performance assessment with the president for each minister (DPME 2012:13). An added advantage is that people who put planning in place should also be able to check progress in performance, thus strengthening accountability. This then placed DPME at the forefront to gear up government for service delivery by placing planning, monitoring and evaluation under one ministry.

The GWMES is a tool that focuses on measuring results produced by government through its output, outcomes and impacts to foster accountability and decision making. In addition, it involves systematic collection and use of performance information to evaluate programme and government performance (Cloete 2009:298). The system is aimed at delivering useful information and analysis, improving monitoring and evaluation practices, and contributing to better public management in South Africa (PSC 2008:4). Monitoring and evaluation of information can be valuable if extensively utilised and remains at the centre of sound governance. Govender (2013:820-821) argues that the full value of monitoring and evaluation cannot be realised without effective accountability mechanisms in place, while Cloete (2009:294) views the GWMES as presenting an opportunity for *“a uniform system of monitoring and evaluation across all spheres of government”*.

Wotela (2017:4) provides established facts on monitoring and evaluation at the project and programme levels in terms of insights and recommendations for improvement. This includes the importance of data quality and credibility, a deliberate team effort equipped with relevant technical skills and specialisation. The author further points to the resource intensiveness and sensitive nature of the monitoring and evaluation activities, including its value chain within the cultural and political setting. All these facts provide context within which this multidiscipline needs to be approached coupled with its complexity. According to the National Treasury Framework for Managing Programme Performance Information (National Treasury 2007:11), monitoring through the tracking of interventions and evaluating through assessing the effectiveness of interventions becomes critical in identifying early warning signs to review and adjust programme implementation and budget allocations. This framework also provides accountability measures to guide compliance and, most importantly,

inform the performance narrative to inform decision making. This rationale is further substantiated by Chapter 5 of the National Treasury Regulations on strategic budgeting, wherein allocations are based on reasons as opposed to process (Barclay, van Schalkwyk & Pauw 2011:45). This rationale by default should be informed by monitoring and evaluation information/results. In the absence of that, Barclay *et al.* (2011:59) argue that it will be practically impossible to create synergy between the budget process (amounts) and strategic planning because of the subjective and parochial nature of political influence.

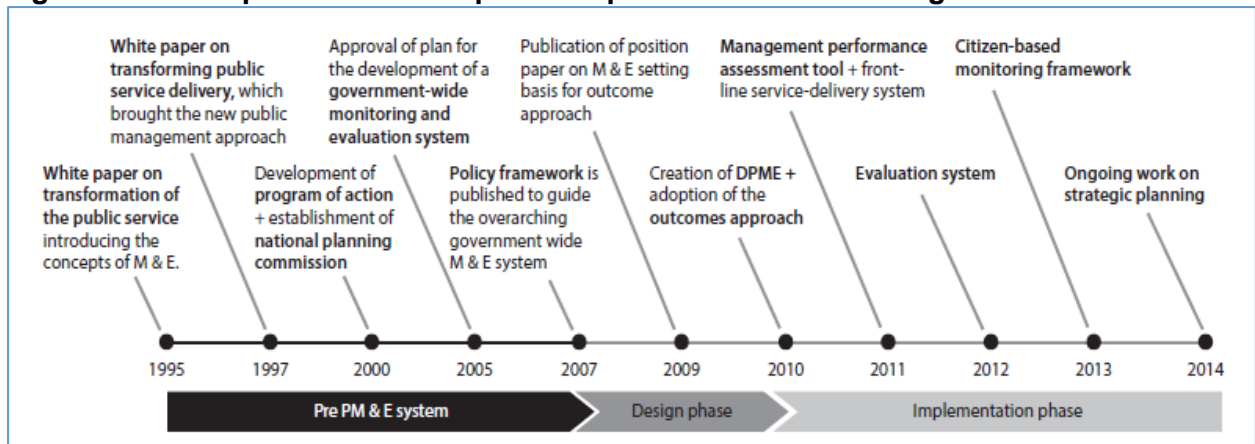
The need for capacity development also features prominently in the diagnostic overview of the NPC, which points to *uneven performance and capacity in local, provincial and national government* as key contributors to *instability of administrative leadership; skills deficits; lack of authority and accountability; and tensions in the political/administrative interface* (NPC 2011:22). The NPC emphasises the need to address developmental challenges for a capable state that (i) *has the capacity to formulate and implement policies that serve the national interest; (ii) is developmental in that those policies must focus on overcoming the root causes of poverty, inequality and unemployment; and (iii) builds the state's capacity to fulfil this role* (NPC 2011:54).

The system was meant to also assist in verifying reported performance information by government sectors through informed analysis and reporting. The ultimate location of monitoring and evaluation as a management and strategic governance tool to guide the alignment of programmes towards certain outcomes is evident in accountability reforms in terms of monitoring and evaluation policies. According to the Policy Framework for the GWMES (Presidency 2007:11-16), key components of monitoring and evaluation at an institutional level include linking with other management systems; building capacity, roles and responsibilities; and practising monitoring and evaluation. Cloete (2009:308) further affirms that establishing the GWMES was a milestone for the South African government by creating a systematic coordinating framework. He further states that the institutionalisation of monitoring and evaluation is in line with the international good governance processes for improved quality of services. However, there are implementation challenges still faced.

As the demand for monitoring and evaluation increased in government with more reliance on external expertise, a need for a common language emerged to manage the diverse ideologies and conceptual approaches for standardisation. This was

critical for improving service delivery and prompted the conceptualisation of monitoring and evaluation in government by the PSC in 2008. The process was further meant to fill the gap, provide a common point of reference for practitioners, and understand the value of monitoring and evaluation as a management tool and system to improve performance in the Public Service (PSC 2008:8). The 2012 government midterm review report stated that *“in diagnosing the causes of the problem in 2009, the key challenge was management weaknesses in the public service; weak performance management and accountability mechanisms for civil servants, as well as overly centralised and inappropriate decision-making processes in many departments”* (DPME 2012:45). The GWMES gained thrust with the adoption of the outcome-based approach and dominated the electoral mandate of the 5<sup>th</sup> Administration of the South African Government through its five-year Medium-Term Strategic Framework (MTSF) 2014-2019 plan. The diagram below depicts the conception and development of the performance monitoring and evaluation agenda in South Africa (Plangemann 2010:79).

**Figure 1.1 Conception and development of performance monitoring and evaluation**



Adapted in Alam, A., Mokate, R. and Plangemann, K.A. 2010. (eds), *Making it happen: Selected case studies of institutional reforms in South Africa*.

The great markers of this development can be noted in the period between 2007 and 2012 as a dedicated response to the policy framework of the GWMES. The key milestone in this design phase was the establishment of the DPME in 2010, which was entrusted with the responsibility of elevating monitoring and evaluation in government as one of the key management functions. This became the cornerstone for improvement in policy planning, monitoring and evaluation, and service delivery. There are a number of studies conducted with a variety of perspectives on monitoring

and evaluation as a management function, which is seen to be a catalytic improvement in the administration of public services while promoting good governance and leadership. These range from implementation modalities and capacity issues to emerging trends and dynamics. A study by Tshilowa (2018:7) on the implementation of the South African National Evaluation system reveals some varying levels of “*cooperation and uptake*” of the system from and within departments, which is “*one of the critical elements towards the institutionalisation of the evaluation practice in government*”. While the National Evaluation forms part of the key components of the GWMES, the focus has been on building institutional capacity for monitoring with a gradual introduction of evaluation at a later stage. Phetla (2017:47) and Jacob (2019:121) also support the use of monitoring and evaluation as a management tool that improves service delivery and enforces accountability and transparency; however, capacity and resourcing continue to be impediments to effective implementation, which is said to be exacerbated by the nonstrategic location of the monitoring and evaluation units, as also affirmed by various government reviews.

The complexity of the operational terrain for implementation of the system is underscored by Cloete (2009), Engela and Ajam (2010), Wotela (2017), Goldman (2017), Porter and Goldman (2013), Cronin and Sadan (2015), Ijeoma (2018), and Uwizeyimana (2020), who suggest a need to bring all role players on board and acknowledge emerging trends and dynamics within the environment to drive the envisaged systemic reforms for building institutional and individual capacity. The system is further complicated by the power decentralised across government, which could lead to fragmentation in the absence of a proper coordination mechanism, as affirmed by Engela and Ajam (2010:1). The RSA Constitution of 1996 also provides for public administration across the three spheres of government, but for public service, provision is only made at national and provincial levels, *leaving the local government with limited capacity to integrate into a single public service system* (Plaatjies 2013:471).

According to Ijeoma (2018:49), the multidisciplinary and skills-intensive nature of the “*interactions between planning, budgeting and implementation*” presents further complications in terms of requisite skills and knowledge for managers. Continuous monitoring and evaluation information by default triggers an opportunity to learn and improve in the process. A study by Tshatsinde (2015:170), Phetla (2017:64) and

Stofile (2017:32) emphasised the need for continuous capacity building given the complex nature of the discipline and the environment within which it was implemented to sustain the system. Cloete (2009:308) also supports that establishing the GWMES was a milestone for the South African government for a systematic coordinating framework in line with international good governance processes. However, some of his findings suggest that the GWMES “*operates incomprehensibly and at the edge of chaos, without formal hierarchical structure, but have a complex evolving, self-regulatory control mechanism*”. Phago (2013:111) further adds the importance of harnessing intergovernmental relations within different levels of government in order “*to streamline systems with relevant skills and capabilities for a collaborative and integrated approach to service delivery*”. According to Jones (2011:10), any advanced system should contribute to multiple and optimal uses of information produced for reporting and decision-making. It should easily integrate and feed into the knowledge produced during the planning stage.

Lopez-Acevedo, Krause and Mackay (2012:5-9) acknowledge different magnitudes wherein monitoring and evaluation systems can be institutionalised if driven from a central point of coordination with seamless accountable and reporting systems. The establishment of the DPME as a centre of government responds directly to the need for central coordination. One would assume that a solid foundation has been adequately laid for the mainstreaming of monitoring and evaluation practices through the implementation framework of the GWMES. Govender (2013:820-821) also agrees that the full value of monitoring and evaluation cannot be realised without effective accountability mechanisms in place. These are the same principles on which the monitoring and evaluation system is premised, given its developmental nature in South Africa. For other developing countries, Engela and Ajam (2010:31), in their initial assessment of the GWMES, noted that as the system gradually develops, it also becomes a significant knowledge experience and good practice for learning.

The study draws on part three of the policy framework for GWMES, which focuses on monitoring and evaluation at an institutional level (Presidency 2007:11) with DPME as the focus area and the centre of government identified for championing and central coordination of the system. The study will draw on the following variables as key thematic areas in pursuing the research objectives:

- Linking monitoring and evaluation systems with other management systems

- Monitoring and evaluation practices
- Institutional roles and responsibilities
- Building capacity
- Success and challenges in the institutionalisation of the GWMES

The study seeks investigate the extent to which the monitoring and evaluation systems have been institutionalised within the public service, milestones and challenges encountered as the system evolved with a focus on DPME up to 2019. While acknowledging other studies done on this topic, the focus is on the role of DPME in relation to the extent to which monitoring and evaluation have been standardised across government through systems and processes that have been introduced by DPME as the centre of government. The next section details the problem statement.

### **1.3 PROBLEM STATEMENT**

The evolution of monitoring and evaluation systems as a tool for governance and accountability in South Africa shows linear development; however, actual progress is not the case. While knowledge and experience on meaningful monitoring and evaluation have been developed over time according to literature, Goldman and Pabari (2021:129) submit that the ability to influence evidence-based decisions in terms of policies, programmes and resources remains unclear. Capacities, conditions and the environment still need further strengthening and streamlining to improve governance and enhance accountability using monitoring and evaluation results. Amisi, Buthelezi and Magangoe (2021:96) affirm that developments have also been affected by changes and constraints in the political environment, thus impacting the policy direction, specifically for monitoring and evaluation.

Regardless of well-articulated service delivery policy commitments, service delivery challenges remain prevalent (Naidoo 2012:30; Naidoo & Thani 2011:3). This is exacerbated by skills deficits, poor leadership and, most importantly, increasing corruption, which defeats the purpose of development. Naidoo (2012:31) further states various legislated accountability measures are put in place but lack firmer consequent management at the institutional level due to poor leadership and governance systems. Twenty-eight years into democracy, a consistent challenge facing the broader public service in South Africa remains poor levels of governance and accountability, declining trust and confidence in government by the public, as confirmed by the

government's 25-year performance review report (DPME 2019:195). The 25-year review report also affirms that *“the challenge is not in implementation, but rather the lack of proper and detailed planning”*. While there is an acknowledgement of progress in the provision of public services and general public administration, the 25-year review report further indicates that *“the poor management of the political-administrative interface remains a challenge as demonstrated by dysfunctionality at some municipalities and provinces and it is viewed as one of the root causes of state capture in State Owned Entities”* (DPME 2019a:195-198). This is supported by the 2019 Auditor General's report on national and provincial departments, which indicated that *“a common and worrying trend over the MTSF period was that departments continued to use most of their allocated budget to deliver on programmes, yet they were unable to fully achieve their planned targets”*. The report further indicates little improvement in the management and delivery of key government programmes in the following sectors: water, housing, school, health services and public works (Auditor General 2019:12).

Similar to the municipalities, the Auditor General report of 2021 on the Performance of Municipalities also shows how accountability failures and noncompliance with key governance legislation and inadequate service delivery have been persistent over the years in the sector without proper consequence or corrective measures. The audit results further revealed that *“the balance of irregular expenditure had accumulated over many years and had not been dealt with totalling to R119,07 billion, unauthorised expenditure stood at R86,46 billion, while fruitless and wasteful expenditure amounted to R11,04 billion”* (Auditor General 2021:48). An important factor to consider is the impact on the human factor as the object of change. The ripple effects of poor quality or nondelivery of services due to poor coordination and silo approaches to interventions aggravate the inequality of outcomes and opportunities. As the key player in creating a capable and responsive state, the public service denotes continuous and adequate investment in capacity building and human resource development, policy reforms and the ability to implement. These preconditions provide a path towards a developmental and capable state wherein human capacities and capabilities are enhanced to their full potential. This study aims to investigate the extent to which the monitoring and evaluation systems have been institutionalised

within the public service, milestones and challenges encountered as the system evolved with a focus on DPME up to 2019.

The contribution of this study was first to assist the DPME in reviewing progress in the mainstreaming of monitoring and evaluation systems across government as intended by the policy framework for the GWMES. Second, the study responds to Cloete's (2009:308) recommendations for structural and operational improvements for monitoring and evaluation systems as they evolve. Finally, it contributes to the existing body of knowledge and literature in performance monitoring, evaluation and planning.

#### **1.4 RESEARCH QUESTIONS**

Drawing from the background to the study and the problem statement, the main research questions are as follows:

- What do concepts related to the GWMES entail?
- What is GWMES and the role of DPME?
- What is the practice of monitoring and evaluation in the public service, and how has it been sustained?
- What are the implementation successes and impediments in institutionalising the GWMES?

The following section discusses the research objectives as they relate to the study.

#### **1.5 RESEARCH OBJECTIVES**

Guided by the problem and the research questions outlined above, this study drew from literature to provide an overview of the institutionalisation of the GWMES by the DPME guided by the following research objectives:

- To conceptualise concepts related to the GWMES.
- To explain and contextualise the GWMES and the role of DPME in the mainstreaming of government monitoring and evaluation systems.
- To understand the current practice and sustainability of monitoring and evaluation against the imperatives of the GWMES.
- To highlight the successes and challenges in institutionalising the monitoring and evaluation system by DPME.



The findings of this study are envisioned to contribute to the existing knowledge and scholarship in the field of planning, monitoring and evaluation. The findings also highlighted the importance of monitoring and evaluation as a key component of management function within public administration. Conceptual analysis is discussed in the following section.

## **1.6 CONCEPTUAL ANALYSIS**

The conceptualisation of this study is grounded on theories, policy frameworks and legislative frameworks within the monitoring and evaluation field. The concept clarification is meant to provide more precision to the problem statement in line with the first question and the first objective of this study. Mouton (2001:175-176) further states the importance of clarifying conceptual linkages with the research questions in determining different dimensions of meaning and, most importantly, addressing possible limitations and main sources of error that might arise in the course of the actual research. For this study, the following concepts are clarified: “Institutionalisation”; “Government-wide Monitoring and Evaluation System”, “Monitoring”; “Evaluation”; “System”, “Governance”, “Accountability,” and “Department of Planning, Monitoring and Evaluation”.

### **1.6.1 Institutionalisation**

An institution may refer to an organisation and, therefore, institutionalisation as a process, which means introducing some practices and principles that become part of the culture of the organisation for better outcomes/results. Mtshali (2014:17) argues that several scholars “limit institutionalisation to structural and organisational arrangements” while it goes beyond to include organisational culture and support, values, capacity, and governance. Institutionalising systems, specifically in the public service are meant to address fragmentations and optimise government interventions, resources and, ultimately, better outcomes. According to Centres for Learning on Evaluation and Results (CLEAR) (2019:4), institutionalised systems are an outcome of a maturing administration, interest in results and responsiveness towards a growing demand for accountability from civil society. For developing countries, institutionalisation becomes an integral part of improving and expanding government services and structures through the expansion of mandates, adoption of new policies and review of existing ones. For this study, the researcher seeks to establish key

strategies and principles that have been adopted by DPME to promote monitoring and evaluation as part of the organisational culture within the government. This will be done by looking at structures, systems, policies adopted and resources invested towards the monitoring and evaluation systems.

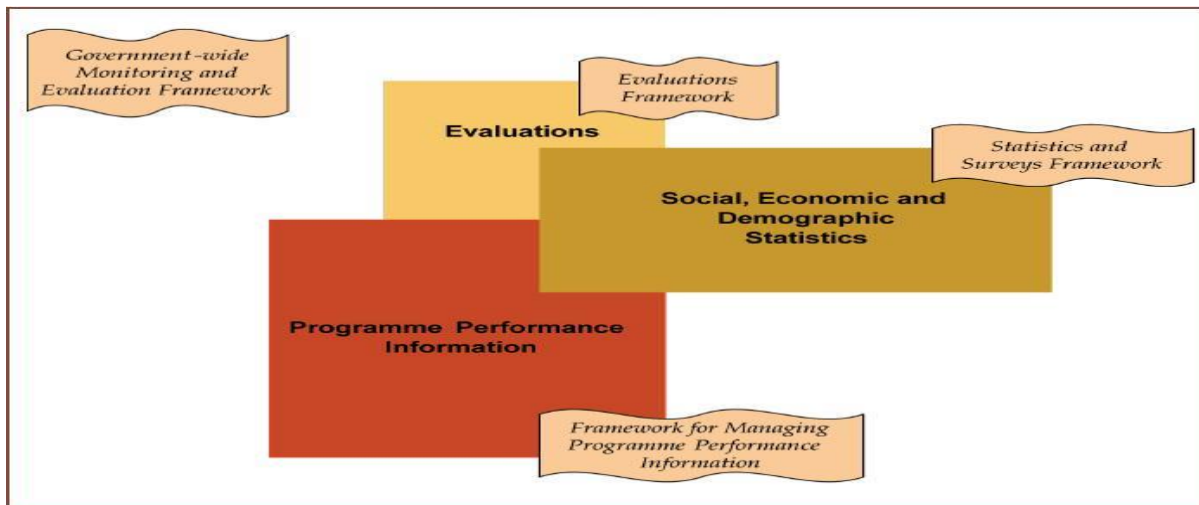
### **1.6.2 Government-wide Monitoring and Evaluation System (GWMES)**

Approved by the Cabinet in 2005, the GWMES is primarily a management system that seeks to embed within the public service a performance management system. It seeks *“to ensure transparency and accountability; promote service delivery improvement; ensure compliance with statutory and other requirements and promote the emergence of a learning culture in the public sector”* (Presidency 2005:14). It is intended to establish a uniform system of monitoring and evaluation across all spheres of government through a policy framework that blends with existing management systems of planning, budgeting and reporting through system integration (Presidency 2007:4).

Two main functions of the GWMES are to *“provide an integrated framework of monitoring and evaluation principles and practices to be used across government”* and *“to function as an apex-level information system for its users”* (Presidency 2007:5). The framework for the GWMES seeks to enhance these systems in a structured and coordinated approach to implementation, measurement and realisation of the outputs, outcomes and their impact.

Three key defining components and data terrains underpinning the GWMES are *Programme Performance Information; Social, Economic and Demographic statistics; and Evaluations* (National Treasury 2007:2-3), each with its own framework, as depicted in Figure 1.2 below:

**Figure 1.2: Components of the policy framework for the GWMES (adapted from National Treasury 2007).**



Source: adapted from National Treasury: 2007.

The conceptualisation of this framework not only reinforces accountability but also enhances existing capacities within and across government through exchange learning networks with other countries and, most importantly, citizen participation in the state of the nation. It is premised on a well-coordinated value chain process, supported by planning and implementation, with monitoring and evaluation playing a complementary role throughout the stages to allow the review process.

According to Engela and Ajam (2010:29), the term “monitoring and evaluation system” in this context refers to managerial elements such as structures, strategies, policies, systems and accountability relationships. This should reflect the relations among the resources (inputs), the service (outputs), and the change (outcomes/impact) as an attribute or result of a specific intervention. According to SAMDI (2007:87), these relationships will determine whether the feedback from the monitoring and evaluation function “*influence the organisation’s decision-making, learning and service delivery*”.

Emphasis by the Framework for Strategic Plans and Annual Performance Plans is that the effectiveness of the system should be supported by an “*organisational culture, capacity and enabling conditions*” to function and influence planning and decision-making for service delivery improvement (National Treasury 2010:2).

The study seeks to investigate the extent to which the monitoring and evaluation systems have been institutionalised within the public service, milestones and challenges encountered as the system evolved with a focus on DPME up to 2019.

### 1.6.3 Monitoring

The literature provides multiple definitions of what monitoring is and what it is not. There is, however, consensus on monitoring as a management function (DPSA 1997; Presidency 2005; PSC 2008; DPME 2012; Tshatsinde 2015; Phetla 2017; Mtshali 2014; Kusek & Rist 2004; Porter & Goldman 2013; Goldman & Pabari 2020), and it is essential to assess performance progress against the set objectives. Monitoring helps managers and policymakers understand the value of investments in service delivery.

SADMI (2007:88) proposes four definitions of monitoring according to the National Treasury, Presidency, European Union and World Bank as follows:

**Table 1.1: Comparison of the different definitions of monitoring**

National Treasury	Presidency	European Union	World Bank
Systematic management activity that involves analysis of efficiency and effectiveness of deliverables.	Data use to support effective management and feedback on progress and early warning signs.	Systematic and continuous use of information for management and decision-making.	Gathering of evidence to show progress in the implementation of programs.

Source: Adapted from South African Management Development Institute. 2007. M&E Orientation Course Manual

The above table of definitions collectively brings to the fore information management, systemic, continuity, analysis and decision-making as key variables within the monitoring activities. This is supported by Kusek and Rist (2004:11-14), who support monitoring as a data collection tool, reporting and a systemic management tool that serves as an early warning mechanism.

The Public Service Commission (2008:3) submits that monitoring links objectives and activities that also assist in informing or setting targets. The emphasis on monitoring is to compare progress against objectives to inform the ongoing development of interventions through an early warning system. Monitoring can further be categorised into two focus areas: implementation monitoring focusing on means and strategies of attaining the objectives and results monitoring focusing mainly on achieving the intended outcomes and impact.

From a public service perspective, this study was aligned with the definition of the PSC (2008:11) as “a continuing function that uses systematic collection of data on specified

*indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds*". From the above definitions, one can conclude that monitoring is a management process focusing on the optimal utilisation of resources by putting adequate control and governance measures in place for accountability and consequence management. It is mainly concerned and forms part of an important part of the project cycle and project management. For this study, monitoring is viewed and contextualised as a yardstick for the attainment of intended goals and objectives as part of system development.

#### **1.6.4 Evaluation**

Evaluation is a control measure that is applied differently depending on the context, but the intention remains the same, that is, assessment of causal attributions. Porter and Goldman (2013:3) submit that evaluation helps establish the outcome and impact of the investments made in services and provides an opportunity for improvement. From a public service perspective, the PSC (2008:11) defines evaluation as the systematic and objective assessment of an ongoing or completed project, programme, or policy with an *"aim to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability"*.

Kusek and Rist (2004:11-15) further confirm evaluation as *"an objective assessment of a completed project"* and determinant of merit or shortcoming based on the set standards, processes and techniques. It assesses achieving objectives, relevance, impact and project/programme sustainability. Evaluation provides evidence for targets not achieved, outcomes not realised and unintended consequences (positive or negative) that promote organisational learning and adaptive management when viewed positively. Evaluations also provide validity to underlying theories and assumptions. The authors assert that a results-based monitoring and evaluation system is an essential public management tool that the government can use to measure and evaluate outcomes and then feed the results/information back into the ongoing processes of governance and decision-making.

At a policy level, evaluation determines the accomplishment of the policy goals and objectives and whether any unintended consequences can be attributed to the policy (Anderson 2011:5). Using the four definitions by SAMDI (2007:88) in terms of the

National Treasury, the Presidency, the European Union and the World Bank, it is clear that evaluation is a comparative exercise and a strategic function to support management in planning and resource allocations.

**Table 1.2: Comparison of the different definitions of evaluation**

National Treasury	Presidency	European Union	World Bank
Analysis of efficiency, effectiveness, impact, relevance and sustainability.	Time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision-making.	Periodic assessment of the efficiency, effectiveness, impact, sustainability and relevance of an intervention in the context of the stated objectives.	Measuring changes in outcomes and evaluating the impact of specific interventions on the outcomes.

Source: adapted from South African Management Development Institute. 2007. M&E Orientation Course Manual.

The key and common feature noted in the above table of definitions is the emphasis on evidence and results attained through some form of measurement. All of the above definitions emphasise the assessment and verification of results against the assumptions and theories held at the inception of an intervention, initiative or policy. By definition, evaluation is and should be part of the management functions of controlling and leading the organisation to account for the time and resources invested.

### 1.6.5 System

The institutional design of the monitoring and evaluation systems of government remains critical in data and knowledge management for accountability purposes. A credible system of accountability should be credible and stand the test of time if it has to contribute to improved governance. The Pocket Oxford English Dictionary defines “system” as a set of detailed methods and procedures of working together and a mechanism or network leading to a state of being organised (Soanes, Hawker & Elliott 2005:927). A system is a cycle of events with three basic elements that are influenced by the environment: input, the processing of the input, and finally, the outputs to the environment (Gerber, Nel & Van Dyk 1998:34-35). In his guide to monitoring and evaluating policy influence, Jones (2011:10) further emphasises the importance of a

system in integrating the use of information for multiple purposes, including planning, implementation and reporting to inform decision making.

According to the OECD (2019:1), the monitoring and evaluation system is “*essential for ensuring that any activity attains its objectives in the most efficient way possible and helps increase transparency and accountability in the use of resources*”. Common features of an effective and functional GWM&E system include high-level central governance and coordination, monitoring and evaluation results and information used to inform planning, budget, and policy reforms (Lopez-Acevedo, Krause & Mackay 2012:24-25).

For this study, the definition of a system will align with that of Ile, Eresia-Eke & Allen-Ile (2012:15), which refers to a collection of procedures or components organised for a common purpose of governance through “*the deployment of inputs, the generation of service delivery outputs, their associated outcomes and impacts*”. This definition resonates to establish the extent to which the monitoring and evaluation systems have been institutionalised to improve government performance, governance and accountability systems. In contextualising the concept of a system to this study, it is therefore underscored by the consolidation of data collection strategies and performance management processes within government and in particular DPME.

### **1.6.6 Governance**

Governance has manifested through the need for a just public administration and leadership. It has provided for multistakeholder participation in determining how the state should execute its functions through democratic and accountable systems guided by the centres of power: the executive, parliament, and judiciary. Naidoo and Thani (2010:143) note that the effects of poor leadership on governance practices and service delivery lead to poor outcomes within an organisation. The authors further emphasise the continuous need for skills development and capacitation to improve leadership and governance in public services.

According to Fukuyama (2013:1-18), governance is the interaction between the centres of power that is primarily concerned with public administration and quality service delivery. The idea of governance in this context stems from the five propositions of Stoker (1998: 18-26) for an enabling environment to make rules, and decisions and enforce them collectively among the actors involved and affected.

These propositions define and refer to governance as the process of utilising resources to get things done; recognising power dependence and the complexity of making rules; the blending of resources through networks and partnerships; creating a balance between the state, civil society and private sector involvement in tackling social and economic issues; and finally, recognising the complex sets of institutions and actors from and beyond government and the implications of the various centres of power.

The propositions further denote that an effective system of governance should be able to excise the oversight and accountability of institutions, representation, participation, cooperation and transparency with an emphasis on citizen inputs and their ability to criticise and monitor government. This study provided insight into the DPME's role in exercising the oversight and accountability of institutions based on the GWMES framework and as the centre of government for coordination. Simply put, governance is enforcing and implementing the rules, processes and internal policy frameworks governing the organisation or an institution. It involves maintaining law and order by adhering to standard operating procedures, and putting corrective measures as part of consequence management. Monitoring and evaluation systems have become eminent in leadership and governance practices.

#### **1.6.7 Accountability**

Linking leadership, governance and accountability significantly improve public confidence and trust in institutional performance. Khotami (2017:30) defines accountability as *“a form of liability which is understood as the obligation of the holder of the trust to provide accountability, presenting and reporting all activities that are his responsibility to the party who provides the trust and has the authority to hold such accountability”*. Similar to the collaboration and relationship in leadership, accountability is between the leader and those who are led with the recognition and acknowledgements of the complexity of the dynamics and the environment (Naidoo & Thani 2010:138). The importance of accountability as a concept can be matched with efficiency, receptiveness and obligation to the statutory requirements in the context of public administration. Public servants need to account for the use of public funds allocated to programmes and various mechanisms of accountability, including but not limited to the Auditor General, Parliament Oversight Portfolio Committees and Annual departmental reports. Khotami (2017:30) further links two forms of public



accountability (horizontal and vertical), including the interface between the state in the public administration context. Vertical accountability takes a bottom-up approach with regard to performance and the use of resources allocated accounting from a local. Horizontal accountability, on the other hand, refers to public accountability and takes place across and is conveyed to the general public.

From a development perspective, Mackay (2007:137) denotes accountability as the obligations in relation to distinct responsibilities through monitoring reports and performance assessments to justify the judicious use of resources. Therefore, the extent and level of accountability in the public sector is key in determining the effectiveness and successes of the systems and projects being implemented. A high level of accountability in the public sector results in good governance, sound institutions and an improved level of trust in the government by the public. The PSC (2008:13) submit that the Constitution, supported by institutions such as the Auditor-General, the Public Service Commission and legislation such as the Public Finance Management Act (1999), are key instruments that govern and promote accountability; thus, *“failure to comply is often met by sanctions”*. An effective and credible accountability system is manifested in the quality of service delivery and effective leadership, wherein monitoring and evaluation form part of building and strengthening the system or the delivery mechanism.

#### **1.6.8 Department of Planning, Monitoring and Evaluation (DPME)**

The Department of Performance Monitoring and Evaluation (DPME) was promulgated in 2010 in the Presidency but obtained its budget vote in 2012. The constitutional mandate of the DPME is derived from section 85(2) (b-c) of the Constitution and was further elaborated by the President in the 2012 State of the Nation Address through the “Policy Framework on Performance Monitoring and Evaluation - Our Approach” document (DPME 2012:1). DPME is a public sector institution and forms part of the national departments supporting the Presidency. It has its own Ministry and the Director General with a staff establishment of approximately 350 employees. The mandate of the DPME evolved in 2014, which saw the merging of the NPC Secretariat in the Presidency with performance monitoring and evaluation to form a new Department of Planning, Monitoring and Evaluation (DPME). This reconfiguration was meant to institutionalise long-term planning within the state for a unified value chain

through planning, monitoring, evaluation and implementation and to locate the entire value chain within one institution (DPME: 2015:17).

Informed by the NDP, the role of the DPME has evolved to coordinate government, planning, monitoring and evaluation to address poverty, unemployment and inequality, as reflected in the Strategic Plan (DPME 2015-2019). At a strategic level, the key functions of the DPME are the coordination and monitoring of the implementation of the NDP using the medium-term strategic framework (MTSF). This includes the development of delivery agreements for the priorities and outcomes of government and monitoring and evaluating the implementation of said agreements while also “*promoting good monitoring and evaluation practices in government*” (DPME 2012:6).

In carrying out its mandate, DPME partnerships were established by the DPME together with other institutions that also play an oversight role and as part of peer monitoring. This includes the DPSA, National Treasury, Auditor General, Office of the PSC and Offices of the Premier to cascade the policy trajectory while also avoiding the duplication of functions. The following section focuses on the research design and methodology of the study.

## **1.7 RESEARCH DESIGN AND METHODOLOGY**

The research design and methodology are discussed in detail, including the justification for the selected choice. The research design presents a conceptual and structural account for data collection, measurement and analysis. Methodology, on the other hand, details scientific processes and approaches to respond to the problem statement and the research questions. McNabb (2017:7) underscores the importance of using scientific methods as critical in knowledge generation through the definition of problems, the gathering of data to support problem analysis and the interpretation of the findings to support a phenomenon that is tested and observed.

The research design was mainly guided by the research problem, questions and intended results. This is the architectural design or blueprint (Mouton: 2001:56) that provides logic for the proposed study. Khotari (1990:31) and Mouton and Marais (1990:32) describe the research design as a planning process for data collection and analysis in a manner that justifies “*relevance to the research purpose with the economy (time and cost) in procedure*”. This study used a qualitative research method as an open-ended conversation to describe observable textual data and further clarify

concepts through written text. This allowed the researcher to explore different types of documents to obtain relevant answers to the research questions, adding to the body of knowledge on the subject (Salkind 2014:75). Further discussion on the research methodology and design is detailed in Chapter 3 under sections 3.3 and 3.4, respectively. The next section introduces the unit of analysis and observation.

### **1.7.1 Unit of analysis and observation**

The literature refers to the unit of analysis as either individuals, behaviour, entities or events that become the study's focus depending on the type of studies being undertaken (Sekaran 2003:132; Kothari 1990:113). Mouton (2001:137) defines the unit of analysis as “*the entity that is being analysed*” and investigated to conclude either daily life, scientific research or meta-science. The unit of observation refers to the main parameters being investigated and observed in trying to understand changes and developments in the unit of analysis. Following scientific research, the unit of analysis for this specific study was the institutionalisation of GWMES while the unit of observation was official documents and scholarly literature.

### **1.7.2 Data collection and analysis**

Information is only important when it can be used to support decision-making; hence, the utility of data is in its use. As previously indicated, this study followed a qualitative research approach based on available information through document and content analysis, a method of analysis to trace evidence for empirical knowledge. Further details on data collection and analysis are discussed in Chapter 3 under section 3.4.2. The next section briefly discusses document analysis.

### **1.7.3 Document analysis**

Bowen (2009:27) defines document analysis as a systemic process of studying and assessing print and electronic material “*in order to elicit meaning, gain understanding, and develop empirical knowledge*”, while O’Leary (2017: 496) refers to it as a research tool for collecting, reviewing, interrogating and analysing various forms of written text as a primary source of research data. The definition by Auriacombe (2016:8-9) of content analysis as a research technique for producing a systematic description and examination of written documents gives the premise for the interchangeable use of document analysis and content analysis for this study. The author further indicates that content analysis is mostly applied to written documents with varied and complex

content, which makes it more relevant for monitoring and evaluation as one of those complex disciplines.

There seems to be an agreement from the three definitions that document analysis entails the location of documents, selection of the most relevant material, interpretation of data and finally synthesising the data to make findings and conclusion of the study. As planning, monitoring and evaluation is a fairly documented subject in government and by several scholars, the study took into account the progression of monitoring and evaluation systems in selecting suitable sources for data collection, including the analysis thereof. This requires the drawing of data from various sources within DPME and other implementing partners for convergence and corroboration. Further details on document and content analysis are presented in Chapter 3 under section 3.4.3.

## **1.8 ETHICAL CONSIDERATIONS**

Possible consideration will be made on the data format, access and coverage (Mouton 2001:99-110) to ensure full compliance with legal prescripts around information management and ethical considerations. A detailed discussion on compliance with ethical requirements is contained in Chapter 3 under section 3.5. The next section addresses the limitations of this study.

## **1.9 LIMITATIONS OF THE STUDY**

Limitations to this study relate to the target population, which is DPME, and the period under review being the 4<sup>th</sup> and the 5<sup>th</sup> Government Administration, which is 2009 to 2019. Although the institutionalisation of the GWMES is meant to be evident across the three spheres of government, this study only focuses on DPME. It was limited to document analysis and did not involve human participants through interviews as a target population. It should also be noted that the Policy Framework for the GWMES was approved in 2007; however, this study only focuses on the two terms of government administration aligned with the establishment of the DPME, which is from 2009 to 2019. Documents, policies and frameworks within and outside the stipulated period that might impact this study were utilised.

## **1.10 STRUCTURE AND LAYOUT OF CHAPTERS**

This study consists of five chapters, divided and summarised as follows:

**Chapter 1:** introduces the study by way of background; problem statement, delineation and justification of the study; research questions and objectives; clarification of key concepts; research design and methodology; limitations of the study; and finally, the layout of the chapters.

**Chapter 2:** presents the literature review with various sources that underpin the conceptual and theoretical framework of this study and, in particular, the research problem. Legislation, official documents, reports and various schools of thought to conceptualise monitoring and evaluation strategies are analysed to give perspective to the study. This chapter also provides insight into previous studies and existing gaps to justify this study.

**Chapter 3:** accounts for the choice of research designs, philosophical assumptions, methodology and strategies that will be employed for the data management process guided by the available literature in this discipline to support the proposed study. The chapter further illuminates the consideration of validity, reliability and ethical issues for the integrity of the study and, finally, the limitations thereof.

**Chapter 4:** details the narrative findings in response to the research objectives and, most importantly, an attempt to answer the pertinent research questions.

**Chapter 5:** presents a concluding summary in alignment with the chosen research topic. This chapter also put forward recommendations as per the findings to further improve and enhance the current efforts by DPME to institutionalise monitoring and evaluation systems as the centre of government and in line with the policy framework for GWMES. Moreover, it highlights possible areas of improvement and consideration for future studies.

## **1.11 CONCLUSION**

This chapter has introduced the study and the outline of the subsequent subheadings, covering the background, the research problem and related questions, research objectives, clarification of concepts and the research design and methodology, study limitations, and the outline of the proposed chapters. The chapter is meant to provide an orientation towards and understanding of the intended research process. The findings are intended to contribute to the knowledge and literature in planning, monitoring and evaluation and, most importantly, the structural and operational

improvements for implementing the GWMES. The study will also bring to the fore the importance of the monitoring and evaluation system as a major component of management within the Public Administration discipline.

### 2.1 INTRODUCTION

Guided by the study objectives and the problem statement outlined in Chapter 1, this chapter presents a review of the literature through various sources that underpin the conceptual and theoretical framework of this study and, in particular, the research problem. A literature review provides exposure and understanding of what has been done and credible methods that have proven validity and reliability in terms of research (Mouton 2001: 87; Creswell 2013:229). Mouton (2001: 87) and Creswell (2013:229) submit that it is through a literature review that a researcher can identify gaps or biases in the existing research product and thus justify the rationale for the proposed study in the related field and, in this case, the institutionalisation of monitoring and evaluation systems.

An exploration of legislation, official documents and reports to conceptualise monitoring and evaluation in SA were undertaken. This exploration was further guided by the following thematic areas: development of performance monitoring in government; contextualising the practice and development of monitoring and evaluation in SA; the GWMES and the role of DPME in relation to the institutionalisation of monitoring and evaluation systems in government; successes and challenges as it applies to various settings and perspectives according to various scholars within the context of SA and, in comparison, to other countries. These themes are aligned with the research objectives as identified in Chapter 1. Next is the discussion on the development of performance monitoring in government.

### 2.2 DEVELOPMENT OF PERFORMANCE MONITORING IN THE GOVERNMENT

Within the context of a developmental state, the democratically elected South African government has a core mandate of pursuing the socioeconomic transformation of society as a high-priority agenda (De Wee 2016:488). According to Netshitenzhe (2014:235), this is a prerequisite to remain relevant, adequately deal with social challenges, and ultimately protect the hard-earned democracy. This commitment is explicitly justified in Chapter 2 of the RSA Constitution of 1996, which affirms the

progressive realisation of socioeconomic rights within available resources and reasonable measures that must be put in place by the state. According to Naidoo and Thani (2011:6), emphasis on improving performance and leadership is given a desire at an early stage towards improving the socioeconomic conditions, accelerating economic growth and building the capabilities of the state. This commitment to transformation is expressed through “*the fundamental restructuring of the apartheid state into a modern public service*” (Presidency 2007:5). It is further affirmed by section 195 of the RSA Constitution, as alluded to in Chapter 1.

This further came with an acknowledgement and the importance of strengthening the state response while maximising resources and thus the institutionalisation of consultation and cooperation on economic policy with all state actors, as underscored by Netshitenzhe (2015:557), Mulaudzi (2020:160) and De Wee (2016:489). It should be noted that the concept of a developmental state also comes with its own challenges, and for SA in particular, it is the chronic service delivery protestse and a “patchy service delivery record” (Naidoo 2009:52), requiring more efforts in capacitating leadership as well. The key defining and outstanding principle noted is the inclusion, participation and multisector approach to accountability and improvement in almost all government development initiatives. The deduction on these developments suggests that a policy environment has been created and a progressive approach towards improved accountability and leadership. The policy reforms also suggest that a conducive ground for change and improvement has been paved and thus, the reference to *building a capable and developmental state*, which is yet to be defined in terms of shape and form.

### **2.2.1 Reflections and progression on government performance**

As the first reflection after the 1994 transition, the 10-year review makes a fair analysis of the need for an encompassing framework for integrated activities and improving the performance of the state (Presidency 2003:103-107). This aspiration is premised on policy coordination and implementation across the three spheres of government to ensure the realisation of national development objectives. According to Ile, Eresia-Eke and Ile (2012:12), the need for improved policy monitoring and evaluation was premised on the desire to do more while optimising resources, given the demand to provide equitable quality services for all. The 15-year review acknowledges progress



in transforming institutions and developing policies to align and integrate with the challenging global environment (Presidency 2008). Given the current challenges and opportunities brought about by the COVID-19 pandemic, these policies might require further adaptation to be relevant to the current environment. The state's capability has also been tried and tested on its ability to maintain the constitutional order of democracy and the rule of law. What is missing and noted in the value chain, according to the 15-year review, is the absence of a comprehensive system of government accountability and medium-term planning supported by a system for monitoring performance and service delivery (Presidency 2008:115). According to the Presidency, this reflection led to the proposal for a thematic strategy to focus on growth and transforming the economy, fighting poverty, building social cohesion and state legitimacy, international cooperation, and building a developmental state in response to the identified shortcomings.

Part of building this developmental state included focusing on the medium and long-term planning capacity; strengthening systems of coordination, planning, monitoring and evaluation; and finally improving capacity to implement monitoring and evaluation systems across government (Presidency 2008:123-124). This policy direction aligns with some of the key factors and preconditions for a developmental state, which includes strategic orientation, coordination of systems, investing in a technical capacity to deliver and balancing the relationship between democracy and development in investing in economic development policies, as advanced by De Wee (2016:489-493) and Mulaudzi (2020:152). The above trajectory indicates consistent commitment and momentum towards improving the quality of service delivery. However, typical indicators of such improvements and success are yet to find expression in terms of measurement.

### **2.2.2 The hallmark of decades in democracy and performance monitoring**

Embracing the concept of a developmental state has been firmly reflected in almost all policy development and the trajectory of government since 2009, as reflected by Pampallis (2014:107), Hirsch (2014:305) and Netshitenzhe (2014:235) in *The Future We Chose*. Key to the 20-year review was the assertions on foundations laid for a capable and developmental state, notwithstanding weaknesses in how some state structures continue to function. Mouton (2010:97) and Gumede (2017:7) also affirm the foundations laid during the first term of President Nelson Mandela on the

development of policy and rationalisation, piloting new programmes to be implemented by President Thabo Mbeki's administration. The focus on performance management and critical assessment of outcomes and the impact of government programmes through the results-based approach became the hallmark of President Jacob Zuma's administration. Both Netshitenzhe (2014:236) and Gumede (2017:10) allude to the prominence of improving government performance through the adoption of the NDP by the Cabinet and Parliament in 2012 as a development trajectory for the country. The formalisation of monitoring and evaluation capacity and performance agreements to improve accountability throughout the three spheres of government became a seal of the political will. According to Ngcwaweni (2014:31-32), this has been a beacon of hope, supported by society and a hallmark of the centenary celebrations of the ANC in 2012 and the ultimate adoption of the NDP.

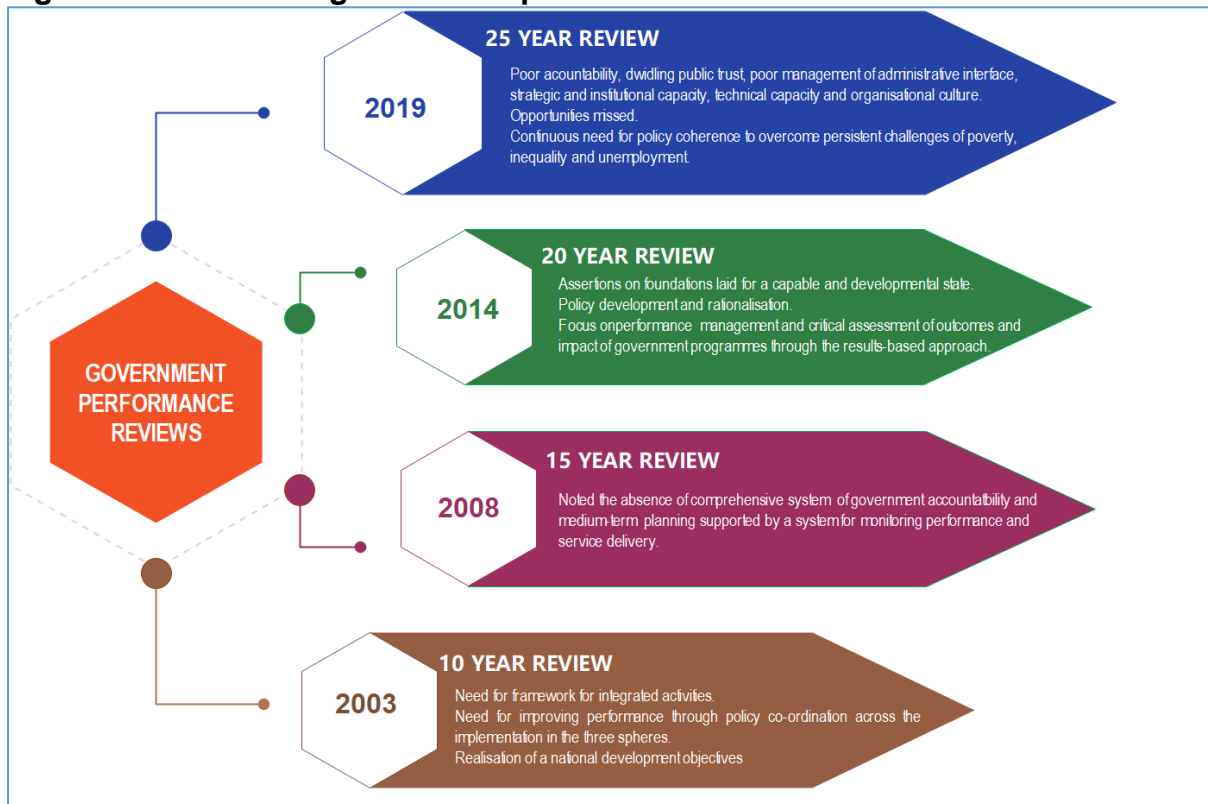
Affirmation was further given by Minister Collins Chabane (2012), addressing secretaries of association of the legislative sector of South Africa that *“When this administration came into office last year, we undertook to work harder to build a strong developmental state... We said it would be a state that responds to the needs and aspirations of the people, and which performs better and faster... We are building a performance-oriented state, by improving planning as well as performance monitoring and evaluation...”* A linear and consistent development in improving the performance of the government can be observed from the above reviews. This also suggests that necessary preconditions such as strategic orientation, coordination, programmatic articulation and institutional mechanisms have been put in place for implementation and accountability as per the imperatives of the NDP (Presidency 2014:36-77).

Given that the necessary conditions and enabling policy environment for monitoring and evaluation were in place, understanding whether the development initiatives are impacting the quality of service delivery requires a credible, honest and systemic assessment and evaluation of selected interventions to make an informed conclusion.

A jubilee into democracy brought to the fore important milestones and achievements made by South Africa as a young democracy with emphasis on the continuous need for policy coherence to overcome persistent challenges of poverty, inequality and unemployment (DPME, 2019:6). Despite the challenges, the noted trends from the above reviews continue to suggest a consistent political will and support for the

importance of accountability, performance monitoring and evaluation, as summarised in Figure 2.1 below.

**Figure 2.1: Trends in government performance reviews**



Source: Researcher's own compilation based on the 4 Presidency review reports (2003, 2008, 2014 and 2019)

Worth noting in the reflections is the acknowledgement of gaps and areas of improvement, which provides an opportune environment to self-correct. Contrary to the previous trend and reviews, the agility, capability and responsiveness of the state to socioeconomic challenges, among others, has been questionable in the 25-year review of government performance. Although the trend continues to embody a linear progression of policy direction for performance monitoring and evaluation, the punctuation by changes in political leadership and corruption have somehow impacted the impetus for accountability.

The review further alludes to opportunities missed and identified maintenance of accountability, dwindling public trust and poor management of administrative interface, strategic and institutional capacity, technical capacity, and organisational culture as persistent challenges for attention in realising the objectives of a developmental state (DPME 2019:195-197). The above elements were further laid bare by the COVID-19

pandemic, which not only affected livelihoods and exposed inequalities but also brought to the fore some of the weaknesses in the governance and accountability system that were manifested by corruption. On a positive note, the pandemic also ushered in an opportunity for the acceleration of the digitisation of the environment, which calls for the transformation and review of current policies. The ability to successfully confront the COVID-19 pandemic also presented an opportunity for SA to accelerate the implementation of some long outstanding structural reforms to transform the economy and opportunities that contribute to strengthening governance and accountability that is technologically enabled and responsive.

The assertion by Dassah and Uken (2006:711) acknowledges that preconditions to foster accountability, transparency, performance monitoring and evaluation did not exist after 1994. However, these reviews assume that necessary conditions to optimise accountability, monitoring and evaluation systems have been created through the various policy reforms, and thus, positive results are inevitable. The reviews also assume that organisational setup with programmatic articulation and institutional mechanisms for implementation have been enabled through various transformation measures discussed above; hence, reference is made to missed opportunities and persistent challenges that continue to impede progress.

The above government performance reviews further suggest that the results are not as expected and that public confidence and trust in government continue to decline as the quality of services further deteriorates. Patronage network corruption is emerging as another chronic disease with a negative influence that works against this desired capable and developmental state. While acknowledgement of the shortcomings is regarded as a positive move towards taking responsibility in leadership and accountability to the public, consequence management remains weak, if not enforced at all. Given this context, adequate investment in skills and resources remains imperative in sustaining any system for improvement, and noting the technical nature of monitoring and evaluation, it becomes inevitable for continuous development of processes that translate into an accountable yet effective, efficient and improved means of working. Context, development and practice of monitoring and evaluation in SA are discussed in the next section.

## 2.3 CONTEXTUALISING THE DEVELOPMENT AND PRACTICE OF MONITORING AND EVALUATION IN SOUTH AFRICA

The quest to sustain public sector reforms demands sustained and deliberate coordination interventions to foster compliance with and accountability for the implementation of development policies. According to Goldman (2017:6), Angela and Ajam (2010:20), and Goldman, Engela, Akhalwaya, Gasa, Leon, Mohamed and Phillips (2012:2), 1994–2005 has been characterised by the disintegrated and sporadic application of monitoring and evaluation systems and functions in government. This placed little or poor accountability and coordination of efforts towards the provision of quality basic services, and this necessitated an integrated, comprehensive system of accountability and results-based monitoring that would put SA on par with other developing countries and compliance with international standards. Ile, Eresia-Eke and Ile (2012:23) note that policy-making and monitoring thereof was mainly informed by the quest to improve quality and benchmarking contributed to a better perspective on SA by comparison and setting above-average standards of improvement. Linked to accountability and sound governance is the economical use of resources in compliance with prescriptive management systems.

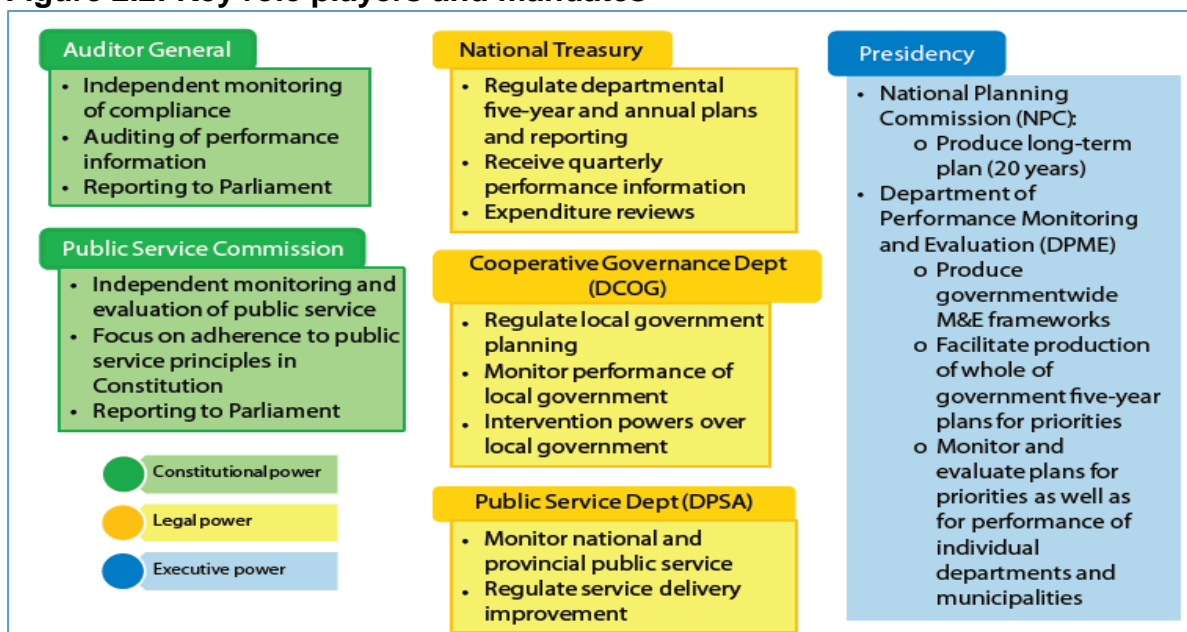
According to Goldman, Philips, Engela, Akhalwaya, Gasa, Leon, Mohamed and Mketi (2014:352), the two main reform approaches that supported this process encompassed “*a strong public expenditure reform*”, spearheaded by the National Treasury through the Public Finance Management Act (1999), regulating financial management across the three spheres of government. Further to this was the development of the departmental strategic and annual plans for accountability on the commitments. Although the plans are approved by Parliament as the highest oversight body and audited by a legislated institution such as the Auditor General, departments continue to falter in realising their respective plans without any punitive measures.

The second approach is the organisational development by DPSA through the White Paper on Transformation of the Public Service (1995), focused on performance management systems, knowledge management, continuous learning and the subsequent introduction of Monitoring and Evaluation. In strengthening intergovernmental relations, the role of leadership in institutionalising monitoring and evaluation as a strategic management function remains crucial throughout the three spheres of government. Clear roles, responsibilities and adequate investment in terms

of resources is another prerequisite to comply with principles and values governing public administration, monitoring and evaluation (PSC 2008:27). The semifederal system adopted by the SA government on the separation of powers (three spheres of government) had implications for governance and the capacity to deliver basic services. While acknowledging the autonomy of each sphere of government, a common approach with regard to planning, monitoring and evaluation systems meant complexities for local government, provincial and national governments, especially for shared or concurrent responsibilities, as postulated by Goldman (2017:4), Ijeoma (2018:49), Engela and Ajam (2010:1), Goldman and Pabari (2021:7), and Philips, Goldman, Gasa, Akhalwaya and Leon (2014:392).

Therefore, the link between monitoring and evaluation necessitates a credible system supported by relevant frameworks to measure government performance, thus the GWMES and its related framework. With monitoring and evaluation as a multidisciplinary and skills-intensive portfolio, it further complicated the environment and the intergovernmental structure with delicate powers and functions to implement. Supported by either the legal and/or the constitutional mandate, the following institutions, as depicted in Figure 2.2, are key role players in the monitoring and evaluation space with their respective mandates, as submitted by Goldman *et al.* (2012:2) and Philips *et al.* (2014:394).

**Figure 2.2: Key role players and mandates**



Source: Goldman *et al.* (2012:2) and Philips *et al.* (2014:394). A focus on M&E results: an example from the Presidency, South Africa and establishing national M&E systems in South Africa

Linked to the mandates is a further depiction of the main stakeholders and their sources of authority/power with regard to the practice of monitoring and evaluation in SA, namely, the Auditor General, PSC, Department of Cooperative Governance, DPSC and Presidency (DPME). The Auditor General and the PSC are Chapter 9 institutions with constitutional power reporting directly to parliament on public performance. The National Treasury, Cooperative Governance and the Public Service and Administration departments are regarded as government centres with legal power to regulate the entire public service. These institutions perform their respective duties by regulating, monitoring and reviewing relevant sectors and have legal powers to impose sanctions in line with enabling legislation in line with the respective mandate. The Presidency, with the DPME as a supporting institution, has executive power over other institutions through the planning, reporting, monitoring and evaluation of the entire government's performance.

A deduction from the above display of mandates and sources of authority suggests that the DPME does not have constitutional or legal power but has executive power over other institutions. This has implications for the DPME given its role in supporting the President and the need to enforce sanctions on those institutions that do not comply with the management prescripts in terms of performance planning, reporting, monitoring and evaluation.

### **2.3.1 The practice of monitoring and evaluation in SA**

According to Plangemann (2016:71-73), performance monitoring and evaluation should be seen as an integrated, comprehensive and results-oriented system. It is based on a combination of management tools and incentives to enhance service delivery, fiscal management, government focus and capacity to achieve overall government outcomes through a sequenced approach. Lopez-Acevedo, Krause and Mackay (2012:13-23) further note that such systems are usually designed and implemented in response to a diagnostic study. The authors further submit that implementation can be challenging, requiring strong leadership, sustainability and continuity beyond a change in government administration and political leadership. According to Rabie and Goldman (2014:4) and Kusek and Rist (2004:11), the importance of performance monitoring and evaluation is well articulated in that "*if you*

*do not measure results, you cannot tell success from failure; if you cannot see success, you cannot reward it; and if you cannot reward success you are probably rewarding failure*". The authors further agree that *"if you cannot see success, you cannot learn from it; and if you cannot recognise failure, you also cannot correct it"*. Therefore, public trust and support can be won through results, and it is only when results can be demonstrated that government institutions can win public trust and support.

Various international influences penetrated developing countries, including SA, through donor communities and solidarity funding. According to Dassah and Uken (2006:708), Mouton (2010:181), and Malesela (2016:55), this traction came with the demand for sound accountability mechanisms with programme monitoring and evaluation as one of the key elements. Drawing from the contextualisation above, one can argue that a reasonable pattern of accountability is emerging and a fertile ground for improvement has been paved. This is further supported by a bold commitment from the Presidency (2009:3) in the outcomes approach that *"Government must be more effective in its actions and the quality of its services"* by addressing the *"need to serve than to steer"* (Thani & Naidoo, 2011:5) through influencing the spheres of control in ensuring better outcomes and impact of programmes and interventions.

There is also a consensus that although monitoring and evaluation are advancing in political recognition and support in the public sector, *"its ability to influence the efficacy of policies, projects, programmes and interventions remains unclear"* (Goldman, Olaleye, Ntakumba, Makgaba & Waller 2021:55). This is a further affirmation of some of the issues submitted by Phillips *et al.* (2014:404), which includes sustainability and simplifying the system for its effective use to inform decision making and policy reviews based on performance results. This can only be enabled by leadership and supporting institutional arrangements that enhance the demand for and use of monitoring and evaluation results, which is the main intention of the GWMES. This further suggests that evidence and results are only useful when they can influence and inform the decision-making process. This will indeed strengthen various government interventions and initiatives by reinforcing emphasis on demonstrable outcomes and impact over time.



### **2.3.2 Benchmarking with other countries and international best practices**

Given the complexity of monitoring and evaluation as a discipline and a system to implement, Dassah and Uken (2006: 709) and Cloete (2009: 307) acknowledge that countries are still experimenting and adapting to what works and does not work for a comprehensive, customised and functional monitoring and evaluation system. An emerging consensus noted by the authors is the coordination framework for monitoring and evaluation activities provided by the GWMES and a key requirement for good governance. Reference is made to Benin, Uganda and SA, wherein relationships in terms of formal exchange programmes and networks have been created to share development experiences and practice of performance monitoring and evaluation since 2012 between these three countries. The study revealed that values and culture associated with the political will, championing monitoring and evaluation from the centre of government (Presidency and Ministry), heralded enabling factors for the use of monitoring and evaluation in all three countries (Goldman, Byamugisho, Gounou, Smith, Ntakumba, Lubanga, Sossou & Rot-Munstermann 2018:11; Goldman *et al.* 2021:70; Kimaro, Fourie & Tshiyoyo 2018:212). This is supported by established national systems that are standardised and institutionalised for accountability purposes, such as dedicated champions for monitoring and evaluation supported by Ministries, the National Strategic and Annual Performance Plans and Monitoring and Evaluation Systems and GWMES in the case of SA.

The literature further suggests that while the pressure to change and comply with international best practices and establish monitoring and evaluation systems provided an opportunity for improvement (Cloete 2009:298; Masuku & Ijeoma 2015:2), it has equally contributed to the undermining of such improvements through malicious compliance (Goldman *et al.* 2021:56). Cultural barriers to monitoring and evaluation, such as turnover in leadership, especially for SA and Benin, create instability and inhibit learning, while Uganda shows stronger and consistent continuity (Goldman *et al.* 2021:54). Moreover, systemic challenges include limited technical capacity within the public service, disintegrated systems wherein monitoring and evaluation are separated from planning and budgeting in all three countries and in particular for SA, resulting in the duplication of reporting requirements and fatigue. With regard to the evaluations, the absence of a system to follow up on the improvement plans is the case for Benin, SA and Uganda. It is against this background that Uganda and SA,

according to Goldman *et al.* (2018:10), are said to be seeking the involvement and intervention of Parliament in holding respective departments accountable for implementing their respective improvement plans and reporting on the progress thereof.

SA also remains weak in the involvement of civil society in holding the government accountable in terms of its electoral mandate and performance monitoring (Goldman *et al.* 69:2021). Although the pattern is almost similar, the comparison suggests a mixed scenario for the three countries with opportunities for improvement. According to Porter and Goldman (2013:6), all three countries have reasonable budget allocations to develop monitoring and evaluation systems. The focus and resources are directed to monitoring reports that are widely distributed with reasonable financial and human resources towards their production instead of evaluations. The challenge in implementing evaluations is largely due to the demand that has not been adequately invoked as part of the accountability value chain, and this is noted again in all three countries.

Looking at the strengths and challenges (Goldman *et al.* 2018:10, 2021:67-68), SA emerges to be progressive in terms of leadership, culture and systems, although the focus is required on the technical capacity for evaluations and improvement in the system interface (planning, monitoring, evaluation). The diverse nature of the systems and coordination is another strain on the government with burden and dependency on the agencies. For example, Benin has different agencies allocated for monitoring, programme, policy and impact evaluation, while Uganda has multiple donor reporting systems at the project level, resulting in the duplication of monitoring functions. In the case of SA, the DPME coordinates *performance monitoring reports on priority outcomes*, while *quarterly performance and financial monitoring* are reported to the National Treasury. These multiple reporting lines put a strain on the line functions departments with duplicate reporting and frustration that reinforces compliance rather than learning and improvement (Porter & Goldman, 2013:5).

Monitoring and evaluation remain a guiding tool in deciding against a variety of competing priorities and the most appropriate strategies and approaches to employ. While monitoring tracks progress against pronounced government priorities, evaluation determines the relevance of an intervention, fulfilment of the policy imperatives and ultimately a justification on the value for money (Rabbie & Goldman,

2014:5). This means that, for this study, monitoring and evaluation continue to be two distinct but interrelated management functions with complementary roles in informing decision making.

From the above discussion on international experiences, it can be safely concluded that SA is a typical example of rapid development in the implementation of monitoring and evaluation systems (Goldman *et al.* 2014:378) and how benchmarking has assisted in expediting the process. With the Management Performance Assessment tool adapted from Canada, the UK, New Zealand, and Turkey and the Evaluation System adapted from Mexico, Colombia, Australia and Canada, Cloete (2009:307) alludes to the incremental nature and implementation of the system as the reason for its success thus far. The conclusion by Malesela (2016:98) and Naidoo (2011:326) further supports that monitoring and evaluation systems premised on the best global experiences enhance good governance. Worth noting is an attempt to establish monitoring and evaluation systems across governments with acknowledgements of the challenges and complexities of local governments. This means that specific attention has to be directed towards sustaining and building onto the achievements made while optimising the system for the better. The next section addresses GWMES and the role of DPME.

#### **2.4 THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM (GWMES) AND THE ROLE OF DPME**

The political environment continues to influence the appetite and obligation to measure performance and to account for the broader society. The demand and ownership in building a result-based monitoring and evaluation system is the basic requirement for the success of any monitoring and evaluation system, especially for developing countries (Kusek & Rist, 2004:32) in terms of cooperation and coordination. The key drivers anchoring the effectiveness of such a system are the incentives towards compliance with institutions such as the Auditor General in auditing the accuracy and reliability of reporting against plans (Phillips, Goldman, Gasa, Akhalwaya & Leon, 2014:403).

The GWMES, according to Presidency (2007:12-15), is regarded as a primary management system and a policy framework that seeks to institutionalise performance management embedded within the public service that is well defined and compatible

with other existing management systems. This is envisioned by promoting the practice of monitoring and evaluation, building institutional capacity, clarifying institutional roles and responsibilities, and integrating monitoring and evaluation into the management function. Common features of an effective and functional GWMES include a high level of central governance and coordination; monitoring and evaluation results; and using information to inform planning, budget and policy reforms (Lopez-Acevedo, Krause & Mackay, 2012:24-25). While the National Evaluation forms part of the key components of the GWMES, the focus has been on building institutional capacity for monitoring with the gradual introduction of evaluation at a later stage. With the DPME as the custodian of the GWMES, it becomes a central point of coordination and an allowing environment for implementing the framework. The following section details the process and the responses to the GWMES and its framework.

#### **2.4.1 Development and governance of the GWMES**

Attempts to give traction to GWMES date back to 1990 and the subsequent renewal of the effort in 2004, wherein the ANC Manifesto identified monitoring and evaluation as a government priority to pursue (Masuku & Ijeoma 2015:11). These attempts show the progressive development of the GWMES that is characterised by events and scenarios marking the maturing of democracy whilst trying to improve accountability and keep up with the inheritance of a fragmented country. The operationalisation of the commitments made in the President Thabo Mbeki administration through social compacting and evidence-based information to translate resources into tangible socioeconomic outcomes has been evident in the initial discussions led by DPISA in 2005 on the development of the GWMES.

The adoption of the GWMES by Cabinet in 2005 resulted from coordinating a systemic programme for policy monitoring and evaluation across government, i.e., local, provincial and national. This was a response to fragmented systems and an attempt to a more coherent, comprehensive and integrated approach to monitoring and evaluation (Goldman *et al.* 2014:354; Masuku & Ijeoma 2015:6). The GWMES in South Africa is said to be motivated by the following factors, as indicated by Cloete (2009:298), among others:

- Requirements for regular reporting to the United Nations Millennium Goals Initiative on the eradication of poverty;

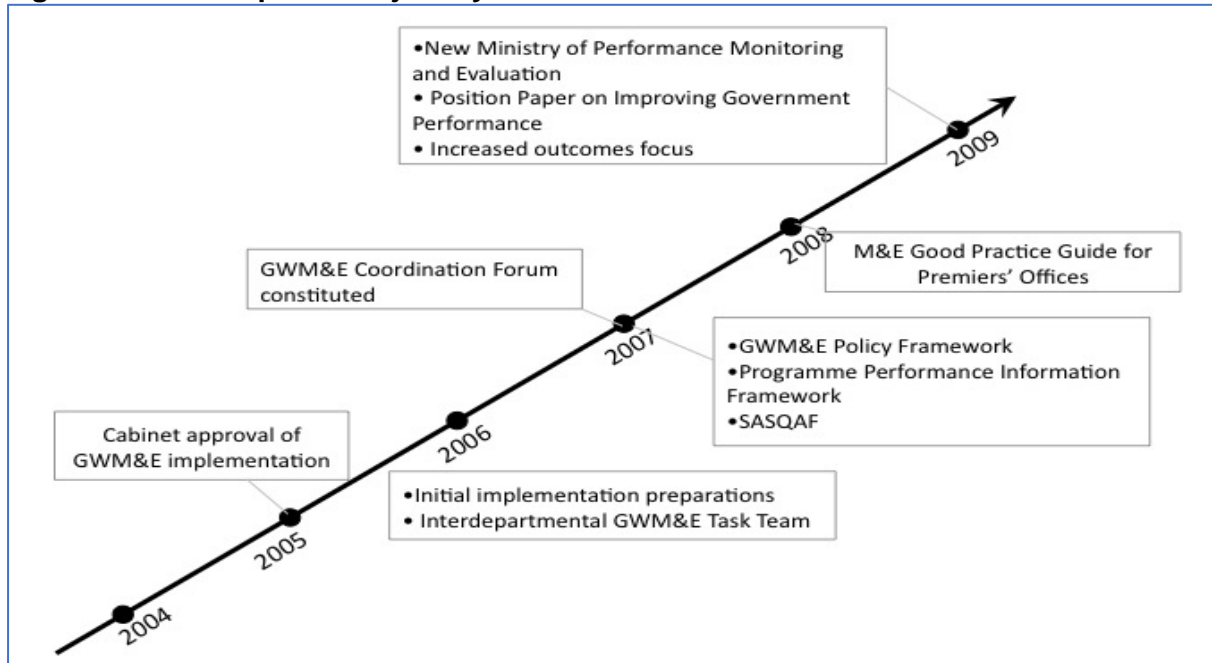
- The need to assess sustainable development through a monitoring and evaluation system that had been nonexistent, and South Africa being the host for the World Summit on Sustainable Development;
- The requirement by donors for accountable monitoring and evaluation system for project reporting and the value for investment, and finally
- Compliance with international good governance practice

Further impetus emanated from the subsequent transfer of the function from the DPISA to the PCAS in Presidency in 2007, which was the turning point in the Thabo Mbeki administration for the institutionalisation of monitoring and evaluation. The relay was also noted in the Jacob Zuma administration, and the greatest growth the creation of the Performance Monitoring and Evaluation Ministry in 2009 and the establishment of the NPC in 2010 (Mouton, 2010: 182). The NPC ushered in long-term planning for government with an emphasis on the improved implementation of government programmes (Gumede, 2017:5). The conceptualisation and proclaiming of DPME was “to drive the function of performance monitoring and evaluation across national, provincial and local government” (Ile, Eresia-Eke & Ile 2012:12) to improve service delivery (Plangemann 2016:71).

The delivery agreements became a yardstick for accountability at the coal face of service delivery and policy level between the three spheres of government through various coordinating committees with a greater focus on public sector performance. The elevation of accountability is further attested by Netshitenzhe (2014:236) and Mouton (2010:182) on the coherence in policy development and coordination through monitoring and evaluation capacity. This is further expressed in the delivery requirements set out in performance agreements from the President to respective Ministers, including the Members of Executive Councils in Provinces.

A further commitment was propelled by the outcome-based approach aimed at improving government performance, improving results and having a positive impact on the lives of people, which informed the policy document on “*Improving Government Performance: Our Approach*” (2009). The Outcomes Based Approach drew from the exchange programme and lessons learned in the UK, Malaysia and Indonesia (Goldman 2017:7). Figure 2.3 below summarizes the milestones and development trajectory of the GWMES from 2004 to 2009.

**Figure 2.3: Development trajectory of the GWMES**



Source: Angela and Ajam (2010:6) and Dlamini and Migiro (2016: 379). Milestones and development trajectory in the GWMES

It can be noted from the above trend that necessary institutional arrangements and provisions were made to enable the implementation of the system with the policy framework, the constitution of the coordinating forum and the practice guide for the provinces. According to Ile *et al.* (2012:93), the monitoring and evaluation framework in 2007 became an important aspect of building a good system for planning in developmental work and was first published on performance information management (Tshatsinde, 2015:10). The authors (Ile *et al.* and Tshatsinde) further submit that such a system should also have a descriptive outline of processes and the performance component. Such provision is explicitly stated in the framework within the policy context for supporting the governance frameworks in SA with a clear delineation of roles and responsibilities. Much as there are systems that already exist, there is also an acknowledgement of some gaps in completing the value chain of policy review and understanding the success of such policies.

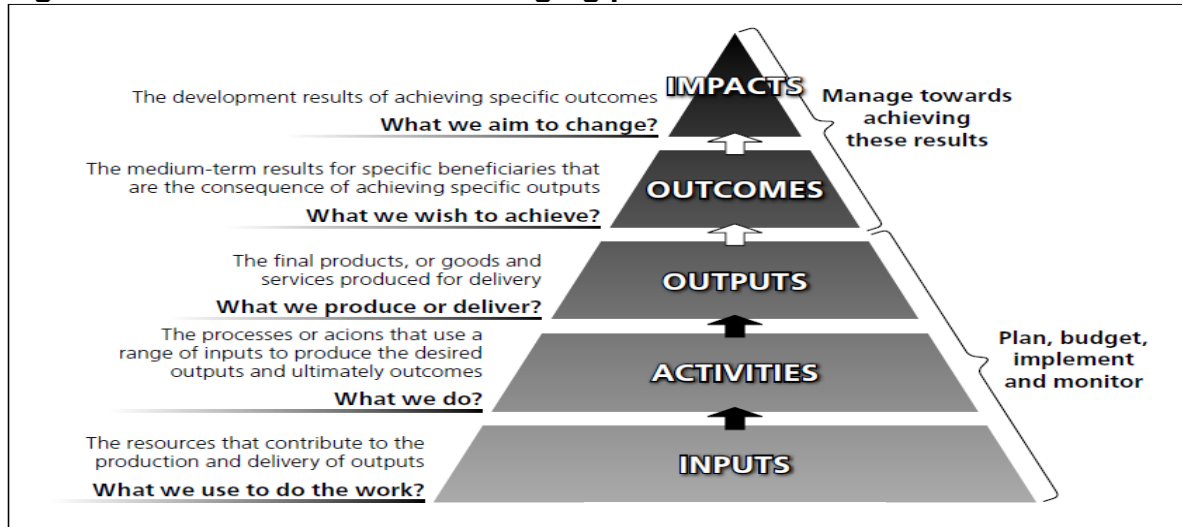
The framework seeks to enhance systems into a structured and coordinated approach to implementation. It provides a basis for the measurement and realisation of outputs, outcomes and their impact. This provision is made by grouping the main three components of the system, also referred to as data terrains, each with its own framework, namely, *programme performance information; social, economic and*

*demographic statistics; and evaluation* (Presidency, 2007:7). A critical assessment from Cloete (2009:307), however, is that the system, although emerging from complex attributes, is operating incomprehensibly without a formal hierarchical structure. The argument on the line of authority that is not clearly defined among the stakeholders with the potential for the duplication of functions and turf battles among those that are regarded and the centre of government and line departments may not be entirely factual and thus is not supported. Reference is made to section 2.3 on contextualising the development and practice of monitoring and evaluation in SA and the related figure 2.3, wherein there is a clear depiction of key role players and their respective mandates, which are complementary rather than duplicating. Responsibilities need to be understood within the context of how they are formally allocated and executed based on the respective sector mandates. The same applies to capacity, which needs to be viewed as a set of components (infrastructure, access to information and resources) that enable the effective and efficient delivery of services.

#### **2.4.2 Key defining features of the GWMES**

The GWMES, as intended to establish a uniform arrangement of monitoring and evaluation across all the spheres of government, also provided a framework to integrate planning, performance management, budgeting and reporting (Presidency 2007:4) as a single system of accountability. According to Presidency, the intention was to have a responsive analysis of the relationships through a programme logic model (Auriacombe 2011:42) that is aligned to the National Treasury results-based pyramid on managing performance, as shown in Figure 2.4 below:

**Figure 2.4: Results based on managing performance**



Adapted from: National Treasury (2007:6), Public Service Commission (2008:42), and Auriacombe (2011: 43)

The programme logic model depicted in the above figure assists in identifying fundamentals that require attention and “*within the context in which the policy is taking place*” Auriacombe (2011:43) and, in this regard, the GWMES. The trademark of this system is that the planning process should also generate milestones against which progress is gauged, and this is one of the defining interfaces between planning, monitoring and evaluation. Monitoring and evaluation systems in this context refer to processes, structures, policies, strategies and accountability relations in government (Engela & Ajam 2010:29). The system should be supported by enabling conditions, capacity and organisational culture for monitoring and evaluation function to influence planning and decision making for service delivery improvement. This emphasis is illustrated in the National Treasury’s Framework for Strategic Plans and Annual Performance Plans (National Treasury 2010:2) in relation to the key defining components and data terrains discussed in Chapter 1.

While there is acknowledgement of the challenges and milestones in entrenching the monitoring and evaluation system that is customised to each country, SA emerges to be more progressive in terms of pace and time (Dassah & Uken 2006:718). The establishment of forums and governance structures, monitoring and evaluation units in departments, and guidelines for monitoring and evaluation for national and provincial departments continue to be a foundation and support system in entrenching the culture of result-based monitoring and evaluation. Measuring objects that have



been clearly defined and indicators formulated according to the result-based pyramid suggests that the outputs of government interventions should indeed contribute to improving service delivery and enhancing accountability; however, experiences on the ground suggest otherwise. The current trends in corruption and the dwindling public trust in government and its institutions also suggest otherwise. Continuous capacitation in the form of technical skills, resources and enabling infrastructure requires optimisation, coupled with consequence management for noncompliance on the use of public funds against the approved allocations, remains an area of concern.

### **2.4.3 Institutional setup for planning, monitoring and evaluation value chain in SA**

The Presidency through the executive authority, remains the champion of the GWMES and DPME in its proclaimed role of strengthening linkages between planning, monitoring and evaluation functions, playing a key coordinating role in ensuring that the system is entrenched and institutionalised in departments. A plethora of scenarios is suggested by various scholars on typical elements that could either enable the institutionalisation of monitoring and evaluation or assist in understanding the extent to which monitoring and evaluation has been institutionalised. According to de Coning and Rabie (2014:264), monitoring and evaluation must spread across the organisation and should be supported by an institutional readiness assessment to roll out the function. Creating a favourable environment for institutionalisation is when the organisation is developing, the organisational culture is sustained, capacities are developed, and policies and values are embedded into the organisation for the monitoring and evaluation practice to emerge.

Kimaro, Fourie and Tshiyoyo (2018:209-216) suggest that political will, creating demand and ownership of the monitoring and evaluation system, is one of the enabling environments for the institutionalisation of the system. They further posit that this should be supported by a dedicated budget for implementation and building capacity, clear roles and responsibilities together, with sanctions and incentives attached to the use of the monitoring and evaluation system. Mtshali (2014:70), on the other hand, suggests governance, structural arrangements, value systems, human resources, training and professional support as key guiding elements to institutionalising monitoring and evaluation systems at a departmental level.

The policy framework for the GWMES (Presidency 2007:19-21) provides the following guiding principles intended to facilitate institutionalisation.

- The implementation plan should integrate and build upon existing sector reform initiatives to maximise resources and improvements.
- The policy framework should strive to consolidate, incorporate and align monitoring and evaluation initiatives towards improving overall government performance.
- Customised and sector-specific approach across government with delineated roles and responsibilities for the optimal use of resources.
- Minimising the administrative burden of compliance with clear reporting lines and designated data sources across sectors and different spheres of government. System integration and ease of data exchange should be emphasised in monitoring and evaluation systems that are IT-based and enabled.
- Preconditions for conducting evaluations should be enabled by enforcing credible monitoring and statistical standards.
- Periodic reviews of the GWME policy framework implementation to adjust and adapt the system as the environment evolves.

The above principles provide a framework for assessing the extent to which the GWMES has been institutionalised, notwithstanding the variation, complexities and baselines in the implementation environments of different sectors. Table 2.1 consists of a checklist of features that could be used to assess each performance management element for the institutionalisation of monitoring and evaluation (Kimaro, Fourie & Tshiyoyo 2018:210). These include *a) defining measurement object; b) formulation of indicators; c) data collection and analysis; d) reporting; and e) use of monitoring and evaluation information.*

**Table 2.1: A checklist of institutionalised monitoring and evaluation features.**

	Element	M&E checklist
a	Defining measurement object	Strategic/business plans informed by M&E Information
		Annual plans cascaded from the main plan
		Institutional structure(s) for facilitating M&E functioning
b	Formulation of indicators (or M&E system)	M&E systems/framework linked with institutional plans
		Indicators measuring various levels of implementation
		Budget to support M&E activities
		M&E policies, tools, procedures in place
c	Data collection and analysis	M&E plan setting out data collection mechanism
		Monitoring data collected on periodic basis
		Evaluations conducted by the local government
		Available IT infrastructure to support M&E data analysis
d	Reporting	Performance reports generated from the M&E system
		Performance information produced widely shared with internal and external stakeholders
e	Use of M&E Information	Structural arrangements/regulations to enforce use of performance information in place
		Sanctions and rewards decisions taken against performance
		Decision-making processes (planning, budgeting, implementation approaches) and meetings informed by M&E information e.g. performance indicators and reports
		Strategic plans reviewed based on performance information

Adapted from: Kimaro, Fourie and Tshiyoyo (2018:210). A checklist of institutionalised monitoring and evaluation features.

Looking at the system as a credible means of accountability, the GWMES becomes a critical set of components for assessment. Based on the above elements and related checklist, the literature that has been reviewed thus far suggests a level of compliance on the first 4 elements with some of the indicators. The exception is the use of monitoring and evaluation information, which has not been optimal, suggesting a dedicated focus, especially on enforcement, sanctions and rewards against performance.

#### **2.4.4 The role of DPME in relation to the implementation of GWMES**

Section 85(2) of the RSA Constitution provides for the legislative mandate of the DPME through the executive authority by the President. The basis for DPME was to drive the government priority outcomes and monitor the delivery of the associated plans. This meant that for DPME, the design of systems and interventions needed

have a strong technical base yet are politically feasible with a cutting edge and government-wide footprint (Plangemann 2016:74). Such an organisational design demanded sound technical capacity and expertise on monitoring and evaluation backed by international exposure. This led to the setup of the capacity building unit within DPME together with the monitoring and evaluation community of practice premised on the people-centred approach (Ile, Eresia-Eke & Ile 2012:67). The technical support from a variety of stakeholders, including local and international stakeholders, academia, the private sector and research institutions, influenced the design and shape of DPME as the champion of the monitoring and evaluation system for the country (Plangemann 2016:77). The subsequent cabinet approvals for various initiatives, support and leadership provided by the President, the Minister and DPME management enabled initial engagements and appetite with departments on prototyping, piloting and upscaling, as reflected by Philips *et al.* (2014:400) on the lessons learned. The establishment of DPME is seen to be operating beyond facilitating planning, monitoring and evaluation but also enhancing good governance (Malesela 2016:71) in the public service.

The role and mandate of the DPME has evolved over the past 10 years to adapt and maintain its relevance to changes in the organisational environment. The 2012 strategic document (DPME 2012:5) outlined the mandates for DPME in relation to performance monitoring and evaluation, and the key to that was the Programme of Action (POA). In contrast, progress on the identified national priorities was reported on (Plangemann 2016:74). The promotion of good monitoring and evaluation practices is further expressed through the coordination and support of an integrated government-wide performance monitoring and evaluation system by creating a policy platform and capacity building across government (DPME 2012:19). Table 2.2 below provides details on the monitoring, evaluation and planning functions of DPME prior to the merger with NPC as modified from Philips *et al.* (2014:395).

**Table 2.2: Functions of DPME prior to merger with NPC**

Priority/Function	Expected deliverable
Monitoring and evaluation of national priorities	<ul style="list-style-type: none"> <li>a) Developing the MTSF/outcome plans (delivery agreements)</li> <li>b) Monitoring progress against the delivery agreements</li> <li>c) Evaluating to see how to improve programmes, policies and plans</li> <li>d) Operation Phakisa – intensive planning, M&amp;E, and problem-solving on priority programmes, building on the Malaysian experience</li> </ul>
Management performance monitoring and evaluation	<ul style="list-style-type: none"> <li>a) Assessing the quality of management practices in individual departments (MPAT) at the national/state level</li> <li>b) Assessing the quality of management practices and delivery in local government (LGMIM)</li> </ul>
Monitoring and evaluation of frontline service delivery	<ul style="list-style-type: none"> <li>a) Monitoring of the experience of citizens when obtaining services (joint with states), including citizen-based monitoring</li> <li>b) Presidential Hotline – including tracking responses and follow-up</li> </ul>
Implementation of the Government-wide, Monitoring and Evaluation System	<ul style="list-style-type: none"> <li>a) National M&amp;E policy frameworks</li> <li>b) M&amp;E platforms across government – nationally, provincially</li> <li>c) Structures of M&amp;E units/capacity development</li> <li>d) National Evaluation System</li> <li>e) Five-yearly reviews of changes in the country 1.e. the 20-year review</li> <li>f) Annual production of development indicators</li> <li>g) Data quality issues</li> </ul>

Source: Philips *et al.* (2014:395:). A focus on monitoring and evaluation of results. An example of the Presidency, South Africa

As noted from the table, the focus of DPME has been on performance monitoring without a planning component. The main four functions have been monitoring and evaluating the national priorities, management performance, frontline services and implementation of the GWMES. The merging of the Performance, Monitoring and Evaluation and NPC was yet another change in the organisational environment that necessitated adjustments to locate the entire value chain of planning, monitoring and evaluation in one institution (DPME 2015:15). This reconfiguration, according to Gumede (2017:5) and Kimaro, Fourie and Tshiyoyo (211:2018), was meant to strengthen linkages between planning, monitoring and evaluation functions, thereby enhancing the implementation of the NDP. Mapitsa and Khumalo (2018:8-9) suggest another model for pursuing and understanding monitoring and evaluation. This includes the technical element focusing on data systems and information infrastructure; the institutional element consisting of national policies, organisational systems and stakeholder collaborations; and finally, the governance element, which

deals with leadership capabilities, oversight, accountability and the overall culture of monitoring and evaluation. The three elements, when linked together, facilitate organisational change and contextualise the environmental factors.

The delegation of the PFMA function of managing strategic and annual performance planning to the DPME by the National Treasury in 2014 meant further incorporation of the assessment of departmental strategic plans and annual performance plans to ensure alignment with long-term and short-term plans of the government to the DPME mandate (2015:13). Kimaro, Fourie and Tshiyoyo (2018:211), in their consideration of factors influencing the interrelationship between performance management, monitoring and evaluation, support the integration of national monitoring and evaluation systems with national planning systems to harmonise and coordinate overall performance information.

According to Kimaro *et al.* (2018), this integration becomes the driver and influence on the monitoring and evaluation practices, which includes the demand for evidence-based decision-making in the public sector. The merging of the planning, monitoring and evaluation functions into one institution resulted in the reorganisation of the DPME to accommodate the changes, as reflected in the 2015-2020 strategic plan (DPME 2015:11). Table 2.3 summarises the revised role of DPME with the inclusion of the planning component as one of the strategic objectives.

**Table 2.3: Summary of the revised role of DPME with the merger of the NPC**

Planning	<ul style="list-style-type: none"> <li>a) Institutionalisation of planning</li> <li>b) Long-term planning charting the country's developmental trajectory</li> <li>c) Co-ordination of the planning system for coherence, alignment and quality of plans</li> </ul>
Monitoring	<ul style="list-style-type: none"> <li>a) Monitoring the implementation of the NDP by developing robust monitoring systems backed by evidence.</li> <li>b) Coordinate the implementation of the MTSF and report on the progress</li> </ul>
Evaluation	<ul style="list-style-type: none"> <li>a) Evaluating critical government programmes with the intention to inform planning, monitoring and interventions as well as budget prioritisation.</li> </ul>
Interventions	<ul style="list-style-type: none"> <li>a) Interventions on behalf of the President and Cabinet through Inter-Ministerial Committees. (e.g., SASSA and the North West intervention)</li> </ul>

Adapted from DPME Annual Performance Plan (2017) and Annual Report (2018)

This further included the National Development Agency as an entity to support youth empowerment through the implementation of youth development policies and Statistics SA “to advance the planning, production, analysis, documentation, storage,

*dissemination and use of official and other statistics*” (DPME 2018:19). These entities report to the Minister of DPME. A notable change from the above table is the distinction between Planning, Monitoring and Evaluation as separate functions. This became a major milestone, as the cry has always been about recognising monitoring and evaluation and complementary and interrelated functions but different disciplines requiring the requisite technical skills. Responses to the GWME Framework are discussed in the next section with some of the success factors and challenges.

## **2.5 RESPONSES TO THE GWME FRAMEWORK- SOME OF THE SUCCESS FACTORS AND CHALLENGES**

Notably, the South African GWMES and its wide-ranging frameworks is in progress, with some milestones achieved. Since the establishment of the DPME in 2010 and the introduction of the system, *progress has been made in entrenching long-term planning and institutionalising the outcomes* approach of the government in line with the NDP vision supported by the relevant leading role players. Drawing from the case study of the International Institute for Environment and Development (IIED 2019), political buy-in and support for resources remain key in developing vigorous national monitoring and evaluation systems. Within four years of establishing the DPME guided by the international experiences, Cabinet adopted the NDP as an overarching country plan. The 14 government priority outcomes aligned to the NDP were adopted and pursued as strategic focus areas that facilitated interdepartmental and intergovernmental coordination (Plangemann 2016:75). While the National Evaluation forms part of the key components of the GWMES, the main focus has been on building institutional capacity for monitoring with the gradual introduction of evaluation at a later stage. According to Goldman *et al.* (2012), the following milestones are worth noting:

- Delivery agreements were signed by the President, Ministers and Provincial Premiers by the end of 2010.
- The Presidential Hotline, which was set up in 2009, was transferred to the DPME in 2011 to continue with the function of managing citizens’ complaints and enquiries related to service delivery.
- The tool for the assessment of management performance (MPAT) for national and provincial departments was developed and rolled out in 2011.

- A new system of monitoring front-line services was developed and rolled out to selected national departments and all provinces in 2012 to collect evidence at the coal face of service delivery through unannounced monitoring visits.
- A national evaluation policy framework was developed and adopted by the Cabinet towards the end of 2011 and the subsequent National Evaluation Plan, which is linked to the national planning process.
- The citizen-based monitoring framework was approved by the Cabinet in 2013.
- The Medium-Term Strategic Framework (MTSF) linked to the electoral mandate was launched in 2014 and has been informed by actions and targets from monitoring and evaluation results since 2010 as the POA.
- The annual publication on South Africa's Development Indicators on quantitative markers that track the progress being made towards achieving key policy goals.
- Monitoring and evaluation champions have been created across the government for a seamless link and coordination of the national planning and monitoring results with the evaluations feeding into policy decision-making. Worth noting is the continuous building of capacity and skills development initiatives through various networks and forums for monitoring and evaluation and the professionalisation thereof.
- DPME guidelines, standard operating procedures and tools have been developed for functions, roles and responsibilities for national departments and provinces with regard to monitoring and evaluation. Data forums have been established linked to the priority outcomes to enable sharing and technical support for planning, monitoring and evaluation (DPME: 2017 Terms of reference).
- A form of a balance between monitoring and evaluation as two distinct but interrelated fields has been created. This has seen an increase in the number of evaluations commissioned thus far supported by the DPME guidelines.

The successes of the GWMES noted thus far assume that environmental scanning and readiness assessment was done according to Kusek & Rist (2004:23) as a solid foundation for rolling out the system. A favourable and enabling environment can



indeed be attributed to political commitment and best practices of other countries. With the DPME as the apex institution driving monitoring and evaluation, institutional arrangements, to some extent, were set up across the government, although insufficient (Goldman & Pabari 2021:7). To that end, tools and initiatives contributed to an increase in evidence for policy and decision making, although gaps still exist at the departmental level. The 2014-2019 MTSF provided an opportunity for linking performance monitoring to departmental plans that were already aligned to the NDP and the resultant priority outcomes. This included the introduction of the Management Performance Assessment Tool, which assisted in identifying departments that were rated as poor performers for the attention of the Presidency (Philips *et al.* 2014:399). Measuring and tracking performance was therefore enabled through the quarterly progress reports on the respective outcomes. DPME, in its existence to support the Presidency in achieving the country's developmental objectives, also provides regular briefings to the President through the Minister on sector-specific issues.

Key to these milestones is that not only do they mark a progression in terms of implementing the GWMES and its framework, but they also respond to some of the improvement gaps that were advanced by Cloete (2009:308) as part of improving the structure and operation of the system. The annual publication of the development indicators was an attempt to respond to the call for the sectoral integration of policy indicators and a distinction of output, outcome and impact indicators. This is specifically in relation to the integrated national vision and the holistic approach, seen through the proclamation of DPME and the merging of planning, monitoring and evaluation to guide the implementation of the monitoring and evaluation activities. This proclamation was further supported by human and financial capacity to adequately carry out the monitoring and evaluation coordination mandate as the centre of government.

### **2.5.1 Emerging issues and persistent challenges**

Despite these positive advances, there are several persistent challenges in safeguarding investments made towards the reform initiatives by the centre of government departments. This relates to improving administrative data quality and coherence and establishing monitoring and evaluation as a core function of management, as suggested by the literature review. The IIED (2019) posits that the

quality and credibility of data collection depend on the capacity of the responsible institutions to feed into the reporting process and justify the value for money. This has been noted in the culture of compliance created with poor reflection on performance improvement (evaluation). Reporting has not adequately synergized and remains duplicated across departments.

Linking monitoring and evaluation with the budget process is a politically sensitive reform that requires an interface between administrative practices and political support for a joint effort to ensure that the supply and demand of monitoring and evaluation are accounted for within the existing budgetary framework (Lopez-Acevedo *et al.* 2012:85). This is evident in the current use of monitoring and evidence where findings and results are not used to inform planning and budgeting, departmental plans are still fragmented, and instability is apparent in the administrative leadership within the public service (DPME 2014:24-32), hence the institutionalisation of long-term planning.

Studies by Mtshali (2014), Tshatsinde (2015), Malesela (2016) and Phetla (2017) focusing on different departments make a fair analysis of the practice and use of monitoring and evaluation systems in their respective research areas. The advances made with regard to the internalisation of the GWMES are acknowledged with opportunities for improvement. The studies further assert that more focus and resources are directed to monitoring and neglecting evaluation. Capacity deficits and monitoring and evaluation results are areas of concern that still require attention. Equally concerning (Naidoo, 2011:325) is the senior posts created and filled by officials without competent skills and capacity in monitoring and evaluation and the relatively low number of affiliates in SAMEA as a professional body for Monitoring and Evaluation.

Finally, is the patronage network of corruption and growing inequalities that were further exposed by the COVID-19 pandemic with an unbecoming influence on trust levels in government. While other studies have been noted together with their findings that focus on the different sectors and government departments, this study, in particular, focuses on DPME as the centre of government and the custodian of the GWMES. The study aims to investigate the extent to which the monitoring and evaluation systems have been institutionalised within the public service, milestones and challenges encountered as the system evolved up to 2019 and to further understand the current practice and sustainability against the imperatives of the

GWMES together with the successes and challenges in the context of DPME. The study will further contribute to the review and improvement of the system for optimisation within the public service. The next section outlines the conclusion of Chapter 2.

## **2.6 CONCLUSION**

Chapter 2 focused on the development trajectory of monitoring and evaluation as a multidisciplinary field and how it has evolved in relation to the reforms that were undertaken by a selection of developing countries, including SA. Reference is made to the SA GWMES, which has been adopted, and the overarching coordinating system for monitoring and evaluation across government in SA. The literature suggests that there has been growing interest and overwhelming information on monitoring and evaluation across various fields, especially after 1994, as part of improving governance, accountability and, most importantly, the capacity of the state to improve the quality of service delivery. The case of Uganda, Benin and SA suggested milestones and lessons for further enhancing the monitoring and evaluation systems with more focus on coordination, creating the demand and use of evidence to inform policy decisions.

SA emerges as some of the countries where the enabling environment has been created backed by political will and championing. The establishment of the DPME has been the hallmark of the GWMES enabled by the institutional reforms introduced. While government performance review reports also suggest progress and milestones in the institutional setup for the coherence of monitoring and evaluation functions, the focus is still more on monitoring with less emphasis on evaluations; thus, the results are not adequately informing planning and budgeting. Some of the challenges relate to data quality and coherence monitoring and evaluation function. Capacity deficits and corruption are imminent and continue to pose a threat to the sustainability of these reforms. Chapter 3 focuses on the research design and methodology of this study.

### 3.1 INTRODUCTION

This chapter on research design and methodology details the strategies employed for data management processes. This was guided by the literature review alluded to in Chapter 2 to justify and account for the choice of research designs and philosophical assumptions. This chapter further discusses considerations of validity, reliability and ethical issues for the credibility of this study and, finally, the limitations thereof. Noting that the enquiry is qualitative, it becomes necessary for the researcher to explain the logic behind the choice of methods and techniques used to ensure that this study meets the qualities of good research that is systematic, logical, empirical and replicable (Kothari 1990:21). The following section presents the research paradigm.

### 3.2 RESEARCH PARADIGM

The research paradigm becomes important in framing the methodology guiding this study. Furthermore, the structure remains thrust and informed by the nature of the research questions, which directly influence how data are collected and analysed in studying the research problem. These research questions were phrased as follows:

- What do concepts related to the GWMES entail?
- What is GWMES and the role of DPME?
- What is the practice of monitoring and evaluation in the public service, and how has it been sustained?
- What are the implementation successes and impediments in institutionalising the GWMES?

In arguing for competing paradigms in research, McNabb (2017:11) highlights the importance, appropriateness and complementary nature of various research methods for a better understanding and analysis of phenomena and human events that are being studied, particularly in the public administration field. The descriptive and interpretive paradigm has been associated with qualitative enquiry. Thus, the study is nonempirical based on a qualitative research method and follows a conceptual and document analysis technique. McNabb (2017:13) further submits that the meaning and

usefulness of a concept is only when it can be seen or measured, especially on issues and concepts that are exceptionally complex, such as that of the monitoring and evaluation discipline in relation to this study. The nature of this enquiry calls for qualitative research with both a descriptive and interpretive paradigm because the study is concerned with investigating and mapping existing problems through an open-ended search, which will ultimately contribute to clarifying issues and concepts under investigation.

The descriptive and interpretive paradigm provides a detailed account and explanation of concepts investigated in a complementary manner. Thus, in this context, the descriptive paradigm provides an understanding of what the GWMES is and the role of DPME. In contrast, the interpretive paradigm assists in understanding trends and evolution of the GWMES with regard to its uptake and implementation together with the nuanced impediments. It is hoped that this study will contribute to the monitoring and evaluation practice by developing a concept that will help understand the implementation of the GWMES by DPME. The research methodology is detailed in the next section.

### **3.3 RESEARCH METHODOLOGY**

Methodology as a theory of enquiry and a systematic approach to resolving research problems (Auriacombe 2016:3) becomes critical in structuring the road map towards the data collection process, analysis and ultimately the interpretation of the findings. Thus, the research methodology encompasses the actual research methods together with the justification for the preferred methods and techniques used to conduct the actual research in solving the identified problem (Kothari 1990:8; Auriacombe & Meyer 2020:651). Based on the stated research paradigm, this study employed a qualitative, nonempirical research method concentrating on conceptual and document analysis. The qualitative method becomes relevant since this study is thrust on content analysis with descriptive, theoretical and conceptual questions (Mouton 2001:179). Nonempirical studies assist in understanding and reviewing progress in the related field of research, in this case, GWMES and DPME. This was done by drawing on reflections from the literature and examining conceptual studies according to Mouton (2001:154) through a well-structured document and content analysis. The study seeks to advance knowledge and understanding of the GWMES through the use of

systematic and credible procedures for data gathering and analysis to provide an in-depth understanding of the monitoring and evaluation discipline as it unfolds. The following section presents the justification for selecting a conceptual study as the preferred choice of this study.

### **3.3.1 Rationale for the conceptual study**

The reason behind the conceptual study, as previously alluded to in Chapter 1 under 1.6, is that this approach indicates the importance of clarifying conceptual linkages with the research questions in determining different dimensions of meaning and, most importantly, addressing possible limitations and main sources of error that might arise during the actual research process (Mouton 2001:175-176). It further assists in clarifying systems of concepts, provides linkages and finally shows *conceptual implications of different viewpoints* (Mouton (2001:175); Auriacombe (2016:7). A conceptual study provides a comprehensive understanding and meaningful interpretation. It is primarily based on scholarly literature, reflections, interpretations, interrelations and variables of concepts that have impacts on the phenomenon under investigation (Auriacombe 2016:8). In this regard, it would be the evolution of the GWMES as implemented by DPME.

Furner (2004:233) and Auriacombe and Meyer (2020: 652) define conceptual analysis as a technique and a means of reasoning that treats various concepts as classes of objects, event properties or relationships that are illuminated for a further understanding and expression of problems. Furner (2004: 235) further submits that conceptual analysis is primarily focused on the definition and meaning ascribed to a concept to create a better understanding and relevance within the field under study. Auriacombe and Meyer (2020: 652) further posit that conceptualising includes the research problem, the conceptual framework and the research design wherein distinct concepts are studied for the creation of new knowledge.

Key to the conceptual study is the challenge and review of existing knowledge, identification of inconsistencies and gaps, and advancement of key insights into new knowledge and information (Auriacombe & Meyer 2020: 657). Selected themes in the context of monitoring and evaluation will thus provide a convenient sequence of hypotheses that will be tested using thematic analysis according to the search strategy to characterise and summarise the main concepts through the assimilation and

synthesis of gathered evidence from previous studies and documents. Furthermore, scrutiny of the conclusions of the literature within the discipline and context of monitoring and evaluation will form a critical part of this conceptual analysis. Understanding the evolution of the GWMES within DPME becomes a relevant object to explore using this technique to appreciate responses to the GWME framework.

Last, the impact of the COVID-19 pandemic, although the restrictions have been eased, has also influenced the choice of research method and design and the fact that there is vast literature and official documents on this topic. The fact that few resources are needed, which ultimately saves time, and that this form of research is also concerned with the evaluation of literature, which is rather convenient, became an advantage for the researcher. The following variables, as stated by Kothari (1990:14), have also been considered in the selection of the appropriate method and design for this study:

- Means of obtaining information: It is anticipated that information that is deemed official public documents from the DPME in response to the research questions and objectives in relation to the institutionalisation of the monitoring and evaluation systems is readily available and accessible on the departmental and government websites.
- The availability and skills of the researcher to carry out the study within the prescribed timeframe: the researcher's commitment, skills and ability have been displayed in her previous studies. Having completed a research project in the previous studies assisted the researcher in being equipped with relevant research skills. The review of completed dissertations and theses also enhanced the researcher's skills because the research methods that were adopted in these documents were scrutinised. In addition, seminar work on research methodology in public administration was read and utilised in this dissertation. Public Administration scholars such as Auriacombe's (2016) work on unobstructive research techniques was consulted and used to justify the choice of the research method adopted in this dissertation.
- Justification of the selected means of obtaining information: The process to access the required information will be done within the required ethical requirements of the University of South Africa. Most of the official reports and documents are made public and readily available on the DPME website. Various Unisa library databases

will be searched for relevant scholarly literature. This was also enhanced by attending library training sessions on using the library catalogue, theses and dissertations, EbscoHost and accessing e-journals.

- The implications of time and cost factor for the actual research and commitment to make reasonable accommodation for time and associated costs to execute the study within the specified period: a conceptual study is affordable and requires only time from the researcher. The researcher made the time to ensure that the required information was accessed and thoroughly analysed for accurate reporting of the findings. Moreover, time was also made to attend meetings with the supervisor and other research methodology training opportunities offered by the University of South Africa.

### **3.3.2 Search strategy**

A systematic literature review through a search strategy is seen as a means of locating and summarising studies relevant to the topic under investigation (Creswell & Creswell 2018:76), which is mainly done electronically. Sekaran (2003:66) supports the notion that online searches come with some advantages in that they save time, are cost-effective and allow the researcher to focus on material that is only related to the research topic. Various scholars propose a variety of methods for the systemic literature review that are mainly grounded in capturing, evaluating and summarising the literature (Creswell & Creswell 2018; Kable, Pich & Maslin-Prothero 2012; Kothari 1990; Auriacombe 2016; Mouton & Marais 1990).

A search strategy is thus important to understand and clearly outline data collection processes in advance. The methodological outline of the search strategy gives a clear understanding of the literature that has been reviewed with clear inclusion and exclusion criteria and thus locates the most relevant literature. It forms part of the key determining factors for the credibility of the study and the justification of the process followed. Kable, Pich and Maslin-Prothero (2012:879-881) propose a 12-step process for conducting a detailed search strategy:

#### **3.3.2.1 *Purpose statement to be addressed in the literature search***



The purpose statement to be addressed in the search is linked to the four main key questions of the study, as outlined in Chapter 1. The study drew from literature to provide an overview of the institutionalisation of the GWMES by the DPME.

### **3.3.2.2 Databases and search engines**

Given the evolving and complexity of the monitoring and evaluation field and, in particular, the GWMES, a manual search was conducted in June 2022 within the DPME website to access strategic documents, annual performance plans, annual reports, policy documents, guidelines, publications, speeches and statements. In addition, a Google Scholar search was conducted to locate and identify published studies on monitoring and evaluation as it relates to the GWMES. This further included specific conference and seminar papers, OECD publications, journals, library database theses and dissertations on the development of monitoring and evaluation in South Africa.

### **3.3.2.3 Limits applied to the search, inclusion and exclusion criteria**

The search applied to and included secondary data sources through a desktop review. The criteria for inclusion focused on data sources and information that is written in English, relevant to the selected topic and published between 2009 and 2019, as it focuses on DPME and the GWMES. The relevance was determined by reading the abstract and the findings of each article. Sources that addressed monitoring and evaluation were therefore selected. The period 2009–2019 was selected because DPME was established in 2009, which implies that a 10-year period will be sufficient to make valid conclusions on GWMES. Studies and data sources that fell outside 2009 and 2019, were not relevant to the topic, and did not focus on DPME were excluded. Studies that were not written in English were also excluded to manage language barriers and translations due to the limited time frame for this study. The following table provides a summary of the inclusion and exclusion criteria.

**Table 3.1: Summary of the inclusion and exclusion criteria.**

INCLUSION CRITERIA	EXCLUSION CRITERIA
Studies published and documents written between 2009 and 2019.	Studies published and documents are written outside 2009 and 2019.
Official documents available for public knowledge	Internal and confidential Departmental documents

Studies focusing on monitoring and evaluation in government.	Studies focusing on monitoring and evaluation in the private sector.
Studies and documents are written in English.	Studies wrote in languages other than English.
Studies published in accredited journals	Studies that were not published in accredited journals
Studies whose focus is on GWMES and relevant to the topic	Studies whose focus is not relevant to the topic

Adapted from Abrahams (2021:88).

#### **3.3.2.4 Search terms used**

Monitoring and evaluation is a fairly researched subject, and search terms are important in that they assist in locating literature effectively consistent with the inclusion criteria (Kable, Pich & Maslin-Prothero 2012:880). This comes with an acknowledgement that the selection of the appropriate search terms can further be a complex process of attempting to integrate and aggregate themes, especially for a qualitative study as purported by Carmona, Baxter, and Carroll (2021:498), while also trying to synthesise the most relevant qualitative evidence to support the purpose and objectives of the research. The following five text search terms were used to ensure almost accurate sources with either one or all of the key terms included.

- Government-wide monitoring and evaluation system;
- Department of Planning, Monitoring and Evaluation;
- Success and challenges in monitoring and evaluation

The rationale behind text searching as opposed to word searching is that while the number of results may be minimal, there is potential for more relevant results. Phrase searching decreases the number of results obtained and makes the results more relevant and strongly advocates for the combination of both text as a subject heading and key concepts identified for an in-depth systematic review (Kable, Pich & Maslin-Prothero 2012:880) and (Carmona, Baxter & Carroll 2021:498).

#### **3.3.2.5 The search process and assessment of retrieved articles for relevance**

A clear accounting for the search process not only gives credibility to the results but also assists in justifying the findings based on the advanced inclusion and exclusion

criteria, allowing future studies and to further replicate or improve the search process in the same subject and, in this case, that of the GWMES. The search process was guided by the inclusion and exclusion criteria alluded to under 3.3.2.3, the search terms alluded to under 3.3.2.4 and *the databases and search engines* discussed under 3.3.2.2. This assisted in selecting a reasonable number of scholarly sources and official documents for analysis purposes, which is a detailed account in chapter 4.

### **3.3.2.6 Summary table of included articles and statement on the number of retrieved articles**

In maintaining objectivity and transparency of the search and results process, a comprehensive assessment of all *retrieved relevant articles* using inclusion and exclusion criteria *will be detailed in a summary table to rule out other explanations. With details such as the author, title, findings and quality appraisals, the documentation of the result table according to* Kable, Pich and Maslin-Prothero (2012:880) assists in managing oversights and duplications during the search process while maximising the accuracy of the search results. The detailed summary of the table is thus important and facilitates the development of a succinct summary of the systematic literature review, which will be deliberated further in Chapter 4.

### **3.3.2.7 Quality appraisal of retrieved literature**

The quality appraisal is almost the final step of quality assessment and grading of the retrieved literature to map evidence and report on the findings. Key to the quality appraisal process is the limitation criteria that exclude studies and documents that do not meet the inclusion criteria outlined in 3.3.2.3. Detailed results on the synthesis of the literature and findings will be discussed in Chapter 4.

### **3.3.2.8 Check the reference list for accuracy**

Linked to transparency, and in particular, data transparency, is the accurate reference list of all sources that gives a concise summary of the retrieved documents for review. Important to note is the acknowledgement of all sources with the correct reference style. A detailed table with authors, titles and types of studies and documents will be provided. The following section details the research design.

## **3.4 RESEARCH DESIGN**

Research design, simply put, refers to a thought process with consideration for the resources, ability and environment within which the plan is to be executed. Mouton and Marais (1990:32) emphasised the importance of a research design in that it provides an arrangement of conditions for data collection and analysis for credibility and relevance to the research findings by aligning the research goals with the real considerations and limitations to maximise the findings. Kothari (1990:31) and Auriacombe (2016:3) refer to the research design as the conceptual structure constituting the blueprint for data collection and analysis in a manner that combines relevance to the research purpose and the economy in the procedure for credible evidence and accurate representation of a phenomenon.

McNabb (2017:46) and Mouton and Marais (1990:42) further denote three strategies of research design that are dominant in public administration research. Critical research studies are also referred to as exploratory, interpretive (descriptive) and explanatory research studies. Each research study serves a distinct function within each field of research and is mostly guided and aligned to the research objectives. Exploratory studies examine new ideas and lead to insights and comprehension using document analysis and literature review (Mouton & Marais 1990:43), while descriptive studies provide an impression of circumstances to illustrate a variety of contexts ranging from conceptual and historical analysis to descriptive statistics (Mouton & Marais 1990:44).

The strength of descriptive studies is the ability to collect accurate information on the study under investigation while it does not give an account of the justification of the results. The strength of the exploratory study, on the other hand, in terms of data collection is on document and literature review, surveys and analysis in that it gives an in-depth understanding of the subject with opportunities for further additional research studies. The caution is, however, to guard against the predetermined philosophies in influencing the direction and nature of the research.

Finally, explanatory studies, also regarded as “*predictive and evaluative studies*” (Mouton & Marais 1990:45), give a clear account between variables through a cause-effect relationship in a specific sequence and attributable phenomenon that provides insight into a new research area (Mouton & Marais 1990:46). The exploratory study, also referred to as critical research, becomes relevant and appropriate for this study

given the advantage of document analysis and literature review following an open and flexible research strategy. The following section addresses sampling.

### **3.4.1 Sampling**

Sampling as a population under study is fundamental in ensuring adequate representation of the population and a critical step in the research process, particularly document or content analysis. Auriacombe (2016:9) emphasised the complexity of sampling with regard to the unit of analysis and unit of observation, as they are usually not the same; thus, the sampling process is influenced by the nature of the study and other related factors. Sampling is thus referred to as a method of choosing elements that sufficiently represent the entire population to investigate in addressing the stated research problem (Unisa 2021:21).

Furthermore, the study of a sample rather than the entire population is likely to produce improved and accurate reliable results (Sekaran 2003:267) that would allow for generalisation to the entire population. Purposive sampling was used due to its association with qualitative research methods to support the qualitative enquiry of document and content analysis. Purposive sampling, as self-explanatory, has an element of convenience and is confined to a certain target group (Sekaran 2003:277; Tshatsinde 2015:73; Creswell 2013:147; Kothari 1990:17).

The rationale for this kind of sampling is the iterative process of searching and screening, which has the advantage of adequately informing the understanding of the central phenomenon in the study with theoretical saturation and conceptual robustness (Creswell & Creswell 156:2018). The purposive sampling of the literature is therefore guided by the inclusion criteria advanced under section 3.3.2.3. Data collection and analysis are discussed in the next section.

### **3.4.2 Data collection and analysis**

Information is only important when it can be used to support decision-making; hence, the utility of data is in its use. Within the context of a study being qualitative and conceptual in nature, the process of extracting or rather the gathering of data means gaining permission, sampling strategy, interpretation or analysis and anticipating ethical issues that may arise (Creswell 2013:145; Creswell & Creswell 2018:135), becomes pertinent towards achieving the objectives and intended outcomes of the

study. Creswell and Creswell (239:2018) and Kothari (1990:14) further emphasise justifying the rationale for the choice of method or procedure chosen based on strengths, weaknesses, costs, convenience and availability of data.

For this study, no primary data collection was undertaken; instead, secondary information was used through data extraction and document analysis. In terms of the study design, although it followed a qualitative approach, no restriction was imposed since the selected sources were not empirical but descriptive. While the above should be noted, the process and emphasis has been on the structured approach to the theory of data analysis grounded within the context, conditions and environment within which the study is taking place, that is, the implementation of the GWMES by DPME in government. This will be thrusted on the qualitative approach based on available information through document and content analysis, which will be a method of data collection to trace evidence for empirical knowledge. These justifications and rationale have been further discussed in section 3.3.1, and the following section details document analysis and advantages as a means and form of collecting and analysing data for a qualitative study.

### **3.4.3 Document and content analysis**

Bowen (2009:32) points out the importance of document analysis in that it provides context and background for the area under study; it provides supplementary data from other sources and finally provides means of tracking change in development using thematic areas. Bowen (2009:30), Creswell and Creswell (2018:300) and O'Leary (2017:320) agree that document analysis is an efficient, cost-effective and convenient method of data selection as opposed to data collection and assists the triangulation process and that it should not be viewed as a literature review. Auriacombe and Meyer (2020:658) further substantiate that secondary data in the form of document and content analysis from a conceptual study do not only provide economic benefits but also provide an opportunity to better describe and account for change, improve measurement and provide opportunities for replication of the study while giving credibility to the research findings.

While there is an acknowledgement of the advantages, document and content analysis also presents some limitations. This includes inadequate and sometimes inaccurate information to respond to the relevance of the research agenda, difficulty in accessing

information and sometimes bias towards the selection of documents (Bowen, 2009:32; Auriacombe 2016:13; Creswell & Creswell 2018:300). The inclusion and exclusion criteria outlined in Table 3.1 will thus assist in addressing the identified potential shortcomings, which are in essence outweighed by the advantages of document analysis due to their cost effectiveness and efficiencies. Although the study is limited to DPME, content analysis of literature and documentation in the monitoring and evaluation field will be utilised, including organisational documents such as published official annual reports, strategic planning documents, briefing notes, guidelines, policies and frameworks developed.

The study covers the period from 2009 to 2019, which accounts for two terms of political administration in the South African government. Units of observations emanate from the research questions and are informed by the policy framework of the GWMES under the following thematic areas:

- Linking monitoring and evaluation systems with other management systems
- The practice of monitoring and evaluation
- Institutional roles and responsibilities
- Building capacity
- Success and challenges in the institutionalisation of the GWMES

This study focused on the GWMES as the unit of analysis in line with the research objectives using general and secondary sources. Officially published documents, Acts, Bills, and legislation were used in responding to the research questions and constructing an argument for the institutionalisation of the GWMES in the DPME as the unit of observation. This assisted in identifying key components to support advanced arguments and ultimately contributed to the field of planning, monitoring and evaluation.

### **3.5 COMPLIANCE WITH ETHICAL REQUIREMENTS**

Ethical requirements are as critical as the credibility of the research results. This is in line with the Unisa Policy on Research Ethics (2016) in terms of quality, academic integrity and good practice for researchers. Compliance measures, as briefly discussed in chapter 1, have been observed in ensuring that the study is conducted with integrity while also ensuring that relevant approval and permission are granted

for the use of information only for the study as guided by the 12 steps postulated in the search strategy under 3.3.2.

### **3.5.1 Confidentiality**

The purpose and the objectives of this study are solely for academic purposes. While this study does not involve human participation, codes of confidentiality have been adhered to throughout the research process, ensuring that there is no disclosure or compromise of organisation confidential information that could put either DPME or UINSA in disrepute. The researcher has thus complied with all required standards of confidentiality for the information obtained not to be misused.

### **3.5.2 Transparency**

The credibility of the research is supported by the full disclosure of the processes, techniques and information used to arrive at the findings and the conclusion. Important considerations with regard to transparency relate to the availability and access to data (data transparency); availability and access to information on data analysis and methods (analytic transparency); and finally, availability and access to information on the sources used as evidence (production transparency) to support findings and the advanced conclusion (Moravcsik 2014:48). Transparency increases the reliability and validity of results in that it details the how and what of the methods undertaken during the process. Through transparency, a study can be evaluated, replicated and improved by using the same methodology to arrive at the same findings, although conclusions may differ. According to Moravcsik (2014:49), transparency is an underpinning and a prerequisite for any other advances in social science methods, theory and data collection.

Details on the data, analytics and production transparency have been the basis and an important component for this chapter 3 on research design and methodology. Further details are provided in Chapter 4 on data analysis and interpretation of the results. This will promote trust in the research results while also allowing further critique, debate and contribution to existing knowledge of monitoring and evaluation of government, as advanced in chapter 1.

### **3.5.3 Ethical clearance**

Obtaining ethical clearance for data collection is one of the requirements according to Unisa Guidelines (2021:25), which has to be supported by a clear plan and



justification. The general conduct of the researcher in observing procedural ethics with regard to clearance issues, procedural ethics and professional code throughout the research process is therefore associated with quality and moral principles. Confidentiality and use of information only for this study will be upheld as prescribed by the *epistemic imperative of science* (Mouton 2001:239). This imperative includes integrity and objectivity in presenting the facts, acknowledgement of sources, and avoidance of biases that might influence the results of this study.

The researcher applied for ethical clearance from the College of Economic Management Science through the Department of Public Administration and Management, and approval was granted by the University Ethics Committee (see Annexure A). Furthermore, the researcher ensured that written permission and approval to conduct this study was sought from DPME before commencement (see Annexure B), which was submitted after approval by the University Ethics Committee. Issues of ethical clearance assisted in managing conflicts of interest for the researcher as an employee to DPME where the institutionalisation of GWMES as the unit of analysis is being investigated. Finally, in ensuring that the study complies with acceptable language and writing standards, it has been subjected to an independent language and technical editor for proof reading (see Annexure C), Language Editor Certificate. The next section concludes the discussion in Chapter 3.

### **3.6 CONCLUSION**

The chapter provided a detailed discussion of the research methodology with an in-depth narrative on the rationale for the conceptual study, the search strategy and related components. The chapter further discussed the research design, which accounted for the rationale for purposive sampling as one of the nonprobability sampling strategies mostly associated with qualitative studies. Advances in document analysis as the preferred method for reviewing and evaluating the literature to support the objectives of the study, together with the rationale behind it were also discussed. The chapter concludes with a section on the compliance requirements for ethical procedures and requirements. The next section, Chapter 4, will dwell on the data analysis and interpretation of the results as one of the transparency requirements for the credibility and reliability of any research study.

### 4.1 INTRODUCTION

This chapter provides an account of data extraction, processing and the results. It segments various data sets in line with the research design and methods and in response to the research questions discussed in chapter 1 and chapter 3, respectively. The complexity in qualitative data analysis makes the process to move in circular forms with one step leading to the other rather than a fixed linear approach (Creswell 2013:183). The process of document analysis as part of data collection presents rich textual data that requires an effort in capturing and analysing but is rich in meaning, which is an advantage for the qualitative process. The data analysis process assists in making sense of different elements of the information by grouping them into themes, trends and relationships (Mouton 2001:108). This is an attempt to process and custom-build the results towards ensuring that the research objectives of this study are met and the research questions are answered. The next sections detail the search process, which is the method for data collection and the results.

### 4.2 METHOD FOR DATA SELECTION

The data collection method preceded ethical clearance approval from UNISA, which was granted on 28 July 2022. The search included the retrieval of DPME documents that are available on the website and the utilisation of the UNISA library and Google Scholar for the systematic literature review. A systemic literature review through a search strategy is seen as a means of locating and summarising other studies that are relevant to the topic under investigation (Creswell & Creswell 2018:76). Various scholars propose a variety of methods for the systemic literature review that are mainly grounded in capturing, evaluating and summarising the literature, which is aligned with the spiral data analysis approach indicated in Figure 4.1 above. The main search included browsing the DPME website for historical documents and information readily available for public use, which included strategic planning documents, annual reports, policies, circulars and guidelines. Assistance from the UNISA Information Search Librarian was also sought, providing detailed information on the databases consulted with related links and references for ease of access. The search results included books, South African and international journal articles, dissertations and theses,

credible Internet sites and articles, among other publications. This unobstructive approach, as suggested by Sithomola and Auriacombe (2018:82), assisted in locating and retrieving relevant sources to the study by drawing together different literature to explore the existing state of the monitoring and evaluation systems in government. This was done according to the search strategy discussed in section 3.3.2 in Chapter 3 with the inclusion and exclusion criteria.

### **4.3 SEARCH RESULTS**

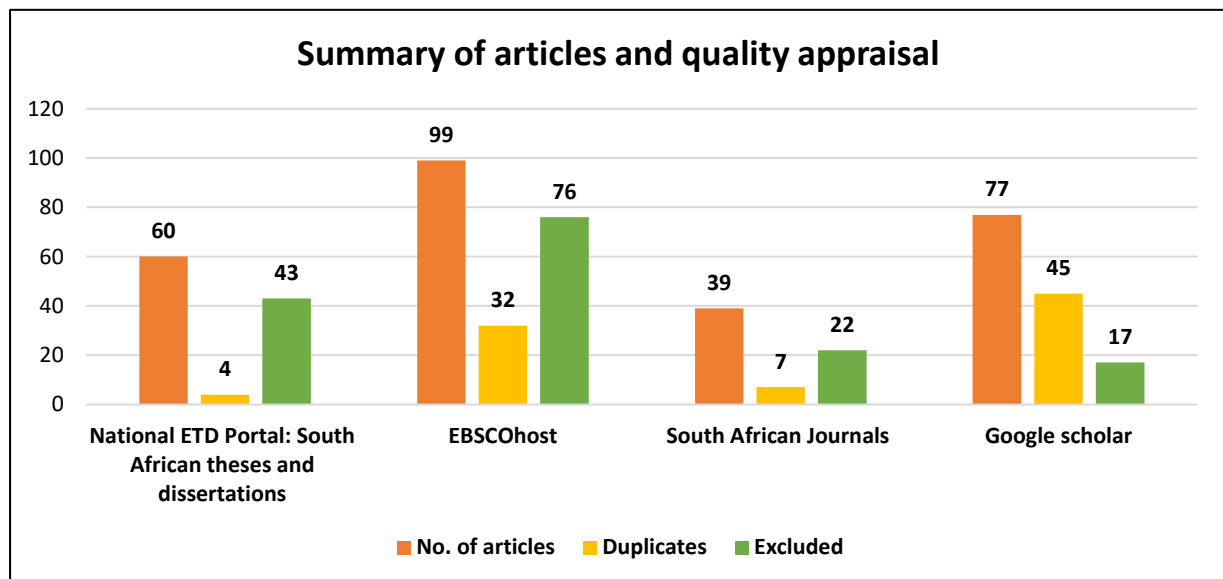
In mapping evidence, this section details the search results from the different sets of databases accessed. This process has been guided by but not limited to the search strategy outlined in section 3.3.2.

#### **4.3.1 The search process**

The first search results were accessed from the DPME resource centre on the website <https://www.dpme.gov.za/publications/Pages/default.aspx>. Extracted documents included the strategic plans and annual reports from 2011 to 2019, noting that the DPME has been under the Presidency since 2009 and only received its vote in 2011. Additionally, policies, guidelines and other reports have been accessed, retrieved, and analysed in terms of content and themes in support of this study for historical background and tracking developments (Bowen 2009:30) in a more conceptual manner and for a better understanding, as alluded to under 3.4.3 under document analysis.

The second search results relate to the library search, which resulted in 275 articles before screening for duplicates and applying the exclusion criteria, as stated under section 3.3.2.3 of chapter 3. Most of the articles under the South African journals were sourced from the *Journal of Public Administration*, *Administratio Publica* and *African Evaluation Journal*, among others. The search terms used included the following: “government-wide monitoring and evaluation system” AND “department of planning, monitoring and evaluation” AND “Success and challenges in monitoring and evaluation”. The summary of articles and quality appraisal from the library search results is depicted in Figure 4.1 after the screening:

**Figure 4.1: Summary of articles and quality appraisal**



Source: Researcher’s compilation

The third search results relate to other sources in addition to the DPME website and the Unisa library. These included books, journal articles, theses, dissertations, reports, speeches and newsletters. The inclusion and exclusion criteria were applied to select the most relevant and applicable articles for this study. Figure 4.2, as displayed above, justified the use of the conceptual study because it demonstrates the richness of the information obtained from the various resources.

#### 4.3.2 Summary of retrieved articles

The following table provides a summary of documents extracted for systematic literature review and analysis in line with the search strategy alluded to under section 3.3.2.

**Table 4.1: Summary of documents extracted for review**

South African Theses and Dissertations (14)	Majola (2014), Sotshongaye (2013), Mthiyane (2012), Zwane (2015), Dube (2013), Maepa (2015), Malatjie (2018), Qinela (2013), Naing (2018), Cwayi (2015), Rabie (2011), Maphela (2015), Dumela (2014)
EBSCOhost	Motingoe (2013), Wotela (2017), Rasila (2019), Mthethwa (2018), Public Service Commission (2012), Mapitsa & Korth (2017), Sithomola & Auriacombe (2018), Mapitsa & Khumalo (2018), Goldman <i>et al.</i> (2019), Ijeoma (2014), Ile & lu (2012), Luvuno (2012), Mubangizi (2019), Mello

	(2018), Uwizeyimana (2019), Stame (2012), Crawley (2017), Philips <i>et al.</i> (2014).
Journals	Govender (2013), Kariuki & Reddy (2017), Tirivanhu, Olaleye & Bester (2017), Goldman <i>et al.</i> (2018), Dlamini & Migiro (2016), Labuschagne (2013), Kabonga (2018), Masuku & Ijeoma (2015), Chan (2018), Porter & Goldman (2013), Jili & Mthemthwa (2016), Matsiliza (2012), Young and Ajam (2013)
Google Scholar	Abrahams (2015), Goldman, Mathe & Jacob (2015), Umlaw & Chitepo (2015), Beney, Mathe & Ntakumba (2015), Stofile (2017), Hlatshwayo & Govender (2015), Nelson (2016), Mviko (2015), Kayane (2014).

Source: Researcher's compilation

As seen in Table 4.1. the number of publications from 2015 increased. This may be attributed to the merger of the NPC and the DPME, resulting in scholars' interest in this area of research. The search results also indicate several dissertations dominated by the Universities of Stellenbosch, Wits, Cape Town and Pretoria. The dominant journals in terms of publications were the *Journal of Public Administration* and the *African Evaluation Journal*. The final observation of the studies, especially from the public service, is that they are mostly focussing on national and provincial departments and less on the local government with regards to monitoring and evaluation. The autonomy of the local government environment and the complexity of the monitoring and evaluation system can be attributed to the limited focus and uneven support for the local government (Cloete, Rabie & de Coning 2014:476; Ijeoma 2018:472-473). This has been further exacerbated by the limited capacity to integrate with the single public service system, as also stated in sections 1.2 and 2.3, respectively, and thus a poor feedback loop. The next section deals with data analysis as extracted through a systematic literature review.

#### 4.4 DATA ANALYSIS

Data analysis using document review is an iterative process that requires thorough scanning, reading and interpretation of information in relation to the objectives and research questions for the production of empirical knowledge and improved understanding (Bowen 2009:32). Bowen (2009:32) posits that the recognition of patterns within data assists in identifying emerging themes that ultimately become

categories for analysis or thematic areas. The process includes drawing from several sources for corroboration and convergence through triangulation for the validity and credibility of the research results. The limitation has, however, been on some of the documents that could not be opened due to restricted access or subscription-based scholarly literature.

Themes are a means of integrating the analysed data and demonstrating objectivity in relation to the research objectives and the literature review. Emerging themes emanate from studies that were carefully, purposefully selected and retrieved for analysis in line with the research topic and objectives.

The diagnostic tool by Mapitsa and Khumalo (2018:4) also indicates an understanding of the technical aspect (data systems, resources), institutional aspect (policies, organisational planning and collaboration) and governance aspect (leadership, organisational culture and accountability) in assessing the monitoring and evaluation systems within organisations. Using the Kimaro, Fourie and Tshiyoyo (2018:210) checklist of institutionalised monitoring and evaluation features discussed in Chapter 2 of the literature review, the following linkage has been created to align the research questions with relevant elements and a checklist of institutionalising monitoring and evaluation systems, as reflected in Table 4.2 below. This has assisted in framing the themes as they emerged during the document review.

**Table 4.2: Linkage between the research questions and elements of institutionalising monitoring and evaluation systems**

Element	M&E checklist	Relevant questions covered in the research
Defining measurement object	<ul style="list-style-type: none"> <li>• Strategic/business plans informed by M&amp;E Information</li> <li>• Annual plans cascaded from the main plan</li> <li>• Institutional structure(s) for facilitating M&amp;E functioning</li> </ul>	What is GWMES and the role of DPME?
Formulation of indicators (or M&E system)	<ul style="list-style-type: none"> <li>• M&amp;E systems/framework linked with institutional plans</li> <li>• Indicators measuring various levels of implementation</li> <li>• Budget to support M&amp;E activities</li> <li>• M&amp;E policies, tools, procedures in place</li> <li>• M&amp;E plan setting out data collection mechanism</li> <li>• Monitoring data collected on periodic basis</li> </ul>	What is the practice of monitoring and evaluation in the public service and how has it been sustained?

Data collection and analysis	<ul style="list-style-type: none"> <li>• Evaluations conducted by the local government</li> <li>• Available IT infrastructure to support M&amp;E data analysis</li> </ul>	
Reporting	<ul style="list-style-type: none"> <li>• Performance reports generated from the M&amp;E system</li> <li>• Performance information produced widely shared with internal and external stakeholders</li> </ul>	
Use of M&E Information	<ul style="list-style-type: none"> <li>• Structural arrangements/regulations to enforce use of performance information in place</li> <li>• Sanctions and rewards decisions taken against performance</li> <li>• Decision-making processes (planning, budgeting, implementation approaches) and meetings informed by M&amp;E information e.g. performance indicators and reports</li> <li>• Strategic plans reviewed based on performance information</li> </ul>	What are the implementation successes and impediments in institutionalising the GWMES?

Source: Researcher's own compilation adapted from Kimaro, Fourie and Tshiyoyo (2018:210)

## 4.5 EMERGING THEMES

The following five themes emerged from the systemic document review in relation to how they responded to the research objectives and questions: strengthening the centre of government for performance measurement; the organisational culture, values and supporting systems; creating an enabling environment and supporting systems; enhancing capacities, developing skills and sustaining the system; and challenges, binding constraints and lessons learned. The first theme is discussed in the next section.

### 4.5.1 Strengthening the centre of government for performance measurement and improvement

This theme is directly linked and responds to the first research objective of explaining and contextualising the GWMES and the role of DPME in relation to the mainstreaming of monitoring and evaluation systems in government. The approval of the Outcomes Approach became the first mandate of the DPME in 2009. Abrahams (2015:6), Ijeoma (2018:164) and Plangemann (2016:71) unanimously affirm DPME as a statutory body that was established to strengthen performance monitoring and evaluation and

improve governance and accountability to the public. While Auriacombe (2011:38) emphasises the profoundness of the link between monitoring, evaluation and good governance, Mapitsa and Khumalo (2018:9) further cite consideration in the external policy environment and the development context as important factors for consideration that may impact leadership and support for organisational change and, in particular, advocate for monitoring and evaluation systems for governance and accountability.

Porter and Goldman (2013:8), Abrahams (2015:1), Dassah and Uken (2006:718), and Plangemann (2016:71-72) reinforce that the whole of government approach to monitoring and evaluation with central coordinating authority led by the Minister in the Presidency, being the highest office, has been the strength and opportunity for sustainability on which the DPME foundation was built based on international experiences from the UK, Malaysia and South Korea (Philips et al. 2014:394). In line with the development trajectory outlined in Chapter 2, figure 2.3, the formation of the new Ministry of Performance Monitoring and Evaluation emerged with a demand for resources to support its mandate of championing monitoring and evaluation of *i) national priorities, ii) management performance, iii) frontline service delivery and iv) the overall implementation of the GWMES.*

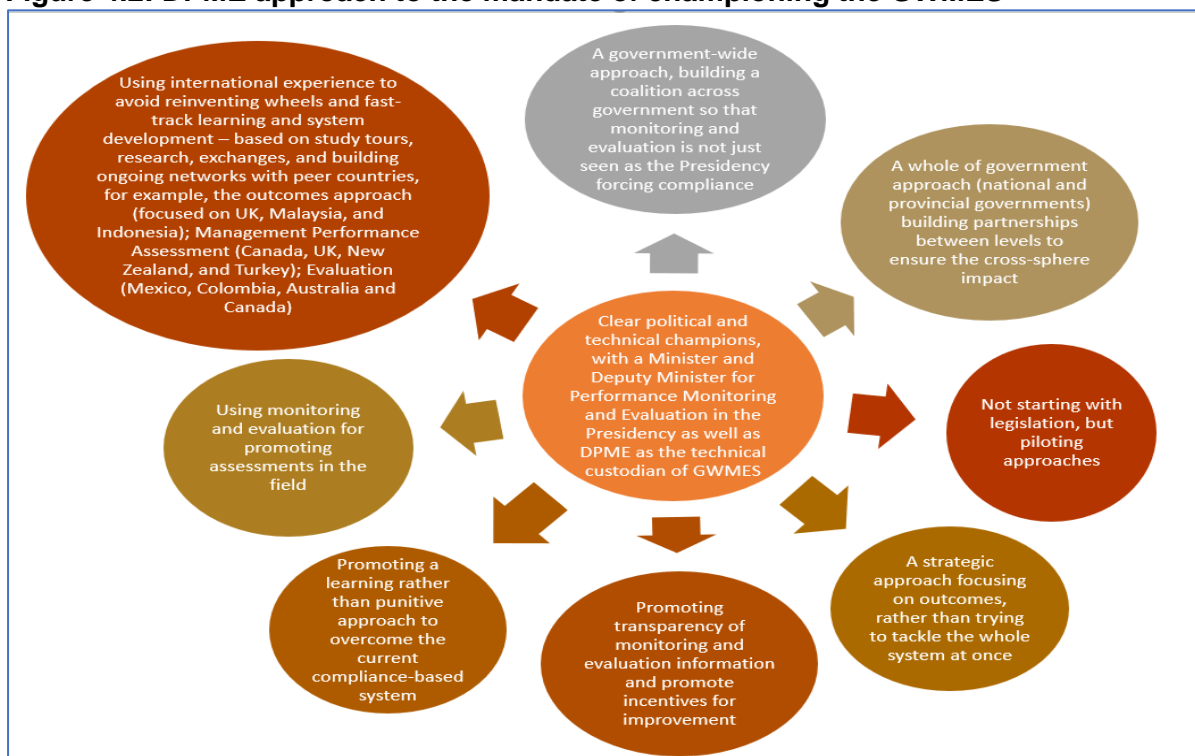
The Presidency annual report (2010:76) confirms that for the 2009/10 and 2010/11 financial years, the DPME has been on a combined establishment with the Presidency, with monitoring and evaluation as one of the strategic objectives for developing and maintaining a coordinated GWMES. Institutionalisation happens when systems and procedures are mainstreamed in an organisation. In support of this view, Cwayi (2015:29) states that defining the scope sets parameters in line with the order of an organisation, which is paramount. In the case of DPME, it meant an understanding of the scale of the mandate, defining clear functions of monitoring and evaluation, policies and guidelines and delineating roles and responsibilities in understanding the magnitude of the task.

The study by Philips et al. (2014:395) reinforces that the DPME, as the champion of the GWMES, was to develop national monitoring and evaluation frameworks, platforms and structures of monitoring and evaluation units across government, capacity development, five-yearly government performance reviews including the production of the development indicators for the country. A common view from Cloete (2009:298) and Eresia-Eke and Boadu (2019:532) is that the implementation of the



GWMES through its framework needed to recognise the existing regulations and legislation and existing capacities within departments and rather work towards enhancing and synchronising them for effective coordination efforts towards performance improvement and managing unintended consequences. The DPME approach to operationalising its mandate, as reflected in the diagram below (figure 4.2) adapted from (Philips *et al.* 2014:396), asserted the importance of augmenting existing management processes to support evidence-based decision making.

**Figure 4.2: DPME approach to the mandate of championing the GWMES**



Source: Philips *et al.* (2014:396)

To summarise this approach, it recognises the complexities and elaborates nature of the institutional arrangement for monitoring and evaluation and thus the focus on incremental or piloting of approaches through phases for evidence-based results that would motivate incentive improvement, provide a learning opportunity and benchmarking from international experiences and finally use the results to inform policy review and planning. Plangeman (2016:79) recognises the effectiveness in the sequencing of these initiatives, which adopted an incremental approach with flexible organisational arrangements that allowed for an iterative process of *testing, learning, adjusting, gradually moving to a rollout, readjusting and refining*. This was noted in the gradual development of systems such as Front-line Service Delivery Monitoring (FSDM) in 2011, the Evaluation System in 2012, the Citizen-based Monitoring (CBM)

framework in 2013, the Management Performance Assessment Tool (MPAT) in 2012 and the ongoing planning framework (MTSF) in 2014.

Premised on these developments and approaches, it is clear that the main objective of DPME was first to create a conducive environment for the rollout of the GWMES but also to recognise the need for adaptation. This should be seen as one of the sustainability factors for the system and the collaborative efforts created with national departments and provinces. The next theme is understanding the organisational culture, values and supporting systems that have been put in place to further enable the monitoring and evaluation phenomenon.

#### **4.5.2 The organisational culture, values and supporting systems**

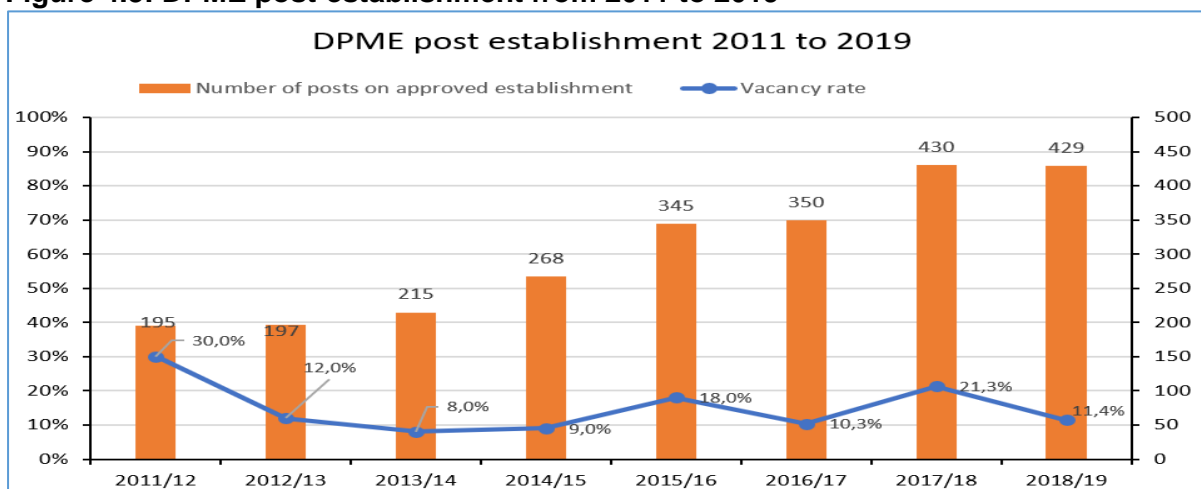
Linking this theme with the second research objective gives an understanding of the current practices and sustainability of monitoring and evaluation against the imperatives of the GWMES. The first Strategic Plan (DPME 2012:5-28) confirms the translation of the DPME approach in the vision, mission and value statement “*to strive for continuous improvement in service delivery through performance monitoring and evaluation*” working with partners in the delivery of the desired outcomes. This being the main guiding document outlined the organisational structure, institutional objectives supported by key institutional measurement objects according to Kimaro, Fourie & Tshiyoyo (2018:204) to ensure alignment with the framework for the institutionalisation for the GWMES in government.

Rabie and Goldman (70:2014) support the fact that DPME was to use the GWMES as a secondary tool to interpret and assess progress towards the government's strategic goals and priorities through the supporting processes and coordinating structures. Evidence of this affirmation is further noted in the pronouncement of the DPME budget vote (vote 6) as a central champion for monitoring and evaluation in government through the development of the Ministerial delivery agreements to monitor the implementation of the government priorities, to promote government-wide good monitoring and evaluation practices and the development of the Programme of Action (POA) for monitoring progress and reporting (National Treasury 2012:1-3). The POA, which is aligned to the government priorities and outcomes provided for the institutionalisation of quarterly monitoring of the Ministerial delivery agreements by the Cabinet, is guided by the standard operating procedures and guidelines that have

been introduced (DPME 2012:17). Kimaro, Fourie and Tshiyoyo (2018:210), Cloete, Rabie and de Coning (2014:557), Jacobs (2019:20), and Mackay (2007:55) unanimously agree that these developments provided enabling conditions for the institutionalisation of the monitoring and evaluation systems, with an acknowledgement of the complexities and that the GWMES was to be built iteratively over time (Philips *et al.* 2014:393). This means that consideration has to be made when assessing the functionality and effectiveness of the monitoring and evaluation system through its phases.

The assessment of the DPME annual reports since the 2011/12 financial year suggests that there has been a consistent investment in staff establishment to ensure alignment with its mandate, with the vacancy rate remaining at a minimum. Kimaro, Fourie and Tshiyoyo (2014:204) support the formalisation and functionality of the organisational structure as one of the influencing factors together with specialisation to support the institutionalisation process. Figure 4.3 indicates that the department grew its structure by 234 posts, which constitutes a 54% increase between 2011/12 and 2018/19. The highest vacancy rate (30%) was recorded in 2011/12; however, in the past 7 years from 2012/13 to 2018/19, the DPME’s vacancy rate has been kept at a minimum (below 22%), which is a significant decrease. Adequate human resources to match the mandate are regarded as one of the institutional structures for facilitating monitoring and evaluation functions and an incentive for improvement. This implies that the DPME is equipped with skilled human capital to achieve its mandate.

**Figure 4.3: DPME post-establishment from 2011 to 2019**

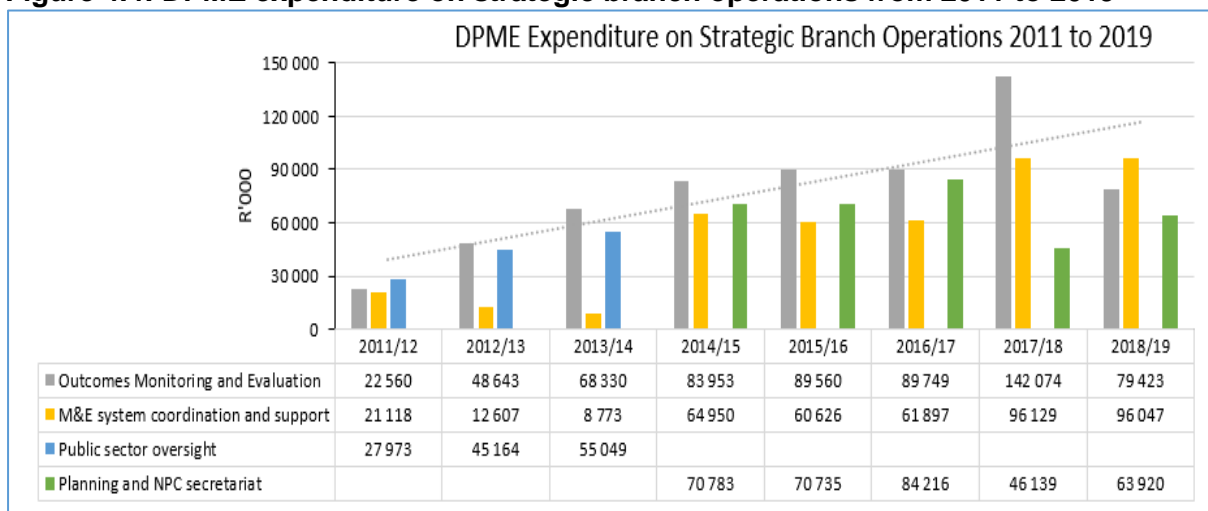


Source: Researchers’ compilation based on the DPME annual reports from 2011 to 2019

The document review also reveals the level of hierarchy within which these branches are pitched, being the Deputy Director General, the highest before the Director General, supported by Specialists at different levels between senior and middle management with matrix reporting. Eresie-Eke and Boadu (2019:537-540) share a common view that the readiness, rationality and success of the monitoring and evaluation system depends on the level of authority driving the establishment process. The authors further argue that this kind of establishment not only strengthens governance and accountability levels but also contributes to better appreciation of the monitoring and evaluation function and a sign of preparedness for an organisation to institutionalise the system.

Linking the mandate with the resources, figure 4.4 shows that Outcomes Monitoring and Evaluation branch expenditure increased by 84% between 2011/12 and 2017/18. In the same period, the total expenditure for M&E system coordination and support constituted an increase of 78%. Kusek and Rist (2004:39-45) agree that human resource support is a critical factor driving the need, motivation and users of the monitoring and evaluation system. Equally important, they also cite role clarification and responsibilities and capacity building as requisites for sustaining such a system.

**Figure 4.4: DPME expenditure on strategic branch operations from 2011 to 2019**



Source: Researcher’s own compilation based on the DPME annual reports 2011 to 2019

The financial data show that over the period under review, the DPME made an adequate investments in improving the monitoring and evaluation systems. The growth in the post structure and expenditure is aligned to the mandate of the DPME and a direct response to the framework of institutionalising the GWMES internally

within the department and externally across all government departments. For the period under review until 2018, the Outcomes Monitoring and Evaluation branch had the highest investment in resources, both in terms of expenditure and human resources. The slight increase in the vacancy rate and changes in the budget allocations for 2017/18 are attributed to the restructuring exercise that the department undertook, which meant a revised organisational structure henceforth (DPME 2019:26).

The findings by Mpande (2016:101) affirm that adequate resources and capacitation are critical success factors for the effectiveness of monitoring and evaluation functions. This kind of investment was a prerequisite for supporting performance management, which was to be driven through the outcomes approach to monitoring the delivery agreements of different Ministries. The study by Mouton (2010:122) and Phetla (2017:64) acknowledges that the outcomes approach through monitoring and evaluation has been viewed as the early warning system that would unblock service delivery challenges and that the adequacy in budget allocation is relevant and further elevates it to a critical management function. The early warning system is further articulated in the study by Naing (2017:239) as a prerequisite to trigger responsive and targeted interventions.

From 2015 to 2019, the document review shows a merger of the Planning, Monitoring and Evaluation functions into a single budget vote. This resulted in the reorganisation of the branches wherein Public Sector Oversight together with the Monitoring and Evaluation System Support and Coordination branch were also merged to ensure synergy, optimal allocation and use of resources, and most importantly, efficient and effective approaches to engaging with departments (DPME 2015:18). The continued support of these changes can be noted in the increase in budget and post establishment, as reflected in figures 4.3 and 4.4, respectively, from 2015 financial years onwards.

The merging of Planning, Monitoring and Evaluation, as affirmed by Kimaro, Fourie and Tshiyoyo (2014:211), is viewed as a strategic approach to harmonise and coordinate government interventions using performance information as guided by the country plan and strategies, particularly for South Africa, the NDP. This is an emphasis by Ijeoma (2018:476-477) on the dependency and integrity of the monitoring and evaluation results, which should be aligned and to an extent linked with the

departmental strategic plans. Similar sentiments by Plangemann (2016:85) assert that the major success factor of linking national planning, government-wide monitoring and evaluation using the MTSF, the design and implementation of policies and programmes, meant an improvement and strengthening of the centre of government as the central coordinating point. A critical finding by Naing (2017:227) recognises that an integration of planning, monitoring and evaluation not only fosters seamless coordination but also elevates risk assessment and management, which incorporates the early warning system into the entire value chain of the monitoring and evaluation system.

A common view by Mackay (2007:9) and Naidoo (2011:272-310) is that linking governance, monitoring and evaluation is an incorporation of many features that supports performance budgeting, national planning and policy development, which in turn promotes transparency and accountability. The role of evaluations becomes critical in determining the value of the investments made by government through service delivery, the change in the state of being in the lives of the people and the change in the environment, which can be attributed to different policies that have been introduced at an impact level. This has been evident in the link that was created between the NDP, the MTSF, the Outcomes Approach, the departmental Strategic and Annual Performance plans and the budget to support the outcome-based approach, which has been instrumental in improving the quality of service delivery and evidence-based planning to support the decision-making process.

This is another way of promoting accountability at different stages (planning, implementation and results) of the monitoring and evaluation system, which also supports the summarised role of the DPME, as articulated in Table 2.3. It is also a direct response to the principles of the GWME Framework, referred to under section 2.4.3 of the literature review on the periodical reviews of the implementation to adjust and adapt the system as the environment evolves. What has not been clear throughout the document review is the interface and linkages with regard to reporting, the feedback loop and consequence management based on the findings and results for the local government sphere. This narrative also confirms and supports the role and mandate of the DPME in implementing the GWMES across public services; however, what needs to be further established is the extent to which governance processes and the implementing environment have enabled the implementation of this mandate,

which is discussed in the next theme and is still linked to the second research objective.

#### **4.5.3 Creating an enabling environment and supporting systems**

The literature review has defined the GWMES as the system of systems that needed to be entrenched within the public service management performance system to promote uniform and standardised monitoring and evaluation systems across the public service. Angela and Ajam (2010:2) confirm that the theory of change, guiding principles and practices, as discussed in section 2.4.3, provided for by the policy framework for the GWMES to facilitate institutionalisation relates to the integration and alignment of initiatives through monitoring and evaluation policies, tools and procedures for standardisation. The DPME approach to implementing the GWMES has been premised on the understanding that there are multiple factors and role players from the different spheres of government, hence the introduction of several guidelines for national departments and provinces to promote alignment and standardise processes<sup>1</sup>.

Jacob (2019:120) affirms the availability and accessibility of these guidelines and legislative support, which are in the public domain for an evidence-based approach to service delivery improvement. Critical to note was the customisation of the function, roles and organisational designs for national and provincial departments, which took into account different factors affecting these implementing environments. Cloete,

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<sup>1</sup> *DPME Guideline to Outcomes Approach, 2010; DPME Guideline 2.1.2. Terms of Reference for Implementation Forums, 2010; DPME Guideline No 2.1.4. Process for effecting refinements to outcome Delivery Agreements, 2011; DPME Guideline No 3.1.3 Content Focus of Offices of the Premier in Monitoring and Evaluation, 2011; DPME Guideline No 3.1.4. Improving the operations of M&E in offices of the Premier, 2011; DPME Guideline No 3.1.5. Functions of an M&E Component in National Government Departments, 2012; DPME Guideline No 3.1.6. Generic Functions of Monitoring and Evaluation Components in the Offices of the Premier, 2012; DPME Guideline 3.1.7 Generic roles and organisational design considerations for M&E components in provincial government departments, 2012; DPME discussion document on Performance Monitoring and Evaluation: Principles and Approach, 2014; DPME Guideline No 4.1.1. Process for implementing Management Performance Assessment Tool, 2011; DPME Evaluation Guideline 2.2.2. Peer Review of Evaluations, 2012; DPME Guideline No 2.2.5. How to develop a Management Response to an Evaluation Report, 2013; Management Performance Assessment Tool User's Guide. 2011; DPME Terms of reference national monitoring and evaluation forum. 2011; DPME Terms of Reference for Provincial Monitoring and Evaluation Forum. 2011.*

Rabie and de Coning (2014:554-557) postulate that these guidelines provided for the establishment process and enabling the conditions to institutionalise monitoring and evaluation for decision making almost across government. It can therefore be concluded that these guidelines and principles not only lay a solid foundation for the GWMES but also further assisted in setting up procedures and regulations, standardising institutional and structural arrangements for facilitating the functioning and use of monitoring and evaluation information.

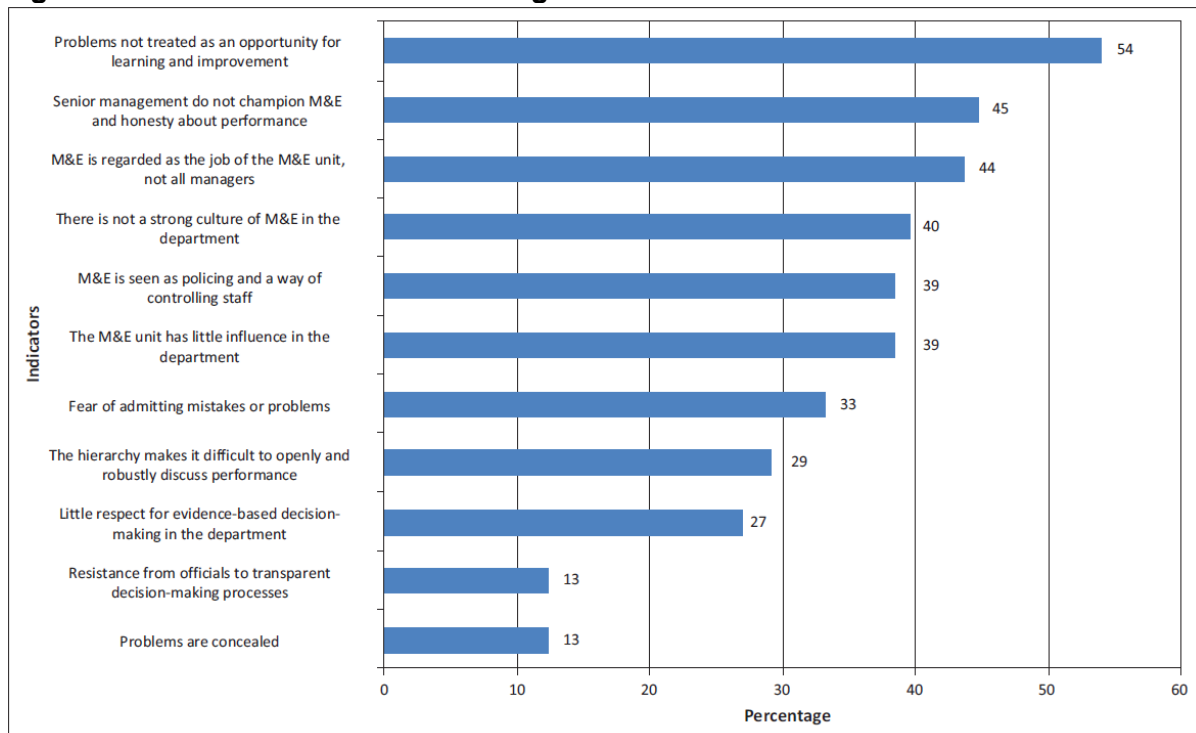
Further improvements in creating enabling conditions have been propelled by a baseline study to understand the state and use of monitoring and evaluation systems in government by Umlaw and Chitepo (2015:14), which provided an overview and insights for the DPME situational analysis and areas of improvement for the planning process as the GWMES implementation unfolds. The DPME baseline study, although conducted almost five years into the existence of DPME, indicated the availability of monitoring and evaluation in most departments (89%) for the organisation of the units as per the DPME guideline on the considerations for generic roles and organisational designs. The study further affirms that 75% of the assessed departments have used the DPME benchmark of combining planning monitoring and evaluation, while others have joined units with policy (45%) and others with research (35%), which are all headed at the senior level being either the Deputy Director General, Chief Director or Director. With regard to policy development, budgeting and reporting, the study affirms the full integration of reporting (72%) and planning (61%) with monitoring and evaluation (Umlaw & Chitepo 2015:5).

Contrary to the organisation of the units, there was a limited or unavailable dedicated budget for research and evaluations, which are critical functions for evidence to complement the use of the monitoring information for decision-making. Similar sentiments are shared by Mtshali (2014:86) and Phetla (2017:84) on the need for human resources, information technology, training and professional support to meet the demand that comes with the monitoring and evaluation system and the incentives thereof, which might lead to a better understanding and a responsive attitude to monitoring and evaluation. A further note on the underutilisation of the evaluation findings in the decision-making process is advanced by Beney, Mathe, Ntakumba, Basson, Naidu and Leslie (2015:2) and Tshatsinde (2015:149-150) with an acknowledgement of some pockets of excellence indicating a potential for



improvement. Figure 4.5 below is a summary of the DPME baseline results with regard to culture or values related barriers to the use of monitoring and evaluation information.

**Figure 4.5: State and use of monitoring and evaluation information**



Source: adapted from Umlaw and Chitepo (2015:7) DPME baseline results with regards to the state and use of monitoring and evaluation information.

These findings have been affirmed by Rabie (2011:444), Mthiyane (2011:116) and Malatjie (2017:100) on the lack of alignment of departmental policies and the GWMES. Further to that, evaluation processes are minimally employed with hesitance to respond and use the evaluation information for improvement. Although the studies by Jacobs (2019:112-113), Naidoo (2011:316) and Stofile (2017:116-119) agree that monitoring and evaluation as mandatory management functions are present, adequately supported and advocated for in the provincial and local spheres of government, Goldman *et al.* (2015:6), Maphela (2015:92), Mviko (2015:57-59), Mpande (2016:101) and Mtshali (2014:82) posit that the culture has not yet been fully institutionalised, which is aligned with the findings of the DPME baseline study on the state and use of monitoring and evaluation, which indicates that problems are not treated as an opportunity for learning and improvement. Goldman *et al.* (2018:10) allude to funding challenges, as evaluations are seen to be secondary to monitoring and programme implementation. The authors further state the need to strengthen the

current capacities within government to enable the support and use of evaluations. This is premised on the understanding that the usefulness of information is when it is used. Therefore, monitoring information will only be useful when it is used in the evaluation process to understand progress made in implementing government policies. The next theme concerns skills and capacity in sustaining the system, which is also a response to the second research objective, as stated above.

#### **4.5.4 Enhancing capacities, developing skills and sustaining the system**

While the DPME continued to be key in promoting the use of research and evaluations as part of improving leadership, governance and accountability at the management level, the review indicates a persistent challenge in creating an appetite for conducting evaluations and resources/capacity to support the function. Eresia-Eke and Boadious (2019:533) acknowledge the importance of the DPME baseline study as a solid foundation for building sustainable monitoring and evaluation systems with targeted interventions for improvement. Part of responding to the baseline study over and above the provided guidelines by DPME, the following measures were also introduced (Umlaw and Chitepo 2015:15):

- A comprehensive toolkit on the National Evaluation System;
- Standardisation of measurements with clear explanation of all terms and new goals and strategies regarding monitoring and evaluation drawn across all departments, particularly aimed at positively changing the lives of communities and society.
- Institutionalisation of standard departmental assessments for national, provincial and local governments providing a standard approach to monitoring front-line services.

These measures have been further supported by improving capacity, standardising roles and responsibilities and strengthening the skills and knowledge of the monitoring and evaluation champions. Abrahams (2015:6) affirms the establishment of the national monitoring and evaluation forum for both national and provincial champions as a platform for reflecting, learning and information sharing on best practices. This initiative provided an opportunity to address issues such as inadequate information management systems, the poor culture of coordination and the struggle by

departments to shift from activity-based to outcome-based approaches to planning, monitoring and evaluation.

A concept note on the *integrated and comprehensive monitoring system for the government of South Africa* (DPME 2017a) outlined a value proposition for DPME monitoring systems and their key focus areas as a single view across the spheres of government. With regard to the focus on evaluation and research as a distinct but complimentary function to monitoring, a focused concept note about *Using Evaluation and other Evidence to Strengthen South Africa's Development Outcomes* (DPME 2017b) outlined some of the system elements that needed to improve together with the enabling elements within the National Evaluation System (NES), which provides an enabling environment for institutionalising evaluations in the public service. Document reviews further reveal a third concept note about *the institutionalisation of planning in South Africa* (DPME 2017c) to address weaknesses in aligning government priorities, plans and budgets and gaps in the coordination of plans and programmes between national provinces and local governments. The concept document also recognises implications and further proposes legislative reforms to support the institutionalisation of the planning function across the public service.

The principle of the GWME Framework discussed under section 2.4.3 is that preconditions for conducting evaluations should be enabled by enforcing credible monitoring and statistical standards. A study by Goldman *et al.* (2019:3-5) shows deliberate efforts to promote evidence and knowledge agendas, which resulted in an increase in the supply (evaluators) and demand (departments) for carrying out evaluations and an increase in DPME budget allocation to fund evaluations (77% in 2016/17 and 83% in 2015/16), which is approximately more than 3 million.

Of note is the DPME collaboration with the British Government's Department for International Development (DFID) and other learning institutions for capacity building supported by the approach of learning by doing. The Centre for Learning on Evaluation and Results for Anglophone Africa (CLEAR-AA) and the National School of Government (NSG) has also been instrumental in advocating for the use of evidence through dedicated programs and short courses on evaluations and Twende Mbele as a per learning program, as echoed by Goldman (2018:1). This is confirmed in the findings by Tshilowa (2018:76-77) on evaluation capacity that has been developed and that the approach to learning by doing has proven to be a useful initiative, although

more still needs to be done. The implementation evaluation of the NES shows positive results regarding the role of DPME in promoting evaluations in South Africa, which has been seen to lag behind compared to monitoring. The study indicated the use of the evaluation results to be encouraging, which informed improvements in the following government programmes that were first evaluated (Goldman *et al.* 2019:7):

- **Department of Basic Education (DBE)** Funza Lushaka evaluation- The DBE budget for the Management Information System was increased with Cabinet approval to appoint additional staff for the Funza Lushaka bursary scheme.
- **Department of Human Settlements (DHS)** - Urban Settlements Development Grant (USDG) Evaluation: New policy related to USDG developed and approved with the USDG grant framework was adjusted.
- Social and Rental Housing Evaluation: The DHS is working on adjusting income levels and funding for the social housing programme.
- **Department of Social Development (DSD)**, several evaluations have provided programme managers with critical information to inform decision-making. The use of evidence from the Isibindi evaluation resulted in improved services for orphans and vulnerable children.
- **Department of Trade and Industry (DTI)** Support Programme for Industrial Innovation (SPII) Evaluation: The scope of the programme was expanded to address commercialisation, objectives were revised and collaboration was improved.
- Three additional provinces (**Eastern Cape, Gauteng, and Western Cape**) were implementing their respective improvement plans based on the evaluation evidence.

The success in creating supply and demand (institutionalisation) through the NES is evident in eight out of nine provinces through the respective Offices of the Premier with approved Provincial Evaluation Plans and 66 departmental evaluation plans, with Western Cape Province being the first to lead. Linking evaluation, budgeting and planning continues to be a challenge for departments, and thus, DPME is considering other means of conducting internal evaluations within departments, given that skills and capacity have improved and further enhanced the learning by doing with DPME supporting the process. These are referred to as rapid evaluations with minimal resources, conducted over a short time frame and can be commissioned internally

within the department. With regard to participation as one of the elements that constitutes good governance (Malesela 2016:107), the review indicates blurred lines of responsibility and a need for further improvement in promoting participation and clarifying the roles of different stakeholders ranging from government, civil society and programme beneficiaries throughout the process. The fact the NES was subjected to an evaluation is a positive milestone to reflect on the extent to which the principles of the GWMES have been implemented.

These three concepts were primarily responsive to the challenges that DPME needed to address within the public sector, developmental and technical context as part of the reflections from the government performance reviews outlined in Chapter 2 of the literature review. Further to that is an acknowledgement of fragmentations in implementation, capacity deficit and communication gaps, and the need for improvement in the data management systems which resonate with findings by Malesela (2016:104-106) on *the role of monitoring and evaluation to enhance good governance*. The essence of these three documents has been premised on the relevance of the DPME given the policy developments, legislative changes (DPME 2015:21) in the delivery environment and the expanded role of monitoring the entire results chain framework, as stated in Figure 2.4. Acknowledging the complexities in the operational terrains and the nature of the system as alluded to in section 1.2, the document review further indicates the following legislation areas that were proposed by DPME to support institutionalisation and further strengthen monitoring and evaluation roles across government, through the Draft DPME Bill:

- The legal framework to link PMDS to delivery agreements
- Explicitly spell out the roles of OTPs in relation to the condition of M&E and Information
- Framework for data and information sharing and standards
- Provision of an outline for minimum standards with respect to M&E units
- Provision of a legislative framework for social audits for all sectors
- Legislation must enforce that planning must be informed by M&E.
- Improvement in managing the interaction between all levels of the government to ensure compliance from Executive Authorities and intervention by the national government

- Provision of the legal framework for the enforcement of consequence management

These developments underscore the principle that monitoring and evaluation systems enhance governance, accountability, and management processes and give sustenance to the decision-making process that is evidence-based. Furthermore, the acknowledgement of the use of reports and findings from the monitoring and evaluation results as learning experiences sustains the GWMES and gives value in decision-making, thus improving the quality of service delivery within the public service. The next theme focuses on lessons learned and persistent challenges.

#### **4.5.5 Challenges, binding constraints and lessons learnt**

This theme addresses the last research objective of highlighting the successes and challenges in institutionalising the monitoring and evaluation system by the DPME. Given the trends and developments in optimising governance and accountability structures, one would assume that a conducive environment for programmatic articulation and institutional mechanisms for delivering on the government programmes and priorities as stated in the NDP has been adequately provided.

The acknowledgement by various authors and studies on monitoring and evaluation being a new phenomenon supports the iterative and adaptative approach of DPME to rolling out the GWMES during its formative years and the quest for learning (PSC 2012:15). The document review further confirms that the DPME approach has been modelled on international practices, and given the two decades, monitoring and evaluation systems are gradually finding roots that are more evident in national and provincial governments but less evident in the local government space, which points to unevenness in support and capacity. Linked to the trends in government performance outlined in figure 2.1, a solid foundation has been built through frameworks, concepts and guidelines to enhance a progressive approach towards good governance and accountability. The POA, while it served as a reporting tool for institutionalisation, also promoted good governance and transparency and enabled the DPME to exercise oversight and accountability of institutions while also providing an opportunity for citizen-based monitoring. This has been enabled by the fact that the POA report based on the performance of all government outcomes and priorities is

published and shared with the public, a principle reflected in the GWME Framework (Presidency 2007:3).

The study by Tshilowa (2018:102-106) gives testament to the foundational work done by DPME to institutionalise the evaluation practice in government through the establishment of the evaluation system infrastructure. It alludes to some successes in rolling out the system, although there are areas of improvement. This assertion resonates with some of the best practices noted by Goldman *et al.* (2019:7) on the evaluation supply and demand that has been created, pockets of excellence noted by Tshatsinde (2015:150) wherein the evaluation results have influenced policy change. These testaments comply and attest to the GWME Framework on the data terrains underpinning the GWMES (Presidency 2007:9-10). The fact that they represent national departments confirms that the DPME has been able to inculcate the culture of monitoring and evaluation in government.

One of the principles of the GWMES is minimising the administrative burden of compliance with clear reporting lines and designated data sources across sectors and different spheres of government. The DPME Revised Framework for Strategic Plans and Annual Performance Plans (DPME 2019b) and the associated guidelines on aligning plans with government programmes and priorities are, however, very explicit in terms of the planning process, implementation programme planning, monitoring reporting and evaluations for national and provincial governments. These documents reiterate “*the planning logic and institutionalise planning to enable better service delivery*” which assist DPME in evaluating the implementation of government priorities and the impact that is measured against the outcomes (PSC 2012:22). In addition, the guidelines on the assessment of these plans have proven to help provide feedback to departments that are allowed to submit first and second drafts prior to submission to cabinet and subsequent tabling to Parliament. This iterative process is supported by a dedicated National Technical Planning forum, which serves as a learning platform and sharing of best practices.

An understanding of these processes and a clear foundation that has been laid by the DPME with regard to provincial and national reporting for these plans is alluded to in the study by Magagula (2019:150-151) and Phetla (2017:81-86). However, there are areas of improvement and the need for the DPME to periodically review these guidelines. This was further supported by a 90.5% response on the importance of

strengthening internal governance systems, including reporting to oversight institutions, which was seen to be critical in promoting accountability and transparency at a departmental level (Phetla 2017:89). The summary of the findings by Cwayi (2015:92) on the five departments, which are at a provincial level, attests to realistic treads made in defining the scope, purpose and organising their monitoring and evaluation systems, which is in line with the institutionalisation framework and some of the defining elements outlined in table 4.2. These findings support the imperative of the framework of the GWME of linking monitoring and evaluation systems with other management practices at an institutional level.

Notwithstanding these developments, the alignment of the plans with monitoring and evaluation systems based on the outcomes approach is still a struggle, especially for provinces. The fact that an overwhelming 86% response in a study by Rasila (2019:5-6) did not support the use of monitoring and evaluation results for organisational learning and that officials were seconded to champion monitoring and evaluation units without the requisite knowledge and skills points to a structural challenge. That monitoring and evaluation have not been fully integrated into institutional arrangements (Mpande 2016:97-101) also points to the fact that the discipline has not yet been understood and thus the assertion by Phetla (2017:84) on the need for training interventions and support for the recognition of the field as a profession while also creating demand. What also remains unresolved is dedicated and customised frameworks and guidelines that are cross-cutting to the local government environment, meaning that, currently, the responsibility is exclusively left to the Offices of the Premier or rather, respective provincial government departments to create awareness and advocacy on the information and use of the monitoring and evaluation system. It is not clear how these frameworks to interface with the Integrated Development Plans at the Municipal level such that they are able to contribute to the outcome approach that the government has adopted.

Unevenness support for training and capacity at national, provincial and local governments emerges as one of the persistent challenges although capacity building programmes have been implemented by the DPME and through partnerships with other institutions, including those of higher learning. Abrahams (2015:7) refers to these persistent challenges as impediments to the planning and implementing growth and development initiatives. The assertion by Dassah and Uken (2006:716) was on the



limited supply of monitoring and evaluation expertise and training, which outweighed the demand. This indicated a serious skills mismatch when compared to the required level of a monitoring and evaluation champion according to the suggested DPME guide on the organisational structure given that only four universities (Witwatersrand, Western Cape, Cape Town and Stellenbosch) are offering a master's programme with an element of monitoring and evaluation in particular.

The studies by Beney *et al.* (2015:2), Goldman *et al.* (2015:4) and Goldman *et al.* (2018:5) give impetus to the need to address issues of capacity quality and accountability through coalitions and the mobilisation of the practitioner community, including the South African Monitoring and Evaluation Association (SAMEA), Twende Mbele and CLEAR-AA. This agreement was cognisant of the existing arrangements with the PSC, which led to a Memorandum of Understanding with DPME in 2012. This partnership was the genesis of setting standards and competencies specifically for evaluators, professionalisation of the field and encouragement of citizen participation and reporting.

Reflection by Abrahams (2015:6-7) refers to the developments in monitoring and evaluation as increasingly growing in leaps and bounds both local and international with academic offerings on monitoring and evaluation also growing in the number of universities with postgraduate and undergraduate qualifications. The author further confirms a 401-active membership with SAMEA, constituted by 36% from government, 31% from private sector, 11% from civil society and 8% from academics. DPME, through the Public Sector Monitoring and Capacity Development Branch, continues to coordinate capacity development programmes to improve the application of planning, monitoring and evaluation policies, tools, systems and guidelines to professionalise and modernise the public service (DPME 2019:48). Additionally, the DPME and the Public Sector Education and Training Authority (PSETA) grant funding for formal studies (degree or diploma) with formal institutions of higher learning on practice-based knowledge, which has been catalytic and available for employees within the national, provincial and local government on an annual basis. This is another strategic component of the DPME that seeks to respond directly to the capacity requirements and strategies advocated for by the GWME Framework (Presidency 2007:15).

Linking monitoring and evaluation with the budget process is a politically sensitive reform that requires an interface between administrative practices and political support

for a joint effort to ensure that the supply and demand of monitoring and evaluation are accounted for within the existing budgetary framework Lopez-Acevedo et al. (2012:85). Given the constraint in the fiscal environment, budget allocations for monitoring and evaluation activities, including the budget for capacity development, remain a scarce resource that also constrains the effective implementation of the GWMES and the associated framework. The use of donor funds thus comes as a relief and an advantage that should be leveraged on as advanced by Goldman et al. (2018:10) and, most important as a lesson learned from other countries in a similar development trajectory. The next section concludes this chapter.

#### **4.6 CONCLUSION**

The introduction of this chapter has been premised on the data analysis and the interpretation thereof in trying to respond to the research questions and objectives. By linking the themes with the elements of institutionalising monitoring and evaluation systems and the research questions, a deduction can be made on the acknowledgement and understanding of the role of DPME and the expectations from the stakeholders as the champion, the centre of government and the custodian of the GWMES. The importance of defining the measurement object has emerged as enabling environment for the monitoring and evaluation system to function optimally wherein the results inform policy reforms and decision-making that is evidence-based. Chapter 5, which follows next, synthesises and concludes this study by presenting findings and recommendations.

## **CHAPTER 5: SUMMARY OF FINDINGS, RECOMMENDATIONS AND CONCLUSION**

### **5.1 INTRODUCTION**

The previous chapter provided detailed data analysis through a systemic document review. This chapter concludes the study by drawing from the findings to inform recommendations for areas of improvement and concluding remarks based on the four key questions and the related objectives. Chapter 1 provided the rationale and background for the study with the conceptualisation of key concepts. As also highlighted in Chapter 1, the findings and recommendations are meant to reflect on the developments regarding the implementation of the GWMES. They should suggest operational and structural improvements to enhance the current efforts by DPME to institutionalise monitoring and evaluation systems as the centre of government in line with the policy framework for GWMES and contribute to existing knowledge and literature in the field of performance monitoring, evaluation and planning as the disciplines evolve. This is done summarising each chapter.

The literature review in Chapter 2 provides an understanding and identifies gaps and biases in relation to the institutionalisation of monitoring and evaluation systems in government in terms of legislation and official documents and the use and conceptualisation of monitoring and evaluation.

Chapter 3 provides details on the research design, methodology and strategies employed for the data management process. Chapter 4 intimates data analysis and interpretation of the results as one of the transparency requirements for the credibility and reliability of any research study, as alluded to under section 3.5.2 on transparency.

Chapter 5, the concluding chapter, presents a summary of the findings linking them with the research questions and objectives and, finally, the recommendations for this study. The next section gives an overview of the purpose, research questions and the objectives driving the study.

### **5.2 OVERVIEW OF THE PURPOSE OF THE STUDY, THE RESEARCH QUESTIONS AND THE RESEARCH OBJECTIVES**

The study was prompted by the need to understand developments within monitoring and evaluation as a system and a management function aimed at improving governance and accountability in government. This was specifically based on the policy framework for GWMES and on the fact that service delivery challenges, skills deficits, poor leadership and corruption, and constraints in the political environment remain prevalent despite well-articulated policy commitments, which defeats the purpose of a developmental state. The following research questions were thus formulated to understand the environment and institutional mechanisms for monitoring and evaluating the delivery of government programmes and priorities, drawing from the background and the problems identified:

- What do concepts related to the GWMES entail?
- What is GWMES and the role of DPME?
- What is the practice of monitoring and evaluation in the public service, and how has it been sustained?
- What are the implementation successes and impediments in institutionalising the GWMES?

To further qualify the questions, the following research objectives guided and supported the rationale for the study:

- To conceptualise concepts related to the GWMES.
- To explain and contextualise the GWMES and the role of DPME in relation to the mainstreaming of monitoring and evaluation systems in government.
- To understand the current practice and sustainability of monitoring and evaluation against the imperatives of the GWMES and the related policy framework.
- To highlight the successes and challenges in institutionalising the monitoring and evaluation system by DPME.

The next section presents an interpretation of the findings in line with the research questions and research objectives of the study.

### **5.3 SUMMARY OF FINDINGS**

The summary of the findings is arranged according to the research objectives.

### **Research Objective 1. Conceptualising concepts related to the GWMES**

The conceptual analysis discussed in section 1.6 clarified key concepts underpinning this study and gave insight and understanding in line with the problem statement and the related research question. Key concepts included “Institutionalisation”; “Government-wide Monitoring and Evaluation System”, “Monitoring”; “Evaluation”; “System”, “Governance”, “Accountability,” and “Department of Planning, Monitoring and Evaluation”. The conceptualisation of these concepts answered the first research question of this study: What do concepts related to the GWMES entail?

### **Research Objective 2: Contextualising the GWMES and the role of DPME in relation to the mainstreaming of monitoring and evaluation systems in government.**

Linked to the second objective of understanding the GWMES and the role of DPME in relation to the mainstreaming of monitoring and evaluation systems in government, the study brought to the fore, through the literature review, a detailed conceptualisation of the GWMES and its main objective as the system of systems. The genesis and evolution of DPME over the years and its role as the centre of government in performance monitoring and evaluation is noted in the approach by DPME in carrying out the mandate of championing monitoring and evaluation using the GWMES. This is done with the recognition and acknowledgement of complexities and the elaborate nature of the institutional arrangements for monitoring and evaluation and thus the focus on incremental or piloting of processes for evidence-based results that would motivate incentive improvement while providing a learning opportunity.

It is also evident that leadership, as a strategic management function, remains critical in driving change and, in particular, institutionalising systems of monitoring and evaluation throughout the three spheres of government. Of concern, however, is the absence of emphasis and literature that advocates for the operationalisation of the system and the local government space, although challenges and constraints are relatively common. The summary of these findings directly responds and answers the second question of this study: What is GWMES and the role of DPME?

### **Research Objective 3: Understanding the current practice and sustainability of monitoring and evaluation against the imperatives of the GWMES and the related policy framework.**

The third objective, which seeks to understand the practice and sustainability of monitoring and evaluation as guided by the GWMES, is noted in the purposive decision and commitment supported by adequate investments in building the government architecture to strengthen the centre of government being DPME for accountability through planning and performance measurement. The study further brought to the fore a conducive environment, enhanced capacities, skills development and supporting systems and legislations that have been created to enable policy implementation with an acknowledgement and recognition for adaptation as the system evolved. The strength of the system has been premised on the principle of collaboration and the recognition of the role of diverse stakeholders that are needed to play a role in promoting the practice of monitoring and evaluation not only as a discipline but also as a management function contributing to evidence-based decision making. These developments manifest that monitoring and evaluation systems enhance governance, accountability, and management processes and give sustenance and evidence-based decision-making. The recorded milestones in implementing the GWMES indicate South Africa's progress towards an improved accountability system through learning by doing and becoming competitive with other developed countries. Turning the challenges into strengths will only strengthen the response and facilitate further improvement in the system.

While notable milestones and strides have been made on the monitoring aspect, there are varying levels of institutionalisation across the three spheres of government and within departments. This is also the case with the focus and supporting systems that have been put in place by DPME to promote the practice and sustainability of monitoring and evaluation. The focus appears to be more on national and provincial, with limited effort on the local government and this has been evident even in the document review on the number of studies around monitoring and evaluation. The study also noted hesitance to respond and use the evaluation information as part of learning and improvement. These findings, as summarised, are a direct response to the third research question: What is the practice of monitoring and evaluation in the public service, and how has it been sustained?

**Research Objective 4: Understanding successes and challenges in institutionalising the monitoring and evaluation system by DPME.**

The last objective of the study, through the document analysis, notes the strength of DPME in the iterative and adaptive approach to rolling out the GWMES, a lesson learned from international best practices. The study confirms that a solid foundation for monitoring and evaluation with the supporting frameworks and guidelines to enhance a progressive approach towards good governance and accountability has been laid together with the institutional supporting systems that have been introduced. Partnership with other institutions to optimise capacity development programmes and professionalise monitoring and evaluation. This basically suggests that the principles of the GWMES have been realised to some extent. The recorded milestones in implementing the GWMES are indicative of progress towards an improved accountability system through learning by doing and that South Africa is becoming competitive with other developed countries. Turning the challenges into strengths will only strengthen the response and facilitate further improvement in the system.

In the same breath, the study also brings to the fore some gaps and challenges. This includes structural challenges in implementing the GWME Framework wherein monitoring and evaluation have not been fully integrated into some institutions, including the local government; budget constraints for capacity development and uneven support on training and capacity across government; current frameworks do not easily interface with the local government space; skills mismatch wherein officials are seconded to champion monitoring and evaluation units without the requisite skills and knowledge. This summary of findings answer the fourth research question: What are the implementation successes and impediments in institutionalising the GWMES? The next section presents a set of recommendations for improvement.

## **5.4 RECOMMENDATIONS**

Based on the summary of the findings, the recommendations of the study, over and above the contribution to the discipline of monitoring and evaluation, are aimed at enhancing modalities employed by DPME in institutionalising the GWMES. They are therefore categorised into three thematic areas: policy, process and institutional recommendations while also acknowledging progress made for the period under review.

### **5.4.1 Policy recommendations**

Given that the policy framework for the GWMES was approved in 2007 for implementation, it is at its thirteenth year of implementation. It can therefore be concluded that it has been overtaken by events, is outdated and requires adaptation. Commissioning the review/evaluation of the policy is strongly recommended considering developments and fundamental changes that have taken place over time and the fact that even the delivery environment has evolved. This review should be able to evaluate the policy implementation, and impact (direct and indirect) with a revised theory of change, including issues of transformation for relevance. The DPME study on the state and use of monitoring and evaluation by Umlaw and Chitepo (2015) could be a useful baseline for this exercise.

#### **5.4.2 Process recommendations**

The findings confirm a linear development with systems, processes and guidelines developed by the DPME, which focus on national and provincial governments. Linked to the policy recommendation for an evaluation, consideration should be on the rules of engagements, the interface between affected stakeholders, operating standards and protocols, capacity and skills to balance utility and use of monitoring and evaluation have given that a demand has been created. This would include resolving the persistent challenges and binding constraints on intergovernmental relations issues and adequate and balanced support for the three spheres of government. This requires an acknowledgement of the autonomy of the local government space and customised interventions to bridge the gap on the municipalities that are lagging behind. This includes a review of the functioning of the existing coordinating fora and the extent to which they are representative and inclusive of the three spheres of government.

#### **5.4.3 Institutional recommendations**

The study acknowledges and supports findings that institutionalisation is a challenging process, particularly for monitoring and evaluation, given the socioeconomic and political factors that are at play. At an institutional level, much has been done, as there are notable milestones and momentum that rallied around the support of establishing the DPME as the custodian of government performance management through monitoring and evaluation. There are, however, factors that continue to constrain the



delivery environment and thus reverse investments made and conditions created for implementing the GWMES in government.

DPME, as the champion and other government departments as clients of the system, need to continue advocacy on the importance of monitoring and evaluation as a principle for management and a function for all managers, not only for the monitoring and evaluation units/sections but. Investment in human resources, technology and systems should be key driving factors for institutional arrangements to match the demand that has been created with regard to the GWMES across the three spheres of government. Adequate investment in resources is also needed to support the principles and values governing public administration, but most importantly, monitoring and evaluation is an emerging discipline. Partnerships created with various organisations (local and international) and institutions of higher learning should be fully exploited and expanded for the uptake of the discipline as a profession and other capacity building initiatives.

## **5.5 CONCLUSION**

This chapter concludes the study by presenting a summary of the findings linking them with the four research objectives to answer the four key research questions. Linking the themes that have emerged from the document review with the elements of institutionalising monitoring and evaluation systems from various sources and the research questions, a conclusion can be made on the acknowledgement and understanding of the related concepts, the role of DPME and the expectations from the stakeholders as the champion, the centre of government and the custodian of the GWMES. The importance of defining the measurement object has emerged as an enabling environment to institutionalise the GWMES, wherein results have been able to inform decision-making and policy reforms that were evidence-based.

The recorded milestones in implementing the GWMES are indicative of progress towards an improved accountability system through learning by doing and that South Africa is becoming competitive with other developed countries. Turning the challenges into strengths will only strengthen the response and facilitate further improvement in the system in terms of balancing the supply and demand created. Turning the challenges into strengths will only strengthen the response and facilitate further

improvement in the monitoring and evaluation systems. Using the literature review and document analysis, the study has successfully answered the four key research questions and successfully met the research objectives as prefaced in Chapter 1.

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**ANNEXURE      A:      ETHICAL      CLEARANCE      CERTIFICATE**

**COLLEGE OF ECONOMIC AND MANAGEMENT SCIENCES RESEARCH ETHICS  
REVIEW COMMITTEE**

28 July 2022

Dear Ms Stellah Sarah Nagembe Masombuka

**Decision: Ethics Approval from  
2022 to 2025**

NHREC Registration # : (if applicable)  
ERC Reference #: **2022\_CRERC\_057(CR)**  
Name: Ms Stellah Sarah Nagembe Masombuka  
Student No #:37034928

**Researcher(s):** Ms SSN Masombuka, [37034928@mylife.unisa.ac.za](mailto:37034928@mylife.unisa.ac.za) ; 073 374 9960,  
College of Economic and Management Sciences  
Department of Public Administration and Management  
University of South Africa

**Working title of research:**

**"Institutionalisation of the Government-Wide Monitoring and Evaluation System  
by the Department of Planning, Monitoring and Evaluation in the Presidency"**

**Qualification/Type of research:** Masters

Thank you for the application for research ethics clearance by the CEMS Research Ethics Review Committee (CRERC) for the above mentioned research. Ethics approval is granted for the period 28 July 2022 to 27 July 2025.

*The negligible risk application for a conceptual study was expedited by the CEMS CRERC in compliance with the Unisa Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.*

The proposed research may now commence with the provisions that:





1. The researcher(s) will ensure that the research project adheres to the values and principles expressed in the UNISA Policy on Research Ethics.
2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the CEMS Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
5. The research will not involve any human participants. The CEMS CRERC needs to be informed in writing of any methodological changes.
6. Only de-identified research data available in the public domain may be used for secondary research provided that the data is appropriate and relevant to the objectives of the current studies. Secondary data analysis, and the use of identifiable human research data require additional ethics clearance.

*Note:*

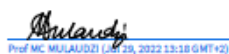
*The reference number 2022\_CRERC\_057 (CR) should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.*

Yours sincerely,



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**Dr Vaola Sambo**  
Chairperson, CRERC  
E-mail: [Esambovt@unisa.ac.za](mailto:Esambovt@unisa.ac.za)  
Tel: 012 429 4355

  
Prof MC MULAUDZI (20/05/2022 13:18 GMT+2)

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**Prof MC Mulaudzi**  
Acting, Deputy Executive Dean  
E-mail: [tshilmc@unisa.ac.za](mailto:tshilmc@unisa.ac.za)  
Tel: 012 429 3724

## ANNEXURE B: PERMISSION TO CONDUCT RESEARCH



**planning, monitoring  
& evaluation**

Department:  
Planning, Monitoring and Evaluation  
REPUBLIC OF SOUTH AFRICA

**SUBMISSION TO HEAD OF SECTION**

---

TO: Ms. Josephilda Hlope  
Outcome Facilitator: Sector Monitoring

THROUGH: Ms. C. van der Byl  
Assistand Director: Administration

FROM: Ms. Stellah Masombuka  
Senior Sector Expert: Social Protection and Social Cohesion

SUBJECT: PERMISSION TO CONDUCT RESEARCH FOR ACADEMIC PURPOSES

DATE: 06 August 2022

---

**1. PURPOSE**

The purpose of this submission is to seek permission and approval to conduct research for academic purposes in the Department of Planning Monitoring and Evaluation (DPME).

**2. BACKGROUND**

- 2.1 The DPME bursary was awarded in 2022 for a research module which forms part of the second year of the Masters in Administration for Public Administration. The approved research method for the study was conceptual and based on document analysis and review.
- 2.2 The working title approved by the UNISA College of Economic and Management Sciences "*Institutionalisation of the Government-Wide Monitoring and Evaluation System (GWMES) by the Department of Planning, Monitoring and Evaluation in the Presidency*" means that the GWMES becomes the unit of analysis and DPME, the unit of observation, though literature review. This includes published public documents and those reports that have been declared as official for public consumption.
- 2.3 According to the UNISA guideline and Research Ethic Procedures, the nature of this reseach method does not involve human interaction and thus the research ethics clearance by the CEMS Research Ethics Review Committee (CRERC) was granted for the period 28 July 2022 to 27 July 2025 (attached hereto).
- 2.4 Although ethics clearence from DPME is not required, I had deemed it appropriate to inform you of the process and the fact that I am also an employee of DPME such that there is no conflict of interest.

2.5 Internal ethics in practice and professional conduct will be fully adhered to throughout the process, with honesty and integrity. The study is anticipated to be completed by 2023.

**3. BENEFIT TO THE DEPARTMENT**

3.1 DPME is the custodian of the GWMES and the contribution of the study will give insight into DPME's role in exercising oversight and accountability of institutions.

3.2 Secondly, it will assist DPME in understanding and reviewing progress in the mainstreaming of monitoring and evaluation systems across government as intended by the policy framework for the GWMES.

3.3 Thirdly, the results of the study will suggest any operational and structural improvements through recommendations.

3.4 Finally the study is aligned to my job purpose and will enhance knowledge and capacity in terms of personal development plan, and that it is for academic purposes only.

**4. FINANCIAL IMPLICATIONS**

The modules are covered through the DPME bursary which is budgeted for by the Human Resource and Development Unit.

**5. RECOMMENDATION**

It is recommended that the Head of Section takes note the nature of the study for academic purposes and gives permission to proceed.



Ms. S Masombuka  
Senior Sector Expert  
Date: 06 August 2022



Ms. C van der Byl  
Assistant Director  
Date: 06 August 2022

Supported x	Not Supported	Supported as amended



Ms. J Hlope  
Outcome Facilitator  
Date: 06 August 2022

Recommended x	Not Recommended	Recommended as amended

## ANNEXURE C: LANGUAGE EDITOR CERTIFICATE

Ke.Nna  
Publishing Services



This certificate serves to confirm that the thesis, INSTITUTIONALISATION OF THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM BY THE DEPARTMENT OF PLANNING, MONITORING AND EVALUATION IN THE PRESIDENCY, was edited by Ms SehloDIMELA. She is contracted by the University of South Africa's College of Economic and Management Sciences to provide academic editing services. She holds a Masters in TESOL and is a certified Project Management Professional.

The services provided include:

1. Ensuring accuracy in grammar and punctuation to improve readability and clarity;
2. Consistency and structural enhancements to aid in creating a cohesive article that has a logical flow and appropriate tone; and
3. Formatting in alignment with the stipulated style guide

For any enquiries relating to the above, see below contacts:

CT SEHLODIMELA, MA(TESOL), PMP  
Managing Director: Ke.Nna Publishing Services

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