

**A model for the integrated and transversal monitoring and
evaluation of rural development programmes implemented by the
Limpopo Provincial Government in South Africa**

by

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DEDICATION

This thesis is dedicated to my late mother and brother, Elsa and Gawie. In life they were my biggest supporters and believed in me. They are not here to share this moment with me. However, their spirits prevailed and I knew that they were with me every step of the way, and that we rejoice together.

DECLARATION

I, Melinda Labuschagne, declare that the thesis, which I hereby submit for the degree Doctor of Philosophy in Rural Development Planning at the University of Pretoria, is my own work and has not previously been submitted by for a degree at this or any other tertiary institution.

Signature:

Date: June 2015

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ABSTRACT

A model for the integrated and transversal monitoring and evaluation of rural development programmes implemented by the Limpopo Provincial Government in South Africa

by

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Department: Agricultural Economics, Extension and Rural Development

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Literature indicates that there is a lack of an integrated approach to monitoring and evaluation (M&E) of interventions focusing on rural development, resulting in policy development and analyses not being supported, transparency and accountability on rural spending not enhanced and organisational learning not encouraged. In an effort to address the problem statement of the study (*the lack of an integrated approach to the M&E of rural development as a multisectoral development intervention*), the aim of the research was to develop a new model for the integrated and transversal M&E of rural development programmes to be implemented by government departments, and specifically within the provincial sphere of government in the Limpopo Province.

The following research questions guided the study:

- What are the critical elements of an integrated and transversal approach to the M&E of rural development, and
- How can these critical elements be incorporated in a model for the integrated and transversal M&E of rural development within the context of the Limpopo Province?

The research was an empirical study with the purpose to explore and describe. Case studies, as research design, were appropriate to obtain data and collect information through interactive methods to achieve the objectives and provide answers to the research questions.

The research was conducted in six phases: (1) Theoretical framework, (2) Comparative case studies of Canada, Chile and Uganda, (3) Single case study of the South African national context, (4) Single case study of the Limpopo Provincial Government; (5) Interviews with key informants; and (6)

Development of a model for the integrated and transversal M&E of rural development at provincial level (being the aim of this empirical study). Qualitative data was collected through document analysis, semi-structured interviews with key informants, and experience surveying. The key informants, who were sampled by applying purposive sampling, included M&E practitioners and rural development experts.

The theoretical framework of the study contained the literature review of the M&E of rural development. The comparative case studies of Canada, Chile and Uganda indicated the lessons learned, from both a strength and limitation perspective, relating to the institutionalisation of M&E. The single case study of the South African national context gave an overview of the South African national context in respect of rural development, viz. the development of the Government-wide M&E System as a model for M&E and the M&E of rural development. The single case study of the Limpopo Provincial Government documented the institutionalisation of M&E within the framework of the GWMES model, rural development and the M&E of rural development in the Limpopo Province.

Research findings were formulated based on the six phases of the research, including the interviews with key informants, and provide answers to the research questions. Critical elements of an integrated and transversal approach to the M&E of rural development were found to include the political, policy and legislative, and governance context of M&E, the coordination of M&E, a feedback mechanism, an organisational structure supporting M&E, the quality M&E data, performance indicators, a reporting system and the importance of evaluation and the necessity of interventions based on M&E findings. These should elements be incorporated into the follow components: (1) Strategic; (2) Institutional; (3) Planning; (4) Operational; (5) Data; (6) Analytical; (7) Reporting; (8) Evaluation; and (9) Intervention.

The research findings contributed to the development of a new model for the M&E of rural development at provincial level. The foundation of the model is the integrated and transversal M&E of rural development in the Limpopo Province. To assist in the implementation of the model, supporting documentation was developed as well as an information technology element, which adds depth to the application of the model. The software allows the creation of an interactive Web page version of the model, which is potentially more visual, transparent, user-friendly and accessible than text-based models, amongst others.

While a considerable amount of information is available on the concept and theories of M&E and rural development, there is an absence of models guiding the transversal and integrated M&E of rural development programmes. The study addressed the problem as defined in the problem statement,

namely the lack of an integrated approach to the M&E of rural development as a multisectoral development intervention.

No comprehensive study has previously been undertaken on the institutionalisation of the M&E of rural development at provincial level in South Africa. As there is a gap in knowledge related to the development of M&E systems at provincial level, this study provided greater understanding of the M&E of rural development at a provincial level in a transversal and integrated manner.

The research undertaken makes definite contributions to the area of knowledge generation and development of policy as it relates to the M&E of rural development at provincial level. This study combined theoretical analysis with empirical data on the development of M&E systems for rural development and covered all the aspects concerning the institutionalisation of M&E systems, which span multisectoral development interventions. The existing gap in the research concerning the more successful and less successful efforts and best practice approaches, especially in a context where development needs are great, was addressed. Through the research, theory was developed by means of the determination of an enhanced M&E model with its interrelated components, appropriate to the M&E of rural development initiatives in the Limpopo Provincial Government. This, in turn forms an important scholarly contribution to the existing body of knowledge as regards the M&E of rural development at regional level. In addition, a contribution was made to address current shortcomings as regards capacity-building in the emerging field of M&E.

The model developed allows for the integrated and transversal M&E of multisectoral rural development programmes implemented by the Limpopo Provincial Government in South Africa. Through the utilisation of the model, rural development interventions, being programmes and projects, are M&E throughout the results chain. Specific emphases is placed on results being outcome and impact orientated, as results become evident at outcome and impact level. The scope and application of the model are the rural development programmes implemented by the Limpopo Provincial Government. Tools have been developed in support of the model. The tools are outputs of the research and are a combination of lessons learned from the study, customised to the context of the Limpopo Provincial Government.

Since the findings of the study will be in the public domain and disseminated through a wide range of vehicles, forums and platforms, it is foreseen that the study could have a noteworthy impact on the M&E of rural development, especially at provincial level. It is envisioned that the range of lessons and recommendations that emerged from this study will enrich the efforts of the Limpopo Province in

entrenching a culture of M&E to support service delivery and programme implementation, which will lead to the growth and development of the province.

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ACRONYMS

AAA	Accra Agenda for Action
ABET	Adult Basic Education and Training
AFReC	Applied Fiscal Research Centre
AG	Auditor General
AGSA	Auditor General South Africa
AKIS	Agriculture Knowledge and Information System
ANC	African National Congress
AoPO	Audit of Pre-determined Objectives
APP	Annual Performance Plan
APRM	African Peer Review Mechanism
ARC	Agricultural Research Council
ATCs	Agricultural Training Colleges
AU	African Union
BEC	Bid Evaluation Committee
CAADP	Comprehensive Africa Agriculture Development Programme
CBOs	Community Based Organisations
CEE	Centre of Excellence for Evaluation
CIDA	Canadian International Development Agency
CoGTA	Cooperative Governance and Traditional Affairs
COSATU	Congress of South African Trade Unions
CRDP	Comprehensive Rural Development Programme
CSIR	Council for Scientific and Industrial Research
CSOs	Civil Society Organisations
DA	Delivery Agreement
DAFF	Department of Agriculture, Forestry and Fisheries
DBSA	Development Bank of Southern Africa
DCI	Division of Inter-Ministerial Coordination
DDAS	Dynamic Data Acquisition System
Defra	Department for Environment, Food and Rural Affairs
DHIS	District Health Information System
DG	Director General
DIPRES	National Budget Bureau
DLA	Department of Land Affairs
DoA	Department of Agriculture

DPLG	Department of Provincial and Local Government
DPME	Department of Performance Monitoring and Evaluation
DPRs	Departmental Performance Reports
DPSA	Department of Public Service and Administration
DPW	Department of Public Works
DRDLR	Department of Rural Development and Land Reform
DRT	Department of Roads and Transport
DSD	Department of Social Development
DWAF	Department of Water Affairs and Forestry
ECD	Early Childhood Development
EDD	Economic Development Department
EPWP	Expanded Public Works Programme
EXCO	Executive Council
FAO	Food and Agriculture Organisation
FCC	Finance and Fiscal Commission
FLSD	Frontline Service Delivery
FMPPI	Framework for Managing Programme Performance Information
FOS	Foundation of Success
FOSAD	Forum of South African Directors General
G&A	Governance and Administration
GASB	Governmental Accounting Standards Board
GCIS	Government Communication and Information System
GEAR	Growth, Employment and Redistribution
GHSs	General Household Survey
GIS	Geographic Information System
GPRA	Government Performance Results Act
GPRAMA	GPRA Modernization Act
GoU	Government of Uganda
GWMES	Government-wide Monitoring and Evaluation System
HoD	Head of Department
HRM	Human Resource Management
HSRC	Human Sciences Research Council
IDs	Identity Documents
IDPs	Integrated Development Plans
IEG	Independent Evaluation Group
IFAD	International Fund for Agricultural Development

IFSS	Integrated Food Security Strategy for South Africa
ISRDP	Integrated Sustainable Rural Development Programme
ISRDS	Integrated Sustainable Rural Development Strategy
ICT	Information Communication Technology
IT	Information Technology
KM	Knowledge Management
KPAs	Key performance areas
LCSs	Living Conditions Surveys
LDA	Limpopo Department of Agriculture
LED	Local Economic Development
LEGDP	Limpopo Employment, Growth and Development Plan
LFA	Logical Framework Approach
LIRDS	Limpopo Integrated Rural Development Strategy
LPG	Limpopo Provincial Government
M&E	Monitoring and Evaluation (noun)
M&E	Monitoring and evaluating (verb)
MCS	Management Control System
MDGs	Millennium Development Goals
MEC	Member of Executive Council
MfDR	Management for Development Results
MFPED	Ministry of Finance, Planning and Economic Development
MinMEC	Ministers and Members of the Executive Council
MINSEGPRES	Ministry Secretary General of the Presidency
MIS	Management Information System
MMF	Municipal Manager's Forum
MPAT	Management Performance Assessment Tool
MoF	Ministry of Finance
MoU	Memorandum of Understanding
MoVs	Means of Verification
MSC	Most Significant Change
MTEF	Medium-term Expenditure Framework
MTSF	Medium-term Strategic Framework
NDP	National Development Plan
NEPAD	New Economic Partnership for African Development
NEP	National Evaluation Plan
NEPF	National Evaluation Policy Framework
NGOs	Nongovernmental Organisations

NGP	New Growth Path
NIMES	National Integrated Monitoring and Evaluation System
NMWEW	National M&E Working Group
NPC	National Planning Commission
NPFNS	National Policy on Food and Nutrition Strategy
NSCPBL	National Steering Committee for Prevention of Blindness
NSO	National Statistical Office
NSS	National Statistical System
OAG	Office of the Auditor General
OECD	Organisation for Economic Co-operation and Development
OED	Operations Evaluation Department
OPM	Office of the Prime Minister
OtP	Office of the Premier
PA	Performance Agreement
Palama	Public Administration Leadership and Management Academy
PCAS	Policy Coordination and Advisory Services
PCC	President's Coordinating Council
PCU	Policy Coordination Unit
PDA	Provincial Department of Agriculture
PEAP	Poverty Eradication Action Plan
PGDS	Provincial Growth and Development Strategy
PGITO	Provincial Government IT Office
PIGF	Premier's Intergovernmental Forum
PICC	Presidential Infrastructure Coordinating Council
PIMS	Programme Implementation and Management System
PMAU	Poverty Monitoring and Analysis Unit
PMDS	Performance Management and Development System
PME	Participatory Monitoring and Evaluation
PMES	Poverty Monitoring Evaluation Strategy
PMI	Programmes for Management Improvement
PoA	Programme of Action
PRs	Poverty Reduction Strategies
PSC	Public Service Commission
PSPPD	Programme for Support to Pro-Poor Policy Development
PWMES	Province-wide M&E System
RBM	Results-based Management
RDF	Rural Development Framework

RDP	Reconstruction and Development Programme
RDS	Rural Development Strategy
RMAF	Results-based Management and Accountability Framework
RRA	Rapid Rural Appraisal
SACP	South African Communist Party
SADC	South African Development Community
SALGA	South African Local Government Association
SAPS	South African Police Service
SASQAF	South African Statistics Quality Assessment Framework
SEGPRES	Ministry General Secretarial of the Presidency
SIPs	Strategic Infrastructure Projects
SITA	State Information Technology Agency
SMMEs	Small, Medium and Micro Enterprises
SONA	State of the Nation Address
SOPA	State of the Province Address
SSPG	Governmental Programme Monitoring System
Stats SA	Statistics South Africa
SWAP	Sector-wide Approach
TBS	Treasury Board Secretariat
TOR	Terms of Reference
UBOS	Uganda Bureau of Statistic
UN	United Nations
UNDP	United Nations Development Programme
UNICEF	United Nations Children Emergency Fund
UP	University of Pretoria
USA	United States of America
WOP	War on Poverty
WSSD	World Summit on Sustainable Development

CHAPTER 1

GENERAL INTRODUCTION TO THE STUDY

1.1 OVERVIEW OF THE STUDY

The literature indicates that there is a lack of an integrated approach to monitoring and evaluation (M&E) of interventions focused on rural development. This results in policy development and analyses not being supported; transparency and accountability for budget expenditure in respect of rural development are not enhanced; and organisational learning not encouraged. The research explores and describes the institutionalisation of M&E of rural development initiatives in government, and particularly in the Limpopo Province (South Africa). The research was conducted in six phases:

- Theoretical framework;
- Comparative case studies (Canada, Chile and Uganda);
- A single case study of the South African context;
- A single case study of the Limpopo Provincial Government (LPG);
- Interviews with key informants; and
- The development of a model for the integrated and transversal M&E of rural development at provincial level.

Qualitative data was obtained through document analysis of existing information from various sources. M&E and rural development specialists and agriculturalists were sampled and interviewed through the use of a semi-structured interview schedule. To support the six phases of the research mentioned above, the data collection method of experience surveying was also used.

The study found that the principal model for M&E in South Africa, the Government-wide M&E System (GWMES), has some shortcomings, which impact on the integrated and transversal M&E of rural development programmes implemented by provincial government departments. This study attempts to address the problem through the development of a model for integrated and transversal M&E, specifically for the rural development programmes implemented by provincial government departments in the Limpopo Province.

An article with the title “Model for the integrated and transversal monitoring and evaluation of rural development programmes implemented by government departments” based on the research was published in the South African Journal of Agricultural Extension (Vol. 41, 2013).

In this research thesis the acronym that is used for monitoring and evaluation is M&E. This acronym has been consistently applied throughout the work, as both words are verbal nouns (gerunds), even though they may function as verbs or adjectives.

The research covers information gathered up to 31 August 2013.

For ease of reference between chapters, cross referencing is used.

1.2 INTRODUCTION

This first chapter presents a general introduction to the background of the study and the problem being investigated after exploring the international and South African context of the M&E of rural development programmes. The aim and research objectives of the study are then formulated, followed by an exposition of the research questions and a summary of the research methodology which was followed. Working definitions of the key concepts of the study are given before the ethical matters addressed in the study are discussed. Through this research, the contribution to the knowledge base of the M&E of rural development is stated. Finally, the structure of the thesis and the main topics discussed in the remaining chapters are outlined.

1.3 BACKGROUND AND CONTEXT OF THE RESEARCH

In this section on the background and context of the research the international and South African context of rural development and the M&E of rural development were reviewed.

1.3.1 International context

Since the 1950s, various philosophies, themes and policy directions have originated and evolved in respect of rural development. The approaches of implementers of rural development have been swayed by expansive reasoning about development (Ellis and Biggs 2001, p. 438).

The majority of the world's poor reside in rural areas (Wiggins and Proctor 2001, p. 427). The International Fund for Agricultural Development's (IFAD) 2011 *Rural Poverty Report* predicts that rural deprivation will persist over the next two to three decades (2010, p. 16). During the compilation of *Reaching the Rural Poor*, the 2003 rural development strategy of the World Bank, the beginnings of a new commitment to rural development in the international arena as a whole was witnessed. The strategy assigns great weight to the development and institutionalisation of M&E systems in developing countries (World Bank 2003, p. v).

M&E has been upheld as an essential means of improving the results of rural development interventions (Touwen 2001, p. 24). M&E is important if governments are to evaluate whether rural development initiatives have been successful or not. The ability to formulate and implement rural development policies is closely related to the M&E capacity of a country. It is only possible to assess effectively the progress with which rural development policies are implemented by conducting regular and objective M&E of rural development indicators. Furthermore, for governments to demonstrate accountability and good governance, processes and systems should be in place that are based on predetermined outcomes and impacts for rural development.

The importance of M&E on the agenda of most developed and developing countries is emphasised by the process of advancement of good governance exercised within the structure of the Millennium Development Goals (MDGs) of the United Nations (UN) General Assembly. According to Kusek and Rist (2004, p. 19), “MDGs are among the most ambitious initiatives to adopt a results-based approach towards poverty reduction and improvement in living standards”, poverty being an aspect that is linked to rural development. The M&E of the MDGs, consisting of goals and targets to be attained by 2015, provides a means for assessing progress towards improving quality of life. The development and sustaining of an M&E system is deemed to be vital to monitoring the attainment of the MDGs (Kusek, Rist and White 2005, p. 8).

A culture of accountability is growing in Africa as is evidenced by the African Peer Review Mechanism (APRM) as provided for in the New Economic Partnership for African Development (NEPAD) (Sangweni 2004, p. 1). There is optimism about NEPAD’s capacity to propel African politics into cultures of accountability and transparency (Akopari 2004, p. 248). M&E is viewed as an opportunity through which dialogue between developed and developing countries can take place by providing critical information on the progress with development issues, amongst others. Poverty Reduction Strategies (PRSs) have become important vehicles for development in the poorest countries; these necessitate M&E systems to determine progress made (Ellis and Biggs 2001, p. 444). M&E is also perceived to assume a significant role as an enabler for leaders of developing countries, affording them a potent strategic tool for ensuring success in creating a better life for the ordinary citizen. M&E has also become increasingly prominent in the wake of international resolutions by both donor and recipient countries, such as the *Paris Declaration on Aid Effectiveness* in 2005 (see *Chapter 3.3.1.2*) (Keita, Okidegbe, Cooke and Marchant 2009, p. 2).

1.3.2 South African context

A significant portion of the South African population resides in rural areas (Machete 2004, p. 2), being 38 per cent in 2010 (World Bank 2012, p. 140). South Africa has nine provinces with the largest rural population (in terms of the percentage of their citizens) living in rural areas), being in Limpopo (86,7 per cent), Eastern Cape (61,2 per cent) and Mpumalanga (58,7 per cent) (Stats SA 2001, p. 8). This *status quo* with regard to the rural dimension remains relatively the same, as indicated in the *Income and Expenditure of Households 2010/2011* (Stats SA 2012b p. 40) with Limpopo (87 per cent), Eastern Cape (57 per cent) and Mpumalanga (57 per cent). The policy on rural development has evolved from the social and political aims forming part of the 1994 *Reconstruction and Development Programme* (RDP) (ANC 1994) ; the 1996 *Growth, Employment and Redistribution (GEAR) Strategy* (Department of Finance 1996); the spatial concepts of nodes, corridors and infrastructure strategies contained in the 2000 *Integrated Sustainable Rural Development Strategy* (ISRDS) (Presidency 2000) to the 2008 *War on Poverty* (WOP) (Presidency 2008c) and the extension of service delivery to rural areas as provided for in the 2009 *Comprehensive Rural Development Programme* (CRDP) (Ministry of Rural Development and Land Reform 2009) (see *Chapter 5.2.1*).

Rural development is one of the priority areas of the 2009-2014 South African government. The government recognises the “diversity of rural areas” and the “overall objective is to develop and implement a comprehensive strategy of rural development that will be aimed at improving the quality of life of rural households, enhancing the country’s food security through a broader base of agricultural production, and exploiting the varied economic potential that each region of the country enjoys” (Presidency 2009d, p. 19).

Besides the 2009-2014 *Medium-term Strategic Framework* (MTSF), the growth strategies supporting rural development are the following: the 2010 *National Outcomes*, specifically Outcome 7; the 2011 *New Growth Path* (NGP) (EDD 2011); and both the 2012 *National Development Plan* (NDP) (Presidency 2012e) and the 2012 *Strategic Infrastructure Projects* (SIPs) (PICC 2012) (see *Chapter 5.2.2*).

With the rising “movement to demonstrate accountability and tangible results, developing countries”, such as South Africa, can be expected to institutionalise M&E (Kusek and Rist 2004, p. 1). The post-1994 South African Government only introduced the concept of M&E, as conditions for M&E, such as democracy, transparency and accountability had not previously existed. The Constitution of the Republic of South Africa Act, 1996, requires that the South African Government be accountable and transparent to the public. In Chapter 10 of the South African Constitution these principles are noted in that “Public administration must be accountable and transparency must be fostered by providing the

public with timely, accessible and accurate information” (section 195(1)(f) and (g) (Constitutional Assembly 1996). Thus, the South African Government is obliged to respond to constitutional and legislative imperatives to ensure that the implementation of strategies and programmes is monitored. During 2005, the South African Cabinet approved a process to develop an M&E system for government, termed the Government-wide M&E System (GWMES). The Presidency published a *Proposal and Implementation Plan for a Government-wide M&E System* (Presidency 2005) and a *Policy Framework for the Government-wide M&E System* (Presidency 2007). Transversal M&E is especially relevant in South African context as the Presidency intended for the GWMES to be a system that cuts across government (Presidency 2005, p. 1) (Presidency 2007, p. 9).

The Government-wide Monitoring and Impact Evaluation Seminar for Policy Makers was held during June 2005 and the then Director General (DG) in the Presidency stated that M&E was critical for a developmental state such as South Africa. He based his statement on the premise that a developmental state has to deal with issues of complexity and multiplicity, which include both urban and rural development. He added that all state organs were to provide for M&E to ensure government-wide M&E.

In the 2009 State of the Nation Address (SONA) the importance of M&E was highlighted when the President of South Africa announced that a ministry would be established in the Presidency to strengthen M&E of service delivery and the implementation of programmes by government (Zuma 2009, p. 13). In this regard, the MTSF 2009-2014 states that the “electoral mandate also conceives of the establishment of long-term national planning capacity as the principal mechanism for defining long-term frames of reference and subsidiary objectives, co-ordinating and integrating government efforts, as well as monitoring and evaluation of implementation” (Presidency 2009d, p. 3).

Provinces were mandated in 2006 to start a process of establishing province-wide M&E systems (PWMES) aligned to the GWMES as a model (Cwayi 2011, p. 2). To define the role of the provinces, during 2008 the Presidency published *The Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice M&E Guide for Offices of the Premiers*. This guide was clear on the expectation that provincial departments would contribute to the realisation of provincial and national priorities being monitored and reported. In September 2009, the Presidency published the Green Paper on *Improving Government Performance: Our Approach* (Presidency 2009c), which represented the first step in policy development. The document was approved by the Cabinet and opened the way for public submissions. The Green Paper placed importance on developing the ability to M&E the performance of government and to mediate where ideal performance has not been achieved. The focus of M&E must be to develop an M&E system for, amongst others, rural development, this being one of the priorities as agreed to in the MTSF (Presidency 2009c, p. 4).

Since 1 January 2010, the Department of Performance M&E (DPME) has been functioning in the Presidency. A principal area of focus by the DPME is the monitoring of outcomes by holding ministers responsible for the improvement of service delivery performance (see *Chapter 5.3.7.3*). The DPME has a supportive role related to both the creation of performance agreements with role players and the delivery agreements (DAs) relating to various subdivisions with role-playing departments. This is aimed at focusing on a small set of results, as well as a particular group of outputs. The rationale is that an orientation towards outcomes will “provide a framework for an integrated whole of government approach” that coordinates the various development interventions that contribute to a given outcome (Presidency 2009c, p. 13). The DPME monitors national departments to ensure that they meet certain targets and also aims to monitor provinces and municipalities. During 2011 the *National Evaluation Policy Framework* (NEPF) was published with its foremost purpose being to “promote quality evaluations which can be used for learning to improve the effectiveness and impact of government, by exposing what is working and what is not working and revising interventions accordingly” (Presidency 2011b, p. iii). In South Africa, M&E is increasingly becoming important for evidence-based policy development, budgeting and decision-making (Cwayi 2011, p. 2).

The development of the GWMES as a model for M&E in South Africa is discussed in further detail in *Chapter 5 Case Study of the South African National Context: The M&E or Rural Development*.

1.4 PROBLEM FORMULATION

In working towards formulating the problem statement, the nature of rural development is analysed with regard to the complexity of the sectors involved in this development intervention. Thereafter the consequences of the nature of rural development for M&E are discussed, specifically the challenges relating to the M&E of multisectoral development interventions, such as rural development. The reality of the M&E of rural development is acknowledged as being a problematic area as regards the integrated and transversal M&E of rural development; this leads to the formulation of the problem statement that is investigated by the study. The section is concluded with a discussion on the research problem in relation to South Africa as regards the GWMES as a model for the M&E of rural development interventions.

1.4.1 Nature of rural development

The nature of rural development can be described as follows:

- To achieve major government goals it is necessary for rural development interventions to be multidimensional in nature (Perrin 2006, p. 28);
- Rural development calls for a complex development intervention that will include various stakeholders (Jacobs, Aliber, Hart and O'Donovan 2008, p. 55);
- Rural development calls for a multisectoral development intervention (Presidency 2012d, p. 25) and requires a multisectoral response (Ashley and Maxwell 2001, p. 418);
- Rural development takes place across spheres of government and is a transversal function (DRDLR 2012b, p. 49); and
- Rural development requires the inclusion and action of a variety of government departments through a multisectoral range of programmes (Perrin 2006, p. 28).

The sectors health, agriculture, transport, energy and education are understood to be vital towards achieving rural development. In varying measures each sector will add to the quality of life of populations and to the overall growth and development of rural areas. The economic, social and environmental aspects of rural development must be addressed and these require multisectoral efforts (World Bank 2003, p. 29). Both the 2011 NGP and 2012 NDP, as forward-looking policy documents, state that multiple interventions are needed to shift rural areas to more sustainable development paths over the next two decades.

1.4.2 Consequences of the nature of rural development for M&E

Rural development is a pervasive challenge in many developing countries, which makes this a key component of a development strategy. International role players in rural development are attempting to improve the monitoring of regional and global progress in rural development in conjunction with the implementation of strategies (Csaki 2001, p. 567).

The nature of rural development creates the challenge of coordinating M&E activities across and within sectors (World Bank 2008, p. 10). One of the distinctive characteristics of these M&E activities is that they have to be directly linked to particular development interventions, which can be described as programmes or projects and are implemented at all levels of government. Wherever there is a development intervention, M&E should be undertaken with the specific aim of following up on the application and results of this intervention (Edmunds and Marchant 2008, p. 17).

Significant outcomes, such as rural development, rarely arise from initiatives in one sector (Perrin 2006, p. 30). Solutions to development matters that need to be addressed by government, such as rural development, require coordinated action from across multiple programme areas. By implication, the

M&E of rural development interventions requires the same focus on an integrated and transversal approach (World Bank 2008, p. 63).

There are challenges relating to the M&E of multisectoral development interventions, such as rural development, including:

- Stakeholders with different priorities for programme implementation and M&E;
- Assessment and reporting with the related contradictory and competing demands;
- Difficulties developing outcome indicators;
- Accessibility and examination of concerns related to M&E data and its ownership;
- Access to, and the sharing and dissemination of, M&E findings; and
- Harmonising and coordinating M&E systems (Fredericks, Carman and Birkland 2002, p. 10).

The transversal and integrated M&E of rural development is complex, multidisciplinary and skills-intensive. In addition, comprehensive understanding transversely, and within sectors, is required.

1.4.3 Reality of M&E of rural development: Defining the problem statement

M&E is an essential factor of rural development interventions and is critically significant to the understanding of the outcomes and impacts of any type of intervention (Oakley 1988, p. 3). There is a growing emphasis on an integrated and comprehensive approach. In addition, there is the view that evaluation should not be an event that occurs at the end of a programme, but rather an ongoing process which assists decision makers to better understand the programme, how it impacts those involved (PSC 2005, p.133) and how it is being influenced by external factors (Mackay 2007, p. 60).

Notwithstanding the abovementioned international attempts to improve the M&E of rural development (see *Section 1.4.2*), no standard framework for measuring a country's performance exists. Only a few of the governments of developing countries take a sufficiently multisectoral view of the M&E of rural development efforts (Ellis and Biggs 2001, p. 445), considering that a number of different sectors play a role in the rural economy (Hodge and Midmore 2008, p. 23). As a result, it is a challenge to develop an approach to M&E progress across the "spheres of government involved in rural development" (Olivier, Van Zyl and Williams 2010, p. 113).

The integrated and transversal M&E of rural development is challenged by the design of M&E systems, particularly the absence of indicators that can be monitored, a lack of ownership and

participation by stakeholders. The description of project objectives, components and implementation arrangements is not clearly articulated in M&E system, as it is applied to rural development. Delays in conducting baseline surveys and impact evaluations and in operationalising the M&E system are challenges encountered during project implementation (Muller-Praefcke 2010, p. 32).

Entities developing M&E systems for rural development often fail to note the intricacies and requirements of the background of the sector in which the system is to be institutionalised (Kusek and Rist 2004, p. 23). In addition, M&E is often hampered by separation of powers, legal and regulatory requirements, overlapping demands for information from key stakeholders and organisational cultures and capacities (Wholey 2003, p. 9). Insufficient cognisance is taken of the political, organisational, technological and developmental dimensions; this is where the system is to be developed, will function and will be sustained. These dimensions can be drivers of, or barriers to, M&E systems (Kennerly and Neely 2002, p. 1243). Amongst others, it is essential for M&E policies to reveal the objectives and the roles of rural development M&E. The reality is that there is an absence of comprehensive M&E policies, roles are not defined in the existing policy and the objectives of M&E are not internalised in the M&E of rural development (Mebrathu 2002, p. 504).

Based on these identified problematic areas, the problem statement can be defined as:

There is a lack of an integrated approach to the M&E of rural development as a multisectoral development intervention.

The consequences of this deficiency are that policy development and analysis are not being supported, transparency and accountability for budget expenditure in respect of rural development are not enhanced and organisational learning is not encouraged.

1.4.4 Research problem in relation to South Africa

The South African Government aims to address rural development through a multisectoral range of programmes. In terms of Schedule 4 (Part A) of the Constitution, rural development is a functional area of concurrent competence between the national and provincial spheres of government (see *Chapter 5.2.2.1*). Thus, most sector departments functioning in the nine provinces of South Africa are implementing programmes, which contribute to rural development. Since 1994, rural development has been driven by a number of policies and strategies (see *Chapter 5.2*). Although the government is constitutionally mandated to institute mechanisms to M&E service delivery, the M&E of rural development is currently not approached in an integrated and transversal manner (see *Chapter 5.7*). The implication of this is that the effects of programmes contributing to rural development

provincially are not measured and, consequently, accountability for budget expenditure in respect of rural development is not explored. Policy documents published by the Presidency contribute to the problem, in that they lack comprehensive consideration of lessons to be learned from international, African and South African experiences in developing M&E systems (Van der Westhuizen 2008, p. 7).

The three spheres of government (national, provincial and local) in South Africa (see *Chapter 6.2.3*), which are bound by Chapter 3 of the Constitution relating to co-operative government and the Intergovernmental Relations Framework Act 13 of 2005, are involved in realising developmental objectives, but the reality is that they tend to work in relative isolation from each other. As this development intervention involves a number of functions and levels, there is a need to ensure coherence in M&E. The perspective that the clustered structure of the South African Cabinet (see *Chapter 5.5.6*) leads naturally to an integrated and transversal approach to M&E, is absent in government practice (DPLG 2000, p. 8). Accountability for performance is limited within the clusters (Malan 2005, p. 226). M&E requires enhanced collaboration both in and across government clusters (Presidency 2012d, p. 18). Different stakeholders may require different facts for varying reasons and this may result in conflicting M&E requirements. The consequence of this is that an M&E approach should be determined that meets the needs of different audiences.

Developers of M&E systems are encouraged to take note of lessons learned from international literature on M&E, not to start again and repeat mistakes that have already been made elsewhere. However, models cannot just be duplicated from other countries, governments or sectors, because there are unique components that are relevant to each set of circumstances. The realities, opportunities and constraints facing a particular country, government or sector will be unique in many ways. Efforts to build M&E systems must therefore be tailored according to the particular circumstances (political, institutional, social and cultural) if they are to be successful.

The observations and findings of the developers of the GWMES, international and local scholars as well as the researcher (see *Chapter 5.5*) were considered in the evaluation of the GWMES as a model for integrated and transversal M&E of rural development. Based on the shortcomings found in the GWMES model, it is clear that at present there is no specific model in South Africa for the M&E of provincial rural development programmes in an integrated and transversal manner. M&E is approached in an *ad hoc* manner through the GWMES and there are shortcomings from a policy, legislative, intergovernmental, organisational and programme perspective.

1.5 AIM AND OBJECTIVES OF THE STUDY

In an effort to address the problem statement of the study (*the lack of an integrated approach to the M&E of rural development as a multisectoral development intervention*), the aim of the research was to develop a new model for the integrated and transversal M&E of rural development programmes to be implemented by government departments, and specifically within the provincial sphere of government in the Limpopo Province.

A model can be defined as a graphic and definitive representation of a set of notions and the interrelationships between and among those notions. The distribution of a group of relationships between varieties of factors is established by means of a diagram, which reflects those that are believed to effect, or lead to a target condition. Pathways between key components are defined, assisting in clarifying the process that leads to the desired effect, and is a representation of the underlying structure of a process or a system. A model is used to assist to visualise, often in a simplified manner, something that cannot be directly observed as a detailed theoretical projection of a possible system of relationships (Margoluis and Salafsky 1998, p. 28). These definitions and descriptions of a model guided the approach utilised in this study to the development of a model for the integrated and transversal M&E of rural development programmes implemented by provincial government departments in the Limpopo Province.

To achieve the aim of the research, the specific research objectives were as follows:

- Conduct a literature review of M&E of rural development, both from an international and South African perspective;
- Develop an understanding of the approach to M&E and identify best practices and lessons learned by international role players involved in M&E and rural development;
- Explore the GWMES as a model for M&E in South Africa;
- Document the institutionalisation of M&E in the LPG against the GWMES model;
- Identify shortcomings with regard to the GWMES as an appropriate model for the M&E of rural development and make suggestions to changes to the GWMES as a model and test the changes; and
- Develop a customised model by identifying and studying the components and concepts of the model relating to the M&E of rural development in the Limpopo Province, determining the linkages and interrelationships between components, defining concepts and displaying the processes and flows between components.

To assist in the implementation of the model, supporting documentation was developed as well as an information technology (IT) element, which adds depth to the application of the model. The software allows the creation of an interactive Web page version of the model, which is potentially more visual, transparent, user-friendly and accessible than text-based models, amongst others (see *Chapter 2.3.6*).

1.6 RESEARCH QUESTIONS

This research was conducted with the intention of both exploration and description. In exploratory studies hypotheses are not developed and therefore research questions guide the study (see *Chapter 2.2.3*). The research questions that related to the “*how?*” were answered through describing, while the research questions that related to the “*what?*” were answered through exploration.

Directly related to the above research objectives, the following research questions guided the study:

- What are the critical elements of an integrated and transversal approach to the M&E of rural development, and
- How can these critical elements be incorporated in a model for the integrated and transversal M&E of rural development within the context of the Limpopo Province?

Underpinning the research questions were the exploration and description (see *Chapter 2.2.3*) of matters that either explicitly or implicitly related to the integrated and transversal M&E of rural development in general.

1.7 SUMMARY OF RESEARCH METHODOLOGY

Chapter 2 Research methodology of the study deals in detail with the research methodology followed. The research design and phases followed during the study are explained and the data collection methods are explored. Thus, at this stage only a summary of research methodology followed is provided in Figure 1.1.

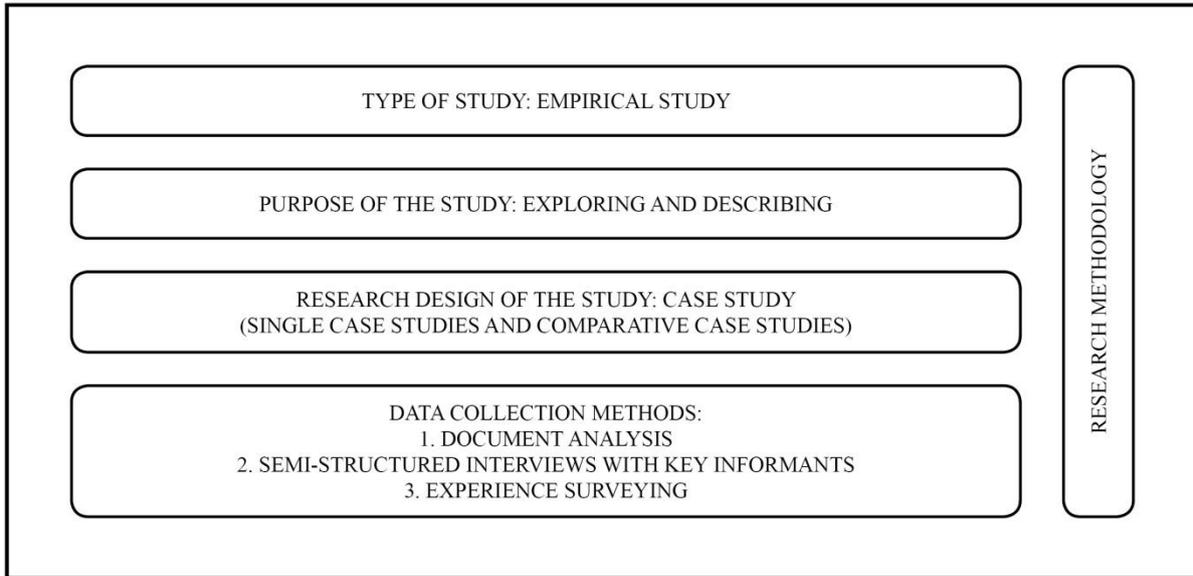


Figure 1.1 Summary of research methodology (developed by researcher)

1.8 DEFINITION OF THE KEY CONCEPTS

For the purpose of this chapter, working definitions of monitoring, evaluation and rural development are given, as these concepts are explored and described in more detail from a theoretical perspective in *Chapter 3 Literature Review of the M&E of rural development: Towards a conceptual framework*.

1.8.1 Monitoring

Monitoring is defined by the United Nations Development Programme (UNDP) as “A continuing function that aims primarily to provide managers and main stakeholders with regular feedback and early indications of progress or lack thereof, in the achievement of intended results. Monitoring tracks the actual performance or situation against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analysing data on implementation processes, strategies and results, and recommending corrective measures” (UNDP 2002, p. 102).

To support the GWMES model, “monitoring involves reporting on actual performance against what was planned or expected according to pre-determined standards. Monitoring generally involves collecting and analysing data on implementation processes, strategies and results, and recommending corrective measures” (Presidency 2005, p. 5).

In summary, monitoring is a systematic management activity that involves the collection and analysis of data to provide answers to the questions: *What? Where? When? How much? and How many?* The

analysis of the data provides information needed to signify, evaluate and learn on the basis of practice. Decision-making in respect of improving development interventions is facilitated through monitoring as it enables mid-course correction during the implementation phase of the intervention.

1.8.2 Evaluation

Evaluation is defined by the UNDP as “A time-bound exercise that attempts to assess, systematically and objectively, the relevance, performance and success of ongoing and completed programmes and projects. Evaluation can also address outcomes or other development issues. Evaluation is undertaken selectively to answer specific questions to guide decision-makers and/or programme managers, and to provide information on whether underlying theories and assumptions used in programme development were valid, what worked and what did not work and why. Evaluation commonly aims to determine relevance, efficiency, effectiveness, impact and sustainability. Evaluation is a vehicle for extracting crosscutting lessons from operating unit experiences and determining the need for modifications to the strategic results framework. Evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process” (UNDP 2002, p. 100).

In essence, evaluation is the intermittent probe of the efficiency, effectiveness, relevance, impact as well as the sustainability of development interventions. The findings of the evaluation should contribute to more effective interventions, greater learning opportunities and knowledge of what is effective.

1.8.3 Rural development

In 1975 the World Bank published a *Sector Paper on Rural Development*. In the Sector Paper it is indicated, “that rural development is a strategy designed to improve the economic and social life of a specific group of people, the rural poor. It involves extending the benefits of development to the poorest among those who seek a livelihood in the rural areas” (Chambers 1983, p. 147). At the heart of rural development are a range of demographic, economic, social and environmental issues. The aim is that rural communities become vibrant through optimal utilisation of natural resources, and socially through cohesion and compassion for one another (United Nations 2011, p. 35).

1.9 ETHICAL MATTERS

The following ethical matters were addressed in the study:

- Guidelines observed;
- Use of human subjects in the study;
- Principles of informed consent and confidentiality; and
- Permission to use government information.

These matters are subsequently discussed in more detail.

1.9.1 Guidelines observed

The University of Pretoria's (UP) guidelines on research ethics were observed throughout the implementation of various aspects of the study. The following UP guidelines and regulations guided the research:

- *General Regulations (S 4583/04)*;
- *Code of Ethics for Research (Rt 429/99)*;
- *Committee for Research Ethics and Integrity. Guidelines for responsible research: Policy and Procedures (S 4083/00 amended)*;
- *Faculty of Natural and Agricultural Science Submission of Thesis*;
- *General Information for PhD Candidates*;
- *Requirements of the Departmental Postgraduate Studies Committee (Faculty of Natural and Agricultural Science)*; and
- *Office of the Registrar Plagiarism Prevention Policy (S 4726/09 amended)*.

The relevant guidelines and regulations were adhered to where applicable in the study. These documents were all accessed at the UP website (www.up.ac.za).

1.9.2 Use of human subjects in the study

Information provided by the respondents to an interviewer is often more sensitive than that which would have been collected through other methods, such as a questionnaire. The possibility of harming those participating in the study exists and “therefore the increased sensitivity requires a high degree of thought and caution regarding the subject's informed consent, protection of confidentiality, protection

against abusive use of raw or coded data, and protection against abusive application of the results of the study” (Boyatzis 1998, p. 61).

According to the conditions of the *UP Code of Ethics for Research*, the questions in this study were designed so that those involved in the research were not affected by any subject that might be potentially abusive and/or sensitive. A declaration was made to the Faculty of Natural and Agricultural Sciences Ethics Committee in that “The project, by engaging human subjects, does not contravene the principles of the Constitution of the Republic of South Africa, in particular those contained in Chapter 2: Bill of Rights”.

Information on the study and supporting documents were submitted to the Ethics Committee, which considered the approval of the use of human subjects in the study. Its approval confirms that the research conforms to the requirements of the Ethics Committee and is attached as Annexure A.

1.9.3 Principles of informed consent and confidentiality

Specific attention was given to the principle of voluntary participation of research subjects and confidentiality of information obtained. The confidentiality principle states, as a condition, that all information and the biographical profiles gathered from the respondents during the research will not be used against them nor revealed to any other authority without their agreement (Mark 1996, p. 46).

One of the data collection tools that were used in the study to gather information in relation to the research question was a semi-structured interview guide (drafted by the researcher), which conformed to the relevant UP guidelines. This guide was used during the interviews of the key informants. Key informants were empowered with an Information Sheet detailing the following:

- Introduction and background to the study, detailing the general and specific objectives of the study and why the key informants had been specifically approached;
- Interview details such as the nature and timeframe of the interview. It was emphasised that the key informants could withdraw at any time during the interview if they wished to do so;
- Confidentiality, in that the information provided during the interview would be kept confidential and only the researcher would know who was interviewed, as the name and involvement of a key informant would not be revealed in any report resulting from the study to any third party;
- Benefit and risks of participation, indicating that participation in the study was voluntary and there would be no direct benefits to anyone who participated in the interviews.

Similarly, there would be no direct consequences or penalties for individuals who chose not to be interviewed; and

- Contact details of the researcher in case a key informant had a question for clarity.

The complete Information Sheet is attached as Annexure B.

1.9.4 Request for permission to use government information

As some government information was classified, permission was sought from the Limpopo Department of Agriculture (LDA) to use information, where relevant, to which the researcher had access during normal duties as an employee of the department. The request was considered by the Head of the Department (HoD) and permission was granted and is attached as Annexure C.

1.10 CONTRIBUTION OF THE STUDY

The research undertaken makes definite contributions to the area of knowledge generation and development of policy as it relays to the M&E of rural development at provincial level. While a considerable amount of information is available on the concept and theories of M&E and rural development, there is an absence of models guiding the transversal and integrated M&E of rural development programmes.

Few studies combine theoretical analysis with empirical data on the development of provincial or regional M&E systems for rural development in developing countries. There is a gap in the research concerning the more successful and less successful efforts and best practice approaches, especially in a context where development needs are great.

Research to develop theory, improve practice and contribute to capacity-building in the emerging field of M&E is encouraged. The research design consists of case studies of organisations in a specific context and includes comparative case studies. Similar case studies should explore and document the context of M&E, the process of developing goals and measuring performance. The use of analysed data as reflected in M&E products and the impact of performance information in management, resources allocation and other forms of policy decision-making should be included in the research. Case studies should also be used to develop and test theories related to the effective implementation of M&E. Given the pressures facing government to institutionalise and sustain M&E, such research is both important and urgent (Wholey 1999, p. 305).

The “South African situation, with its short association with M&E and its particular challenges, has not been” sufficiently analysed and discussed in the literature (Naidoo 2011, p. 15). Research conducted in South Africa on M&E systems is limited and where it exists, the literature does not cover all the aspects concerning the institutionalisation of M&E systems, which span multisectoral development interventions. Research on M&E, especially at provincial level, is perceived as fallow land that needs further exploration as only a few case studies have been prepared on the subject of M&E at the provincial level (Mackay 2007, p. 86). Based on this limited research, Wholey’s view (1999, p. 305) is supported in that case studies of experiences with the institutionalisation of M&E in specific contexts should be undertaken to develop theory and improve practice. Such case studies should explore and document the context of M&E, the process of the institutionalisation of M&E and lessons learned. Case studies can be used to develop and test theories related to effective M&E in South Africa.

The review of the literature (see *Chapter 3*) indicates that limited studies have been conducted to determine the critical elements of an integrated and transversal M&E system, which can measure the performance of rural development programmes implemented by sector departments within the provincial sphere of government. A distinction is made between government-wide M&E and those systems and approaches that specifically relate to provinces, sectors, departments and clusters (Levin 2005c; Shepherd 2011, p. 3).

As there is a gap in knowledge related to the development of M&E systems at provincial level, the study addresses this shortcoming in the literature and attempts to provide greater understanding of the M&E of rural development at a provincial level in a transversal and integrated manner.

The research is important for theory, practice and issues related to policy. This study is developmental in nature and on account of its depth and scope offers new ideas on the topic. Data collected during the research can assist in developing a body of knowledge, which will contribute to critical or alternative perspectives on policy development concerning the M&E of rural development. The possibility should be explored that the model for integrated and transversal M&E of rural development developed in this study could be applied to policies covering other multisectoral development interventions. Existing policies may be enriched or amended and new policies may be developed.

Since the findings of the study will be in the public domain and disseminated through a wide range of vehicles, forums and platforms, it is foreseen that the study may have a noteworthy impact on the M&E of rural development, especially at provincial level.

The opinion is expressed that the scope of the study is relevant, focused and current against the background of the importance attached to the M&E of (rural) development efforts globally, including South Africa as a developmental state.

The contribution of the research lies in the fact that no comprehensive study has previously been undertaken on the institutionalisation of the M&E of rural development at provincial level in South Africa. Limited resources on the documentation of M&E are available in South Africa (Mouton 2010, p. 8). Cwayi (2011, p. 12) agrees and states that the “body of available literature on M&E dealing with the situation in South Africa” is limited and no study has covered the development of M&E systems at provincial level. Provincial experience is a key resource that must be used optimally in the building of South Africa’s M&E base. The problem is likely to continue in future unless this gap in knowledge is addressed.

The study is opportune for the Limpopo Province, as well as the other provinces of South Africa, as a blueprint for development. The 2009-2014 Limpopo Provincial Growth and Development Strategy (PGDS) is currently (2014) being reviewed, in line with the *Provincial Growth and Development Strategy Guidelines* that were developed by the Department of Provincial and Local Government (DPLG) in 2005. These guidelines prescribe that provincial growth and development strategies must be reviewed every five years (DPLG 2005, p. 6), thus including the period between 2014 and 2019. The review process also covers the review of the M&E plan for the PGDS. Thus, the findings from the study in relation to the integrated and transversal M&E of rural development should be useful in the review of the current PGDS and the drafting of the new PGDS.

Lessons learned from this research are relevant to a broader situation, as opposed to specific circumstances. The contribution made by the development of a model for the integrated and transversal M&E of rural development in the province is useful, as generalisations from research results, either from a single case study or comparative case studies, should be added to the existing theory (Yin in Tellis 1997, p. 4). It is envisaged that the range of lessons and recommendations that emerge from this study will enrich the efforts of all the provinces in South Africa, including the Limpopo Province through the development of a model for the integrated and transversal M&E of rural development. This will lead to the growth and development of rural areas within the provinces.

1.11 LIMITATIONS OF THE STUDY

Case studies are not representative of entire populations and as such the researcher took care not to generalise beyond cases similar to those studied. The research findings, from the comparative case studies and the single case study, cannot be used to provide conclusions that can be generalised, for

example in the private sector. However, the contribution made to the development of a model for the integrated and transversal M&E of rural development in the provincial government sector is useful, as generalisations from research results, either from a single case study or comparative case studies, is made to the theory on the M&E of rural development (Yin in Tellis 1997, p. 4).

1.12 OUTLINE OF THE THESIS

The thesis consists of nine chapters, which are presented as follows:

Chapter 1: General introduction to the study

Chapter 1 presents the general introduction to the background of the study and the problem being investigated, after having explored the international and South African context of the M&E of rural development programmes. The aim and research objectives of the study are then formulated, followed by the research questions and a summary of the methodology that guided the research. Working definitions of the key concepts of the study are discussed before covering the ethical matters addressed in this study. The contribution of the research to the knowledge base of M&E of rural development and the limitations of the study are stated. Finally, the outline of the thesis is provided and the main topics of the remaining chapters are noted.

Chapter 2: Research methodology

Chapter 2 deals with the research methodology followed in conducting the study. The research design and its underlying rationale, as well as the phases of the study, are explained. The data collection methods are explored and specifically the experience of surveying as a data collection method is set out in detail. The chapter is concluded with a discussion of the data management, analysis and presentation in the study.

Chapter 3: Literature review of the M&E of rural development - Towards a conceptual framework

Chapter 3 provides the theoretical framework of the study and contains the literature review of the M&E of rural development. An indication is given of the literature covered on the subject matter and presented from an international perspective. The chapter is completed with an overview of the main conclusions based on the literature review.

Chapter 4: Comparative case studies

Chapter 4 examines the literature collected through document analysis for the comparative case studies conducted in respect of Canada, Chile and Uganda. The chapter concludes with lessons learned, from both a strength and limitation perspective, relating to the institutionalisation of M&E.

Chapter 5: Case study of the South African national context: The M&E of rural development

Chapter 5 gives an overview of the South African national context in respect of rural development, the development of the GWMES as a model for M&E, the M&E of rural development and concludes with a summary of the main elements.

Chapter 6: Case Study of the Limpopo Provincial Government: The M&E of rural development

Chapter 6 details the analysis and summarises the data collected during the case study of the LPG in South Africa. The chapter consists of five parts:

- Profile of the Limpopo Province, with an emphasis on the development context and the machinery of government;
- Institutionalisation of M&E in the LPG, within the framework of the GWMES model;
- Rural Development in the LPG;
- The M&E of rural development in the LPG; and
- Overview of interviews with key informants (contributions summarised per key topic).

Chapter 7: Research findings in relation to a model for the integrated and transversal M&E of rural development

Chapter 7 contains the research findings of the study emanating from the literature review; the comparative case studies; single case studies of the South African national context and the LPG context; and the interviews with key informants. The chapter culminates in an analysis of the findings in order to respond to the research questions set for this study, by identifying the critical elements of an M&E system for rural development at provincial level.

Chapter 8: Model for the integrated and transversal M&E of rural development

Chapter 8 describes the recommendations that need to be considered when a new model for the M&E of rural development at provincial level is developed as stated in the aim and specific objectives of the research. A model is developed, founded on the integrated and transversal M&E of rural development in the Limpopo Province. The model is based on the findings of the research (as contained in *Chapter 7*).

Chapter 9: Conclusions and recommendations

Chapter 9 sets out the conclusions and recommendations concerning the implementation of the model for the integrated and transversal M&E of rural development in the Limpopo Province.

Recommendations are made regarding the implementation of the findings, probable policy implications and further avenues of research.

1.13 SUMMARY

Chapter 1 presented a general introduction with regard to the background of the study and the problem being investigated. The international and South African context of the M&E of rural development programmes was explored. The aim and research objectives of the study were formulated, followed by the research questions and a summary of the research methodology followed in conducting the study. The ethical matters addressed in this study were comprehensively covered. The contribution of the research to the knowledge base of M&E of rural development in the provincial sphere of government was stated and, finally, how the thesis develops and the main topics in the remaining chapters were discussed.

The next chapter, *Chapter 2*, presents the research methodology of the study.

CHAPTER 2

RESEARCH METHODOLOGY

2.1 INTRODUCTION

In the previous chapter (*Chapter 1*) the general introduction to the research with regard to the background of the study and the problems being investigated, were considered. The aim and research objectives of the study were formulated through the specification of research questions. A summary of the research methodology was presented in *Chapter 1*. This chapter presents a more comprehensive description of the research methodology followed. The type and purpose of the study is explained and the research design identified. The phases followed during the study are described and the data collection methods are explored. Detail is also provided on the data management, analysis and presentation. The chapter concludes with a description of the reliability and validity of the data used in this research.

2.2 TYPE AND PURPOSE OF THE STUDY AND THE RESEARCH DESIGN

The research problem and the research questions determined the methodology in terms of the type, purpose and research design of the study.

2.2.1 Type of the study

According to the literature two types of studies can be identified: empirical studies and nonempirical studies (Babbie and Mouton 2011, p. 78). Empirical studies entail using data from experiments, experience and observation, rather than that from theory or logic. Primary data such as case studies are used for empirical studies or existing data can be analysed. Existing data may consist of text data (for example document analysis) or numeric data (for example secondary data analysis). Data gathered through this method is referred to as empirical evidence and is exposed to qualitative or quantitative analysis and used to respond to research questions. Nonempirical studies, amongst others, relate to philosophical or conceptual analysis (Mouton 2008, p. 144).

This research has been done as an empirical study as it attempts to gain knowledge by investigating the world of observations or experience (Babbie and Mouton 2011, p. 641) in relation to the integrated and transversal M&E of rural development.

2.2.2 Purpose of the study

The most common and useful purposes of research are identified as exploration, description or explanation. Exploratory studies are conducted to provide a basic understanding of a topic. Descriptive studies attempt to describe phenomena in detail, thus providing a detailed, highly accurate picture of the situation within a specific context. Explanatory studies are used to establish cause-and-effect relationships between variables. “Experiments are commonly used in causal research designs because they are best suited to determine cause and effect” (Babbie and Mouton 2011, pp. 79-81).

This research was conducted with the purpose of both exploring and describing. In exploratory studies hypotheses are not developed and in descriptive studies the researcher collects information to answer questions (Bailey 1982, p. 38). Therefore research questions guided the study (see *Chapter 1.6*). The research questions that relate to the “*What?*” were answered through exploring and the research questions that relate to the “*How?*” were answered through describing.

2.2.3 Research design of the study

The research design of the study is referred to as the master plan that details the approaches and processes for gathering and examining the essential data. This provides the structure against “which data are to be collected to investigate the research question” (De Vos 1998, p. 124).

Within empirical studies as the type of study, case studies are identified as an appropriate research design (Mouton 2008, p. 57). As a research design, the case study is an empirical investigation that explores an existing phenomenon in its actual situation. It is a technique of acquiring knowledge about a complicated occurrence, which is grounded in a comprehensive understanding of this example, collected by a detailed account and scrutiny of that case as a whole and within its environment (Verwey 2006, p. 1). The case study method, which uses numerous data collection procedures, provides researchers with the ability to triangulate facts in order to reinforce the findings and conclusions of the research.

The research design chosen to achieve the general and specific objectives of this empirical study is a case study. The way in which the research design is developed is fundamentally affected by whether the research questions are exploratory or descriptive, as this affects what type of data is collected. In this study the research questions are both explorative (“*What?*”) and descriptive (“*How?*”) in nature as case studies, as mentioned above, can be exploratory, descriptive and explanatory (Tellis 1997, p. 3). The choice of case study as a research design was also motivated by the opinion of Wholey (1999, p.

305), who states that case studies of experiences in developing M&E systems in specific contexts should be undertaken to develop theory in respect of and improve the practice of M&E. Such case studies explore and describe the context of M&E, the process of developing the system and lessons learned. Few case studies have been conducted on M&E in South Africa at the provincial level (Mackay 2007, p. 86).

Case studies are appropriate to obtain data and collect information through interactive methods to achieve the objectives and answers of the research questions. Specifically, the following two types of case studies were used:

- Comparative case studies: This is a group of multiple case studies of various research situations to establish a cross-unit comparison; and
- Single case study: Meticulous, objective study of one research entity at one point in time (Babbie and Mouton 2011, p. 281; Mouton 2008, p. 281; Odell 2001, p. 162).

Single case studies are appropriate when a unique case is studied. Comparative case studies add the analytical leverage that comes from comparison between units of analysis. Although the case study method is described as an integrating force between qualitative and quantitative research (Yin 1994, p. 287), this study is qualitative in nature. In the qualitative approach the case study refers to the in-depth analysis of a single or a number of units.

2.3 PHASES OF THE RESEARCH

The study was conducted in six phases to ensure a logical process towards achieving the aim and specific objectives of the study, as well as answering the research questions that guided the study (see *Chapter 1.5* and *1.6*). A schematic presentation of the phases of the research is reflected in Figure 2.1.

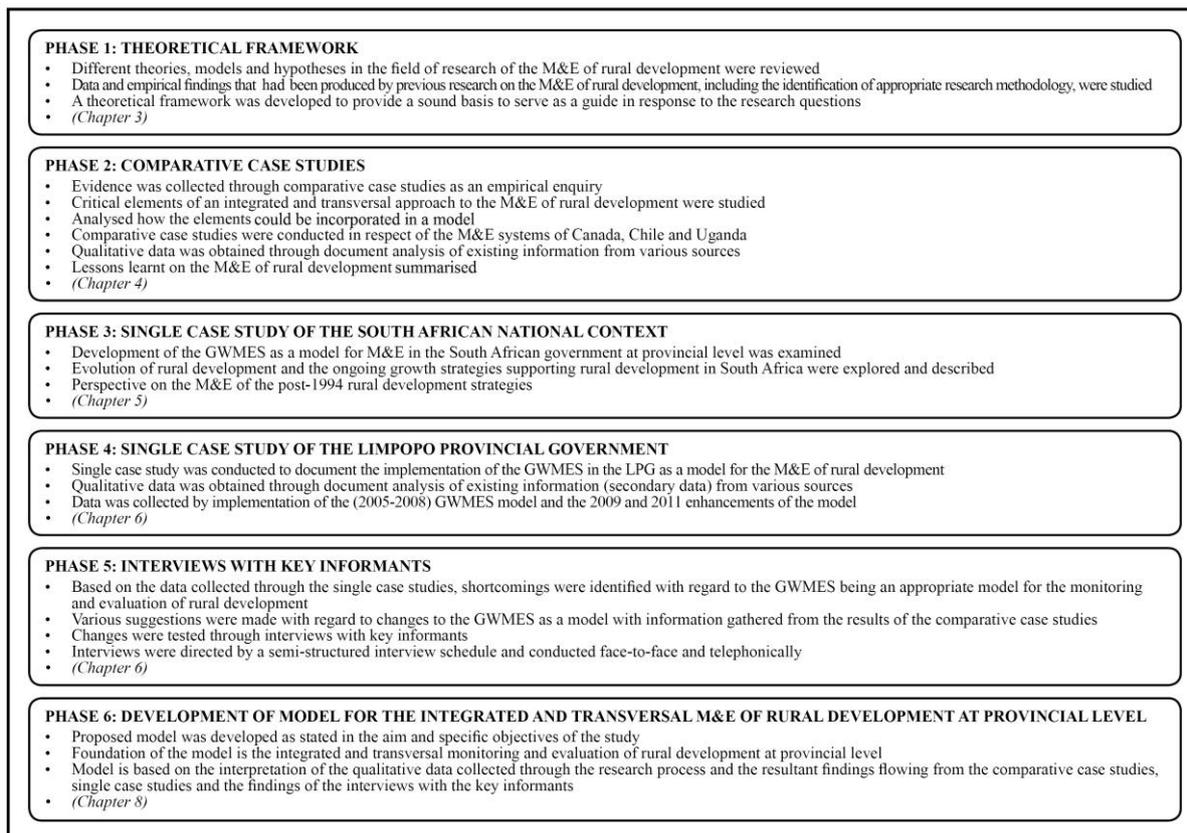


Figure 2.1 Phases of the research (developed by researcher)

This section on the phases of the research reflects briefly on aspects of the research procedure followed and more detail is given in *Sections 2.4 to 2.6*. To support the six phases of the research, the data collection method of experience surveying was also employed. The researcher attended conferences, workshops, training and other learning opportunities, which were used for experience surveying through the interaction with those specialised in the research subject matter. Data collected at these forums reflected the focus of the research, being the M&E of rural development (see *Section 2.4.3*).

2.3.1 Phase One: Theoretical framework

A theoretical framework was developed to provide a sound basis to serve as a guide in response to the research questions. The framework was developed after the different theories, models and hypotheses in the field of research on the M&E of rural development were reviewed and the data and empirical findings that had been produced by previous research on the M&E of rural development, including the identification of appropriate research methodology, studied.

2.3.2 Phase Two: comparative case studies

Through comparative case studies as an empirical enquiry, evidence was collected to study the critical elements of an integrated and transversal approach to the M&E of rural development and to analyse how the elements can be incorporated in a model. Comparative case studies were conducted in respect of the M&E systems of Canada, Chile and Uganda. These countries can be viewed as representative of good practice or at least promising practice, thus being the unit of analysis of the comparative case studies (Benbasat, Goldstein and Mead 1987, p. 372). The rationale for the comparative case studies' selection is indicated in Table 2.1.

Table 2.1: Rationale behind the comparative case studies selection (developed by researcher)

COUNTRY	RATIONALE
CANADA	<ul style="list-style-type: none"> • A developed country viewed as a leader in M&E • Initiatives in place where stakeholders are working collaboratively to attain a common result • Intergovernmental and interdepartmental accountability frameworks in place
CHILE	<ul style="list-style-type: none"> • A developing country with a government-wide M&E system • The evolution of the system has been well documented and analysed • The system has been externally reviewed by the World Bank with regard to effectiveness and usefulness
UGANDA	<ul style="list-style-type: none"> • A developing country with a system in place for the M&E of the poverty reduction strategy • Government established a National Integrated M&E System (NIMES) for the Poverty Eradication Action Plan (PEAP) • NIMES coordinates existing M&E systems from a government-wide perspective

Qualitative data was obtained through document analysis of existing information from various sources. The findings of the comparative case studies are summarised in *Chapter 7: Research findings in relation to a model for the integrated and transversal M&E of rural development*.

2.3.3 Phase Three: Single case study of the South African national context

The single case study of the South African national context examined the development of the GWMES as a model for M&E in the South African government at provincial level. Thereafter the evolution of rural development and the ongoing growth strategies supporting rural development in South Africa were explored and described. The phase was concluded with a perspective on the M&E of the post-1994 rural development strategies.

2.3.4 Phase Four: Single case study of the Limpopo Provincial Government

A single case study was conducted to document the implementation of the GWMES in the LPG as a model for the M&E of rural development. The Limpopo Province in South Africa is one of three provinces where at least 58 per cent of the communities live in rural areas (see *Chapter 1.3.2*). It is for this reason that Limpopo was chosen as a case study. The central role of provinces is emphasised as they account for approximately 70 per cent of the public service and M&E of their performance is essential.

The rationale for the use of a case study as the research design is that it is considered suitable for a study of this nature. The unit of analysis of a provincial government is representative of other provincial governments in South Africa (Naidoo 2011, p. 2). These operate within a defined legal and policy framework, which consists of the Constitution of the Republic of South Africa, 1996 and the 2007 *Policy Framework for the Government-wide Monitoring and Evaluation System*.

However, in many circumstances the realities, opportunities and constraints facing a particular province will be unique. Efforts to build M&E systems must be tailored according to the provincial context if they are to be successful.

The case study approach allowed for the documentation of the specific experience in the M&E of rural development in the LPG. This method also provided insights, which would be useful in the development of a model for the integrated and transversal M&E of rural development programmes implemented by government departments in the Limpopo Province. Qualitative data was obtained through document analysis of existing information (secondary data) from various sources related to the subject matter. Data was collected on the implementation of the (2005-2008) GWMES model and the 2009 and 2011 enhancements of the model (see *Chapter 5.3*).

2.3.5 Phase Five: Interviews with key informants

Based on the data collected through the single case studies, shortcomings were identified with regard to the GWMES being an appropriate model for the M&E of rural development. Various suggestions were made with regard to changes to the GWMES as a model with information gathered from the results of the comparative case studies. These changes were tested through interviews with key informants, who were sampled by the application of purposive sampling as the sample design, and expert sampling as the sampling technique. The sample size was 30 respondents and included M&E practitioners, rural development specialists and agriculturalists as key informants. The interviews were directed by a semi-structured interview schedule and conducted face-to-face and telephonically.

2.3.6 Phase Six: Development of model for the integrated and transversal M&E of rural development at provincial level

During phase six the proposed model was developed as stated in the aim and specific objectives of the study. The foundation of the model is the integrated and transversal M&E of rural development at provincial level. The model is based on the interpretation of the qualitative data collected through the research process and the resultant findings derived from the comparative case studies, single case studies and the findings of the interviews with the key informants.

The model was developed through using specifically designed software programme. The software used is DoView, which was developed by Dr Paul Duignan to build M&E models using a visual approach. Through DoView web page models can be created for loading on, for example, a departmental Intranet or the Internet (DoView Manual 2011, p. 8). DoView allows the creation of an interactive web page version of the model, which is potentially more visual, transparent, user-friendly and accessible than text-based models. These web page models include “all the pages from the model from which they were created, their clickable page-jumps, and a list of pages for navigation, called the contents list in the web page model” (DoView Manual 2011, p. 47). Once the model is loaded on the “Intranet or the Internet, it can be viewed in any internet browser” (DoView Manual 2011, p. 53). “The web page model output includes a full menu structure that emulates the appearance and functionality of DoView and can include a downloadable DoView or PDF file. The ability to download the DoView file which created the web page version means that” the M&E model can be shared (DoView Manual 2011, p. 53). Through sharing models can be adapted and amended based on circumstances. DoView encompasses multiple stakeholders and multisectoral programmes and contributes to knowledge management.

2.4 DATA COLLECTION METHODS

Various data collection methods were identified that are effective in case studies, including document analysis and interviews (Tellis 1997, p. 7). The qualitative nature of the case study also indicated the use of document analysis and interviews as appropriate data collection methods.

A multimethod approach to collecting data ensured that the problem was studied from different perspectives and included a wide coverage of relevant sources and stakeholders. The following data collection methods were used in the study:

- Document analysis;
- Semi-structured interviews with key informants; and
- Experience surveying.

Case studies included both quantitative and qualitative data (Tellis 1997, p. 4). However, since the study is qualitative in nature, qualitative data was also obtained through analysing documents (secondary data) from various sources and from primary data gathered from interviews with key informants.

The data collection methods were identified, taking into consideration their advantages and possible constraints, as well as the probability that these would produce relevant data. Each of the abovementioned data collection techniques and tools is discussed in more detail in the sections that follow (*Sections 2.4.1 - 2.4.3*).

2.4.1 Document analysis

The definition of document analysis is “research techniques for making replicable and valid inferences from data to their context, which is inconspicuous in nature so that the document being examined, will change in nature because it is being studied” (Robson 1993, p. 272). Document analysis is a secondary data collection method, whereby the researcher uses items, for example, public policy documents, newspapers and books, to provide the data (Mason 1996, p. 37).

The following methods were used to add structure to the document analysis:

- All sources of documentation (project documentation, administrative records and registers, organisational reports, geographic-based documentation, academic and private sector studies, relevant websites, etc.) were listed;
- The information sources which were the most cost-effective and time-efficient were prioritised in relation to their potential contributions;
- These information sources were collected and analysed, areas of corroboration and areas of conflict were noted; and
- Gaps were identified and other methods were used to fill or correct them, for example through interviews.

The strength of document analysis as a data collection method lies in the fact that the analysis of documents is an unobtrusive method, which implies that errors that could be associated with the interaction between researchers and subjects are avoided (Mouton 2008, p. 166).

Two types of secondary data were used in the case studies, being internal and external secondary data. Internal secondary data originates within the organisation in respect of which the research is being conducted. Examples of internal secondary data are reports, minutes of meetings and presentations. External secondary data is found from sources external to the organisation. Examples of external secondary data used are library sources, published government documents, census data and economic data.

2.4.2 Semi-structured interviews with key informants

Through the use of “semi-structured interviews, the interviewers have their shopping list of topics and what to get as responses to them, but as a matter of tactics, they have greater freedom in the sequencing of questions, in their exact wording, and in the amount of time and attention given to different topics” (Robson 1993, p. 237).

Berg (1998, p. 61) further states, “these questions are typically asked of each interviewee in a systematic and consistent order, but the interviewers are allowed freedom to digress. That is, the interviewers are permitted (in fact expected) to probe far beyond the answers to their prepared and standardised questions”.

During the semi-structured interviews a set of broad questions was used to elicit responses from the key informants, but there was scope available to raise new questions as a consequence of the dialogue. Thus, the interviews were useful for the in-depth consideration of qualitative matters (for example perceptions about the integrated and transversal M&E of rural development). The advantages and disadvantages of semi-structured interviews are summarised in Table 2.2.

Table 2.2: Advantages and disadvantages of semi-structured interviews (Babbie and Mouton 2011, pp. 289-291)

ADVANTAGES	DISADVANTAGES
<ul style="list-style-type: none"> • Can highlight unforeseen information such as unanticipated effects (both positive and negative) • Can be used in combination with other data collection methods 	<ul style="list-style-type: none"> • Information obtained may not allow for statistical analysis • It can be difficult to keep interviews sufficiently focused to permit comparisons • For group interviews, attention has to be paid to keeping language simple and free of technical jargon so that the whole group can understand • Political and cultural sensitivities could cause conflict in groups

Data gathered through the interviews was largely qualitative in nature as the opinions, perceptions and experience of the respondents was probed. Through the semi-structured interview schedule the key informants provided first-hand information regarding the subject matter. The respondents had the scope of including any data they considered to be pertinent to the study. Even though there was a structure to the questions, it was not always strictly followed. Consequently, the interview and questions were directed by the contents of the conversations. Additional questions were also asked to further explore information that added value to the study. This approach was used so that an in-depth understanding of the individual respondent's views could be obtained.

The semi-structured interviews with key informants were an important source of data as the outcomes of the interactions between the respondents and the researcher contributed to the development of the model for the integrated and transversal M&E of rural development at provincial level.

2.4.2.1 Sampling of the respondents for the key informant interviews

Populations consist of individuals or entities from which researchers gather information for their inquiries. In this case, data was collected from key informants. The informants were deemed to be representative and appropriate to the subject matter of the research.

“A sample is a subset of measurements drawn from a population in which we are interested. We study the sample in an effort to understand the population from which it was drawn” (De Vos 1998, p. 191). Thus, through the sample the researcher should be able to see the characteristics of the total population. Mason (1996, p. 83) writes “in the broadest definition, sampling and selection are principles and procedures used to identify, choose, and gain access to relevant units which will be used for data generation by any method”.

The respondents for the key informant interviews were sampled by applying purposive sampling as the sample design. Purposive sampling is explained as follows: “when developing a purposive sample,

researchers use their special knowledge or expertise about some group to select subjects who represent this population” (Berg 1998, p. 110). The researcher uses his or her own judgement about which respondents to choose and selects only those who best can contribute to the objectives of the study through their relevant knowledge and experience (Naidoo 2011, p. 73). The benefit of purposive sampling is that the researcher can use his or her research skill and prior knowledge to select the respondents (Bailey 1982, p. 99).

Babbie (1992, p. 230) “contends that occasionally it may be appropriate for you to select your sample on the basis of your own knowledge of the population, its elements, and the nature of your research aims: in short, based on your judgements and purpose of the study”. Through expert sampling, as the sampling technique, the following respondents were sampled for the key informant interviews:

- M&E practitioners in a number of the departments of the LPG;
- Rural development programme managers in provincial sector departments;
- Programme Implementation and Management System (PIMS) managers from a number of district and local municipalities in Limpopo;
- M&E practitioners within the Office of the Premier (OtP) in Limpopo;
- Respondents who have some involvement and expertise in developing M&E systems (also having a rural development emphases);
- An international M&E expert;
- Rural development academics attached to the two universities in the Limpopo Province (University of Limpopo and University of Venda); and
- M&E practitioners not covered in the abovementioned categories.

The sample size was 30 respondents consisting of M&E and rural development specialists as key informants. The individuals were selected because of their appropriate knowledge and experience, who would make a contribution to the study. The respondents sampled were deemed to be representative and appropriate for the research topic. The sample conforms to the requirements of representativeness, as it is possible to make deductions from the data, which can be applied to the total area of research.

2.4.2.2 Semi-structured interview schedule

The key informant respondents were interviewed through a data collection instrument, which was a semi-structured interview schedule to collect information in relation to the research questions. The semi-structured interview schedule is reflected in Annexure B. The advantages of the semi-structured

interview schedule include the flexibility the researcher can employ when questioning; control of the situation (in that the respondents themselves must answer the questions without being influenced by others); the high response rate and the comprehensiveness of the schedule (see *Section 2.4.2*).

The schedule contained an introductory statement that justified the research to the respondent (Bailey 1982, p. 145). The person conducting the research was identified, the importance of the research was explained as well as the reasons for conducting the study; and it was stated that it was important that the respondents participate in the research. In the statement contained in the information sheet for key informants, the respondents were also assured that there were no correct or incorrect answers, that he or she would not be identified and that his or her answers would be treated confidentially. The information sheet also exhibited the aim and specific objectives of the study, the details of the interview, the benefits and risk of participation and contact details of the researcher. To ensure uniform understanding of the concepts used in the schedule, the concepts were explained in the information sheet before embarking on the questions, which were worded to ensure that there would be no ambiguity.

The matter of confidentiality was emphasised because of the possibility of harm to respondents developing into a topic of a qualitative interview; the material revealed by the respondent to an interviewer can become increasingly sensitive, in comparison to methods, which are more anonymous, for example a questionnaire (Boyatzis 1998, p.61). Thus confidentiality is maintained and evidence gathered from the respondents involved in the research cannot be used against them or disclosed without their consent (Mark 1996, p. 46-47) (see *Chapter 1.9.3*).

The semi-structured interview schedule as a method of data collection for this research was submitted to the UP Faculty of Natural and Agricultural Sciences Ethics Committee for approval before the actual data collection took place (see *Chapter 1.8.2*).

2.4.2.3 Testing and piloting of semi-structured interview schedule

The semi-structured interview schedule was tested for content validity in a pilot study to ensure that the content was relevant to the purpose of the study. Piloting of a data collection instrument was vital because it provided an opportunity for the researcher to fine-tune the instrument in light of knowledge and experience acquired from the pilot study. Black (1999, p. 238) states “instruments need to be piloted to ensure that the items on the list are appropriate indicators of constructs”.

The researcher designed and pretested the semi-structured interview schedule with the assistance of four key informants who were not part of the study. They were approached based on their field of

expertise. The basis of the testing was to obtain comments and advice on the construction and content of the schedule and broader ideas that might have occurred in relation to the subject matter of the research. After the pretesting of the schedule, adjustments were made before it was piloted.

The researcher then used two M&E practitioners within the OtP in the Limpopo Province to pilot the pretested schedule before it was applied in respect of the actual respondents. The schedule was piloted to ensure that the questions reflected in the schedule were appropriate and easily understood (Royce 1995, p. 172) and that the answers allowed would be useful for analysis. After piloting the schedule, final adjustments to the interview schedule were made before its application to the respondents. The inputs obtained from both the testing and piloting led to a higher quality schedule, which was used to obtain research findings leading to credible recommendations.

2.4.3 Experience surveying

Data collection through experience surveying (Rose-Junius 1993, p. 98) was achieved by the researcher attending conferences, workshops and training and other learning opportunities for experience surveying by interacting with specialists on the research subject matter. Data collected at these forums covered the spectrum of the research, being the integrated and transversal M&E of rural development. The outcome of the experience surveying as a data collection method is consequently presented in more detail in Table 2.3.

Table 2.3: Experience surveying by researcher (developed by researcher)

Nature of experience surveying	Involvement of researcher	Incorporation of data collected in Phases of the research and Chapters
Study Tour to Canada (August 2003)	<p>The researcher participated in a study tour to Canada to study land and agrarian reform. The tour was organised by the Canadian International Development Agency (CIDA).</p> <p>The researcher represented the Limpopo Department of Land Affairs (DLA), joined by other land affairs officials from other provinces, agriculturalists from the National Department of Agriculture (DoA) and academics from the UP.</p> <p>The study tour included exposure to the Canadian M&E System, specifically the use of the <i>Results-based Management Accountability Framework</i> (RMAF) in M&E.</p>	Phase Two of the research Chapter 4
SAMEA Conferences (March 2007, September 2009, September 2011)	<p>The researcher attended the 2007, 2009 and 2011 SAMEA Conferences. The Conferences were organised by the South African Monitoring and Evaluation Association (SAMEA), of which the researcher is a member. The themes of the Conferences were “Evaluation in Action” (2007), “Values in Evaluation” (2009) and “M&E 4 Outcomes: Answering the “So What” question” (2011). At all three Conferences the researcher interacted with specialists on the subject matter of the study.</p>	Phase Three of the research Chapter 5 Phase Six of the research Chapter 8
Palama Training (2009)	<p>During 2009 the researcher was part of a group that developed and piloted the Palama curriculum on M&E training. The group consisted of officials from the Offices of the Premier and the Departments of Local Government in the nine provinces of South Africa. The researcher represented the Limpopo OtP. The training was conducted in four blocks during 2009. Subsequently, Palama has rolled out the training across government.</p>	Phase Three of the research Chapter 5 Phase Four of the research Chapter 6
Presidency Learning Network (July 2010)	<p>During 2010 the DPME initiated a process to develop a mechanism for ongoing support to M&E Learning Networks. The intention was to involve key government and nongovernment stakeholders to develop M&E practice in South Africa. A small group of people were invited as potential task team to drive the network including national, provincial and local government, as well as SAMEA. The researcher was invited and represented the Limpopo OtP in the task team.</p>	Phase Six of the research Chapter 8
Training on M&E: Regenesys School of Public Management (September 2010)	<p>The researcher attended training on M&E conducted by the Regenesys School of Public Management. The training included understanding the concepts of monitoring and evaluation, development of an M&E Framework and conducting evaluations.</p>	Phase Five of the research Chapter 6 Phase Six of the research Chapter 8

Nature of experience surveying	Involvement of researcher	Incorporation of data collected in Phases of the research and Chapters
Waterberg District Extension Conference (October 2010) Capricorn District Extension Conference (October 2010) Sekhukhune District Extension Conference (November 2010) Provincial Extension Conference (February 2011)	<p>The researcher delivered a presentation on the <i>Performance Monitoring and Evaluation Framework and Programme Performance Information Management Framework</i> at the District Extension Conferences. The District Extension Conferences were a platform for district officials to share their knowledge and experiences in various aspects of extension methodology and research.</p> <p>The Provincial Extension Conference was attended by speakers from Universities and National and Provincial Departments. The theme of the conference was “The Extension and Advisory Service in sustainable development”. The researcher was able to interact with agricultural extension officers and staff involved in related fields such as food security and natural resource management.</p>	Phase Four of the research Chapter 6
Nature of experience surveying	Involvement of researcher	Incorporation of data collected in Phases of the research and Chapters
Intelligence Transfer Centre Performance Monitoring and Evaluation Conference (November 2010)	The researcher was invited to deliver a presentation on the <i>Monitoring and evaluating the performance of departmental programmes</i> (Annexure D). The Conference was attended by M&E practitioners from all three spheres of government, the private sector and Nongovernment Organisations (NGOs).	Phase Six of the research Chapter 8
Rural Development Summit (November 2011)	The researcher attended the Rural Development Summit where the Limpopo Integrated Rural Development Strategy (LIRDS) was adopted. The Summit was also attended by political and traditional leadership. All three spheres of government were represented, as well as the private sector and Nongovernmental Organisations (NGOs). At the Summit the researcher was afforded the opportunity to interact with specialists on rural development.	Phase Four of the research Chapter 6
Government Performance Monitoring, Governance and Accountability Indaba (April 2012)	The researcher was invited to deliver a presentation on <i>Monitoring and evaluating the performance of departmental programmes</i> . The aim of the Indaba was to address key issues on performance monitoring, governance and accountability through involving speakers from the private, academic and government sector. Local government officials, M&E practitioners and Legislature officials from across the country, attended the Indaba.	Phase Six of the research Chapter 8

Nature of experience surveying	Involvement of researcher	Incorporation of data collected in Phases of the research and Chapters
Most Significance Change (MSC) (2012)	<p>The researcher participated in the impact evaluation of development interventions through the MSC approach. The MSC was documented as experienced in projects implemented by the LDA. The projects evaluated were:</p> <ul style="list-style-type: none"> • Madimbo: A women project in Musina Local Municipality, Vhembe District Municipality; • Makuleke: A Revitalisation of Irrigation Scheme (RESIS) project in Elias Motswaledi Local Municipality, Sekhukhune District Municipality; • Strydkraal: A RESIS project in Fetakgomo Local Municipality, Sekhukhune District Municipality; • Lesedi la Sechaba: A youth project in Mookgopong Local Municipality, Waterberg District Municipality; • Mafuikasaga: A female farmer aquaculture project in Thulamela Local Municipality, Vhembe District Municipality; and • Kopano: A Comprehensive Agricultural Support Programme (CASP) project in Ephraim Mogale Local Municipality, Sekhukhune District Municipality. <p>The method used during the capturing of the MSC was that of interviewing (by means of a translator) and note taking. Apart from photos, no electronic capturing took place. The domain of change that was addressed focused on the changes in the quality of people's lives. Through the participation the researcher experienced the application of MSC as an evaluation approach determining the impact of development interventions.</p>	Phase Four of the research Chapter 6 Phase Six of the research Chapter 8
Nature of experience surveying	Involvement of researcher	Incorporation of data collected in Phases of the research and Chapters
4 th Annual Rural Development Conference (May 2013)	<p>The researcher was invited to deliver a presentation on a <i>Model for the integrated and transversal monitoring and evaluation of rural development programmes</i> (Annexure E). The Conference was arranged by MillaSA and the theme was "Partnering for Success: the future we want to achieve for our communities". The aim was to analyse the actual situation within rural South Africa and Africa. As a speaker and attendee at the Conference the researcher had the opportunity to obtain information on case studies conducted by experts and practitioners in the field of rural development.</p>	Phase Six of the research Chapter 8

As indicated in the last column of the table, the experiential data collected by participating in the abovementioned learning opportunities was incorporated in the relevant phases and chapters of the research.

2.5 DATA MANAGEMENT, ANALYSIS AND PRESENTATION

Case studies as research design are complicated as they include many different sources of data and produce large quantities of data for examination. For Royce (1995, p. 40) “one of the purposes of analysis is to express the data in a way that is mentally digestible”. Durrheim (in Terre Blance and Durrheim 1999, p. 47) also states that the purpose of “conducting analysis is to transform that data into an answer to the original research question”.

The analysis of the qualitative data was approached through the use of a procedure (Creswell 1998, pp. 142-146), which consists of the following steps:

- Data collection (through the identified data collection methods);
- Data managing (field notes, database, categorising of data);
- Reading and memorising;
- “Describing, classifying and interpreting”; and
- “Representing and visualising” through figures, maps, etc. (De Vos, Strydom, Fouche and Delport 2002, p. 33).

The researcher prepared field notes and a database to assist with categorising, sorting, storing and retrieving the data for analysis related to the second step (data managing). These field notes relate to the notes taken during the interviews with respondents. The task of categorising data in the data analysis procedure is fundamental to qualitative data analysis and a framework can be developed to assist in achieving categorisation as an output (Ritchie and Spencer 2002, p. 309). The elements of an integrated and transversal approach to the M&E of rural development identified in *Chapter 3.5* were used as the framework to categorise data during the research process.

Analysed data was subsequently presented in the research report. The case study report could end up being a lengthy narrative that follows no predictable structure (Yin 1981, p. 64). However, the researcher avoided this pitfall by building the study on the theoretical framework. The data is presented in chapters; each chapter starting with a section introducing the main topics of the chapter and the sequence of the

topics discussed. The body of the chapter consists of the different sections relating to the subject matter of the chapter. Each chapter concludes with a section summarising the main points. The final paragraph links the chapter in question to the next one by mentioning the topic to be covered in the next chapter and briefly discussing the motive for the progression of these two chapters

Ultimately, the research report entailed the synthesis of qualitative data from a variety of sources, interpretation of data and data integration into conclusions derived from the research. The resulting research findings and recommendations were then formulated and a new model for the M&E of rural development in the LPG was developed.

2.6 RELIABILITY AND VALIDITY OF DATA

As the study falls within the qualitative approach, the question of reliability and validity of data is important (Naidoo 2011, p. 75). To address the research questions, the triangulation approach to reliability and validity of data was followed. Triangulation is a method used for data quality control by comparing information from multiple data sources (Tefera 2003, p. 24). The use of multiple data sources leads to a high degree of triangulation. Secondary data from reports was used for cross-referencing. In this way discrepancies were identified and improvements made to add to the reliability of the data.

2.7 SUMMARY

Chapter 2 presented the research methodology of the study. The study type is empirical and the purpose of this study is to explore and describe. The research design of the study is a case study and the six phases conducted were explained. Data was collected through the methods of document analysis, semi-structured interviews with key informants and experience surveying. The outcome of experience surveying as a data collection method was discussed in detail. Data management, analysis and presentation were described. The chapter concluded with an overview of the reliability and validity requirements of the data used in the study, by using the triangulation approach.

The next chapter, *Chapter 3*, follows on the research methodology by presenting the first phase of the study, viz. the literature review as basis for the conceptual framework.

CHAPTER 3

LITERATURE REVIEW: THE MONITORING AND EVALUATION OF RURAL DEVELOPMENT - TOWARDS A CONCEPTUAL FRAMEWORK

3.1 INTRODUCTION

In the previous chapter (*Chapter 2*) the research methodology of the study was presented. *Chapter 3* provides a review of the literature on the M&E of rural development with the objective to provide a sound theoretical basis to serve as a guide in response to the research questions discussed in *Chapter 1*. This is presented in an organised and structured manner based on the research problem being studied. The key concepts in the research problem statement and in the detailed research questions (see *Chapter 1.4* and *1.6*) formed the foundation for the literature review.

The study made use of available international and local literature on the M&E of rural development as a basis for the theoretical framework. Literature reviewed includes publications, periodicals and electronic media. Current sources were used as the point of departure, although the significance of the information and knowledge contained in earlier publications was also noted.

The focus of the literature review can be summarised as follows:

- Reviewing different theories, models and hypotheses in the field of research on the M&E of rural development; and
- Studying data and empirical findings that have been produced by previous research on the M&E of rural development, including the identification of appropriate research methodology.

To ensure that the literature review is presented in an organised manner (Mouton 2008, p. 91), the international perspectives on rural development were initially examined, followed by these same perspectives on the M&E of rural development. Based on the analysis of international perspectives, the chapter concludes with the identification of the elements of the conceptual framework; this informs the findings and empirical work, as well as contributes to the development of the proposed model for the M&E of rural development in the LPG.

3.2 INTERNATIONAL PERSPECTIVES ON RURAL DEVELOPMENT

This section gives a brief overview of the evolution of rural development internationally from the 1950s to 2000, rural development beyond the 2000s and current models of rural development in more detail.

3.2.1 Evolution of rural development internationally from the 1950s to 2000

Before the 1900s most rural communities were reliant on agriculture, which resulted in local development strategies focusing on providing the goods and services required by a population who were based on farms. Gradually rural areas developed and were no longer dominated only by agriculture-related activities. As a result, the approaches to rural development outside those remaining dependent on farming activities, appeared to focus on off-farm economic activities and were customised to local economic development (LED). The evolution of rural development policies aimed to create a balance between productive sectors and social sectors, and between state and market (Ashley and Maxwell 2001, p. 401).

Any endeavour to depict evolving concepts in rural development from the 1950s to the year 2000 risks oversimplification, as the 1960s were characterised by modernisation; intervention by the state prevailed in the 1970s; liberalisation of the market was dominant in the 1980s; and in the 1990s involvement and empowerment prevailed (Ellis and Biggs 2001, p. 437).

Nevertheless, it is useful to follow such an approach, as a rural development timeline can be drawn indicating the hypotheses, elements and policy guidelines, which have formed “rural development since the 1950s”. Ellis and Biggs (2001, p. 438) developed such a timeline. From these timelines they identified six phases in rural development practice:

- “From community development (1950s) to the emphases on small-farm growth (1960s);
- Continuing small farm growth within integrated rural development (1970s);
- From state led rural development (1970s) to market liberalisation (1980s);
- Process, participation, empowerment and actor approaches (1980s and 1990s);
- Emergence of sustainable livelihoods as an integrating framework (1990s); and
- Mainstreaming rural development in poverty reduction strategy papers (2000s)” (Ellis and Biggs 2001, p. 442).

The timeline illustrates that the predominant rural development concepts and ideas were not confined within specific timeframes. Concepts of rural development initiated in one decade often gained momentum and showed results in subsequent decades.

The next section explores the direction in which rural development has moved since 2000.

3.2.2 Rural development beyond the 2000s

The section on rural development beyond the 2000s examines agriculture and rural development, the Comprehensive Africa Agriculture Development Programme (CAADP), food security and the dynamics of growth in rural areas.

3.2.2.1 Agriculture and rural development

Most of those living in poverty in the world are located in rural areas and the perception is that an integrated rural strategy must be agriculturally orientated. This observation can be misleading when taking into account that agriculture is less and less the economic base of rural areas (Keita, Okidegbe, Cooke and Marchant 2009, p. 2). Within rural development, the agricultural sector continues to be highly vulnerable due to inappropriate technology, non-availability of necessary infrastructure and support systems and the lack of beneficiary participation, among other factors. The mere completion of an agricultural development project is not adequate for its sustainability. The targeting of small-scale farmers as a means to address rural poverty without the necessary institutional and management capacity and coupled with the lack of viable technical packages has resulted in failure and frustration on the part of the rural poor (LPG 2011a, p. 16).

Agriculture has a significant role in contributing to rural growth and ensuring food security. However, agriculture is exposed to the risks of a growing scarcity of resources, climate change and the globalisation of agricultural value chains. Therefore, the perception that a sustainable integrated rural development strategy should be only agriculturally based, is incorrect. It reveals limited understanding, as there are other opportunities besides agriculture, such as tourism, manufacturing, mining, information and communication technology (ICT) and agro-processing (LPG 2011a, p. 16).

The challenge for comprehensive rural growth is to improve agricultural productivity and competitiveness (Csaki 2001, p. 567) through improved technology, access to production inputs and markets for

agricultural products. There should be a continuum, on which a rural economy largely based on agricultural activities evolves towards an economy, which progressively supplies income to the population from activities other than agriculture (Mikos 2001, p. 547).

3.2.2.2 Comprehensive Africa Agriculture Development Programme

The CAADP started as a programme of NEPAD during 2003. In July 2003 the AU approved the *Maputo Declaration on Agriculture and Food Security in Africa*. The Declaration included a “commitment to the allocation of at least ten per cent of national budgetary resources to agriculture and rural development policy implementation within five years” (African Union Commission 2003, p. 1).

The CAADP is a strategic framework for development interventions in agriculture across four pillars namely:

- “Sustainable land management and reliable water control systems;
- Improving rural infrastructure and trade related capacities for market access;
- Increasing food supply and reducing hunger; and
- Agricultural research, technology dissemination and adoption” (NEPAD 2003).

The CAADP agenda aims for African governments to adopt policies and programmes and raise investments to realise six per cent growth in the agricultural sector by 2015. Country-led comprehensive development programmes should aim to ensure food security, develop the markets for agricultural products and eradicate poverty, amongst others (Kolavilli, Flaherty, Al-Hassan and Baah 2010, p. 14).

3.2.2.3 Rural development and food security

An issue that is closely linked to rural development is that of food security. The World Food Summit in 1996 defined food security as follows: “Food security exists when all people at all times have physical and economic access to sufficient safe and nutritious food to meet their dietary needs and food preferences, for an active and healthy life” (FAO 2006, p. 1). This definition includes issues that relate to both hunger and undernutrition resulting from the absence of access to nutritious food. The issue is also of importance to certain types of rural communities that rely heavily on subsistence farming for their nutrition. Clearly, increased food production should be a priority in poor countries, especially in Africa.

According to Chen (2012, p. 27) agriculture is fast becoming the most sought-after resource on the continent. Because of the global food security crises, people will look to Africa for food.

In South Africa, food security is based on the Bill of Rights enshrined in the Constitution of the Republic of South Africa, 1996, affirming democratic values. Food security was identified as a basic human need in the 1994 RDP. During 2002 the Department of Agriculture (DoA) developed the *Integrated Food Security Strategy for South Africa* (IFSS) (DoA 2002). The IFSS requires that the strategy be integrated into other government programmes within a rural development framework to eliminate the duplication of efforts; these are evident in the coexistence of a large number of programmes covering the issue of food security in a sectoral fragmented approach (DoA 2002, p. 11).

Despite adequate food supply and distribution, the ultimate determinant of food security is the accessibility of food to individuals. Food security is not only achieved through food availability. This is evident in a country like South Africa, which is food-sufficient at the national level, but has a high prevalence of malnutrition that is indicative of poorly nutritious diets (HSRC 2004 p. 3). South Africa has been able to produce adequate food for its domestic demand, indicating that it is food secure at the national level. However, high levels of poverty, household non-productiveness and a high unemployment rate mean that a considerable number of homes can and do suffer from a shortage of food at times. Household food insecurity results from an inability to meet daily food requirements and uncertainty about the ability to access food in future (Shisanya and Hendriks 2011, p. 509). In achieving food security there are challenges to be faced, for instance the country's ability to attain its national food sufficiency status, as access to food for all is still not achieved (DoA 2002, p. 5).

During 2013 the Department of Social Development (DSD) and the Department of Agriculture, Forestry and Fisheries (DAFF) released the *National Policy on Food and Nutrition Strategy* (NPFNS). The fact that "secure access to food by all is still not guaranteed" necessitated the review of the IFSS (DSD and DAFF 2013, p. 3). The NPFNS states that food security is a multifaceted "and multidimensional issue", which cannot be attained through a single approach (DSD and DAFF 2013, p. 6). From an M&E perspective this indicates there is a need to improve the availability of adequate, "timely and relevant information for" the M&E and analysis of the state of food security (DSD and DAFF 2013, p. 11). As one of the response mechanisms to this matter, the policy proposes a MIS containing a national data set on food security indicators (DSD and DAFF 2013, p. 16).

3.2.2.4 Dynamics of growth in rural areas

In its renewed strategy for rural development, titled *Reaching the Rural Poor*, the World Bank (2003, p. v) asserts that globally three out of every four of the poor reside in rural areas. Therefore, rural development is a key to poverty reduction in that poverty was deemed in 2003 to be mainly a rural problem. The degradation of the environment is becoming progressively worse in rural areas and is associated with the challenge of rural poverty. The limited natural resource base has to be distributed among rural people in the absence of employment opportunities in the primary industries, such as mining, and the secondary and tertiary industries (Verschoor 2003, p. 2). The basis for economic growth and assimilation into the world economy in many developing countries is constituted by the rural economy. While the role of agriculture is crucial for sustainable economic growth, poverty alleviation, food security and employment generation, the development of the rural economy as a whole holds the key to economic development (Ahmed, Tuzon and Rahman 2005, p. 2). The rural economy can be organised through development interventions coordinated by government, which support both the agricultural and non-agricultural sectors (LPG 2010f, p. 21).

3.2.3 Models of rural development

As presented in *Sections 3.2.1* and *3.2.2*, changes have transpired in the area of rural development concerning the models adopted. Four predominant models of rural development are identified that attempt to record the modifications in the principal approaches to rural development. These four models are the Sectoral, Multisectoral, Territorial and Local models (Hodge and Midmore 2008, p. 25; Lee, Arnason, Nightingale and Schucksmith 2005, p. 269).

The Sectoral model presents agriculture as the main sector in the rural economy with its focus on an increase in food production. Other goals, for instance developing rural employment (Lowe and Ward 2007, p. 309), are regarded as being an immediate result of production support supplied to the agricultural sector. However, a variety of factors undermined this model. These included the escalating price of production inputs, increasing mechanisation and surplus agricultural products. The result of these issues is that the role of agriculture in the rural economy is decreasing in importance (Hodge and Midmore 2008, p. 25).

The Multisectoral model recognises agriculture as one of several economic sectors that could assist in reaching rural development goals. Agricultural diversification was encouraged and farmers urged to

become involved in non-agricultural economic activities off the farms. Recreation, tourism, the service and industrial sectors became more important as it was argued that the objectives of rural development could be achieved more successfully by boosting job opportunities unrelated to agriculture (Hodge and Midmore 2008, p. 26).

The Territorial model recognises wider interactions within the rural economy and the significance of the social and economic environment. Rural areas can provide attractive settings for the formation of economic activity usually connected to the more innovative sectors of a contemporary market, such as IT (Keeble and Tyler 1995, p. 986). The shortcomings of the Territorial model are that there is no one sector in general that can provide a source of employment which will continue to grow in rural areas. It is considered that these types of opportunities will be contingent on local features and the presence of employment clusters in neighbouring urban areas (Hodge and Midmore 2008, p. 27).

The discrepancies between rural areas and the differences in individual situations within regions support a search for activities that will identify the specificity of explanations at most local levels (Defra 2004, p. 19), and in this context the Local model has become prominent (Ray 2000, p. 164). The Local model proposes that available assets should focus on challenges at the individual household or business level (Hodge and Midmore 2008, p. 29).

The rural development models presented above have implications for the M&E of rural development (Hodge and Midmore 2008, p. 30). The implications are briefly discussed as the remainder of the chapter explores and describes the matter in more detail. The development indicators and the methods used to M&E rural development are associated with the underlying model of the rural development process and its objectives. For example, in the Multisectoral model performance indicators could centre on local value-adding and employment. Methods used could include household surveys and both the indicators and methods have implications for the M&E data collected. These diverse models and methods have definite consequences for information that might become accessible for policy decisions and the related decision-making processes.

Another implication is related to how data is usually collected and analysed through statistical systems, as the statistical units differ between models. The Sectoral model focuses on farm businesses and methods of increasing farm incomes by agricultural production. The Multisectoral model identifies the broader economic environment and generally examines the indicators of the state of the economy as a whole and the interrelationships between sectors. The Territorial model distinguishes the broader social and

environmental elements concerning social welfare beyond employment and the delivery of services. The Local model gives greater attention to community development (Hodge and Midmore 2008, p. 31). Statistical resources that determine a baseline for M&E should be improved (Saraceno 1999, p. 441) and the application of Geographical Information Systems (GIS) to add value to the M&E of rural development should be considered (Hodge and Midmore 2008, p. 33).

With regard to evaluation, both quantitative and qualitative information is required to determine the impact of rural development. Feedback mechanisms should be in place to communicate information on performance, in order to support decision-making, resource allocation and financial control. However, as a result of the differences between rural areas, this requires an approach that addresses the lack of coordination between stakeholders in the implementation and M&E of rural development. It would seem that the Multisectoral model is preferred in this regard (Hodge and Midmore 2008, p. 34).

3.3 INTERNATIONAL PERSPECTIVES ON THE M&E OF RURAL DEVELOPMENT

The international perspectives on the M&E of rural development are studied through exploring and describing the evolution of M&E in development, focusing on the evolution of the definition and phases of M&E in development. Thereafter the evolution of M&E models is presented.

3.3.1 Evolution of M&E in development

M&E is not a new phenomenon, as both ancient and contemporary governments have attempted to institutionalise some form of M&E over time. According to Kusek and Rist (2004, p. 11), the “ancient Egyptians regularly monitored their country’s outputs in grain and livestock production more than 5000 years ago”. In the history of agricultural development detailing the evolution of an appropriately adapted tillage system, it is assumed that a range of M&E approaches was used (Edmunds and Marchant 2008, p. 17).

The conceptual understanding and practice of M&E within a developmental framework has changed dramatically and organically over the past few years (PSC 2005, p. 31), and over time contemporary governments have also attempted to measure issues such as expenditures, resources and programme activities.

Development generally covers a broad range of areas, including reduction of poverty, improvement of quality of the lives of citizens and establishing human security for all by upholding the human rights and dignity of citizens. Attached to this is the continuous access by the poor to socioeconomic, cultural and political rights and opportunities. While different sectors, departments and agencies place different emphases on development aspects, poverty reduction forms the common base.

Development is essentially about people. Within the changing global context, the questions to be answered by M&E are:

- How have development interventions enabled people to exercise and practise their social, economic, cultural and human rights?
- How have development interventions reduced poverty?
- Have the developmental interventions created access to opportunities for the development of skills and knowledge that will enable people to work, earn an income and enhance their quality of life or their state of welfare?
- How sustainable are the development interventions?

To be able to answer these questions relating to development, the evolution of the definition, phases and models of M&E is subsequently explored and described.

3.3.1.1 Evolution of the definition of M&E in development

In *Chapter 1* a working definition of monitoring and evaluation was presented. While the concept of M&E tends to run together as if it is one task, monitoring and evaluation are actually distinct sets of organisational activities, which are associated but not identical. For the purpose of this section, these two terms will first be attended to separately as to clarify the meaning of each term, before considering them as two joint activities.

Distinguishing between monitoring and evaluation does not mean to split them, as these two functions, their intended outputs and use in management decision-making are strongly interlinked and complementary (Khan 2003, p. 9). Monitoring is a basic prerequisite when it is necessary to collect the data to evaluate the performance of a development intervention. It is difficult to evaluate such an intervention if it has not been continuously assessed (Oakley 1988, p. 7). Monitoring and evaluation are

different but interrelated functions. Evaluation depends on quality monitoring data as a precondition, as it is based on the facts collected during the monitoring process.

It is possible to create a reliable performance monitoring system without conducting any evaluations. However, conducting evaluations requires reliable data from a monitoring system (Mackay 2007, p. 74). Considering this statement, it can be argued that the association between M&E is a logical one, in that the information produced through a monitoring exercise is then used during evaluation. The results obtained from evaluations will, in turn, form the basis for monitoring and assisting in the identification of areas in the development intervention requiring further monitoring and reporting. This enables programme managers to have a clear understanding of the programme concerned. The argument presented above indicates how monitoring and evaluation complement each other. These are cited as sequential, information and interactional complementarities. Sequential complementarity exists where information from monitoring generates questions for evaluations to answer and vice versa, where the evaluation generates new areas for monitoring. Information complementarity occurs when the monitoring and evaluation use similar information but generate diverse questions and use different frames of analysis. Interactional complementarity refers to where monitoring and evaluation are used together, to provide direction for developmental interventions (Rist and Kusek 2004, p. 114). Further to complementarities, monitoring and evaluation display comparative characteristics as reflected in Table 3.1.

Table 3.1: Comparative characteristics of M&E (Bergeron, Deitcher, Bilinsky and Swindale 2006, p. 5; Cwayi 2011, p. 20; Jaszczolt, Potkanski and Alwasiak 2003, p. 4)

MONITORING	EVALUATION
Ongoing and regular collection of data	Periodic and time bound collection of data
Continuous comparison of actual results with targets	Exploration of intended and unintended results at specific times throughout the lifespan of an intervention and after the intervention
Alerts to problems and relevant changes that could be made in the monitoring process	Provides lessons about accomplishments and provides recommendations at the end of the intervention
Predominantly an internal function	Could be internal, but often external
Reports on effectiveness, efficiency and process	Reports on effectiveness, efficiency, outcome, relevance, impact and sustainability

Since the characteristics of monitoring and evaluation make them complementary to each other, these two concepts become most effective when combined. For the purpose of the study the concepts are used as a combination, being M&E.

As a starting point in studying the evolution of M&E in development, the way in which M&E is defined in the 1970s, 1980s and the 2000s is reflected.

1970s

During the late seventies Chambers (1978, p. 3) defined M&E with reference to the two concepts. He defined monitoring as “The continuous gathering of information on project inputs and objectives, and on conditions and complementary activities that are critical to the success of the project. It utilizes benchmark information collected during the design/preparation phase and continues throughout the project's lifetime when it includes the comparison of this information against original objectives and standards; it alerts project management and policy makers to implementation problems requiring corrective action and it may provide the necessary information for the instigation and preparation of ongoing evaluation”.

With regard to evaluation, Chambers (1978, p. 3) distinguished between ongoing evaluation and ex-post evaluation. Ongoing evaluation is the “continual analysis during project implementation of project outputs, effects and developmental impact. The purpose of ongoing evaluation is to provide project management and policy makers with any analytical support that might be necessary to enable them to assess and, if required, adjust policies, objectives, institutional arrangements and resources affecting the project during implementation. Ongoing evaluation studies may also feed into the preparation of projects in other regions”.

Ex-post evaluation is defined as “An analysis after completion of a project (or a distinct phase of it) of its effects and impact. Among other things it may draw on information provided by monitoring and ongoing evaluation, though supplementary special studies may sometimes be needed. The purpose of ex-post evaluation is to provide policy makers with information and analysis for future planning and/or to inform donors and the general public on project results. The depth of the analysis and the nature of the reporting will depend on its potential end-use and benefits” (Chambers 1978, p. 4).

1980s

During the early eighties, IFAD (in World Bank 2008, p. 2) defined monitoring as “a continuous assessment both of the functioning of the project activities in the context of implementation schedules and of the use of project inputs by targeted populations in the context of design expectations. It is an internal project activity, an essential part of good management practice, and therefore an integral part of day-to-day management. Evaluation is a periodic assessment of the relevance, performance, efficiency and

impact of the project in the context of its stated objectives. It usually involves comparisons requiring information from outside the project in time, area or population”.

2000s

In 2002 the OECD (Organisation for Economic Co-operation and Development) (in World Bank 2008, p. 2) defined monitoring 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. Thus, monitoring embodies the regular tracking of inputs, activities, outputs, outcomes and impacts of development activities at the project, programme, sector and national levels. This includes the monitoring of a country’s progress against the MDGs or other national measures of development success”. Evaluation is defined as “the process of determining the worth or significance of a development activity, policy or programme ...to determine the relevance of objectives, the efficacy of design and implementation, the efficiency of resource use, and the sustainability of results. An evaluation should (enable) the incorporation of lessons learnt into the decision-making process of both partner and donor”.

When analysing the evolution of the definition of M&E, a number of observations can be made regarding the use of terminology and concepts. Terminology used over the years to define M&E has changed and corresponds to the phases of M&E in development, as discussed in the section that follows. The M&E concepts used are essentially akin to concepts such as inputs, outputs, outcomes and impact and are used across the definitions. However, there has been a modification in the method of application of M&E concepts. During the 1970s a project was emphasised to be a development intervention with stated objectives to be achieved within a set schedule. Towards the 2000s and beyond, the emphases of M&E is wider and includes the M&E of sector programmes, development strategies and the MDGs (see *Section 3.3.1.2*).

The Presidency (2007, p. 5) defines an M&E system “as a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships, which underpin the practice of M&E across government. In addition to these managerial functions are the organisational culture, capacity and other enabling conditions which will determine whether the feedback of M&E findings influences the organisation’s decision-making, learning and service delivery”.

3.3.1.2 Evolution of the phases of M&E in development

The evolution of M&E in development is defined by distinctive phases for the function of exploration and describing. The phases approach was used by Edmunds and Marchant (2008, p. 17) with the explanation that it is a generalisation and camouflages the point that the evolution was not sequential. However, it does assist to illustrate how concepts and outlooks have grown over time. The argument can be made that Edmunds and Marchant did not cover the phases holistically. Thus, for the purpose of the study the phases beyond the year 2000 have also been covered, to ensure a more comprehensive coverage of the subject matter.

The following phases of M&E in development are explored and described:

- The beginnings: “Project-based M&E” (1970s);
- “Growing horizons: Programme and sectoral M&E” (1980s);
- “Arrival of poverty monitoring” (1990s) (World Bank 2008, p. 7);
- “Monitoring poverty reduction strategies” (2000) (World Bank 2008, p. 9);
- Millennium Development Goals (2000) ;
- Monitoring in Africa through NEPAD and APRM (2001); and
- Management for Development Results (MfDR) (2005).

Thereafter the evolution of M&E models is explored and described.

a. The beginnings: Project-based M&E (1970s)

Since the 1970s the World Bank has promoted the M&E of operations it supports. The M&E tradition originated in agriculture and rural development and gradually extended to other sectors with a social dimension. M&E spread in the agriculture sector in the early 1980s and thereafter in the education and health sectors. The approach to M&E was mainly project-based and, in some instances, larger projects had the benefit of having an institutionalised M&E unit (Edmunds and Marchant 2008, p. 19).

M&E was used as a management tool to identify whether a project is on schedule towards achieving its objectives. These objectives were identified in a logical framework (see *Section 3.3.2.1*), which set out the inputs, outputs and overall outcomes of the project (Conlin and Stirrat 2008, p. 194). The necessity to

determine the baseline situation for projects was acknowledged and in most cases baselines were determined through household surveys. However, limited capacity existed to perform this activity.

The M&E systems for development projects were developed to offer information to decision makers on the performance and possible trials of development projects. Different sets of information were collected by the implementing agencies, while some were sourced through the collaboration with M&E units in responsible departments (Ahmed and Bamberger 1989, p. 3). Administrative records on the M&E of inputs and outputs through data provided the focus. The result was that the M&E of outcomes and impact analysis fell by the wayside (Conlin and Stirrat 2008, p. 194).

In addition to the inability to determine the outcome and impact of development projects, the performances of the projects were perceived as either “islands of excellence”, or at the other end of the spectrum, “islands of failure”. The sustainability of the projects was compromised by the lack of ownership displayed by the departments involved in the donor-funded projects (Toonen and Van Poelje 2005, p. 1).

b. Expanding horizons: Programme and sectoral M&E (1980s)

During the 1980s a consolidation of “M&E activities from project to sectoral level took place” (World Bank 2008, p. 8). This resulted in a change in emphases from the project-based approach to a Sector-wide Approach (SWAP). Given the shortfalls of the project-based approach to development, donors and governments agreed that development interventions should be targeted at a sector as a whole, such as agriculture, education and health (Toonen and Van Poelje 2005, p. 2). Development interventions focused on SWAP and were implemented by individual government departments (Ashley and Maxwell 2001, p. 418).

The central features of a sector programme are that all resources fund a single sector policy and programme with uniform approaches being implemented across the sector (Foster 2000, p. 1). For the first time, government leadership of the development process was fully recognised, with a resultant reliance on government procedures and the establishment of joint management systems by governments and donors (Toonen and Van Poelje 2005, p. 2).

In SWAP there exists a more obvious probable connection between policy and implementation than was apparent in projects where government strategies depended upon disjointed donor support to affect them

(Foster 2000, p. 39). Governments recognised the necessity of communicating SWAP within a strategy, identifying what the country aimed to achieve in the longer term, as well as the government's role in implementing such a strategy (Foster 2000, p. 15). The SWAP approach provided an opportunity to identify national priorities for each sector and address sector-wide challenges at these levels (Foster 2000, p. 39). Results should become visible at an outcome and impact level (Muller-Praefcke 2010, p. 16; Toonen and Van Poelje 2005, p. 3).

“Monitoring and evaluation became functions” (World Bank 2008, p. 7) of sector departments and M&E capacity was created at the departmental level. There was increased interest in Results-based Management (RBM) (see *Section 3.3.2.4*) and there was progression in monitoring performance for results. The task of collecting data from the beneficiaries of the development intervention became paramount (Edmunds and Marchant 2008, p. 17). Furthermore, it was necessary to explore different data collection tools and sources of data. The application of these tools necessitated a level of expertise that did not exist in the M&E units of projects or departments. As a result, new role players with more technical expertise came to the fore, including a National Statistical Office (NSO). NSOs have the mandated responsibility for the maintenance of official national statistics through the conduct of population censuses and household surveys (Edmunds and Marchant 2008, p. 17).

The initial NSO contribution was not satisfactory and statistical offices were not capacitated, thus lacking flexibility and failing to meet demands. While the statistical data added to the M&E of the performance of sector programmes, this was usually not sufficiently detailed to assist in evaluating the results of development interventions (Edmunds and Marchant 2008, p. 19).

The SWAP posed methodological challenges for M&E, as there was uncertainty regarding measuring the sector as a whole or whether the sector should be regarded as a bundle of sector projects. This focus is important for developing the logic of the indicators (Toonen and Van Poelje 2005, p. 6), which is a critical building block of M&E.

c. Arrival of poverty monitoring (1990s)

In the 1990s there was growing apprehension about poverty and a phase of poverty monitoring emerged. Poverty monitoring tracked living standards in order to predict the way these might move due to macroeconomic policy. Only the NSOs had the capability to carry out these national household surveys and most of the time they were unable to fully analyse the results (Edmunds and Marchant 2008, p. 19).

The analysis was mostly descriptive in nature and the examination of critical links between policies focusing on poverty and their outcomes in relation to quality of life was lacking. Thus the formation of national Poverty Monitoring Units followed separately from other M&E capacity-building initiatives.

d. Monitoring poverty reduction strategies (2000s)

In the 2000s the alleviation of poverty had changed from a borderline topic to a prominent interest of developing countries. Reducing poverty at the global level by 50 per cent by the year 2015 was defined as the first target of the MDGs (see *Section 3.3.1.2*). National PRSs were presented to function as a framework for countries developing policies and programmes for reducing poverty (Foster 2000, p. 14). Project-based and sector-wide phases were coordinated with activities associated with the monitoring of poverty. The outcome was the development of the phase centred on the monitoring of PRSs (Edmunds and Marchant 2008, p. 19). The mainstreaming of rural development in PRSs occurred in the 2000s (Ellis and Biggs 2001, p. 444).

The M&E of PRSs was built on the current systems, while strengthening them with M&E plans, which indicated the data to be collected, the source of the data and linked performance indicators with the source of the data to track them. The M&E systems draw on various categories of official data in probing poverty impacts. The significance of surveys and censuses, routine data and qualitative data are recognised (Coyle, Curran and Evans 2003, p. 9). For the monitoring of PRSs to be strategically meaningful and inform policymakers, so that they can clarify deviations and adjust policy accordingly, performance indicators need to be tracked throughout the results chain of input, output, outcome and impact (Coyle, Curran and Evans 2003, p. 8).

The existence of baseline data for assessing change brought about by the development interventions contained in the PRSs becomes important. M&E products are quarterly and annual reports on progress made with poverty reduction targets (Coyle, Curran and Evans 2003, p. 5). There are indications of increasing links between the M&E and budget processes (Coyle, Curran and Evans 2003, p. 10). Arrangements are in place to disseminate information on the monitoring of PRSs implementation (Coyle, Curran and Evans 2003, p. 11).

e. Millennium Development Goals (2000)

Since 2000, a comprehensive development framework as encapsulated by the MDGs has driven the developmental arena. This development framework unites the global community, consisting of both developing and developed countries, through the means of country-specific development goals. In September 2000 the MDGs were adopted by 189 nations at the UN General Assembly as the Millennium Declaration. In a universally agreed agenda set for the year 2015, the MDGs bring clarity to the shared responsibilities and objectives of all development parties including the private sector, governments and civil society. In response to the core development challenges of the world, the MDGs have eight goals with their associated targets and indicators (Kusek and Rist 2004, p. 200). Most relevant to this study is Goal 1, which is “to eradicate extreme poverty and hunger” (UN 2000, p. 1), because of the connection between poverty and rural development.

Attention to the MDGs has come at a time when there is increasing disquiet regarding the real impact of development interventions given the deepening poverty in developing countries. However, there are challenges to meeting the MDG targets. Among these are the limited mechanisms of data collection, the tracking and monitoring of progress and the weak documentation systems that prevent timely and appropriate reporting of the progress on the MDGs. Countries should be assisted to enhance their M&E systems to ensure that the implementation process will be sustained and to contribute towards the achievement of the set MDG targets. Countries in pursuit of realising the objectives embodied in the MDGs will only be able to determine results through building and sustaining an M&E system. This system provides information on progress made towards targets and provides evidence for ongoing corrections needed in the process of development interventions (Kusek, Rist and White 2005, pp. 8-9).

f. Monitoring in Africa through New Economic Partnership for African Development and African Peer Review Mechanism (2001)

A culture of accountability is growing in Africa as is evidenced by the APRM led by the NEPAD (Sangweni 2004, p. 1). NEPAD “was adopted by the AU in 2001 as the framework that would ensure economic development and growth in Africa” (Ijeoma 2007, p. 62). It is essential to recognise that M&E is imperative for systematically appraising progress during and after the implementation of NEPAD, to confirm whether or not the implementation thereof is on track (Ijeoma 2007, p. 74). M&E strategies such as the APRM are embedded in the NEPAD (Ijeoma 2007, p. 61). Essentially the APRM is a self-assessment technique developed by the participants of the AU to promote the implementation of

initiatives that would result in political stability, advanced economic progress, viable expansion and enhanced regional and continental cost-effective integration. The APRM deals with four governance areas: “democracy and political governance, economic governance and management, corporate governance and socioeconomic development” (Killander 2008, p. 43). The review process takes place under the auspices of the AU, within the context of NEPAD as its development framework (Killander 2008, p. 41). The process consists of a national self-assessment and the drafting of a Programme of Action (PoA) to remedy identified shortcomings. The country review report is distributed to government representatives participating in the APRM Forum. The official responsible for the review makes presentations at the Forum (Killander 2008, p. 52). The review includes communicating lessons learned through experience; these include evaluating capacity-building requirements of contributing countries. The APRM is considered to herald a new period of joint responsibility, transparency and obligation to good governance in Africa, having M&E at the centre.

However, shortcomings of the APRM have been identified (Bama 2010, p. 295). The APRM review “is too broad and too detailed to be effectively conducted by a small staff within the short timeframe usually allowed for country reviews” (Bama 2010, p. 295). Civil society organisations (CSOs) should “engage their own constituencies” in the review process (Harsch 2011, p. 18). “For many poor African countries too much seems to ride on the review report, which is seen by many governments as key to the continuous flow of foreign aid” (Bama 2010, p. 303). “APRM should narrow the span of the country reviews if it is to conduct competent assessments. NEPAD should allocate resources to allow civil society in the reviewed country to do assessments of their own, and to critique the APRM assessment” (Kanbur 2004, p. 157).

g. Management for development results (2005)

M&E has become increasingly prominent in the wake of international resolutions, such as the *Paris Declaration on Aid Effectiveness* in 2005 (Keita, Okidegbe, Cooke and Marchant 2009, p. 2). International donor funding agencies have solidified the importance of M&E with this Declaration, which attempts to remove replication of efforts and to justify donor support by making these as economical as possible. South Africa is a participating country in the *Paris Declaration on Aid Effectiveness*.

The *Rome Declaration on Food Security* (1996) (FAO 1996), *Monterrey Consensus* (2002) (UN 2002), *Washington First Roundtable on Development Results* (2002) (OECD 2008b) and the *Marrakech Second Roundtable on Development Results* (2004) (OECD 2004) preceded the *Paris Declaration on Aid*

Effectiveness (OECD 2005). The signatories to the *Rome Declaration on Food Security* (1996) undertook to encourage and assist in reinforcing partner country governments' management and ownership of development outcomes and to supply aid in accordance with the main concerns of the partner countries (OECD 2008b, p. 98). The *Monterrey Consensus* (2002) emphasised that at the country level, resident ownership in the strategy and execution of poverty frameworks is encouraged. Operational expenses for the receiving countries should be reduced by aligning the supporters' sources (OECD 2008b, p. 98). The *Washington First Roundtable on Development Results* (2002) evaluated the continuing efforts by countries and agencies to achieve results, emphasising the actions required to create demand for an escalation in capability in implementing results-based methodologies in emergent countries. There was a strategy on the necessity for these development organisations to offer organised assistance for capacity-building (OECD 2008b, p. 99).

The *Marrakech Second Roundtable on Development Results* (2004) coordinated the meeting of delegates representing emerging countries and development organisations to debate the tasks concerning MfDR at country level. Members evaluated the progress from the First Roundtable and discussed how they might continue to reinforce country and agency pledges to synchronise M&E national policies in order to deliver valuable reports regarding results. Furthermore, they considered how these donors might better direct assistance to build up the preparation, statistical organisation and the M&E capability that these countries required to accomplish their development practice (OECD 2008b, p. 99).

The Paris Declaration resulted from the 2005 *Paris High-Level Forum on Aid Effectiveness*. The declaration was recognised by more than 100 ministries, agency leaders and other high-ranking administrators. This high-level commitment to escalate attempts at coordination, configuration and supervision of results was intended to benefit emerging countries in achieving the MDGs and contained a set of activities and indicators (OECD 2008b, p. 99). By tradition, most development support was through project assistance and the pressure was placed on achieving outputs. Since the early 1990s, an increase in emphases on impacts and the results of development aid, rather than outputs, has taken place. Possibly the most evident manifestation of this change has been the transfer of focus from project-based structures to a results framework. There has been growing pressure on objectives concluded on in the settlement of the MDGs at the Millennium Summit of 2000 (see *Section 3.3.1.2*). Developed in the 1990s, these goals deliver an all-encompassing framework within which all development action should be accomplished. Emphases in these areas is concerned with objectives. The importance of this approach is not just the emphases on results, but also their association with efforts to move away from project-orientated expansion involvement, to a broader vision of the targets of development support and the method of its

delivery (Conlin and Stirrat 2008, p. 195). The Statement of Resolve in the *Paris Declaration on Aid Effectiveness* affirmed that validating significant progress at country level is vital under the guidance of the partner country; and shared improvement at country level in applying commitment on aid effectiveness was to be periodically assessed. The international donor communities focus on results of development interventions as more donors become involved in providing the required support for countries to institutionalise M&E systems (OECD 2006, p. v).

During the ongoing implementation of the *Paris Declaration on Aid Effectiveness*, MfDR, as a phase in M&E, gained momentum. MfDR “provides a framework for development effectiveness where performance information is used to improve decision-making and includes tools for” M&E (OECD 2009, p. 2). Subsequent to the *Paris Declaration on Aid Effectiveness*, more declarations followed to expedite the implementation of the Paris Declaration. During 2006, the South African Development Communities (SADC) signed the *Windhoek Declaration*. This Declaration is closely modelled on the Paris Declaration and aligns international cooperation partners to specific thematic areas; development partners lead and coordinate overseas development assistance support towards SADC member country sectoral development (OECD 2011, p. 22). The challenging schedule of the *Paris Declaration* and its importance concerning MfDR was reiterated by the *Hanoi Third Roundtable (2007)* (OECD 2007). The central theme is that every country is responsible for developing their resources to achieve sustainable results, which are guided by an obligation to joint responsibility. The *Hanoi Third Roundtable* resolved to improve the conclusions developed at this meeting. These conclusions shaped the foundations for future growth in the approach to the *Third High-Level Forum on Aid efficiency*, which took place in 2008 in Accra, Ghana (OECD 2008ap. 99). The central theme of this Third High-Level Forum was to examine progress at that time in the achievement of the Paris Declaration obligations and to ascertain residual blockages and problems. Furthermore, it defined the most important activities required by donors and associated countries to advance the development of more efficient aid. The *Accra Agenda for Action (AAA)* (OECD 2008a) is the result of the Roundtable, with the central themes including the development of a multi-year plan for intended assistance to associated countries (OECD 2008b, p. 99).

The *Fourth High-Level Forum on Aid Effectiveness* (Busan Partnership for Effective Development Cooperation 2011) took place in 2011 in Busan, Korea. Regardless of the growing prominence of MfDR, reports indicated that “partner countries that endorsed” the *Paris Declaration on Aid Effectiveness* still has a long way to go towards institutionalisation of MfDR (OECD 2010b, p. 2). Less than half of the partner countries have results-oriented frameworks, a requirement for MfDR, in place (OECD 2011, p. 86).

3.3.2 Evolution of M&E models

M&E models are evolving in response to changes taking place in development as a whole (Toonen and Van Poelje 2005, p. 2). The fact that there have been so many attempts, systematic or otherwise, to use M&E in the past is a testimony to its influence (Bernstein 1999, p. 86). Stem, Margoluis, Salafsky and Brown (2005, p. 297) conducted a study on different M&E models to trace the development of trends and how they influenced the evolution of the models. One of the trends observed was the way in which the different approaches in the M&E model have evolved to generate more effective M&E.

Subsequently, the Logical Framework Approach (LFA) as a model for M&E, the Traditional implementation-focused M&E model, the Outcomes M&E model and the Results-based M&E model are explored and described.

3.3.2.1 Logical Framework Approach as model for M&E

The LFA's role has become central during the "process of planning and implementation of development interventions" over the past 25 years (Bakewell and Garbutt 2005, p. 1). The LFA is widely applied in the methodology of planning as an analytical tool for objectives-oriented project and programme planning and management.

The distinction between the logical framework and the LFA is important. The logical framework is the template, which encapsulates the fundamentals of the programme and links them together. In contrast, the LFA concentrates on the "planning procedures of problem analysis, the development of objectives and indicators, and identification of risks and assumptions, which feed into the overall programme plan. The output of the LFA, the project or programme plan is usually summarised in a logical framework" (Bakewell and Garbutt 2005, p. 4).

The LFA, as a model for M&E, links the M&E system to planning of objectives, purposes and results of a development intervention, which can take the form of a project or programme. In a LFA the assumption is made that a set of activities are causal to achieving the overall project or programme objectives (Kusek and Rist 2004, p. 227). From a visual perspective the LFA is presented as in Figure 3.1.

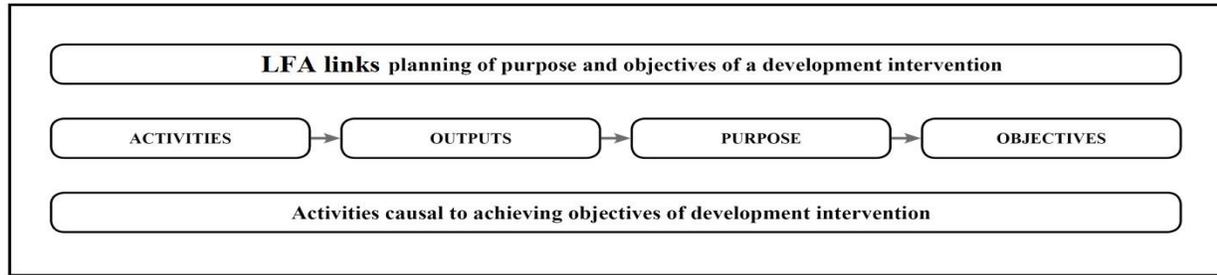


Figure 3.1: Logical Framework Approach (developed by researcher)

Although in theory the LFA is used a method of planning development “interventions and monitoring and evaluating their progress, in practice in most cases, the LFA is only used at the planning stage” (Bakewell and Garbutt 2005, p. 7).

The development of M&E systems has been influenced by the LFA. However, the systems are most successful at the bottom end of the results chain “in monitoring inputs and outputs” (Muller-Praefcke 2010, p. 16). There is criticism of M&E flowing from the use of the LFA as a framework, as too much emphases has been placed on the output and less on the outcomes and impact. As such, the LFA does not deliver a base for the methodical M&E of the results of the development intervention (Koot 2005, p. 7).

3.3.2.2 Traditional implementation-focused M&E model

Traditional implementation-focused M&E models are planned to focus on agreement in terms of inputs, activities and outputs (Cooley 2007). The implementation focuses on monitoring project, programme or policy execution. The key elements of implementation-focused M&E models, traditionally used for projects, include “data collection on inputs, activities and immediate outputs; reporting on inputs and outputs” and providing “information on administrative, implementation and management functions as opposed to broader development effectiveness” (Fukuda-Parr, Lopes and Malik 2002, p. 11).

As with the LFA as model for M&E, the Traditional implementation-focused M&E model does not assist decision makers to understand whether the project, programme or policy has achieved or failed, as the outcomes and impact of the development interventions are not determined. The emerging view was that M&E of development should progress to the collection of information on outcomes and impact (Cooley 2007).

3.3.2.3 Outcomes M&E model

There has been an increased emphasis on the outcomes and impact of development interventions (Conlin and Stirrat 2008, p. 195). The Outcomes M&E model is a refinement of the LFA as model for M&E (Koot 2005, p. 8). Key outcomes are the probable short and medium-term consequences of accomplished outputs related to the project or programme. This model focuses on achieving outcomes central to the organisations through selecting performance indicators to monitor the outcomes.

The Outcomes M&E model distinguishes between the “output, outcome and impact of a development intervention” (OECD 2010a, p. 33) and attempts to establish a link between the planning phase and the M&E of the intervention. In comparison to the LFA, the Outcomes M&E model emphasises methodical problem analysis in order to identify the causal factors that can be addressed by development intervention. Factors that contribute to the problem are identified through problem analysis and connected to specific objectives and outcomes.

During 2004, the World Bank convened a Roundtable Discussion accessing officials from six developed countries (including Ireland, Canada and the United States of America) and six from the developing world (including Uganda and Tanzania). These countries have attempted to evolve the focus in M&E from monitoring outputs to monitoring outcomes (Perrin 2006, p. 7). Participants were able to share their experiences and insights on the application of the Outcomes M&E model. The model requires a strategic focus such as poverty reduction, as the implementation of the model cannot be successful if it is marginal to the political priorities of government. The model can provide an outline for an integrated approach across government, encompassing the coordination of various stakeholders providing vital contributions to an outcome such as rural development (Perrin 2006, p. 7).

The shortcomings of the Outcomes M&E model, from an M&E perspective, include the fact that outcome performance indicators are less extensively developed than output performance indicators for the purpose of M&E of development interventions (De Lancer Julnes and Holzer 2001, p. 699). Obstacles to using outcome data have been observed in that data might be irrelevant, old or not available (Hatry, Morley, Rossman and Wholey 2003, pp. 11-13). As such, M&E systems should be reviewed to accommodate outcome-based information. Challenges in determining the outcomes of programmes often stem from qualities shared by many programmes initiated by government. The complicated interplay of activities taking place at the three spheres of government (national, regional and local) and the fact that some outcomes are usually not within the control of a single organisation, policy, programme or initiative (for

example rural development), are two examples (Cavalluzzo and Ittner 2004, p. 247). Lack of adequate capacity and expertise in RBM and skills in more dedicated functions such as M&E can be a challenge. The absence of appropriate capacity was raised as a concern by countries that are still developing. Given the challenges in implementing the Outcomes M&E model, the model should itself be subjected to regular review to determine how it can be improved (Perrin 2006, p. 7).

3.3.2.4 Results-based M&E model

An evolution occurred in the field of M&E, resulting in a change from “traditional implementation-based approaches toward new results-based approaches” (Kusek and Rist 2004, p. xi), results “being the outcome and impact of a development intervention” (Muller-Praefcke 2010, p. 16; Toonen and Van Poelje 2005, p. 3). At the start, the emphases of M&E systems was on monitoring performance through input and output indicators, but with the increased attention on RBM and MfDR this changed to a greater level regarding the monitoring of outcomes and impacts. RBM intends to advance the accountability of management by stating anticipated results, M&E progress towards the attainment of the results and assimilating lessons learned for the benefit of reporting processes and decision-making (UNDP 2002, p. 10). Pivotal to the results-based M&E model is the results chain covering inputs, outputs, outcomes and impacts.

Thus, the Results-based M&E model diverges from the Traditional implementation-focused M&E model, as it “moves beyond an emphasis on inputs and outputs”, to concentrate on outcomes and impacts central to the organisation (Kusek and Rist 2004, p. 1). The focus on results corresponds with the view of Wholey (2003, p .7) that leadership now requires governments to measure programme outcomes and impacts.

Researchers have identified a number of key elements of the results-based M&E model. These elements include baseline data, indicators across the results “chain, data collection on outputs and how and whether they contribute toward the achievement of outcomes” and impact; and reporting “qualitative and quantitative information on the progress towards outcomes” and impact (Fukuda-Parr, Lopes and Malik 2002, p. 11). The application of the results-based M&E model supports a development agenda moving towards improving learning and having the achievement of results as the principal direction. From a visual perspective the results-based M&E model is presented in Figure 3.2.

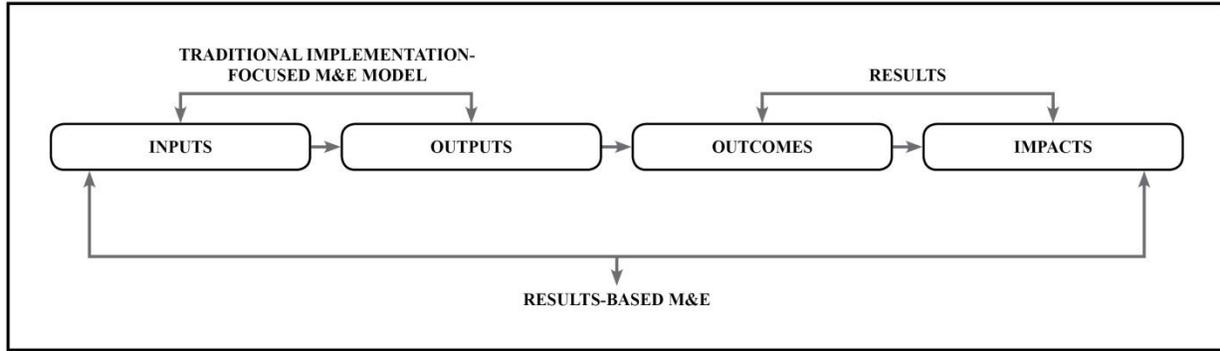


Figure 3.2: Results-based M&E model (developed by researcher)

Many governments have invested in IT platforms to support results-based M&E and improved accountability, although this has not resulted in the expected benefits. From a data management perspective, routine monitoring data is frequently underutilised and aspects related to timing and regularity of information is vital for this to be effective. Other shortcomings include that system integration is basic and that performance information is not always used in decision-making by management (Cooley 2007). The results-based M&E model has been criticised for its lack of participation by civil society (Mouton 2010, p. 88). However, the use of the results-based M&E model in the M&E of rural development interventions can assist a crosscutting approach to interventions that go beyond the integrated nature of rural development (Perrin 2006, p. 30).

Circumstances shape the evolution of models of M&E (Briceño in Lopez-Acevedo, Krause and Mackay 2012, p. 45). During the 1980s M&E was mainly concerned with the performance of development interventions (Oakley 1998, p. 3). Other M&E systems focus on assessing the results of development interventions (Mackay in Lopez-Acevedo, Krause and Mackay 2012, p. 22). Subsequently, there has been an emerging focus on the impact of development interventions (Krause 2010, p. 3). Government systems for M&E should focus on assessing the results achieved by government (Mackay 2010, p. 1).

3.4 OVERVIEW OF THE RESEARCH CONDUCTED ON THE M&E OF RURAL DEVELOPMENT

An overview of the research conducted on the M&E of rural development is presented. The overview is followed by the analysis of the research findings in order to identify the critical elements of an integrated and transversal approach to the M&E of rural development.

The research conducted is presented chronologically (Mouton 2008, p. 92) by first discussing the older studies and presenting the main findings of such studies, then continuing until the most recent research is presented.

1988

A study on the conceptual challenges of M&E concerning qualitative objectives of rural development indicated the need to consider which indicators could monitor and evaluate qualitative objectives of rural development interventions. The study indicated that the development of these indicators and monitoring progress against the indicators is important, as well as the collection of data relevant to the indicators (Oakley 1988, p. 9).

1995

During 1995 the Operations Evaluation Department (OED) of the World Bank conducted case studies of 172 projects using the elements of M&E. Of the 172 projects, 89 projects were approved in the early 1980s and were at completion stage. The remaining 83 projects of the sample were approved at a later stage and were within the implementation phase during 1999. Sampling of the projects to form part of the case study focused on the sectors where most M&E activities were expected, such as agriculture and education. The methods of data collection consisted of a desktop review and interviews. The findings of the study indicated that the evidence of M&E activity in the older projects was scarce; only 28 per cent of projects had modest M&E activity. Projects with substantial M&E components did not perform better in that the study indicated that even if M&E was adequately planned, data quality, useful findings and the evaluation of impact might be lacking. With regard to the more recent (newer) projects, the study revealed a positive relationship between substantial M&E design and good M&E performance. The OED identified three factors that seemed best to explain the poor M&E performance at project level:

- Lack of sense of ownership of M&E by government and project management;
- Lack of sustained attention by the World Bank to M&E after appraisal and the initial start-up period; and
- Deficient appointment and retention of qualified staff to M&E units.

The first two of these factors suggested a low demand for information from M&E. The OED contended that another reason for poor M&E performance was the lack of incentives for all stakeholders to concern themselves with M&E findings and to expose themselves to the consequences of reporting generally unimpressive project results (Weaving 1995, p. 3).

1997

During 1997 Lefevre and Garcia (1997, p. 2) conducted a case study on the M&E of rural development projects. Data for this study was drawn from three sources: the observation of the project by the authors, project documents and fieldwork. The fieldwork was aimed at generating information on the experiences, perceptions and expectations related to M&E from role players and stakeholders in the rural development projects. Data was collected utilising in-depth interviews and focus groups interviews. The findings of the study indicated that M&E systems could not be correctly described out of context and their design required a comprehensive approach. Such systems had to be understood in the light of the programme concerned and, amongst others, in the political context where the system had to operate.

2000

Agriculture Knowledge and Information System (AKIS) projects, financed by the World Bank from 1991 to 1999, were analysed. Information for the study was collected through a desk review of project documents and a key informant survey. Most projects were found to have input monitoring systems to track budget expenditure and progress and some track outputs, but only a minority had well-defined outcome or impact indicators. The study revealed that indicators and monitoring systems were developed on an impromptu basis towards the end of the project when decision makers expected evidence of progress. Large amounts of data were collected but few were analysed and included in the decision-making loop. The researchers stated that a lesson to be learned from this study was that projects must institutionalise M&E systems early and develop strategies to propagate the use of the M&E findings in decision-making (Alex and Byerlee 2000, p. 3).

2002

In a review of their projects during 2002, IFAD identified M&E problems encountered in projects. M&E was not given due consideration in the project-design phase and inadequate resources and budgets were available. Project staff and implementation partners lacked commitment to apply M&E effectively; M&E was regarded as an external obligation rather than an internal learning opportunity. Project staff mechanically filled out forms for project managers, who saw it as a means of data collection in order to generate the requisite reports. Monitoring systems tended to be too ambitious requiring too much information. When collected, the monitoring information tended to be irrelevant and of poor quality, focusing more on inputs, budget and outputs rather than outcomes and impact. The M&E needs of various stakeholders tended to be ignored with M&E staff typically having insufficient relevant skills and experience. Despite the capacity challenge, a capacity-building strategy did not exist. There was few

internal project or ongoing reviews. Evaluation tended to be contracted out, resulting in limited organisational learning. Participatory and qualitative M&E methods were not widely used and impact analysis had not been institutionalised (IFAD 2002, p. 17).

In 2002 the Foundation of Success (FOS) examined over 250 publications and websites for an analysis of M&E systems. Through the analysis, steps in the process of planning and institutionalisation of M&E and the specific activities that had to be completed were suggested. It was found that the first step in the process of planning and institutionalisation of M&E was to be clear about the problem to be addressed. A strategy needs to be developed which indicates how the problem will be addressed through development interventions (FOS 2002, p. 3). The strategy needs to be clear concerning goals and objectives of the development intervention, as well as involving the stakeholders on a continuous basis. The second step is to plan for the M&E of the rural development interventions as contained in the strategy (FOS 2002, p. 3). Planning for M&E entails determining what will be done, why it will be done and how it will be done. What will be done should be concretised in an M&E strategy, while the reason for doing the M&E can be reflected in a policy framework. How the M&E system (see *Section 3.3.1.1*) will be developed and institutionalised must be articulated in the policy framework.

The roles and responsibilities of the stakeholders in the M&E of rural development need to be defined within the policy structure and strategy developed for the use of M&E results. The way in which rural development will be monitored and evaluated is more operational in nature and this forms part of the third and fourth step. M&E is aligned to the goals, objectives and activities of the rural development strategy developed in the first step (FOS 2002, p. 6). The design and implementation of an M&E plan should guide it at an operational level. The M&E plan needs to include, amongst other things, indicators that are derived from the goals, objectives and activities. Baseline data on the indicators needs to be in place and the plan should indicate the methods to be used to collect and analyse the M&E data, including those responsible for these tasks (FOS 2002, p. 6). The fifth step entails the analysis of the data and the sixth step directs the development of a strategy on how the findings of the M&E process will be disseminated and communicated (FOS 2002, p. 11). The seventh step deals with the use of the M&E findings in the policy development, planning and budget process requiring a feedback mechanism to be in place. The eighth, and last, step identified through the analysis is reviewing and sustaining the M&E system (FOS 2002, p. 13).

2004

Anie and Larbi (2004, p. 138) found that the process of institutionalisation of M&E should be participatory in order to build confidence and obtain approval through involving senior management, staff and key stakeholders. The M&E system must meet the needs of managers and government in that it must answer the right questions. Therefore, stakeholders must agree on indicators, sources of data and procedures to guide reporting. Committed funds should be available and properly assigned for developing an organisational structure for M&E. Comprehensive planning should be done to enhance human resource capacity, as dedicated attention must be given to developing institutional capacity, including organisational, management and analytical capacity and skills to support the M&E system. Provincial, national and global monitoring should be joined to a mutual goal, planned in a development strategy.

2005

Ahmed, Tuzon and Rahman (2005, p. 1) conducted research on the institutional component of the M&E of rural development. Their analysis of the rural development implementation process suggests that a number of stakeholders are simultaneously involved. While this implies development interventions are multifaceted and multipronged in approach, there is a strong possibility of poor planning and M&E due to a lack of coordination among stakeholders. The absence of integrated and transversal M&E of rural development has resulted in challenges related to collection, collation and analysis of data from various stakeholders. In addition, data presentation is problematic due to lack of uniform data sets and inconsistency in methodology, format, periodicity and indicators used for M&E (Ahmed, Tuzon and Rahman 2005, p. 25). M&E by the various stakeholders turns into a routine reporting exercise as opposed to a vigorous analytical process providing adequate and accurate data and information on performance, to be used as necessary feedback to improve development interventions. While the common practice is to prepare and submit monitoring reports to different levels of hierarchy in the government for discussion in meetings and conferences, they are hardly ever used for corrective action by the policy makers and management (Ahmed, Tuzon and Rahman 2005, p. 23). Similarly, due to the absence of a forum of policy review and dialogue, there is limited scope for exchange of knowledge, experience and cooperation in the areas of the M&E of rural development.

These challenges can be avoided by setting up an efficient mechanism at the appropriate level to track who undertakes the various steps leading to results, especially for the targeted beneficiaries. The need for setting up an M&E system has become more urgent as intensified and sustained efforts towards rural development are warranted for achieving the MDGs. The targets of the MDGs are now disaggregated and need to be implemented by stakeholders with efficient M&E of progress made with the implementation of

the development interventions undertaken by different stakeholders. This must be ensured through the collection, collation and analysis of data on the performance indicators at the appropriate level to understand the progress achieved. Thus, by making M&E a vital part of the policy planning and implementation process and hence important tools for management of development interventions, developing countries may achieve higher and more sustainable growth and development (Ahmed, Tuzon and Rahman 2005, p. 23).

2006

Carriger (2006, p. 2) studied the development and institutionalisation of M&E as an essential part of the achievement of a development strategy. Challenges were identified as the absence of an M&E system, limited alignment between targets and indicators, building an M&E system based on poor baseline data and inadequate feedback mechanisms. The challenge related to the absence of an M&E system is linked to developing indicators with minor or no connections between them, instead of developing a system in which performance indicators are joined to “each other and to the strategy goals, objectives and targets in a meaningful way” (Carriger 2006, p. 7). The limited alignment between targets and indicators is a challenge when indicators have a fragile association to the targets. Usually, the challenge is either with the indicator or the cause of the problem may be a badly communicated target. Indicators must correlate “to the targets defined” (Carriger 2006, p. 7) for the activities, objectives and goals of a strategy. Indicators should be refined and analysed as part of the M&E model (see *Section 3.5.3.1*) in relation to the goals, objectives, activities and the intended outcomes and impact. Stakeholders must take part in developing indicators and understand in which way the data supplied by the indicators is related to the activities (Carriger 2006, p. 7).

An M&E system should be built on credible baseline data to ensure that the starting point or baseline is accurate. Inadequate feedback mechanisms are a challenge when an M&E system is developed, if findings are not relayed back into the strategy development, decision-making and planning cycle. M&E systems are useless if the information they deliver is not applied. At the project management level, an M&E system must present information to increase the competence of the implementation process and the performance M&E of all included. At a strategic level, M&E should support systematic reviews of the strategy in order to evaluate the selected methods and interpret shifting contexts. The M&E system itself should also be reviewed (Carriger 2006, p. 7).

A further challenge is the coordination of M&E across organisations. Institutionalisation of the kind of M&E system required for rural development involves collating the data collection activities of many

organisations. This may be difficult, especially if information is not shared (Carriger 2006, p. 6). One possible solution is to ensure that the M&E of rural development is coordinated at a strategic level. The communicating of M&E findings to stakeholders involved in implementing the rural development interventions and to the general public is often neglected. Frequent stakeholder communication can assist to increase accountability. Effective communication is the promotion of information which is easily understood by the target group and that attends to their needs (Carriger 2006, p. 7).

Finally, to support the M&E system, the human and financial resources essential for M&E require consideration and must be accounted for in financial planning and capacity-building activities (Carriger 2006, p. 7).

2009

Keita, Okidegbe, Cooke and Marchant (2009, p. 2) conducted research on the M&E of rural development and found that the majority of performance indicators developed for monitoring rural development interventions focus on performance and related mainly to inputs and outputs. Outcome and impact indicators have become progressively more important against the background of the 2005 *Paris Declaration on Aid Effectiveness* (see Section 3.3.1.2).

As regards M&E, outcomes and impacts entail the application of performance indicators premised on reliable data. In addition, the capacity to collect, collate and analyse the data should be established. Developing capacity needs to include addressing the challenges of statistical systems. Keita, Okidegbe, Cooke and Marchant (2009, p. 3) distinguishes between ideal and less-than-ideal environments for the institutionalisation of an M&E system. The ideal environment “is where there is a strong and consistent demand for information, the concept of MfDR is widely practised, timely and relevant information is being systematically used to improve decision-making and to advance the process of development. The less-than-ideal environment is where demand for information is weak and evidence is not used to inform decision-making”.

2010

In 2010 the Food and Agriculture Organisation (FAO) of the UN and the World Bank Cooperative Programme conducted a review of M&E systems across 74 agricultural and rural development projects. These projects were implemented in 1995 in developing countries and were supported by the World Bank. The data collection method was document analysis of *Implementation, Completion and Results Reports* (Muller-Praefcke 2010, p. 5). With only a few omissions, M&E systems have been inadequately

institutionalised at operational level in most completed projects. Flaws in M&E were connected to the institutionalisation of the M&E system, notably few suitable indicators and a lack of ownership and involvement by stakeholders. M&E systems frequently reveal failings in the execution of project management. Problems such as interruptions in conducting complex baseline surveys and the institutionalisation of the M&E system were encountered during the implementation of projects. Integration of M&E with the projects' MIS and underestimating complexities of data collection were unsatisfactory (Muller-Praefcke 2010, p. 5). Lessons from the review included the importance of developing a detailed M&E plan and undertaking baseline data collection (Muller-Praefcke 2010, p. 5).

2012

Since 2006, the Independent Evaluation group (IEG) has assessed the World Bank on the quality of M&E in rural development, amongst others. The World Bank supports a results-based M&E model (see *Section 3.3.2.4*). The assessment, based on factors such as design, use and dissemination (IEG 2012, p. 7), found that weak results-based M&E models typically had three main characteristics:

- Poor or irrelevant links between activities and intended outcomes;
- Poor M&E systems, including indicators that were far removed from the outcomes they were intended to support; and
- A focus on inputs and outputs rather than outcomes (IEG 2012, p. 15).

The most common weakness of results-based M&E models is that the objectives of rural development are too broadly defined and may be realised only under a very optimistic set of assumptions (IEG 2012, p. 17). Rural development strategies require M&E systems for effective M&E of development interventions and to allow for the adjustment of strategy in the light of progress or unexpected developments. Yet poor M&E systems were a significant barrier to effective results-based M&E models in many of the cases reviewed (IEG 2012, p. 18).

The noted deficiencies in M&E systems are compounded by the lack of a feedback mechanism of M&E findings as illustrated in progress reports. Progress reporting is typically the instrument that the World Bank uses in M&E implementation and to make appropriate adjustments toward the attainment of development results. M&E findings are not considered by decision makers to be useful in adjusting rural development strategies. Progress reports are essential to updating the objectives of the strategy and adapting these to changing circumstances and developments (IEG 2012, p. 18).

There is an emphasis on taking time to ensure the successful design of multifaceted rural development projects and ensuring that indicators and M&E systems permit for appropriate reporting on the project outcomes (IEG 2012, p. 50). Weaknesses were found relating to poor quality of data and technical systems and included deficiencies such as inadequate baseline data, indicators and targets (IEG 2012, p. 53). It is critical to identify all potential stakeholders and develop simple, implementable “M&E systems associated with clearly defined and relevant indicators for which there are readily available supporting data sources” (IEG 2012, p. 32).

The shift in emphasis towards results-based M&E models places pressure on capacity-building in M&E, as the absence of a robust M&E system can sometimes represent a strategically important gap; this may result in an understatement of the results of rural development interventions supported by the World Bank (IEG 2012, p. 38). Finally, the assessment suggests a need for improvement in results-based M&E models to accommodate the nature of rural development (IEG 2012, p. 41) (see *Chapter 1.4.1*).

3.5 TOWARDS A CONCEPTUAL FRAMEWORK: ELEMENTS OF AN INTEGRATED AND TRANSVERSAL APPROACH TO THE M&E OF RURAL DEVELOPMENT

When analysing the findings of research undertaken during the period 1988 to 2012, as reflected in the previous section, critical elements of an integrated and transversal approach to the M&E of rural development can be identified. To provide a structure when further exploring and describing the elements, the latter are placed within components. These components are broadly based on a document published by the World Bank in 2008 on the “*Monitoring and evaluation of rural development, tracking results in agriculture and rural development in less-than-ideal conditions*”. The elements are reflected in Figure 3.3, specifically within institutional, data and analytical components.

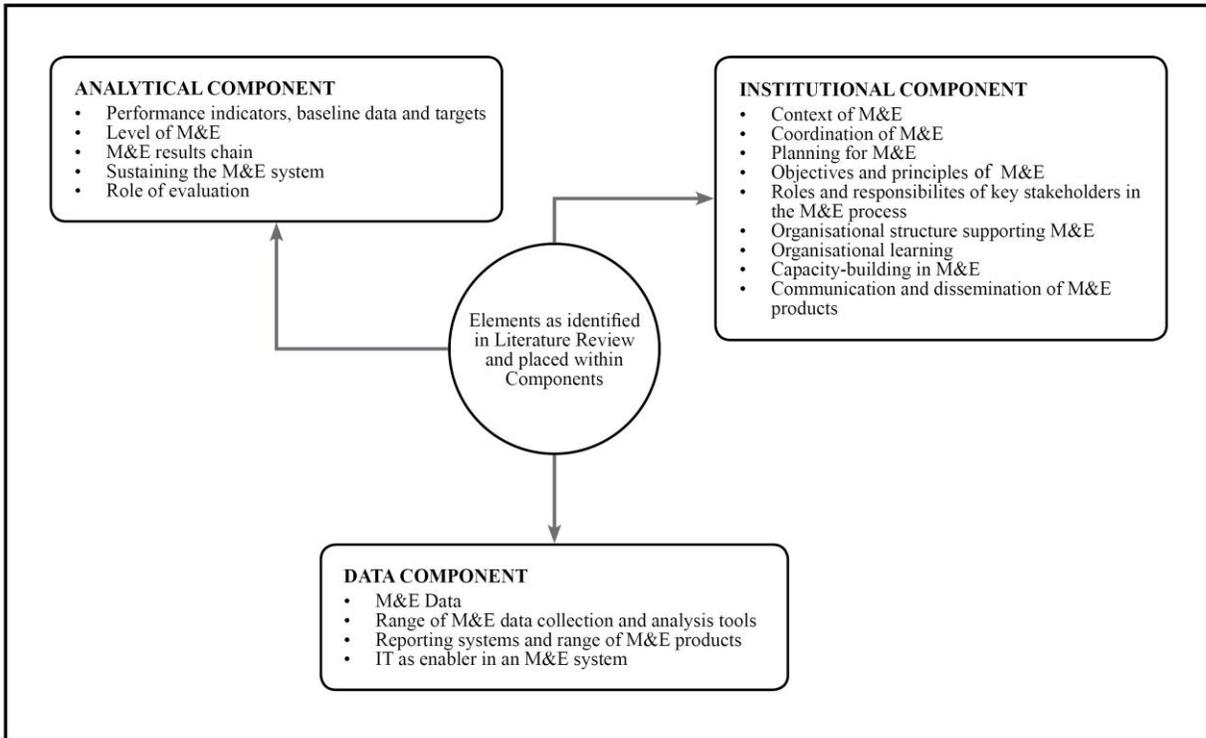


Figure 3.3: Elements of an integrated and transversal approach to the M&E of rural development placed within institutional, data and analytical components (developed by researcher)

These elements identified are further defined, explored and described in line with the focus of the literature review (see *Section 3.1*).

3.5.1 Towards a conceptual framework: Institutional component of the M&E of rural development

As reflected in Figure 3.3, the elements relating to the institutional components are the context of M&E; coordination of M&E; planning for M&E; objectives of M&E, roles and responsibilities of key stakeholders in M&E; organisational structure supporting M&E; organisational learning; capacity-building in M&E and the communication and dissemination of M&E products. All these elements are explored and described in relation to rural development.

3.5.1.1 Context of M&E

An M&E system does not operate within a vacuum and the political, legislative and governance context in which M&E is institutionalised needs to be considered when building an M&E system (Blenkinsop and Davis in Neely, Gregory and Platts (1995, p. 100). It is increasingly recognised that an understanding of the context in which M&E is institutionalised is important so as to ensure a suitable environment for the successful uptake of the M&E products. Many contending factors (socioeconomic, political, etc.) and organisational cultures can determine or influence the extent to which government is able to establish and maintain an M&E system (PSC 2005, p. 17).

The significance of the M&E context in Africa (Mackay 2007, p. 45), and more specifically South Africa, is highlighted through interaction with donors from developed countries. Donor agencies often have specific expectations based on their European or American experience. They place a high value on M&E designs, yet in the developing context of South Africa, these specific approaches may not be feasible. It is important to consider the context before attempting potentially unrealistic M&E designs and methodological approaches. The overarching political, legislative and governance context is subsequently discussed in more detail.

a. Political context of M&E

M&E applied to rural development is not a purely technical process, but an inherently political one as well (Lahey 2005, p. 2). The information requirements placed on the M&E system are determined not only by technical criteria, but from the information needed by the stakeholders involved.

In the United States of America (USA) the Governmental Accounting Standards Board (GASB) encouraged experimentation with the development and use of M&E and conducted a survey to measure the degree of experimentation (De Lancer Julnes and Holzer 2001, p. 694). The results of the survey indicated that although the number of organisations that have developed M&E systems is encouraging, there is a concern is that the resulting information is not always used to influence decision-making. The study was replicated when an empirical study was conducted on the factors affecting the development and implementation of M&E systems. The sample studied was drawn from the sampling frame developed by the GASB for the initial study. Using a questionnaire as the instrument, government officials were queried on the existence and use of M&E, their attitudes and perceptions about M&E and the contextual factors that alter their usage (De Lancer Julnes and Holzer 2001, p. 698).

The study identified the political context as playing a role in the institutionalisation of M&E systems. Within this context, internal and external interest groups are identified. Involving internal stakeholders in the process of developing M&E systems can contribute to an improved comprehension of the motives for making the effort and the consequences. The study indicated that the success of the institutionalisation of M&E systems also depends on the support of elected officials. Strong political and executive leadership of M&E is critical (Gorgens, Nkwazi, Chipeta and Govindaraj in Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 87), particularly in ensuring that M&E findings are used for decision-making and sustaining the M&E system (Wholey 1999, p. 300).

Wholey (1999, p. 296) reported on case studies, which had explored the context and process of M&E efforts in government. The findings were that political, executive leadership and analytical support are critical to effective implementation of M&E systems. M&E cannot prosper without the dedicated commitment of the government's political and executive leadership (Asibey 2006; Cavalluzzo and Ittner 2004, p. 248). The institutionalisation of M&E requires strong and consistent political leadership and Kusek and Rist (2004, p. 21) suggest it should be in the form of a political champion.

“Access to M&E capacity is an essential source of power for decision makers” (Naidoo 2011, p. 7). There is apparent political interest in M&E findings with political leaders eager to study the progress made by departments against mandates. M&E plays a crucial part in reporting on the advancement made between the planned development interventions and resultant output. In “this context, M&E has an important predictive and early-warning role to play. Therefore, it is in the interest of the political sphere of government to have access to M&E information to meet this political purpose, applicable to both the ruling and opposition parties, who use it to justify success or its absence” (Naidoo 2011, p. 7).

Thus, political support is necessary to introduce the institutionalisation of M&E, to assist in changing organisational culture as required and guarantee an enabling environment. Political support can avert opposition to the development of an M&E system as well as the alterations that may take place that form the basis of ensuring “that the M&E system is sustainable over” time (Lahey 2005, p. 4).

b. Policy and legislative context of M&E

An M&E system must operate within the policy and legislative context of the government, both at the conceptual and the design level. However, the lessons learned from international experience are that organisations neglect to bring the legislative leadership into the M&E of government activity (Schiavo-

Campo 2005, p. 7). Commitment from the legislative leadership is crucial to the sustained success of M&E systems (Wholey 1999, p. 293). A reasonable level of agreement by the legislative leadership on the goals and strategies for achieving the target is identified as a criterion for M&E systems; this includes monitoring systems with sufficient quality and performance information to be used by policy makers. The literature on M&E systems emphasises the need to involve policy makers and managers in decisions about the design of the M&E system (Henry and Dickey 1993, p. 205).

A successful M&E system also requires a legal mandate and a clear institutional and policy role. In addition, policies should clarify roles, responsibilities and accountabilities for M&E (Lahey 2005, p. 4). The ability of the organisation coordinating M&E to influence policy and the adoption of recommendations flowing from the M&E process, as well as setting an evaluation agenda, can be improved with strong legal support (Briceño 2010, p. 3). Policy and legislation often give direction on M&E, as in the case of Canada. The M&E system of the Federal Government of Canada is anchored in a government-wide policy first introduced in 1982 and revised in 2001 (see *Chapter 4.2*). The policy is based on fundamental principles covering the issues of accurately reporting on results and using evaluations as a tool to assist in managing for results. An elevated M&E strategy can ensure the institutionalisation of M&E. The Constitution of Columbia reflects a formal requirement of the institutionalisation of M&E; and in Indonesia there is a ministerial decree to this effect (Mackay 1999, p. 3).

Findings from a survey indicate that the lack of legislative tools (such as legislation and decrees), policies or strategies limit the governments' ability to initiate and implement M&E (Wang and Berman 2000, p. 414). In the case of policies, literature points to the need for M&E policies and illustrates, amongst other things, the objectives of M&E and the roles and responsibilities of key stakeholders in the M&E of rural development.

c. Governance context of M&E

The governance context is explored as requiring an M&E system to fill the gap in the feedback component concerning performance. The association between the allocation of budget and M&E and the necessity to conduct a readiness assessment to institutionalise M&E are implicit in the governance context.

Governments have various kinds of tracking systems available as resources to management. To be able to undertake their developmental mandate, governments require effective “human resource systems, financial systems and accountability systems” (Kusek and Rist 2004, p. 12). The gap in effective feedback systems is identified as government tracking systems that are missing the feedback component in respect of the performance of government interventions. M&E systems fill this void in that they add a fourth system to the three identified by Kusek and Rist. Good performance feedback systems are needed to support successful policy, programme and project implementation and performance (Cwayi 2011, p. 15).

A study conducted on the institutionalisation of M&E in government indicates the necessity of using M&E findings in the decision-making process (Moynihan and Ingraham 2003, p. 473) and policy development (Sivagnanasothy 2007, p. 1). This necessitates institutional arrangements for feedback in respect of M&E findings. Feedback is obtained through the M&E reporting system to enable appropriate management decisions (Bititci, Carrie and McDevitt 1997, p. 524) based on quality data (see *Section 3.5.1.2*) being presented at the right decision-making venue (Moynihan and Ingraham 2003, p. 476). Mebrathu (2002, p. 503) states “feedback is critically important if M&E is to have any meaning, and be of any use to the organisation. Without feedback we have just a reporting system and data gathering and forwarding is just an activity like other activities”. When analysing the aspects of institutionalisation of M&E systems in government-led rural development interventions in developing countries, Gordillo and Anderson (2004, p. 305) found that the under provision of feedback mechanisms linking M&E to planning, budgeting and decision-making processes is a major constraint for rural development.

The M&E system should be able to guide decision-making by ensuring consideration of recommendations informed by M&E findings (Krause 2010, p. 7). When M&E and planning function in isolation and there are no effective formalised feedback mechanisms to integrate M&E findings into the planning and decision-making of development interventions, these institutional breaches defeat one of the objective of M&E (see *Section 3.5.1.3*). Definite links must be set up between the M&E function and the purpose of policy development, planning and budgeting. This is of critical importance in ensuring that M&E products (see *Section 3.5.2.3*) feed into the planning and resource allocation decision-making process. The results of M&E findings should therefore follow a formal and user-friendly channel of feedback; this will enable decision makers to integrate lessons learned into their policy and planning process, and citizens are given the opportunity to understand and respond to the M&E findings (PSC 2007, p. 2).

With regard to financial systems, most governments have data systems for measuring their spending, processes and outputs. These data systems do not constitute an M&E system as a system involves the regular, systematic collection and use of information. Policy development and spending decisions are handicapped by the lack of programme performance information (De Lancer Julnes 2000, p. 3). Performance budgeting should be a spin-off from the M&E system (Poister and Streib 1999, p. 334). When M&E findings are used for budgetary decisions, a form of performance budgeting emerges (Krause 2010, p. 2). However, M&E is only effective when budget analysts, legislators and political leaders use the M&E findings produced to formulate and negotiate the budget. There are several key factors that can severely inhibit the use of M&E for budgetary purposes. Government needs reliable information systems, solid financial management systems and at least the basic human capacity to generate and process evaluations (Krause 2010, p. 6). In addition, methods for the evaluation of the effectiveness of budget spending must be established (Kamensky 1993, p. 395).

A well-designed M&E system can potentially assist officials involved in the budget process to achieve the three aims of budgeting: fiscal discipline, allocative efficiency and operational efficiency (Krause 2010, p. 1). By defining indicators for public spending outputs and outcomes, governments gain the ability to monitor non-financial performance. The use of evaluations that change performance information into implementable policy recommendations enables governments to more efficiently allocate resources to programmes with the greatest contribution to its policy priorities (Krause 2010, p. 1).

Arguments are put forth that M&E is important for good governance and accountability (Presidency 2007, p. 3). The research findings of case studies conducted in government on the institutionalisation of M&E emphasised the link between M&E and accountability (Bernstein 2001, p. 98). The objectives of M&E (see *Section 3.5.1.3*) identify it as being at the centre of comprehensive governance practices and required to achieve a results-oriented and accountable public sector. This is why M&E should not be perceived as a limited, technocratic activity (Mackay 2007, p. 10).

Conducting an assessment of the organisation's readiness to develop and implement M&E can affect the use of M&E systems (Henry and Dickey 1993, p. 209). The readiness assessment assumes there is a need for M&E (Kusek and Rist 2004, p. 165) and begins to explore the context within which the M&E system will be institutionalised. The assessment rates to what extent government is ready to establish, use and sustain such a system. It also provides information that assists government to decide how the M&E system will be introduced. Government may want to start its results-based M&E system by focusing on some areas to enhance promising practices in a specific sector or department. It might decide to place

particular focus on areas of national importance, such as rural development and build a system to M&E the interventions. Using the findings of the assessment, capacity could be built at the same time within weak areas to introduce a basic traditional implementation-focused M&E system, which requires the collection, storage and use of specific results. Another option might be to implement a system with a total government reach, where all departments and sectors introduce the system at the same time (PSC 2005, p. 85).

A readiness assessment diagnostic tool is suggested to guide the assessment. This consists of three parts, first the incentives and demands for the institutionalisation of an M&E system; secondly, the roles and responsibilities of stakeholders, and thirdly, the current institutional arrangements for monitoring the performance of government and capacity-building requirements for an M&E system (Kusek and Rist 2002, p. 152).

The readiness assessment diagnostic tool contains forty questions clustered into eight areas:

- Are there champions for institutionalisation of an M&E system?
- What planned or current government reform is underway, to which the institutionalisation of an M&E system can be linked?
- Are there current or future initiatives by donors to which the institutionalisation of an M&E system might be linked?
- What framework is in place to guide the institutionalisation and sustaining of an M&E system?
- “Where and by whom is M&E information used to assess government’s performance?”
- “Are there links between budget allocation procedures and M&E information?”
- “Who collects and analyses M&E information to assess government’s performance?”
- “Where does capacity exist to support the M&E system?” (Kusek and Rist 2002, p. 153).

As clear from the eight areas of questions, the readiness assessment attaches importance to understanding the context (see *Section 3.5.1.1*) in which the M&E system is to be institutionalised.

The findings of case studies conducted on readiness assessments using the diagnostic tool indicated that leadership must be provided in the coordination of the M&E of development interventions; sustained capacity-building is required; and having a credible MIS is a positive aspect (Kusek and Rist 2002, pp. 154-156).

3.5.1.2 Coordination of M&E and planning for M&E

The differences in rural areas require an approach that addresses the absence of coordination between stakeholders in the M&E of rural development (Hodge and Midmore 2008, p. 34). A possible solution is to coordinate M&E of rural development from a central point, with a central M&E unit, which has the mandate to coordinate the various rural development initiatives (World Bank 2008, p. 70). The functions of the M&E unit would include generating M&E products on progress, “as well as the commissioning of a range of evaluation studies on different aspects” (World Bank 2008, p. 68) of rural development. “This necessarily involves consolidating the various sector reports prepared by the sector” departments (World Bank 2008, p. 68). Sector M&E units in departments are responsible for reporting progress made by different sectors contributing to rural development. The functions of the unit include advocacy of M&E of rural development, organising opportunities to consider the results of M&E initiatives and reflecting on lessons learned (World Bank 2008, p. 70).

Without exception the implementation of rural development interventions, especially in the developing world, requires M&E as an integral part of management functions (Morales-Rojas in Lopez-Acevedo, Krause and Mackay 2010, p. 57). Achieving demand for M&E is not easy, but it can be created through ensuring that the M&E system produces useful information that supports policy development, planning, budgeting and decision-making (Mackay 2008, p. 17). It is envisaged that if there is proper integration, which allows for the utilisation of M&E findings in key management functions of the organisation, there will be a greater demand for M&E (Cwayi 2011, p. 34). A defining characteristic of effective M&E systems is the utilisation of the M&E information in one or more stages of the policy cycle (Mackay 2008, p. 17). M&E is closely related to the policy and planning cycle, thus the coordination of M&E of rural development should link M&E with the management functions of policy development, planning and budgeting. M&E is a building block of a performance oriented policy cycle in which policy goals are developed based on public interest and policies are designed and implemented as far as possible, in ways that will make them effective, efficient and consistent. The more policy cycle activities are based on empirical evidence and analysis, the more likely it is that policies will be efficient, effective and in the public interest. Demand for M&E depends on the presence of at least some elements of a performance oriented policy cycle (Shepherd 2011, p. 1).

M&E is critically important to planning because it provides useful information for calculating decision alternatives (Alkin 1990, p. 82). The institutional arrangement of placing M&E in the proximity of the planning function enables proper planning and integration of M&E (Cwayi 2011, p. 34). The utilisation of

M&E information for planning is emphasised (Mackay 2008, p. 177), and it is plausibly assumed that if M&E provides useful information for planning, there will be greater demand for M&E. In turn, M&E should be integrated into planning so as to provide information regarding the development of plans and this explains the relevancy of planning to M&E (Cwayi 2011, p. 50).

It is not possible to monitor, much less to evaluate, progress towards developmental goals unless the overall national and provincial goals are clear. In *Section 3.4* it is indicated that when planning for the institutionalisation of M&E there should be clarity about the problem. A strategy needs to be developed indicating how the problem will be addressed through development interventions (FOS 2002, p. 3). The strategy needs to be clear on the goals and objectives of a development intervention and describing the anticipated results. Following the development of the strategy, the next step is to plan for the M&E of the rural development interventions as contained in the strategy (FOS 2002, p. 3). Planning for M&E entails determining what will be done, why it will be done and how it will be done. What will be done should be concretised in an M&E strategy, whilst the reason why the M&E will be done can be reflected in a policy framework. How the M&E system (see *Section 3.3.1.1*) will be developed and institutionalised, needs also to be articulated in a policy framework.

Rural development in M&E is more operational in nature and the development and implementation of an M&E plan (FOS 2002, p. 6) would guide M&E at an operational level. M&E plans are generally drawn up against a strategy to support the implementation of activities towards the achievement of anticipated results, objectives and goals (PSC 2005, p. 90). The plans should include performance indicators (FOS 2002, p. 6), baseline data (International Federation of Red Cross and Red Crescent Societies 2002, p. 2-2), how the data will be collected and analysed and an indication of how the data will be reported and used (PSC 2005, p. 99). M&E plans are important when planning for M&E as these promote planning, managing and documenting data collection.

3.5.1.3 Objectives of M&E

M&E has diverse objectives and a comparative analysis of M&E systems indicates that the objectives of M&E covers different aspects as reflected in Table 3.2, which presents the theoretical positions of these aspects. While there may be different contexts and purposes for the implementation of M&E and for the use of the results, the objectives reflected in Table 3.2 seem to be common categories of objectives of M&E. Within the categories there will be trade-offs between the various objectives of M&E (Mackay

2007, p. 73). It is vital to communicate the objectives of M&E to key stakeholders (Mebrathu 2002, p. 515).

Accountability is fundamental to the objectives of M&E. This relates to how public money is spent, how service delivery targets are achieved with the allocated funds and whether the services are delivered with integrity. M&E provides the information that allows for the assessment of the public service activities related to these aspects. This information is provided in a structured and formalised manner through the M&E process.

Table 3.2: Theoretical positions on the categories of objectives of M&E

Zaltsman (2006, p. 3)	Mackay (2006, p. 6)	Mackay (2007, p. 73)	Lopez-Acevedo, Krause and Mackay (2012, p. 53)
<ul style="list-style-type: none"> • Inform planning • Support policy and programme design and fine tuning • Inform the budget allocation process • Encourage continuous management improvement • Enhance transparency and accountability 	<ul style="list-style-type: none"> • Support budget decision-making • Support planning • Support policy development, policy analysis and programme development • Strengthen accountability relations 	<ul style="list-style-type: none"> • Support policy development • Contribute to evidence based policy development and budgeting • Support management performance • Improve accountability 	<ul style="list-style-type: none"> • Inform resource allocation • Solve implementation challenges • Improve programme development • Provide the public with information on service delivery

3.5.1.4 Roles and responsibilities of key stakeholders in the M&E process

Various stakeholders are involved in rural development and M&E is a concern for all. The roles and responsibilities of key stakeholders in M&E should be defined (Mackay 2007, p. 69). Governments devote considerable time and technical effort to defining the roles and responsibilities of different stakeholders (Castro in Lopez-Acevedo, Krause and Mackay 2012, p. 114). Policies and guidelines can define the roles and responsibilities of all key stakeholders in the M&E system (Lahey 2012, p. 213). One such role for example, would be the responsibility for data collection (Kusek and Rist 2004, p. 104) (see *Section 3.5.2.2*).

It should be recognised that when M&E systems are designed they are likely to be changed by the strategies of the different stakeholders involved. Lefevre and Garcia (1997, p. 2) conducted a case study on the M&E of rural development projects, which provided empirical evidence that greater involvement of stakeholders in the design of an M&E system is both feasible and desirable. This involvement is important in the sustainability of the M&E system as different stakeholders can have different interests in an M&E system.

3.5.1.5 Organisational structure supporting M&E

The supporting organisational structure is important within the institutional component of M&E, Assigning responsibilities for M&E implies changes to the organisational structure (OECD 2007, p. 6). An organisation's structure must be such that all the interrelated functions previously discussed are considered carefully when designing an M&E function. This calls for institutional arrangements that locate M&E closer to other strategic functions of the organisation, such as policy formulation, planning, budgeting and resource allocation in order to establish proper links and alignment for maximum benefits (Cwayi 2011, p. 35).

The M&E function must enable the organisation to collect, analyse, summarise and use information (Simister 2009, p. 1). The scope and purpose of the M&E function within the context of a particular organisation should be defined. An indication must be given as to whether the extent of the M&E function will be limited to gathering information and summarising progress, or whether it will be carried out against a predefined set of objectives and indicators. Furthermore, there must be an understanding of whether the scope of the M&E function will include elements such as baseline studies, reporting, learning mechanisms and data (Simister 2009, p. 2). In emphasising the importance of the need for defining the scope and purpose of the M&E function, the PSC (2007, p. 4) argues that it is crucial for government departments to clearly specify the appropriate performance areas that need to be monitored.

3.5.1.6 Organisational learning

M&E findings should provide feedback to programme formulation and policy development by increasing knowledge and improving the potential for decision-making via a process of learning. When exploring whether there was evidence of advancement of organisational learning in the M&E of rural development, the findings were that the M&E system needed to be improved to contribute to learning (Kinda 2012, p. 43). The potential benefits of M&E for strengthening organisational learning are acknowledged (Poister

and Streib 1999, p. 334). One of the objectives of M&E is to enhance an organisation's development learning (UNDP 2002, p. 6). Management must use M&E to strengthen organisational learning to ensure that they achieve continuous improvement in service delivery in order to contribute to development (Ghalayini and Noble 1996, p. 70). Some institutions set their M&E function to initiate learning in order to improve performance in current or future development interventions (Simister 2009, p. 2).

Edmunds and Marchant (2008, p. 17) state that the “emergence of M&E as a formalised knowledge-management discipline is still relatively recent”. There is a connection between M&E and the four elements of knowledge management (KM), which are as follows: knowledge creation, knowledge capture, knowledge transfer and knowledge use. When carried out successfully, M&E and KM are complementary processes that can dramatically increase programme effectiveness. KM can contribute to knowledge in the field of rural development by publishing and broadly disseminating M&E findings. M&E contributes both to KM and learning. However, the knowledge related value addition of M&E is frequently not entirely incorporated into knowledge systems, which limits the advantage that an organisation may receive from the knowledge that is produced through these means (UNICEF 2006, p. 75).

3.5.1.7 Capacity-building in M&E

The institutionalisation of M&E calls for capacity-building (Cwayi 2011, p. 28). Creating an acceptable quantity of human resource capacity is vital to sustain the M&E system. An effective M&E system in government departments should include having resources, qualified staff, skills sets and budgets (Bester 2009, p. 4). It needs to be recognised that developing M&E practitioners requires technically oriented training and development. On the other hand, programme and senior managers essentially require less technical training in M&E, as they require more adequate understanding, confidence and ability to use M&E findings to contribute to building a results culture within the organisation (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 32). Successful M&E capacity-building efforts include the development and implementation of a customised training programme and establishing linkages with research initiatives (Hauge 2001, p. 3).

3.5.1.8 Communication and dissemination of M&E products

Challenges are experienced in communicating M&E information on M&E products, both internally to improve the management of the organisation, and externally to key stakeholders to demonstrate progress made with rural development interventions (Nyhan and Marlowe 1995, p. 336). A study conducted on the institutionalisation of M&E of government indicates the necessity of communicating M&E information to employees and the public (Moynihan and Ingraham 2003, p. 473). Often, the significance of information quickly reduces over time, so it is necessary that M&E findings should be disseminated rapidly (Valadez and Bamberger 2004, p. 437).

3.5.2 Towards a conceptual framework: Data component of the M&E of rural development

As reflected in Figure 3.3, the elements relating to the data components are M&E data, range of M&E data collection and analysis tools, reporting systems and range of M&E products and IT as enabler in an M&E system. All these elements are explored and described in relation to rural development.

3.5.2.1 M&E data

An effective M&E system in government department should include having data sets (Bester 2009, p. 4). Data is a term for information and a data set is a collection of data records having a particular subject matter. Data sets are captured on a database or grouping of data for a particular purpose, for example a database of core rural development statistics. M&E data is obtained from data sources (Engela and Ajam 2010, p. 3). The GWMES model in place in South Africa draws from three data sources (Presidency 2007, p. 7). The data sources are broken down into (a) Programme Performance Information, (b) Social, Economic and Demographic Statistics and (c) Evaluation (see *Chapter 5.3.6.3*). To arrive at these data sources, conceptual agreement had to be found and the process entailed understanding of the work processes and the related interdependencies by all stakeholders. Programme performance information is to be derived from registers and administrative data sets kept by departments. The social, economic and demographic statistics data source covers data collected by Statistics SA (Stats SA) as the official statistical agency of the country. The data is collected through a census, other surveys and statistics collected by various government departments (Engela and Ajam 2010, p. 3). Internationally the “maintenance of official national statistics has evolved over the centuries as the mandated responsibility” (World Bank 2008, p. xviii) of NSOs, with strong links to the National Statistical System (NSS) (see *Section 3.5.2.2*).

It is agreed that rural development takes place in a geographic location (Presidency 2005, p. 95) and that a Geographic Information System (GIS) can be a possible data source. There is vast potential to expand GIS applications by using satellite images and digital elevation models for enhanced planning processes. Individual rural development projects can be mapped, thus enabling monitoring from the desktop. Such systems will enhance the planning and M&E processes in rural development interventions (Kadariya and Paudyal 2007, p. 3). To improve the analytical potential of M&E data, the establishment of a more geographically disaggregated system of data collection is suggested.

“Data quality is critical for the credibility of M&E”, but this is an area that is often inadequate (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 32). Many organisations have difficulties in obtaining timely and valid data in programme outcomes (Wholey 2003, p. 18). Defining characteristic of successful M&E systems is that information should meet standards for data quality and evaluation reliability (Mackay 2010, p. 2). Data quality parameters need to be considered at each step in the data management process. However, certain parameters are more important at specific steps. For example, validity will transcend through the M&E system if it is addressed at the source during data collection in that integrity is most important at collection, collation and report generation. Data quality parameters centre on demonstrating or ensuring validity, reliability, integrity, precision and timeliness. Kusek and Rist (2004, pp. 109-110) refer to a data quality triangle having the criteria of reliability, validity and timeliness. Reliability is concerned with whether the data collection tools will consistently and reliably produce the same results “across time and space”. Validity is the degree to which the “indicators clearly and directly measure the performance intended to be measured”. The frequency, currency and availability of data relates to the timeliness thereof (PSC 2005, p. 120).

By ensuring that databases produce superior quality data, implementers and managers are enabled to make better choices that yield expected higher payoffs of information system utility. As such, data quality needs to be maintained, starting at the point of origin right through to the point of data use; out of necessity, this must include any database which operates between these two points. High quality data must have an audit trail, so a database must provide such a trail that links any end reports to the source documentation. This linkage must be maintained throughout any data manipulation that may occur in the system.

System design needs to focus on commonly recognised data quality parameters and should ensure that data quality is maintained and auditable throughout the system, as data should be subjected to periodic

audit (Wholey and Hatry 1992, p. 608). These needs must be considered during the design stages in the database development process.

During the review of the literature on M&E data as it relates to rural development a number of challenges were identified, which are common in many developing countries where rural development is prevalent. Most governments have data sets and databases, “but these are often uncoordinated, with the result that a single department can possess several data sets, each with their own data definitions, data sources, periodicity of collection, and quality assurance mechanisms, if any” (NSCPBL 2008, p. 5). There is a lack of institutional coordination, which results in the co-existence of inconsistent and integrated data sources. In addition, there is no strategy to guide data production efforts and limited staff and capacity of the units that are responsible for rural development statistics. M&E data for tracking results in rural development must be underpinned by a database of core rural development indicators. A data development strategy should be developed (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 32) to guide the integration of rural development statistics with the overlapping data requirements of other sectors and improve the capacity to produce this core set of statistics.

3.5.2.2 Range of M&E data collection and analysis tools

The move in emphasising results over performance has consequences for M&E data. “Unlike performance monitoring, where data are relatively easily available from MIS, measuring results involves turning to the targeted beneficiaries for information” (World Bank 2008, p. xv) on the development interventions and how they have benefitted. An effective M&E system in government should include having a range of M&E data collection and analysis tools (Bester 2009, p. 4). The aim of collecting data for M&E purposes is to have real time information that shows the status of a development intervention at any given time as needed. As progress is tracked, the need to identify problems or challenges as and when they occur becomes apparent.

Several options for data collection and analysis besides routine reporting are available for M&E (Koot 2005, p. 19). What is important is the appropriate use of the M&E tools and techniques that can measure the results of rural development interventions in different ways (Mackay 2010, p. 3). M&E tools should be appropriate to rural development. Stakeholders should be involved in the application of the tools, thereby enhancing their commitment to rural development interventions and increasing their sustainability. With regard to responsibility of data collection, the roles and responsibilities of

stakeholders need to be clear (Kusek and Rist 2004, p. 104) and data collected should provide for the needs of various stakeholders.

As rural development interventions are often implemented in “less-than-ideal conditions” (World Bank 2008, p. xiv), the selection of the M&E data collection tools should be aligned to the conditions and the criteria being time and cost effective, comprehensive and improvement oriented. In Table 3.3 examples of the M&E data collection tools and their application are reflected.

Table 3.3: Examples of M&E data collection tools (developed by researcher)

M&E Data Collection Tools	Application of the Data Collection Tools
Questionnaires	To collect information from many people
Structured interviews	To collect individual opinions
Informal interviews	To collect frank opinions from people
Focus group discussion	To generate ideas, group opinions
Community meetings	To make decisions and suggestions
Direct Observations	To collect information on daily life
Pictures	To collect visual data
Registers/ Records/Reports	To collect information from official documents
Case studies	To collect analytical views of activities

Some of the tools mentioned above would be utilised in a Rapid Rural Appraisal (RRA) when new information about rural life needs to be collected (Muller-Praefcke 2010, p. 40). The World Bank (2008, p. 50) supports surveys as being relevant M&E data collection tools for rural development interventions. The importance of utilising survey-based rural development data that meet quality criteria instead of relying on administrative data is stressed (Cuong, Fargher, Phu and Chi 2006, p. 5). Surveys are increasingly being used around the world to obtain feedback on outcomes, including the quality of government services. The feedback can be from samples of households or from target groups that have been assisted through a development intervention. These surveys can provide information on a variety of outcomes, including the surveyed person’s housing, employment or health status, and ratings of programmes timeliness, accessibility, fairness and ease of obtaining information on the programme. Examples of surveys are the Living Standard Measurement Study Integrated Survey, Agricultural Survey and Households Survey. Through these surveys “quantitative and qualitative approaches can be applied iteratively” (World Bank 2008, p. 50). The household survey is an important M&E data collection tool for rural development. The survey “provides data that can be disaggregated to show results for different population groups and has the advantage of providing information on both beneficiaries and non-beneficiaries ” (World Bank 2008, p. xviii). A population census is key to survey programmes and thus

the role of the NSO and the NSS becomes paramount (World Bank 2008, p. 58). Information can be obtained on the demographic characteristics of respondents through a population census, which helps identify the effects of the distribution of the development interventions.

Data collected needs to be analysed and communicated to aid learning and development. When applying the M&E data collection tools for analysis, the data is utilised for making comparisons. Three types of comparisons are identified: “comparisons over time, comparisons over space and counterfactual comparisons” (Edmunds and Marchant 2008, p. 23). The first type of comparison involves tracking performance indicators over time to determine change. Comparisons over space involve comparisons at the provincial level between different geographical areas where rural development interventions are implemented. Counterfactual comparisons address the question of the condition of the situation had there been no intervention (World Bank 2008, pp. 55 - 58).

As M&E models evolved in response to changes taking place in development as a whole from Traditional implementation-focused M&E models to results-based M&E models (see *Section 3.3.2*), the approach to data collection changed. Data collection within the Traditional implementation-focused M&E models entails “much of the data to be generated from internal reporting systems” (World Bank 2008, p. 8). For M&E the results of development interventions called for a wider range of data collection methods. The World Bank (2008, p. 8), in particular, propagates that beneficiary interviews would be necessary. Thus an M&E system relies on a range of M&E data collection and analysis tools (Mackay 2007, p. 74) for the results of rural development interventions that should also include participatory M&E (PME) and impact evaluations (see *Section 3.5.3.5*).

3.5.2.3 Reporting systems and range of M&E products

The function of reporting is the process that turns data into meaningful and usable information. It is important to recognise the different audiences for performance reporting and their particular requirements and to adapt the scope of reporting according to those requirements (Gantscho 2004). An important output of a reporting system ought to be the regular creation of M&E reports as a contribution to the planning, budgeting and decision-making process (World Bank 2008, p. xv). M&E products are the reports produced through the M&E reporting system. As outputs of the M&E process, these M&E products must support, amongst others, the planning process. It is critical that these outputs are on time to continue supporting all the phases of the planning processes. This can be achieved when the critical M&E outputs or findings are produced and used in the planning process within reasonable time (Cwayi 2011, p. 36).

Findings reflected in M&E products can be used throughout the policy cycle to improve the quality of decision-making and the performance of development interventions (Mackay 2010, p. 1). M&E products should provide explanatory information on M&E findings (Wholey and Hatry 1992, p. 609). The potential users of M&E findings, their needs for information and timely dissemination of reliable M&E findings through M&E products should be identified (Kusek and Rist 2004, p. 30).

3.5.2.4 IT as enabler in an M&E system

Data can be managed manually or electronically, depending on the resources available. An effective M&E system in organisations should include having Management Information Systems (MISs) (Bester 2009, p. 4). A MIS is defined as a manual or computer-based system for providing information to an organisation “by extracting performance information from data” collected from the organisation’s systems and presenting it in “tabular or graphical form” (Swanson 2010, p. 2635). An MIS may be essential to the ability to M&E development interventions (Perrin 2006, p. 44). Thus, MIS could be an essential enabler to M&E, but is often mistaken as a substitute for an M&E system. It is because the computer-based MIS is able to manage huge amounts of information and provide large sets of reports for use in a presentable format in a short time (Khan 2003, p. 35). However, an M&E system is much broader than the MIS as it applies other methods of data collection and analysis. The crucial difference is that for monitoring results it is necessary to go outside the organisation to collect the information. RRAs, surveys and evaluations are tools used to collect the information (Koot 2005, p. 15). In general, the MIS tends to concentrate on information generated within the organisation (Koot 2005, p. 1) and track inputs and outputs (World Bank 2008, p. xv), which essentially represent the performance of development intervention.

Researchers believe in the power of IT as it makes the analysis of data and its presentation less complicated and as such there has been a growth in demand for MIS (Neely 1999, p. 220). During the Roundtable “Moving from Outputs to Outcomes: Implications for Public Sector Management” officials from both developed and developing countries indicated that IT featured as a vital enabler to M&E. “Some form of automated approach is necessary to keep track of all the data that are generated and to link them” (Perrin 2006, p. 44) to the objectives of development interventions. Advances in computers and software allow timelier and less expensive collection and analysis of data and the communication of information on the performance of development interventions (Wholey and Hatry 1992, p. 609). M&E crucially depends on quality information and analysis. The ability of organisations to harness the power of modern IT is important in determining the sophistication of their M&E efforts. Utilising physical and

financial data allows programme implementation to be tracked with greater accuracy and irregularities to be more easily detected (Shepherd 2011, p. 6). A viable MIS performs two functions. The first function is to manage information, which involves storing, retrieving and reporting information in a convenient format for use. The second function quantifies data, which involves condensing and analysing large bundles of data and extracting those features of the information that are required. Clearly computer-based information systems are more capable of effectively and efficiently performing these two functions (PSC 2005, p. 115).

However, while IT can expedite the process of handling data and transforming it into useful information, a key problem for many countries, particularly poor countries, is that they may not have the resources to build and manage a computer-based MIS. It requires a substantial investment on the part of the organisation in terms of budget and skills, as technologies are expensive and difficult to deploy successfully, particularly where skills are limited. Organisations require capacitated invest time and labour in the process of building, implementing and maintaining the system. Furthermore, IT system design is a complex process requiring a high degree of skill. This can sometimes be difficult for organisations that often do not have the expertise, capacity and commitment to establish and manage the MIS. However, manual systems, if designed and implemented properly, are an effective means to manage M&E information. Furthermore, a manual system can lay the foundation on which a computerised system can be built at a later stage (PSC 2005, p. 116).

3.5.3 Towards a conceptual framework: Analytical component of the M&E of rural development

As reflected in Figure 3.3, the elements relating to the analytical components are performance indicators, baseline data and targets, level of M&E, M&E results chain and the role of evaluation.

3.5.3.1 Performance indicators, baseline data and targets

M&E takes place against indicators and the M&E of rural development necessitates developing and tracking performance indicators across sectors (Krause 2010, p. 1). A performance indicator is defined as a predetermined signal tracking progress towards planned targets by assessing achievement, change or performance (UNDP 2002, p. 101). Verifiable performance indicators define rural development performance objectives to be attained as they force programme implementers to specify what should be achieved in rural development and how success will be recognised (Isoraite 2004, p. 270). The requirements for effective M&E include indicators of performance and results (Gorgens, Nkwazi, Chipeta

and Govindaraj in Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 86). A factor central to the long-term sustainability of an M&E system is that indicators must adequately cover all four levels of input, output, outcome and impact (World Bank 2008, p. xv) (see *Section 3.5.3.3*).

“Each level requires different indicators and the requirements of the users in terms of periodicity, coverage and accuracy vary according to the level of indicator” (World Bank 2008, p. 39). Input indicators are necessary for decision-making over the short-term and require regular measurement, possibly on a quarterly basis. The same applies to output indicators, but in this case the measuring period can be longer, possibly quarterly, semi-annually or annually. The recommended frequency of measurement to determine outcomes and impact respectively is one to three years and two to five years (World Bank 2008, p. 39).

International experience yields some lessons on indicators in that simplicity and clarity are vital to the definition of indicators. This definition should be developed through the participation of all relevant stakeholders and should “be a reflective and participative activity” (World Bank 2008, p. 14). The performance of the indicators must be under constant review in real time and adjustments made as required (Schiavo-Campo 2005, p. 10). M&E system developers are cautioned about the danger of developing single indicators to address divergent information and reporting needs. Flapper, Fortuin and Stoop (1996, p. 29) conducted a case study on the development of indicators by utilising their proposed three-step method. Indicators are defined through deductions from hierarchical indicators or organisational objectives. The definition of the indicators involves brainstorming all candidate indicators, clustering of indicators and the action of priority setting where the relative importance of candidate indicators is discussed. Thereafter follows the actions of selecting and defining the indicators and determining how to measure the indicator, specifically in relation to the data required. The second step involves defining relations between the indicators, followed by the third step where targets are developed for the indicators. The researchers found that for indicators and targets to remain relevant to the organisation, changes that might affect the organisation should also be evaluated in relation to these indicators and targets (Flapper, Fortuin and Stoop 1996, p. 31).

Organisations studied based their indicators according to the mission, goal and objectives of the organisation. Indicators that do not meet the goals are modified and replaced, thus the process of developing and sustaining an M&E system takes time and effort (Broom 1995, p. 15).

The World Bank developed a framework for standardising the methods for selecting indicators. The framework suggests a “menu of core priority indicators” for rural development (World Bank 2008, p. xi). The framework covers aspects such as arranging indicators by sectors and thematic areas, such as community-based rural development and natural resources management. The priority indicators need to be underpinned by a “database of core rural development statistics” (World Bank 2008, p. 34).

Baseline data from which progress is measured in regard to rural development interventions is critical in any M&E process, as it provides the foundation for monitoring progress and a yardstick against which indicators can be compared. Baseline data is defined as the qualitative and quantitative information that describes the *status quo* before the development intervention. It provides the benchmark for M&E (UNDP 2002, p. 98). The lack of baseline data limits impact evaluations to determine the impact of rural development (Kinda 2012, p. 40).

A “target expresses a specific level of performance that the institution, programme or individual aims to achieve within a given period” (National Treasury 2007, p. 22). Targets are more meaningful when they are based on previous performance and reasonable expectations of the future. The literature indicates that information that can be used to establish targets can be derived from various sources. The sources can include baseline data, past performance, research findings, stakeholder expectations, expert judgements and benchmarks from other similar programmes (PSC 2005, p. 112). The important points to consider in developing targets include taking baseline data seriously since it is the starting point, providing trends and assisting in establishing past performance of development interventions and future projections. Targets should be decided on in relation to resources including budgets, personnel and capacity. Awareness of the political arena is necessary especially where priorities have been set, promises have been made and where there may be consequences if targets are not met (PSC 2005, p. 113).

3.5.3.2 Level of M&E

In *Section 3.3.1.2* of this chapter, the evolution of the phases of M&E in development was explored and described. Phases of M&E in development evolved from focusing on the project programme and sector level. However, the literature reviewed on the level of M&E of rural development did not provide consensus on the matter. When attempting to determine the most appropriate level at which rural development should be monitored and evaluated, the literature is found to be indistinct as researchers have different viewpoints:

- All levels of government are encouraged to institutionalise M&E (Wholey and Hatry 1992, p. 607);
- The focus must be the M&E of performance at national, sector, programme and project level (Mackay 1999, p. 2);
- M&E should not only show the chain of results for the projects and programmes, but M&E processes should be connected to the development strategies of the province and country and also the MDGs, being monitored at global level;
- The level of policy (Kusek and Rist 2004, p. 103) concerns the establishment of M&E systems that monitor policy implementation (De Coning 2008, p. 83);
- The level of a province (Mackay 2010, p. 2) and department (Gantsho 2004); and
- Attempts are made by role players in development to improve the M&E of regional progress in rural development (Csaki 2001, p. 565).

From the above, it is clear that there are multiple levels on which M&E can be applied. However, the level of M&E is linked to the M&E results chain, which is subsequently explored and described.

3.5.3.3 M&E results chain

In *Section 3.3.2* of this chapter the evolution of M&E models were explored and described. At the outset the approach of the M&E models focused on monitoring performance through input and output indicators. However, the increased interest in MfDR (see *Section 3.3.1.2*) led towards the M&E of outcome and impact indicators. “A complete M&E system should include the M&E of both performance and results” (World Bank 2008, p. 17) throughout the results chain. For the purpose of the study, the results chain covers inputs, outputs, outcomes and impact, which can be defined as follows: “Inputs are all the resources that contribute to the production of service delivery outputs. Inputs are what we use to do the work. They include finances, personnel, equipment and buildings” (National Treasury 2007, p. 6). “Outputs are the final products, goods and services produced for delivery. Outputs may be defined as what we produce or deliver” (National Treasury 2007, p. 6). “Outcomes are the medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution’s strategic goals and objectives set out in its plans. Outcomes are what we wish to achieve” (National Treasury 2007, p. 6). “Impacts are the results of achieving specific outcomes, such as reducing poverty and creating jobs” (National Treasury 2007, p. 6).

The theory of change that supports the results chain is that inputs are transformed into outputs. The intended outcomes are the immediate and intermediate changes that result from outputs, which should lead to long-term impacts that contribute towards the developmental goals (PSC 2005, p. 14). In other words, it is assumed that if the requisite resource inputs are in place, one can engage in project and programme management activities resulting in a set of service delivery outputs. These service delivery outputs are assumed to achieve immediate or direct outcomes over the next year or two; this will in turn help to achieve intermediate outcomes in the medium-term (3 to 5 years); and eventually impact on the wellbeing and quality of life of the target group (10 to 20 years).

Moving up the results chain, various development interventions contribute to the same common goals. Data should be pooled and methodology, concepts and definitions standardised. “A weak statistical and analytical infrastructure imposes severe shortcomings on what can be achieved” (World Bank 2008, p. 27). The results chain straddles different levels such as project, programme, sector and national levels (PSC 2005, p. 14) (Figure 3.4), thus allowing for M&E at different levels.

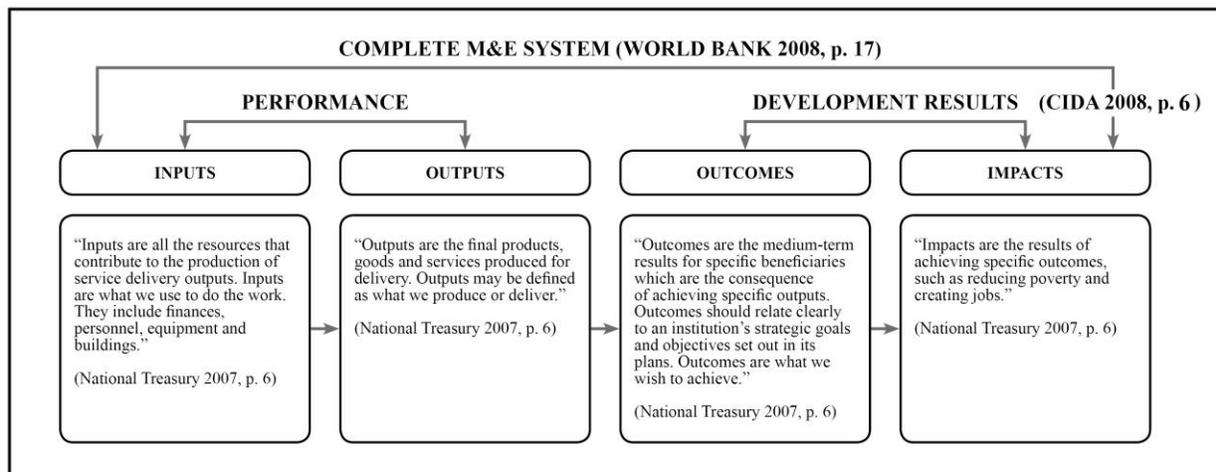


Figure 3.4: Results Chain straddling different levels such as project, programme, sector and national levels (developed by researcher from various sources)

3.5.3.4 Sustaining the M&E system

The value of regularly reviewing an M&E system is stressed with the objective of assessing its functionality, as this will support the ongoing management and improvement of the M&E system (Mackay 2006, p. 10). It is of importance that M&E systems “be dynamic, so that performance measures remain relevant and continue to reflect the issues of importance to the” organisation (Lynch and Cross in

Kennerly and Neely 2002, p. 1222). The M&E system need be periodically revised to ensure the continuing applicability of the system; furthermore, systems also evolve over extended periods of time and need to be modified. In addition to M&E systems evolving over time, a defining characteristic of successful M&E systems is the sustainability of the system, in that it will survive a change in administration (Mackay 2010, p. 2). Legally, the institutionalisation of M&E within government contributes to these systems becoming sustainable for a longer period (Kusek and Rist 2004, p. 154).

In the USA the passing of the Government Performance and Results Act (GPRA) in 1993 and the GPRA Modernization Act (GPRAMA) in 2010 aimed to supply the information required to reinforce programme management, to ensure objective evaluations of programme performance and to establish rational goals for continuing performance (Brass 2012, p. 1). Besides the legal institutionalisation of M&E, Kusek and Rist (2004, p. 160) identify six components important for sustaining M&E systems: “demand, incentives, clear roles and responsibilities, trustworthy and credible information, accountability and capacity”.

Evaluators can assess M&E systems for support organisations in validating performance data and refining a system. These evaluations should concentrate on the technical quality of the system as well as how much this “performance information is used to achieve goals and in providing accountability to key stakeholders” (Wholey 2001, p. 345). External evaluations can be important in safeguarding accuracy and credibility of performance information that is planned as communication to stakeholders (Wholey 2003, p. 12). An ideal M&E system should be independent enough to be externally credible and socially legitimate, but not so independent as to lose its relevance (Krause 2010, p. 7).

Continuous learning and progress through oversight mechanisms should be allowed, as this is necessary for the enhancement of the M&E system (Lahey 2005, p. 4). Oversight by the Office of the Auditor General (OAG) is essential to provide public exposure of the benefits of M&E being implemented (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 32).

3.5.3.5 Role of evaluation

The purpose of evaluation is to facilitate decision-making, which is a method of acquiring useful information to make decisions about improving the rural development programme being evaluated. Evaluation studies are then stimulated to answer the “*why*” and “*how*” question (Bernstein 1999, p. 89) and identify opportunities of improving performance (Wholey 2003, p. 14). Evaluations are broadly

classified as formative and summative evaluation (PSC 2005, p. 58). In terms of the classification reflected in Table 3.4, evaluations are first and foremost either formative or summative.

Table 3.4: Classification of evaluation types (PSC 2005, p. 58)

BROAD CLASSIFICATION OF EVALUATIONS	TYPE OF EVALUATION	PURPOSE OF EACH TYPE OF EVALUATION
Formative evaluation	Evaluation of need/ Ex-ante evaluation Quality at entry	Evaluation of context and needs for the purpose of programme design Assessment of the readiness of the targeted group and context to be part of the programme
	Evaluation of design	Evaluation to clarify the goals and design of an intervention
	Evaluation of process	M&E of delivery for the purpose of programme improvement and accountability
Summative evaluation	Evaluation of outcomes and impact	Assessment of project/programme effectiveness to justify merit and account for expenditure Assessment of the influence that partners, who work directly with the programme, effect change
	Evaluation of efficiency	Assessment of project/programme efficiency to justify merit and account for expenditure

Distinguishing between these two kinds of evaluation is as follows: “Evaluation may be done to provide feedback to people who are trying to improve something (formative evaluation); or to provide information for decision makers who are wondering whether to fund, terminate or purchase something (summative evaluation)” (Scriven 1980, p. 6).

Most authors and practitioners distinguish between formative and summative evaluation. The general meaning of formative evaluation is that it takes place during the implementation of a programme and has the goal of improving the programme while it is being implemented. Summative evaluation is understood to come at the end of the life of a programme and refers to the evaluation activities conducted with the objective of providing a summarised judgement on critical aspects significant to the performance of the programme (Rossi, Lipsey and Freeman 2004, p. 65) and accounting for its expenditure (PSC 2005, p. 59).

For both formative and summative evaluations there are factors that increase uptake of the findings from the evaluation. There must be a clear understanding of the purpose of the evaluation and of the process involving agreement on the questions to be addressed that are to be followed when it is conducted.

Surveys carried out found evaluation findings to be very influential, particularly in deliberations over new policy initiatives and budget negotiations (Krause 2010, p. 6). However, it is of critical importance that findings are adequately plausible to inspire the necessary confidence in decision makers to take action. The organisation conducting the evaluation should be reasonably independent, if for no other reason than to achieve external credibility for the findings. Few agencies or ministries of governments are likely to have in-house capability for such programme evaluations. Almost certainly the evaluations will need to be conducted by outside organisations such as universities or NGOs (Perrin 2006, p. 47).

Several types of evaluations can provide information to policy makers, planners and managers, but through the results-based M&E model impact evaluation or summative evaluation has become more prominent. Properly conducted and relevant impact evaluations with sizeable and demonstrated effects may be a good way to motivate a shift toward RBM (Rubio 2011, p. 7). Impact evaluation, in simple terms focusing on the socioeconomic change brought about by development interventions, is becoming increasingly part of the M&E agenda (Toonen and Van Poelje 2005, p. 3). Impact evaluation is able to identify the specific contribution of a development intervention by comparing beneficiaries and non-beneficiaries. Such impact evaluations are indeed used in budgetary decisions and can have an effect, particularly for the funding of new policies guiding interventions (Krause 2010, p. 3). Impact evaluations entail statistical analyses of programme beneficiaries with control and comparison groups and include a focus on operational efficiency and other management issues. The decision as to which interventions should be subject to impact evaluations is based on criteria. The criteria include the characteristics of the target population and the potential for replication (World Bank 2007, p. 9).

In theorising on the institutionalisation of impact evaluation within the framework of a rural development M&E, the research of Bamberger (2009) is also useful. The successful institutionalisation of impact evaluation will depend on how well the selection, implementation and use of this type of evaluation is integrated into a rural development M&E system. “Much of the data required for an impact evaluation can be obtained most efficiently and economically” from the programme M&E system (Bamberger 2009, p. 25).

Three pathways for the evolution of institutionalisation of impact evaluation are identified. The first is the unplanned approach that evolves from individual evaluations. The second pathway is where impact evaluation expertise is developed in a priority sector supported by a department (Bamberger 2009, p. 15). Once the operational and policy value of these evaluations has been demonstrated, the sectoral experience becomes a catalyst for extending the evaluations (Bamberger 2009, p. 15). The third pathway is where a

planned and integrated series of impact evaluations are developed with clearly defined criteria and guidelines for the selection of programmes to be evaluated (Bamberger 2009, p. 20).

Ensuring that impact evaluation findings are widely disseminated and used can create incentives for organisations to improve the quality of M&E data collected and reported on. Access to monitoring data through the M&E system enables feedback on interim findings of the impact evaluation, overcoming a possible time delay before results become available. Impact evaluation can provide strong empirical evidence to convince new administrations to continue programmes commenced by the preceding administration (Bamberger 2009, p. 40). This could be particularly useful in countries where development efforts need to be continuous.

The major impact evaluation approaches and methods include outcome mapping (PSC 2005, p. 64) and Most Significant Change (MSC) (Pasteur and Turrall 2006, p. 3). Outcome mapping focuses on the sphere of influence of partners by ensuring that they are part of the planning processes where roles, responsibilities and expectations are made explicit. The influence, contributions or participation can be attributed to partners' efforts and strategies. Outcomes and impact can be linked directly to their strategic contribution. While this approach does not replace other forms of evaluation, where the focus is on the change in conditions of the state of well-being due to the project, programme or policy, it adds to these forms because of its explicit focus on partners (PSC 2005, p. 43).

MSC "provides data on impact and outcomes that can help to assess the performance of the program as a whole" (Davies and Dart 2005, p. 8). All stakeholders are drawn in when deliberation takes place on which aspects of change to document. The impact of a development intervention is identified through stories (Byrne, Gray-Felder and Gumucio-Dagron 2007).

Both outcome mapping and MSC are participatory in nature. Increasing emphasis is placed on participatory processes in evaluating development interventions and focusing on community empowerment, food security and sustainable development (Muller-Praefcke 2010, p. 10). There is consensus in the literature that evaluations that do not involve programme stakeholders are less likely to succeed in creating change (PSC 2005, p. 55). Participatory M&E (PME) has been identified when the theme emerged that the M&E of rural development interventions need to be participatory in nature (Oakley 1988, p. 6). PME is a possible avenue to obtain the views of citizens (Naidoo 2011, p. 45) on the performance of government in rural development. Combining the characteristics of the participatory approach to M&E, PME is therefore an action-oriented process of learning and corrective action with the

involvement of a much wider range of stakeholders (Guijt 1999, p. 1), including project beneficiaries in the M&E of a rural development (Chambers 1997, p. 28). Participatory methods should be used in the M&E of development initiatives, especially at project level (Estrella and Gaventa 1998, p. 11). As this is seen as a collaborative venture, the role of the projects beneficiaries is perceived as “describing the processes involved, analysing the result of the intervention and making a judgement upon the outcome of the project’s activities” (Oakley 1988, p. 6).

Gaventa, Creed and Morrissey (1998, p. 92) conducted a case study on the use of participatory approaches in M&E and key themes emerged that indicated that there are differences between beneficiary participation and stakeholder participation and combining the two is the challenge. PME is as much a social and political process as it is developmental in nature. Efforts should be made to widely disseminate M&E findings to CSOs that can play an essential role in ensuring public accountability (Briceño 2010, p. 6; IDEA International 2003, p. 17). PME establishes legitimacy and authority to M&E findings for stakeholders as well as a greater sense of ownership in stakeholders and society at large. Literature on PME, especially in the context of development, often offers PME as a way of building shared understanding and collective learnings (Matsiliza 2012, p. 80).

3.6 CONCLUDING EVALUATION OF THE LITERATURE REVIEW

Although not exhaustive, the literature study explored and described the data and empirical findings that have been produced by previous research on the M&E of rural development; this included the identification of appropriate research methodology. The evolution of rural development detailing rural development from the 1950s to 2000 and beyond, with the focus on agriculture, the 2003 CAADP, food security and the dynamics of growth and development in rural areas, was discussed. The discussion indicated the multiple sectors that are crucial to rural development. The concept of rural development has evolved over a number of years with different emphases being placed on certain drivers and outcomes of the rural development agenda. In the 1960s, rural development was perceived as development in the agricultural sector and hence placed emphases on initiatives that focused on increasing agricultural production as a way of dealing with the challenges associated with rural areas. In recent years, rural development has increasingly focused on a more encompassing model that not only deals with the multidimensional nature of rural development, but also places the rural people at the core of rural development. The shift in approaches from rural projects and programmes to strategies and processes has placed people at the core of the rural development agenda.

It was necessary to reflect on the evolution of M&E in development with regard to how the concept is defined, the phases completed and associated models. Over the past 40 years development interventions have evolved from a project-based approach to a more encompassing vision of development centred on the MDGs, with the resultant evolution of M&E of development. M&E has evolved in response to the emergence of these developmental approaches from an assessment of outputs to an M&E of outcomes and impacts.

An overview of the research conducted on the M&E of rural development revealed a number of key research findings. Throughout the analysis of these findings, critical elements of an integrated and transversal approach to the M&E of rural development were identified. It was indicated that M&E system does not operate within a vacuum as the system is reliant on a conducive political, legislative and governance context that is accountable and amenable to M&E. M&E plays an important role in the management functions of government departments because of concern for public accountability and the need for corrective actions.

The M&E process has become a methodical quest for responses about development interventions through the collection and analysis of data, which is reflected in reports. Following the institutionalisation of an M&E system, it should be periodically reviewed with a view to further enhancing its effectiveness.

The reviewed literature suggested appropriate research methods to be utilised in the M&E of rural development. Case studies were used for the research design. Data was collected through, amongst others, interviews, questionnaires and desktop reviews.

3.7 SUMMARY

Chapter 3 presented the literature review on M&E of rural development and represents the theoretical framework that guided this empirical study. An indication was given of the literature covered and the rationale around the demarcation of the scholarship included. The key concepts of the study were defined and further explored and described in this chapter. The literature review was guided by these key concepts in the problem statement and the research questions.

The international perspectives on rural development were initially examined and these same perspectives on the M&E of rural development were then observed. The overview of the research conducted on the M&E of rural development led to the analysis of the research findings in order to identify the critical

elements of an integrated and transversal approach to the M&E of rural development. To provide a structure when further exploring and describing the elements, the elements were placed within institutional, data and analytical components. Within the institutional component the elements included the context of M&E, planning for M&E and organisational learning. Within the data component elements identified were, amongst others, M&E data, reporting systems and range of M&E products. Within the analytical component elements such as performance indicators, the M&E results chain and the role of evaluation were placed. These critical elements were further defined, explored and described in line with the focus of the literature review. The final section in this chapter reflected the concluding evaluation of the literature review.

The next chapter, *Chapter 4*, covers the comparative case studies of Canada, Chile and Uganda.

CHAPTER 4

COMPARATIVE CASE STUDIES

4.1 INTRODUCTION

Chapter 2 dealt in detail with the research methodology followed. It was indicated in that chapter that the study was conducted in six phases to ensure a logical process leading towards achieving the general and specific objectives of the study (see *Chapter 2.3*) and answering the research questions that guided the study. In the literature review of the M&E of rural development the critical elements of an integrated and transversal approach to the M&E of rural development were identified (see *Chapter 3.5*). In this chapter, being the second phase of the study (see *Chapter 2.3.2*), comparative case studies were conducted on the institutionalisation of M&E in Canada, Chile and Uganda. There is a developing body of knowledge on the institutionalisation of M&E and the case studies are countries regarded as demonstrating good practice, or at least promising practice in the field of M&E. The rationale behind the case selection was discussed in *Chapter 2 Research Methodology*. Through comparative case studies as an empirical enquiry, these critical elements are further explored and described, as well as how they can be incorporated in a model for the integrated and transversal M&E of rural development. Qualitative data was obtained through document analysis of existing information from various sources. Each case study is concluded with lessons learned regarding the institutionalisation of M&E from both a strength and limitation perspective.

4.2 M&E IN CANADA

4.2.1 Introduction

The development of an M&E culture in Canada was mostly motivated by internal pressures (Kusek and Rist 2004, p. 27) and the M&E function is substantially integrated into their system. The evolution of M&E in Canada goes back to 1969 when formalised evaluation practises were initiated. As the institutional, data and analytical components of the Canadian M&E system are subsequently discussed in detail, an overview of the system is presented in Figure 4.1.

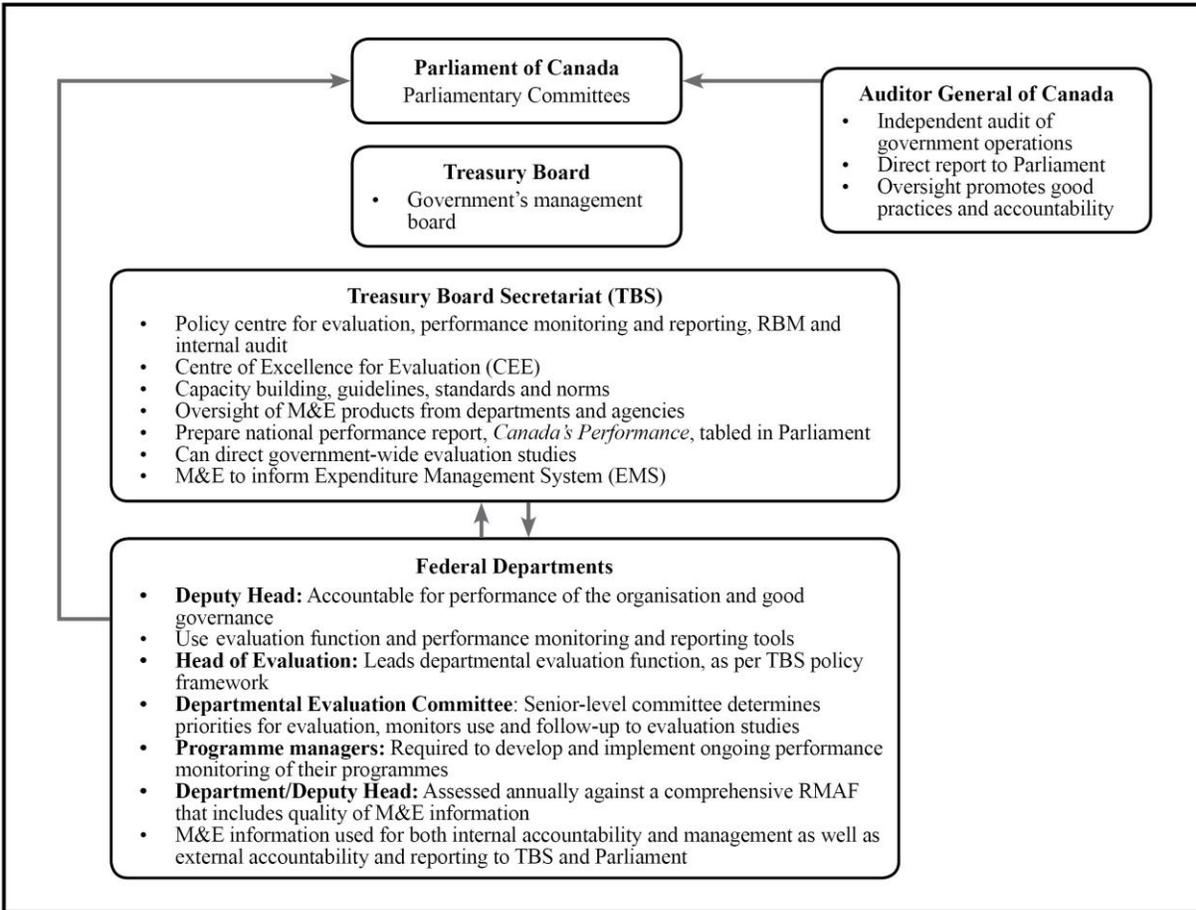


Figure 4.1: Overview of the Canadian M&E system (Lahey 2010, p. 9)

4.2.2 Institutional component of M&E in Canada

M&E in the Federal Government of Canada is anchored in a government-wide policy, first introduced in 1982 and subsequently revised in 2001. The policy is grounded on three central principles. The first principle is to document all results, which is the main concern of managers. The second principle is that an unbiased assessment is imperative as a tool in assisting managers to focus their attention on results achievement. Thirdly, the policy specifies that the departments funded by the Treasury Board Secretariat (TBS) are accountable to institutionalise M&E (Asibey 2006).

In the legislative setting, M&E conclusions concerning government programmes are submitted annually directly to Parliament through individual Departmental Performance Reports (DPRs) and a summary of the strategic level government-wide progress report, titled *Canada's Performance*. Comprehensive debate

on the action of programmes implemented by government may take place in the parliamentary committees authorised to request supplementary material or explanation from the relevant departments (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 26).

In the governance context, public sector reform involves the devolution of management discretion to individual government departments and agencies. The focus is on linking evaluation and performance information to budget decision-making and policy debate (Shepherd 2011, p. 3). The reform of the public sector as a governance tool has evolved and the current emphasis is on performance monitoring, internal audit, strategic reviews and programme and policy evaluation (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 25). Accountability is enhanced through performance and accountability agreements. These agreements are a public commitment to meet service delivery objectives and are agreed to between the minister and the official responsible for a specific deliverable.

For each new development intervention a *Results-based Management and Accountability Framework* (RMAF) needs to be prepared. The RMAF presents an understanding between the stakeholders on what the objectives are. It also provides clarity on roles and responsibilities and determines how outcomes will be measured and reported on (IDEA International 2003, p. 20). In addition, the RMAF “is a tool for better management, learning and accountability throughout the life cycle of a policy, program or initiative” (IDEA International 2003, p. 20).

The objective of M&E is to make available performance information that will satisfy the information needs at diverse levels of the system (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 26). The Government of Canada emphasised that M&E had to be institutionalised in all activities, functions, services and programmes delivered by the administration and as such the organisational structure and mandate had to be aligned with this directive (IDEA International 2003, p. 18). All Canadian departments are required to set up M&E units (Asibey 2006). The institutionalisation of M&E demands more than political will and sustained commitment; it also requires human resources and technical skills (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 29). The TBS monitors capacity-building in M&E in the government (Asibey 2006). Departmental management is obliged to provide resources to build M&E capacity that is suitable for their organisations. Organisational learning flows from “measuring performance, and using that information to improve” programmes and services; emphasising “sharing lessons learned and best practices” (Treasury Board of Canada Secretariat 2000, p. 21).

4.2.3 Data component of M&E in Canada

The quality of data is vital “for the credibility of an M&E system” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 32) and it likely requires implementation of a long-term strategy to develop sufficient data to populate results indicators. Key support comes from the NSO (see *Chapter 3.5.2.1*) and officials responsible for information management and IT (Lahey 2011, p. 9). A Collective Results Database has been developed to manage, measure and report on collective results. The results presents on collaborative development interventions, whether interdepartmental, intergovernmental or involving third parties. Through the database performance is publically monitored and reported. The database is continuously updated with new development interventions. This contains information on the implementing department, an explanation of the intervention, the intended outcomes and the performance indicators developed to monitor performance.

M&E findings are reflected in various M&E products, such as the DPRs and *Canada’s Performance* (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 27). The inclusive IT model supports M&E functions as enabler for departments to pursue its sectoral mission while focusing on cooperative governance (IDEA International 2003, p. 27). To maintain interoperability between systems, departments must develop an information resources management plan for submission to the Treasury Council (IDEA International 2003, p. 17). The Internet is also used to streamline access and consolidate reporting.

4.2.4 Analytical component of M&E in Canada

To provide a holistic vision for the government as a whole, having the same objectives in mind, the Canadian government has decided on a preliminary “set of indicators for its overview reporting on performance” (Treasury Board of Canada Secretariat 2000, p. 6). The *Canada’s Performance* reports on “indicators grouped into four main themes of economic opportunities and innovation in Canada, the health of Canadians, the Canadian environment and the strength and safety of Canadian communities” (President of the Treasury Board of Canada 2002, pp. 2-3). “Consultations are continuing on how to improve the selection of the indicators and how best to provide access to the relevant trend information” (Treasury Board of Canada Secretariat 2000, p. 6). At an operational level, M&E acts as learning tools to support improvements on programmes and functions of management. At departmental level “M&E represents key management and accountability tools” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 26) accessible to management and offers inputs to strategic reviews required to guide management decisions concerning programme priorities and possible modifications. At a government-wide level, the

“TBS is an important player in the production of M&E information and in its use in informing funding decisions” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 26) about development interventions and government-wide expenditure management. Incentives are an important aspect of sustaining the M&E system and “can take many forms, both sanctions for not complying, as well as rewards for meeting requirements” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 29).

In Canada it is recognised that evaluation has a discrete uniqueness from monitoring. In the late 1960s the government evolved to evaluating performance. Departments were urged to establish planning and M&E capacity. Initial attempts to create units did not yield substantial results despite the institutionalisation of M&E in different policy areas. Systems continued to be fragmented and evaluation studies conducted appears to be limited in number (Morrallas and Rist 2009, p. 21). From the mid-1970s onwards, evaluation has become a fully-fledged profession in Canada. A *Government-wide Evaluation Policy* developed in 1977 “established the model for practice of evaluation functions in the Canadian Government” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 25). Over the past 30 years modifications have taken place regarding the approach to evaluation. The policy has been reviewed during 1991, 2001 and 2009. Changes came about for various reasons including that M&E practises have matured and the “demands of the system through public sector reform” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 25) have placed importance on models such as focus on RBM (see *Chapter 3.3.2.4*).

The TBS and Centre of Excellence for Evaluation (CEE) ensure that each department establishes the required evaluation infrastructure such as “mechanisms needed to follow through on delivery of credible evaluation products” (Lopez-Acevedo Rivera, Lima and Hwang 2010, p. 27). The TBS introduced the new Evaluation Policy in April 2009. The policy requires all government programme expenditure to be evaluated on a five-year cycle that began in 2013 (Lopez-Acevedo Rivera, Lima and Hwang 2010, p. 31).

The policy identifies the two main purposes of evaluation, firstly to assist managers to develop or enhance policies and programmes; and secondly to make available as necessary, “periodic assessments of policy or programme effectiveness, of intended and unintended impacts” (Asibey 2006), as well as different methods of attaining anticipated results.

The TBS sets the rules and provides advice, while federal government departments are required to carry out the evaluations, with some degree of liberty in organising the evaluation function (Shepherd 2011, p. 7). The majority of studies are conducted by departmental evaluation units (Lopez-Acevedo, Rivera,

Lima and Hwang 2010, p. 29), although the 2009 policy allows for centrally-driven and government-wide evaluations.

4.2.5 Lessons learned on the institutionalisation of M&E in Canada

This section provides lessons learned on the institutionalisation of M&E in Canada and these are summarised in Table 4.1. The table has been designed to reflect the three different components, being institutional, data and analytical.

Table 4.1: Lessons learned on the institutionalisation of M&E in Canada (developed by researcher)

CANADA	
Institutional Component	
<ul style="list-style-type: none"> • “Results that matter to Canadians often involve more than one department” (Treasury Board of Canada Secretariat 2000, p. 4) • The “introduction of a number of centrally driven administrative policies has been a key driver for M&E” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 28) • The institutionalisation of M&E is “based on administrative policies” which allow for “more flexibility than legislation to modify and improve the policy as experience” grow (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 28) • Management likely requires a less technical form of training on M&E (Lahey 2010, p. 35) • “Focus on citizens by using the internet and information technology to provide one-stop access for government services” (Treasury Board of Canada Secretariat 2000, p. 4). • Access to information” legislation allows for virtually all performance information to be publically accessible (Lahey 2010, p. 24) • “The public, through the TBS Web site, can access the performance and planning information for all federal departments” (Treasury Board of Canada Secretariat 2000, p. 14) 	
Data Component	
<ul style="list-style-type: none"> • Establish standardised processes and requirements for the production, management, access, use and quality controls of M&E data (Castro 2011, p. 6) • M&E should to go beyond a simple production of reports • M&E data should be analysed and recommendations be implemented in order for M&E to be useful 	

CANADA

Analytical Component

- Evaluation specialists can assist in the development of suitable performance indicators (Lahey 2011, p. 7)
- RMAF serves as the basis for M&E at programme level (Lahey 2011, p. 10)
- Sustaining the M&E system is assisted by the fact that the institutionalisation of M&E was, and still is being motivated by internal pressure (Kusek and Rist 2004, p. 27)
- Building a culture within government that supports M&E requires support from management
- Evaluation Policy provides guidance on formative evaluation and the impact aspect associated with summative evaluation (Lahey 2011, p. 28)
- Evaluation networks bring together evaluators from the public and private sector, as well as NGOs and academics (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 31)

4.3 M&E IN CHILE

4.3.1 Introduction

In the 1990s the Chilean government institutionalised M&E in order to improve public management (IDEA International 2003, p. 29). The national government had to measure the performance of public programmes and the effectiveness of government policies and determine how to better monitor the use of public resources (Laguna 2011, p. 1). In response to these challenges, a set of reform initiatives were implemented during the 1990s, including the first generation of some of the tools that would later become the 2000-2010 M&E system. For example, the first round of performance indicators sponsored by the National Budget Bureau (DIPRES) was implemented in 1994; the first programme evaluations and a preliminary version of the General Management Reports were developed in 1997; and the first round of Programmes for Management Improvement (PMI) took place in 1998 (Laguna 2011, p. 1).

In Chile, M&E developed incrementally and is institutionalised around two systems. DIPRES, located in the Ministry of Finance (MoF), created the Management Control System (MCS). The Ministry General Secretariat of the Presidency (SEGPRES) established the Governmental Programme Monitoring System (SSPG). The two systems coordinate with each other but remain separate systems (Zaltsman 2006, p. 2).

As the institutional, data and analytical components of the Chilean M&E system are subsequently discussed in detail, an overview of the M&E system is presented in Figure 4.2.

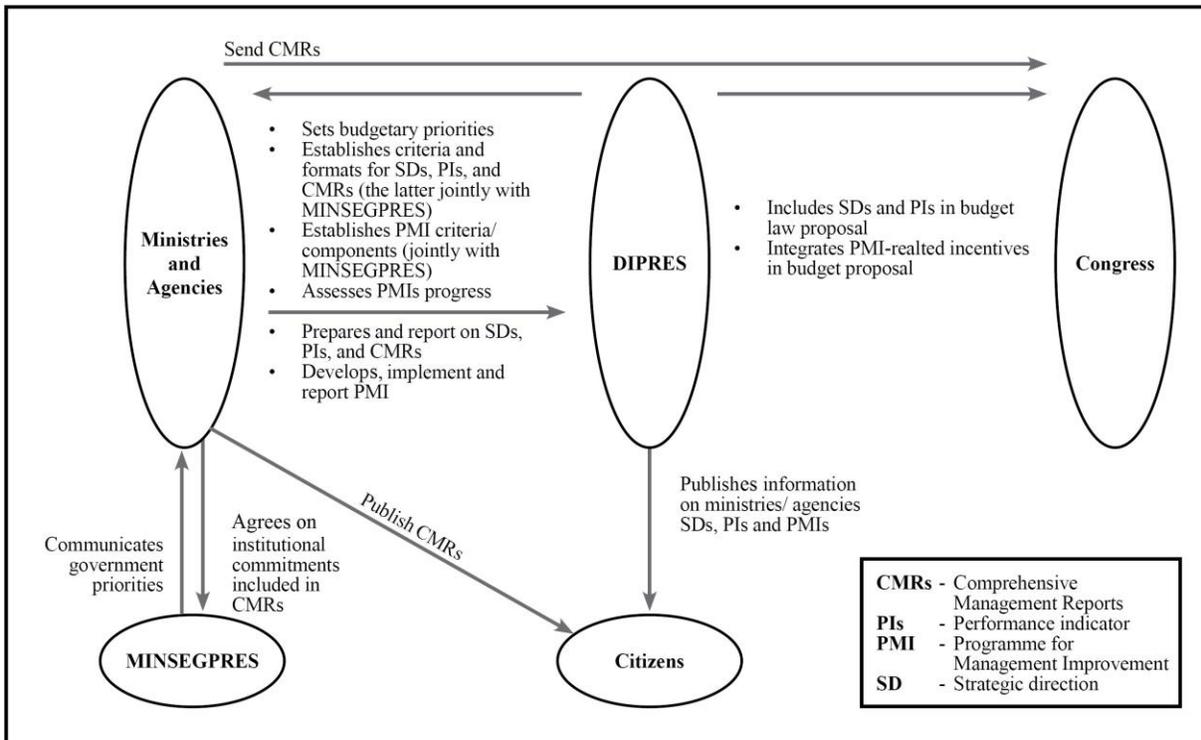


Figure 4.2: Overview of the Chilean M&E system (Laguna 2011, p. 3)

The MCS was created between 1995 and 2002 and emerged in the context of a budget reform (Zaltsman 2006, p. 4). Implementation of the MCS started with a number of pilot projects in a number of agencies. When the systems' practices and processes had attained a positive level of development, it was expanded to the rest of the agencies (Zaltsman 2006, p. 16). The SSPG was launched across the board during 1990 (Zaltsman 2006, p. 6).

4.3.2 Institutional component of M&E in Chile

During 1990 the SSPG was developed when the SEGPRES Ministry was created through Law 18.993 (1990), entrusting to the Division of Inter-Ministerial Coordination (DCI) the function of implementation and M&E of the programmatic plan of government. A decree stated the DCI's functions in more detail and clarified the responsibilities towards the Ministerial Targets. The implementation of the MCS first involved protocols, which were then turned into law in 2003, when the undertaking of evaluations were

made mandatory, and the role of the MoF was defined (Zaltsman 2006, p. 12). The technical mandate of DIPRES is defined in a legal framework that gives it discretionary scope to change budgeting procedures without new legislation (Krause 2010, p. 4).

When the M&E system is housed in the centre of government (see *Chapter 5.3.6.2*) it serves as a tool for management and budget authorities. M&E is often used to control efficiency of resources and as such, the centre of government has more power in enforcing the recommendations resulting from M&E assessments. The centre of government has direct power over the evaluation agenda and enjoys a prominent position and support from the Chilean Congress. This is the case with DIPRES in Chile. Location under the budget authority presumably also provides better integration of M&E into the budgeting and executing stages of the public policy cycle (Briceño 2010, p. 2).

The budget process is tightly managed by DIPRES and the budget director is a key advisor to the President. The main role of DIPRES is quality control and it supports the use of M&E information, throughout both the executive and legislative purposes (Krause 2010, p. 4). DIPRES controls the methodologies, ensures quality and manages the flow of information between agencies, ministries, its own office and Congress. In Chile the Cabinet chose to set up a dedicated M&E unit within DIPRES separate from budget analysts (Krause 2010, p. 7).

A challenge existed in coordinating M&E among different institutions. MCS has endeavoured to overcome this by creating inter-ministerial committees. One ministry took the leading role and the other members of the committee assisted in making certain that a suitable amount of communication occurred with other governmental institutions (Zaltsman 2006, p. 10).

The objectives of both of the MCS and the SSPG are to inform planning, contribute to evidence-based decision-making and enhance transparency and accountability (Zaltsman 2006, p. 4). In addition, the objectives of the MCS are to inform the allocation of the budget and support continuous improvement in management. The SSPG also aims to support the design and fine-tuning of sector policy and programmes (Zaltsman 2006, p. 3).

The institutionalisation of both the MCS and SSPG involved capacity-building effort. This included the development of training manuals, technical assistance and ongoing support to stakeholders (Zaltsman 2006, p. 34).

4.3.3 Data component of M&E in Chile

M&E products are tailored to their proposed consumers with aspects that include the regular provision of reports and how they are written. This involves the standard or difficulty of language used in the writing, as well as the format.

The agencies themselves provide the M&E data that informs the MCS and SSPG. The MCS conducts randomised quality checks to control data quality and credibility (Zaltsman 2006, p. 24). One example of an M&E product produced through the reporting system is the Comprehensive Management Reports. These M&E products have existed since the mid-1990s. Since 2000 the reports introduced have sought to incorporate broader institutional information such as organisational structure, strategic definitions, human resources management, financial management, the description and justification of target achievement and links between this information and the budgetary resources used. Each institution following formats prepares comprehensive management reports and criteria set by DIPRES and these are sent annually to Congress. According to DIPRES, these reports are also used to comply with the 2003 State Financial Administration Law, which requires that central government organisations provide information about their institutional performance (Laguna 2011, p. 3). The NSS is a data source of the M&E system.

4.3.4 Analytical component of M&E in Chile

The performance indicators of the M&E system are developed by ministries and agencies (Krause 2010, p. 4). Strategic definitions were introduced in 2000 to provide information about each agency's mission, strategic objectives and products. Every year these agencies are required to prepare their strategic definitions on the basis of information that was provided during the previous year. They also take into account the government's annual priorities as determined by the Ministry Secretary General of the Presidency (MINSEGPRES) as well as the budgetary priorities defined by DIPRES in the annual budget law proposal submitted to Congress. Strategic definitions go hand in hand with performance indicators, which are quantitative measurements reflecting targets to be achieved annually by each institution in the provision of public services and goods. Institutions prepare their performance indicators on the basis of those submitted in previous years to facilitate comparisons across time and thus provide information about institutional performance. Indicators are designed by each institution, but according to formats and internationally accepted quality criteria as determined by DIPRES. Indicators can be process-oriented; product-oriented or results-oriented and are required to measure effectiveness, efficiency, economy, or

quality of service factors. Institutions are required to notify DIPRES about the means used to verify the validity of information used. Performance indicators are then included in the Budget Law proposal submitted to Congress (Laguna 2011, p. 2)

The definition of relevant goals involves the use of technical standards to detect credible baseline data, careful attention to the resources and capacities needed, and a thorough understanding of the policies and programmes (Castro 2011, p. 2). The absence of baseline data as a challenge reduced gradually as successive performance measurement cycles began generating the type of data sets which had not been previously available.

In Chile evaluations are grounded in political and economic realities. A key-defining feature of all evaluations conducted in the Chilean government was the central role assigned to external experts (consultants and academics), who were selected through public tendering procedures. The government commissions evaluations, but their implementation relies on a network of the external experts (Krause 2010, p. 4). Evaluation practices are designed to follow principles such as independence, transparency, reliability and timeliness of the findings, as well as cost-effectiveness. All evaluation recommendations are monitored by the Chilean budget office and revisited annually during budget negotiations (Briceño 2010; p. 8; Krause 2010, p. 3).

In 2001 impact evaluations were started to determine how public programmes ultimately affect their beneficiaries. These evaluations usually take about 18 months to implement based on a combination of qualitative and quantitative information. Comprehensive spending evaluations were introduced in 2001 and these attempted to evaluate all institutions that interact in a given policy sector. Evaluation of new programmes was introduced in 2009 and this seeks to provide relevant baselines to more effectively evaluate the future performance of new programmes. These evaluations include the selection of a control group from the beginning and are planned to cover an evaluation period of between two and three years in total (Laguna 2011, p. 4).

The findings and recommendations obtained through the various evaluations are sent to Congress and are made publicly available through DIPRES's web site. Within central government, evaluation results are discussed between the ministry or agency involved and DIPRES to determine whether the programme concerned requires minor adjustments, modifications in its design or management systems, a substantial redesign, an institutional relocation, or termination. Evaluated institutions and DIPRES then develop work plans, which establish a set of commitments to be implemented during the following two or three

years. Institutions report progress in their comprehensive management reports and to DIPRES, which then includes the relevant information in the Budget Law proposal submitted to Congress (Laguna 2011, p. 7).

4.3.5 Lessons learned on the institutionalisation of M&E in Chile

This section provides lessons learned on the institutionalisation of M&E in Chile and these are summarised in Table 4.2. The table has been designed to reflect the three different components, being institutional, data and analytical.

Table 4.2: Lessons learned on the institutionalisation of M&E in Chile (developed by researcher)

CHILE
Institutional Component
<ul style="list-style-type: none"> • Preconditions such as the need for a favourable political environment existed (IDEA International 2003, p. 29) • There is strong interface with Congress and the role of Congress, as legislative, is important • The use of M&E information in government decision-making processes, particularly those related to the budget, was promoted (Laguna 2011, p. 1) • DIPRES' control over the institutionalisation of M&E tools has introduced a strong budgetary centred perspective, which has left aside other aspects such as planning, citizen participation and focusing on results (Laguna 2011, p. 6) • The relationships among different stakeholders in the M&E process were managed (Laguna 2011, p. 3) • The implementation of the MCS followed a relatively gradual approach and this supported this learning process which has been at work in the institutionalisation of M&E in Chile
Data Component
<ul style="list-style-type: none"> • M&E data is externally audited • There is need to use different data sources, for example NSS and evaluations • Comprehensive management reports were produced as M&E products (Laguna 2011, p. 2) • Chile uses a web application to transmit performance information between ministries (Castro 2011, p. 6) • The use of an information system with databases is important (IDEA International 2003, p. 35)

Analytical Component

- Use of performance indicators as monitoring tools (Laguna 2011, p. 2)
- The development of PMI contributed to the sustainability of the system (Laguna 2011, p. 2)
- Evaluation focused on, amongst others, Government Programme Evaluations, Impact Evaluations, Comprehensive Spending Evaluations and Evaluations of new Programmes (Laguna 2011, p. 2)
- External consultants play a role in the design and execution of evaluations. This has served to increase the expertise with which evaluations are carried out, as well as to ensure their validity and reliability
- The use of external consultants and academics may reduce the sense of ownership and the use of information by departments (Mackay 2006, p. 9)

4.4 M&E IN UGANDA

4.4.1 Introduction

In Uganda the performance driver behind M&E reforms was the poverty reduction agenda. The Government of Uganda (GoU) has recognised that M&E is crucial to accomplishing results orientation in its poverty eradication efforts (Hauge and Mackay 2004, p. 1). During 1997, a Poverty Eradication Action Plan (PEAP) was established in Uganda. The PEAP demands a reduction in the poverty rate from 44 per cent (as of the late 1990s) to 10 per cent by 2017. The “PEAP is the national planning framework” defining the strategies of the GoU for poverty eradication and the attainment of other development targets, similar to the MDGs (GoU 2006, p. 2).

Uganda made its first attempt to define a strategy to monitor the progress of the PEAP in 2001. The Poverty Monitoring and Analysis Unit (PMAU) in the Ministry of Finance, Planning and Economic Development (MFPED) created the 2001 Poverty Monitoring Evaluation Strategy (PMES) (MFPED 2002) (Hauge and Mackay 2004, p. 1). While the PMES facilitated better reporting, challenges in M&E included poor coordination, a restricted flow of credible information and gaps in data collection. M&E systems mostly focused on the measurement and reporting of expenditures and activities, but provided comparatively less data on outputs and outcomes (Scott, Joubert and Anyogu 2005, p. 2). In addressing a number of questions, particularly justifying M&E, the GoU proposed that one response was to implement the 2004 (National Integrated Monitoring and Evaluation System (NIMES), with a secretariat in the OPM (Adams 2006, p. 357).

As the institutional, data and analytical components of the Ugandan M&E System are subsequently discussed in detail, an overview of the NIMES is presented in Figure 4.3.

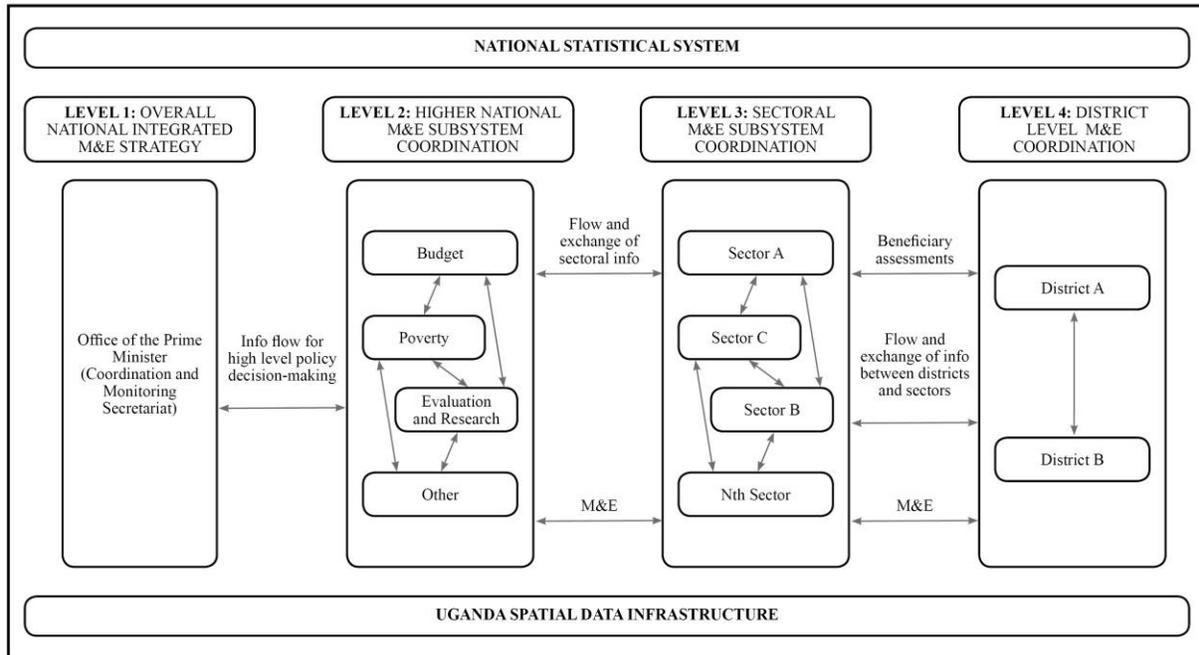


Figure 4.3: Overview of the National Integrated Monitoring and Evaluation System in Uganda (Ssewanyan and Muwonge 2004, p. 3)

4.4.2 Institutional component of M&E in Uganda

The GoU Cabinet made pronouncements on M&E in the 2004 Government White Paper on (1) The Report of the Commission of Inquiry (Constitutional Review), (2) Government Proposals Not Addressed by the Report of the Commission of Inquiry (Constitutional Review) (GoU 2004). The White Paper made proposals to Parliament to include the M&E as a constitutional requirement under the leadership of the OPM. To clarify the responsibilities at the national level, Uganda’s Cabinet adopted a framework for the coordination of M&E within the government as a whole. The OPM is functionally accountable for coordinating the M&E of GoU policies, programmes and plans. “Within the OPM, responsibility for the implementation and oversight of the NIMES framework has been delegated to the NIMES Secretariat. The Secretariat provides support to the National Monitoring and Evaluation Working Group (NMEWG)” (GoU 2006, p. 8). In practice, the NMEWG is responsible for institutionalisation of NIMES and is supported by the Secretariat. The Uganda Debt Network is mobilising the community to work with the

OPM to operate the NIMES to increase the participation of citizens in the M&E of public policies and improve quality and delivery of services (GoU 2006, p. 9).

The PEAP provided the strategy for the building of NIMES and this acts as its PRS. The M&E Plan for the PEAP is constructed round the PEAP Policy and Results Matrix. The plan is intended as an instrument for coordination of the M&E of service delivery by government and the progress towards the attainment of results. The PEAP M&E plan reflects the arrangements for data collection and management.

The objectives of the NIMES are: (a) “the efficient and effective implementation of government policies and programmes; (b) that policy decision makers articulate their information needs adequately and with clarity; (c) that the M&E systems generate and supply data and information in the appropriate frequency to facilitate key stakeholder decisions; and (d) that the capacity to measure and articulate public sector performance is built in a manner that helps to provide evidence for this performance” (Ssentongo and Balasundaram in OECD 2006, p. 56).

The focus of the capacity-building on NIMES centres on the four development areas of greater policy coordination, M&E skills development, data management and institutionalisation of NIMES (GoU 2006, p. 11).

The NIMES institutional framework is intended to ensure that the data and information that is generated through various M&E systems is made available to those who require it. An overall dissemination and feedback strategy was developed with stakeholders and a key task of the NIMES secretariat is to make certain that pertinent information is made available to decision makers in a user-friendly format. A NIMES brochure and website dedicated to providing M&E information for stakeholders is in place (Ssentongo 2004, p. 18).

4.4.3 Data component of M&E in Uganda

NIMES is intended to ensure that the data produced corresponds to the information that is required at various levels of decision-making. The data sources of the M&E Plan for the PEAP include, amongst others, administrative data obtained from ministerial and departmental MISs, Uganda Bureau of Statistics (UBOS) surveys and civil society accounts on the functioning of government policy (Ssentongo and Balasundaram in OECD 2006, p. 57).

The “UBOS is the lead institution in providing national statistical data on outcome indicators. The Bureau has an oversight mandate in relation to statistical data standards in government systems. It is also responsible for the general coordination of surveys, as well as data collection and analysis functions. In addition, the Bureau conducts censuses and surveys (including Integrated Household Surveys, National Service Delivery Surveys and Demographic and Health Surveys) and provides basic analysis of these data” (Adams 2006, p. 355).

The NIMES Secretariat has established a centralised PEAP MIS, encompassing the PEAP Policy and Results Matrix. Performance indicators are captured in the MIS, including specifics “on the sources, methods and responsibilities” for collecting data on indicators and the formats for reporting progress against the PEAP (Ssentongo and Balasundaram in OECD 2006, p. 57).

M&E products are produced through the M&E reporting system, including the Poverty Status Report, PEAP Progress Report, Sectoral Joint Review Reports and Statistical Survey Reports. The reporting requirements put in place by the NIMES for the different stakeholders are supplementary to the reporting previously requested by the MFPED and may cause additional stress to the capacity of these institutions (Bedi, Coudouel, Cox, Goldstein and Thornton 2006 p. 219).

In Uganda there has been considerable donor investment in M&E and as a result Uganda’s challenge is not the quantity of M&E, but the quality, coordination and duplication of systems. Thus the more important issue is one of creating greater coherence among separate systems (Shepherd 2011, p. 3). The “NIMES is not a new M&E system”, but “a coordination mechanism that covers existing M&E systems from a country-wide” perspective to decrease repetition and improve timelines, data quality and usage of M&E information (GoU 2006, p. 3).

4.4.4 Analytical component of M&E in Uganda

The policy actions in the PEAP are accomplished through sector programmes. The performance indicators are communicated in the PEAP Results and Policy Matrix. The addition of “input, output, outcome and impact indicators in the PEAP” in both the “results and monitoring matrix and the policy matrix”, and, in general, the attempt to M&E the complete results chain is a change that reinforces the connection between the budget and outcomes (Bedi, Coudouel, Cox, Goldstein and Thornton 2006 p. 221). There is a necessity to alert policy makers to the significance of M&E, the qualitative and quantitative components of poverty and developing a core set of indicators for this purpose. Targets are

developed to assess sector “performance, including both interim and final targets to be achieved by 2017, the PEAP target year” for poverty eradication (Adams 2006, p. 356).

M&E in Uganda is institutionalised to cover “output, outcome and impact levels”, as opposed to only a presentation of “inputs and activities” (Ssentongo and Balasundaram in OECD 2006, p. 56). Until recently the M&E of the PEAP was inclined to concentrate more on outcomes and impacts and less emphases was placed on inputs and outputs. This is illustrated in the results and monitoring matrix. However, more emphases has currently been assigned to input and output indicators and is indicated in the PEAP policy matrix. For effective M&E this is crucial, as all levels are necessary to track policies and programmes and their results, as well as to encourage accountability (Bedi, Coudouel, Cox, Goldstein and Thornton 2006 p. 219).

In 2008, an evaluation of the PEAP was carried out to inform the process of preparing the NDP. The evaluation was undertaken inside the structure of the NIMES in the OPM (GoU 2009, p. 9). Subsequently the NIMES Secretariat ordered a study, *Mapping evaluation practice, demand and related capacity*, with the objective being to advance evaluative practices in Uganda. The rationale of the study was to chart current evaluation requirements, practice and associated capacity with the aim of devising a strategy to strengthen evaluation in the GoU. In general, the study ascertained that the need for evaluation in the GoU was not effectively established in order for it to achieve success. Institutional demand is mostly focused on evaluations such as conducting reviews. There is little motivation within the GoU for the Ministries, Departments and Agencies to authorise and manage evaluations (GoU 2009, p. 5).

Furthermore, there was no methodical prerequisite for evaluation as part of the processes involving policy, management and accountability in the GoU. Donors, who introduce, direct and manage evaluations with varying contributions from the GoU staff, usually expect that evaluations be conducted. However, at the national level as part of the PEAP and NDP processes there is a demand for evaluation. Furthermore, Parliament, the Public Accounts Committee and the public in general request details of accountability information on GoU spending; this demand is attended to through the value-for-money audits of the OAG (GoU 2009, p. 5).

Evaluation practice and capacity in the GoU requires consolidation. Almost all evaluations of programmes are donor driven. While there is some capacity for evaluation in certain ministries, in general institutional support should be improved in the form of guidelines, frameworks and ongoing professional expansion. There is some evaluation practice in CSOs, although capacity development takes place in an

ad hoc manner. The study established that the Ugandan Evaluation Association was not able to fulfil its role completely as a professional medium for evaluation as a result of insufficient funding. There is capacity for delivery of evaluation services by Ugandan consultancies and consultants. However, the actual usage and the value of these services are undefined (GoU 2009, p. 5). There are recognised evaluation training enterprises in Uganda through organisations such as the Uganda Management Institute and the Makerere Institute of Social Research. Furthermore, there are training events in Uganda supported by donors, as well as regional and international resources for evaluation (GoU 2009, p. 6).

An approach for expanding and consolidating evaluation needs to concentrate on capacity issues such as the development of an overall structure for evaluative undertakings in the GoU, institutional support for evaluation and ongoing professional development. To reinforce the system, a yearly agenda of evaluations should be established on issues of national interest, which is connected to cross-sectoral policies and strategies. The NIMES Secretariat and the NMEWG should, as suggested in the study, introduce improvements in cooperation with donors on evaluation and regulate distribution of evaluation reports and sharing of good practices (GoU 2009, p. 7).

The GoU does not have a theoretical basis that rationally organised its evaluative universe; clearly defined the evaluative hypotheses, approaches and practices; and distinguished evaluation from management and policy and explains their association. A suitable conceptual framework can be advantageous among role players to increase awareness and create mutual understanding regarding evaluations. This outline should be a foundational element of the NIMES strategy to support evaluation in Uganda (GoU 2009, p. 8).

Together with the government M&E structure is a growing section of evaluative practice by civil society, incorporating national and international NGOs working in Uganda (CLEAR 2012, p. 11). For the purpose of reviewing government performance, the community information system, the annual budget performance report and Barazas are the evaluation tools that are used by government at present. These tools include ministerial policy reports and outlines of budget papers (CLEAR 2012, p. 11). The “Baraza is a community participation approach” to M&E. This approach is one of the most recent by the GoU, introduced by the OPM in 2009. Barazas are contributing to enhanced accountability and providing “a sense of ownership” of government programmes by communities (CLEAR 2012, p. 11).

4.4.5 Lessons learned on the institutionalisation of M&E in Uganda

This section provides lessons learned on the institutionalisation of M&E in Uganda and these are summarised in Table 4.3. The table has been designed to reflect the three different components, being institutional, data and analytical.

Table 4.3: Lessons learned on the institutionalisation of M&E in Uganda (developed by researcher)

UGANDA
Institutional Component
<ul style="list-style-type: none"> • M&E information is used in preparing national plans and in determining budget priorities (Mackay 2006, p. 13) • “Symptoms of M&E overload have been addressed by assigning coordination” responsibilities to the OPM (Hague and Mackay 2004, p. 3) • Since NIMES is centrally driven and enforced on ministries and departments, there is a low level of ownership or acceptance of the M&E findings (Mackay 2006, p. 3) • Work together with stakeholders to understand that skills and resources required by users and procedures of information • Design of a capacity-building programme that addresses training needs and identify training opportunities and appropriate resources
Data Component
<ul style="list-style-type: none"> • Enhanced data sharing among the various stakeholders (Ssentongo 2004, p. 13) • Harmonisation of data through integration of sectoral data sets (Ssentongo 2004, p. 13) • Development and incorporation of spatial information as a data source (Ssentongo 2004, p. 13) • MIS is a central part of an operative poverty M&E system
Analytical Component
<ul style="list-style-type: none"> • The inclusion of a Research and Evaluation Working Group in the NIMES is encouraging since research and evaluation have been previously under-emphasised • The “GoU does not yet have a conceptual framework” that guides evaluations (GoU 2009, p. 8)

4.5 SUMMARY

Chapter 4 presented the comparative case studies conducted on the institutionalisation of M&E in Canada, Chile and Uganda, as summarised in Table 4.4.

In Canada political will and commitment at the Cabinet level has enabled the institutionalisation of M&E. The Government of Canada recognised the multisectoral nature of development and has approached the institutionalisation of M&E accordingly. There are an increasing number of instances where departments are working in unison to realise common results. Considerable time and technical effort have been spent in defining the roles and responsibilities of stakeholders in M&E. Ongoing monitoring and the conduct of evaluation studies are approached as complementary functions that together form the basis for an M&E approach.

The Chilean approach to M&E suggests how a strong institutional leadership (for example DIPRES) might be the key for ensuring the institutionalisation of M&E. DIPRES remains the principal user and supporter of M&E in Chile, but it is not the only institutional setup that works. Very few other countries can rely on such a strongly centralised budget process to underpin the introduction of M&E. The Chilean experience has exemplified how M&E capacity-building is a long-term process, in which methodologies need to be adjusted, practical shortcomings periodically addressed and the design and use of M&E systems continually adapted. Training should include ministry senior officials, management and technical staff, as well as potential evaluators and other stakeholders. Data quality is a key factor for a sustainable M&E system. The initial focus on monitoring has generated demands for answers about programme outcomes and these types of questions can only be answered by evaluations. The findings of evaluations are used to, amongst others, make adjustments to programmes, redesign programmes or terminate programmes.

In Uganda, prior to NIMES, each ministry, department and sector independently carried out M&E activities. The culture of reporting was weak. Each ministry, department and sector was merely required to submit quarterly implementation reports to the OPM. Reports available were of little value in that indicators were poor. The reports, as M&E products, were not analysed and no feedback was given to improve performance. However, with the introduction of the NIMES framework as the means of M&E, the PEAP offers an opportunity to carry the results orientation process forward. Public participation in M&E brings a degree of assurance that government actions are congruent with citizens' perceptions of need.

Table 4.4: Summary table of the comparative case studies of Canada, Chile and Uganda (developed by researcher)

INSTITUTIONAL COMPONENT		
CANADA	CHILE	UGANDA
<ul style="list-style-type: none"> • “Results that matter to Canadians often involve more than one department” (Treasury Board of Canada Secretariat 2000, p. 4) • The “introduction of a number of centrally driven administrative policies has been a key driver for M&E” (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 28) • The institutionalisation of M&E is “based on administrative policies” which allow for “more flexibility than legislation to modify and improve the policy as experience” grows (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 28) • Management likely requires a less technical form of training on M&E (Lahey 2010, p. 35) • “Focus on citizens by using the internet and information technology to provide one-stop access for government services” (Treasury Board of Canada Secretariat 2000, p. 4). • Access to information” legislation allows for virtually all performance information to be publically accessible (Lahey 2010, p. 24) • “The public, through the TBS Web site, can 	<ul style="list-style-type: none"> • Preconditions such as the need for a favourable political environment existed (IDEA International 2003, p. 29) • There is strong interface with Congress and the role of Congress, as legislature, is important • The use of M&E information in government decision-making processes, particularly those related to the budget, was promoted (Laguna 2011, p. 1) • DIPRES’ control over the institutionalisation of M&E tools has introduced a strong budgetary centred perspective, which has left aside other aspects such as planning, citizen participation and focusing on results (Laguna 2011, p. 6) • The relationships among different stakeholders in the M&E process were managed (Laguna 2011, p. 3) • The implementation of the MCS followed a relatively gradual approach and this supported the learning process which has been at work in the institutionalisation of M&E in Chile 	<ul style="list-style-type: none"> • M&E information is used in preparing national plans and in determining budget priorities (Mackay 2006, p. 13) • “Symptoms of M&E overload have been addressed by assigning coordination” responsibilities to the OPM (Hague and Mackay 2004, p. 3) • Since NIMES is centrally driven and enforced on ministries and departments, there is a low level of ownership or acceptance of the M&E findings (Mackay 2006, p. 3) • Work together with stakeholders to understand the skills and resources required by users and procedures of information • Design of a capacity-building programme that addresses training needs and identifies training opportunities and appropriate resources

<p>access the performance and planning information for all federal departments” (Treasury Board of Canada Secretariat 2000, p. 14)</p>		
DATA COMPONENT		
CANADA	CHILE	UGANDA
<ul style="list-style-type: none"> • Establish standardised processes and requirements for the production, management, access, use and quality controls of M&E data (Castro 2011, p. 6) • M&E should to go beyond the simple production of reports • M&E data should be analysed and recommendations be implemented in order for M&E to be useful 	<ul style="list-style-type: none"> • M&E data is externally audited • There is a need to use different data source for or example NSS and evaluations • Comprehensive management reports were produced as M&E products (Laguna 2011, p. 2) • Chile uses a web application to transmit performance information between ministries (Castro 2011, p. 6) • The use of an information system with databases is important (IDEA International 2003, p. 35) 	<ul style="list-style-type: none"> • Enhanced data sharing among the various stakeholders (Ssentongo 2004, p. 13) • Harmonisation of data through the integration of sectoral data sets (Ssentongo 2004, p. 13) • Development and incorporation of spatial information as a data source (Ssentongo 2004, p. 13) • MIS is a central part of an operative poverty M&E system
ANALYTICAL COMPONENT		
CANADA	CHILE	UGANDA
<ul style="list-style-type: none"> • Evaluation specialists can assist in the development of suitable performance indicators (Lahey 2011, p. 7) • RMAF serves as the basis for M&E at 	<ul style="list-style-type: none"> • Use of performance indicators as monitoring tools (Laguna 2011, p. 2) • The development of PMI contributed to the sustainability of the system (Laguna 2011, p. 	<ul style="list-style-type: none"> • The inclusion of a Research and Evaluation Working Group in the NIMES is encouraging since research and evaluation have previously been under-emphasised • The “GoU does not yet have a conceptual

<p>programme level (Lahey 2011, p. 10)</p> <ul style="list-style-type: none"> • Sustaining the M&E system is assisted by the fact that the institutionalisation of M&E was, and still is being motivated by internal pressure (Kusek and Rist 2004, p. 27) • Building a culture within government that supports M&E requires support from management • Evaluation Policy provides guidance on formative evaluation and the impact aspect associated with summative evaluation (Lahey 2011, p. 28) • Evaluation networks bring together evaluators from the public and private sector, as well as NGOs and academics (Lopez-Acevedo, Rivera, Lima and Hwang 2010, p. 31) 	<p>2)</p> <ul style="list-style-type: none"> • Evaluation focused on, amongst others, government programme evaluations, impact evaluations, comprehensive spending evaluations and evaluations of new programmes (Laguna 2011, p. 2) • External consultants play a role in the design and execution of evaluations. This has served to increase the expertise with which evaluations are carried out, as well as to ensure their validity and reliability • The use of external consultants and academics may reduce the sense of ownership and the use of information by departments (Mackay 2006, p. 9) 	<p>framework” that guides evaluations (GoU 2009, p. 8)</p>
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The information gathered from the comparative case studies has contributed to the aim and the specific objectives of the study as an understanding of the approach to M&E was developed. Best practices and lessons learned through the implementation of M&E systems were identified. This, in turn, provides important information for the development of a customised model for the M&E of rural development in the LPG (see *Chapter 8.3*). In this way the comparative overview has made a significant contribution to the overall aim and related research questions that have guided the study.

The next chapter, *Chapter 5*, presents the case study of the South African national context in relation to the M&E of rural development.

CHAPTER 5

CASE STUDY OF THE SOUTH AFRICAN CONTEXT: THE MONITORING AND EVALUATION OF RURAL DEVELOPMENT

5.1 INTRODUCTION

In the previous chapter (*Chapter 4* and the second phase of the study) comparative case studies of the M&E systems of Canada, Chile and Uganda were conducted. This third phase of the study is a single case study of the South African national context. This chapter consists of the evolution of rural development and the ongoing growth strategies supporting rural development in South Africa, the development of the GWMES as a model for M&E in the South African government and the South African perspective on the M&E of rural development. The chapter concludes with a summary.

5.2 SOUTH AFRICAN PERSPECTIVE ON RURAL DEVELOPMENT

In this section, the evolution of rural development and the ongoing growth strategies supporting rural development in South Africa are explored and described.

5.2.1 Evolution of rural development in South Africa

The evolution of rural development in South Africa is examined by dividing its history into different periods: the pre-1994, 1994 to 1999, 1999 to 2008, and the 2009 and beyond periods.

5.2.1.1 Overview of the pre-1994 and the 1994-1999 periods

Prior to 1994, South Africa was categorised by uneven development with widespread poverty existing in various areas. Basic infrastructure was deficient in the poverty-stricken areas of most of the provinces (ANC 1994, p. 20). The African National Congress (ANC) Economic Strategy, Limpopo 2030 (2009, p. 23) states that the Freedom Charter adopted during the Congress of the People at Kliptown, Johannesburg on 25 June 1955, provided the basis for a rural development strategy. The Freedom Charter defined what is required to afford economic justice to rural people and sustainable livelihoods, including the fact that no one shall go hungry and that “land shall be shared among those who work it”.

In 1994 South Africa became a democracy and expectations were high for enhancement in the quality of life of the population of the country. The 1994 to 1999 government focused principally on policy formulation and freeing up resources for the benefit of most South Africans (Everatt 2002, p. 3). In the years immediately following the democratic elections in 1994 the common approach to development programmes, particularly rural programmes, was to direct as many resources as possible to as many poor communities as was feasible.

During the period 1994 to 1999, the South African government released four documents focusing on development, including matters related to rural development. During 1994 the RDP was introduced, followed by the *Rural Development Strategy* (RDS) (Ministry in the Office of the President 1995) during 1995, the GEAR Strategy (Department of Finance 1996) in 1996 and the *Rural Development Framework* (RDF) (DLA 1997) in 1997.

a. Reconstruction and Development Programme (1994)

The need for a programme focusing on reconstruction and development was emphasised in the *The Reconstruction and Development Programme: A Policy Framework* (ANC 1994, pp. 4-5): “Our history has been a bitter one dominated by colonialism, racism, apartheid, sexism and representative labour practices. The result is that poverty and degradation exist side by side with modern cities and a developed mining, industrial and commercial infrastructure. Our income distribution is racially distorted and ranks as one of the most unequal in the world. Women are still subject to innumerable forms of discrimination and bias. Rural people are marginalised. Throughout, a combination of lavish wealth and abject poverty characterises our society”.

In the early 1990s the South African economy experienced deep-seated structural problems and the RDP aimed to address these problems (APRM 2006, p. 72). The RDP was termed the “embodiment of the commitment of government to the eradication of poverty in a rapidly growing economy and in the context of an open, peaceful and democratic society” (DLA 1997, p. 7). As a programme, the focus of this development intervention was reconstruction and the provision of services to groups that were previously disadvantaged. The RDP, as a social policy (Mamburu 2004, p. 55), recognised the need to coordinate various sectoral initiatives across the national and provincial spheres of government. The RDP centred on the principles of integration, sustainability and development concerning people (ANC 1994, pp. 4-5).

The RDP broadly envisioned development in rural areas emerging from a combination of land reform programmes, infrastructure development and providing services to the rural population (Greenberg 2009). Rural development programmes were identified as lead projects, which were aimed at improving the quality of life of the population in rural areas through a land reform programme that would restore or redistribute land to those who wished to earn an income by practising agriculture (ANC 1994, p. 84).

The national government reduced the burden of implementation of the RDP through the required devolution of powers and responsibilities to the institutional blocks of government involved in the RDP, including civil society (ANC 1994, p. 140). In 1994 the South African government published information on the business-planning process, which envisaged that government at all levels move to a multi-year budget which uses zero-based budgeting methods. The allocation of budget was in line with promoting the programmes to reach the goals of the RDP.

Through the RDP, the South African government mobilised both government departments and NGOs to fight poverty through different programmes using the approach of community-based development (Mamburu 2004, p. 82), for example the 1996 Community-Based Public Works Programme. The RDP as a strategy weakened as resources dwindled, following the implementation of GEAR in 1996 (Greenberg 2009).

b. Rural Development Strategy (1995)

One year after the adoption of the RDP by the South African government in 1994, the RDS was released. The RDS typified the way in which the government's approach to rural development was evolving. The strategy recommended the legislative steps that would lead to the creation of the "structures of local government and local coordination that will allow rural people to set the local development agenda, influence development in the district and province, influence the infrastructure investment programme and maintain the assets created, and access and control service delivery" (Everatt 2002, p. 4).

Managing different spheres of government and the absence of capacity at local level to implement programmes and projects were identified as the key problems confronting government in search of integrated rural development (Everatt 2002, p. 5).

c. Constitutional Framework for Development (1996)

The Constitution of the Republic of South Africa, 1996, is identified as one of the policy initiatives to improve rural development interventions (Kole 2005, p. 5). The Constitution allowed “several groupings, political parties and government to realise that rural development needed to be highlighted if the majority of the previously disadvantaged were to benefit from the new dispensation” (Kole 2005, p. 6). In 1996, the South African Parliament adopted the final Constitution to outline the role of the government and responsibilities in terms of people, human rights of citizens and government institutions. The “Constitution is the supreme law of the country” and it is founded “on the developmental nature” of the country (Olivier, Van Zyl and Williams 2010, p. 109).

“This Constitution led to the establishment of three spheres of government, each with its own set of responsibilities. However, all three are based on the principle of cooperative governance. National government was mainly assigned policy responsibilities” (Kole 2005, p. 6), while the provincial sphere of government became answerable for policy implementation and development the responsibility of local government.

Schedules 4 and 5 of the Constitution identify a list of functional areas that are allocated to each sphere of government, as well as the concurrent functions of national and provincial government. In terms of Schedule 4 (Part A) of the Constitution, “Urban and rural development is identified as a functional area of simultaneous national and provincial legislative competence” (Constitutional Assembly 1996).

With regard to rural development, the following references are relevant to the concept of development in the 1996 Constitution:

1. Section 85(2)(b) and (d): The President and the other members of Cabinet are responsible for, among other things, the development and implementation of national policy and the preparation and initiation of legislation.
2. Section 125(2)(a), (b), (d) and (f): The Premier and other members of the provincial Executive Council (EXCO) are responsible for, amongst other things, the implementation of provincial legislation in the province concerned, the implementation of national legislation within the functional areas listed in Schedule 4 or Schedule 5, except where the Constitution or an Act of Parliament provides otherwise, the development and implementation of provincial policy and the preparation and initiation of provincial legislation.

3. Section 153: The objectives of local government include the promotion of social and economic development.
4. Section 153: The developmental duties of municipalities include the obligation on municipalities to structure and manage their administrations and budgeting and planning processes, amongst others, to promote the social and economic development of communities. In addition, municipalities must participate in national and provincial development programmes.
5. Schedule 4 (Part A) sets out the functional areas of concurrent national and provincial legislative competence and lists, amongst others, urban and rural development, population development and regional development as functional areas of concurrent national and provincial legislative competence (Constitutional Assembly 1996).

Although the various functions listed in the Constitution are allocated to various spheres of government, as either concurrent functional areas of competence (Schedule 4) or exclusive functional areas of competence of a province (Schedule 5), none of these functional areas (including urban and rural development) are defined in the Constitution.

d. Growth, Employment and Redistribution Strategy (1996)

Research has indicated the critical importance of rural development, not just for food security but also as an engine for economic growth. By early 1996 it was obvious that without different macroeconomic initiatives from government, there was little probability of sustainable economic growth in South Africa being greater than three per cent per annum. With growth of three per cent or less, economic objectives in areas such as poverty alleviation would not be achieved (Department of Finance 1996, p. 1). In an attempt to improve economic growth, the government adopted the GEAR Strategy in 1996.

While this did not represent any major change from previous government policy pronouncements, GEAR reiterated government's commitment to the prevailing policy framework and its sustained implementation for the medium-term strategy. GEAR sought to set a sound fiscal framework and stable macroeconomic performance, while economic and social policies were revised as necessary to address a changing domestic and global environment (APRM 2006, p. 72).

Through the empowerment of Small, Medium and Micro Enterprises (SMMEs) the intention was to create opportunities for those previously excluded by the apartheid system and to enable them to access such opportunities. GEAR's main objectives were to downsize government spending on salaries being

paid to public officials by reducing the workforce, outsourcing the functions to NGOs and privatising state assets. A viable economy is able to reduce poverty, but a strategy like GEAR in South Africa was heavily criticised by the left wing within the ANC and its alliance partners, the South African Communist Party (SACP) and the Congress of South African Trade Unions (COSATU) (Terreblanche 1999, p. 2).

The SACP and COSATU regarded GEAR's economic approach as not being representative of the majority South Africans who are poor. This privatisation approach would lead to more retrenchment and increased unemployment, which was already rife within the country. Although some researchers criticised GEAR for abandoning the social and developmental principles that were so strongly stated in the RDP, GEAR consolidated the long-term strategy for reconstructing and rebuilding the South African economy (APRM 2006, p. 72).

e. Rural Development Framework (1997)

The RDF describes "rural as the sparsely populated areas where people depend largely on agriculture or natural resources" (DLA 1997, p. 5). Rural development is defined as "Helping rural people set the priorities for development in their own communities, through effective and democratic bodies, by providing access to discretionary funds, by building the local capacity to plan and implement LED; the provision of physical infrastructure and social services; wider access to productive resources in the rural areas and ensuring the safety and security of the rural population" (DLA 1997, p. 6).

The RDF sets out a vision of rural development that covers two aspects. Firstly, those associated with governance and the development of infrastructure and social services and secondly, those associated with the enabling framework that is vital for rural areas to be able to flourish (DLA 1997, p. 1). The framework identified different types of rural households including farms outside urban areas, sparsely-populated areas and rural settlements (DLA 1997, p. 5). However, the framework had no institutional home and fell by the wayside (Greenberg 2009).

During the 1994 to 1999 period, various government departments undertook a multiplicity of sector-related programmes and projects, related to the policy initiatives that dominated this period. A number of achievements were achieved through the various departmental programmes implemented under the auspices of rural development, including infrastructure provision, job creation and progress made with land reform (Presidency 2000, p. 17). However, within the context of the RDP targets, there were still significant defects (Hemson, Meyer and Maphunye 2004, p. 15). Although there was progress in terms of

service delivery, it was not sustainable as there was limited coordination between stakeholders (Kole 2005, p. 6).

5.2.1.2 Overview of the period 1999-2008

The 1994-1999 government emphasised the implementation and delivery of policies and programmes (Everatt 2002, p. 3). The Cabinet Cluster system (see *Chapter 6.2.3*) was used as a mechanism for refining and coordinating service delivery. During the period 1999 to 2009 government introduced two interventions in respect of rural development: the ISRDS in 2001 and the WOP in 2008. Both of these are discussed below.

a. Integrated Sustainable Rural Development Strategy (2001)

In 2001, the Presidency launched the ISRDS after the adoption of the strategy, which also incorporated urban development, by Cabinet in October 2001. The intention of the ISRDS was to transform rural areas in an integrated way to maximise the sustainability of the impact of the development interventions. The goals of the ISRDS included investment in infrastructure in rural areas, enhancing rural economic development, increasing revenue prospects and facilitating partnerships between stakeholders in rural development (Hemson, Meyer and Maphunye 2004, p. 12).

The focus of the ISRDS was to encourage integration of existing policies and programmes of government, concentrating on the 13 priority nodes with the highest level of poverty (Greenberg 2009). The 13 nodes were spread across the provinces of South Africa as follows:

- Limpopo: Sekhukhune and Bohlabela;
- Northern Cape: Kgalagadi and Central Karoo;
- Eastern Cape: Chris Hani, O R Tambo, Ugu, Alfred Nzo and Ukhahlamba;
- Free State: Maluti a Phofung; and
- KwaZulu-Natal: Zululand, Umzinyathi and Umkhanyakude (Everatt, Dube and Ntsime 2004, p. 2).

Through the ISRDS, rural development was to be “multi-dimensional, encompassing improved provision of services, enhanced opportunities for income generation and local economic development, improved physical infrastructure, social cohesion and physical security within rural communities, active

representation in local political processes, and effective provision for the vulnerable” (Presidency 2000, p. 23).

The ISRDS was the manifestation of a need recognised by the government shortly after the democratic elections held in 1994 (Everatt 2002, p. 1). Government was guided and informed by the RDP who provided a potent image of what was believed should be achieved by the government. However, the programme was not clear on how government might do so effectively and efficiently. The Integrated Development Plans (IDPs) were the statutory instruments for local, participative determination for development needs and opportunities. The IDPs, which were to be developed in the local sphere of government, would define the base upon which local bids were made for resources to respond to needs and opportunities. Bids would be directed to national and provincial governments and to other agencies as appropriate. The ISRDS resulted in the Integrated Sustainable Rural Development Programme (ISRDP), which, according to Everatt (2002, p. 14) reflected the “fact that it is not merely a set of ideas but a set of implementable activities”.

However, the ISRDS was no more than the result of contrasting and frequently conflicting strategies and procedures of national departments. This was despite the perception that the combination of national and provincial government programmes was seen as integrated service delivery and that the ISRDS would focus on the coordination and integration of existing programmes. Many projects and programmes were started without an indication of these development interventions being part of an integrated rural development strategy (LPG 2010f, p. 17).

Stakeholders continued to operate in isolation from each other due to the lack of statutory institutional responsibility for coordinating the implementation of the ISRDS (Greenberg 2009). Cabinet assigned the responsibility for the ISRDS to the Minister for Provincial and Local Government. The ISRDS implementation plan was the responsibility of the DG from the DPLG, under whose authority the plan had to be executed. While local government was (and is) responsible for integrated planning, the function failed to encompass the effective implementation of the ISRDS (Greenberg 2009).

An evaluation of the ISRDP, titled *ISRDP Phase 1 Evaluation: Nodal Review*, was conducted during 2004 and the findings of the evaluation are discussed in *Section 5.4.1.2*. It is especially relevant to this section that the outcome, despite some initial successes, consisted of mixed and generally limited results. Only a few of the ISRDP nodes had tangible progress in relation to integration and coordination; much of

that progress could be ascribed to other interventions, such as the PGDS processes (see *Chapter 6.2.4*) rather than the intervention of the ISRDP.

b. War on Poverty (2008)

The South African President announced the WOP along with other projects in the 2008 SONA (Mbeki 2008, p. 9). An Anti-Poverty Inter-Ministerial Committee was constituted to coordinate and integrate service delivery across spheres of government and social partners. All levels of government became jointly responsible for aligning business towards implementing a rural development programme (Presidency 2012b, p. 17).

The WOP targeted “service delivery to poor households and monitored “household progression out of extreme poverty” by using ongoing programmes including social grants, the Expanded Public Works Programme (EPWP), food gardens, microcredit support, skills development and specific sector strategies (Presidency 2012b, p. 22).

The WOP aimed to coordinate all poverty alleviation across the three spheres of government (DRDLR 2010), to maximize the effect of the initiatives. Government identified 1 128 municipal wards (DRDLR 2010). In these wards approximately three million households, comprising of an estimated 15 million people, were living in poverty. The WOP programme was presented and it was envisaged that by 2014 all the identified wards would be covered.

The *War on Poverty: Framework for Implementation Plan*, published by the Presidency (2008c, p. 4), identified the medium-term objective of the programme as the “development of a comprehensive anti-poverty strategy and its implementation plan, including broad societal consultations and agreement on issues such as poverty datum line”. The poverty datum line, or poverty line, is defined as a monetary cut-off point below which a person is deemed as being poor (Stats SA 2008a, p. 3).

The goals of the programme were to identify nodes with a high concentration of poverty and those specific wards in each of the nodes where the WOP campaign should be launched. Through household profiling, a database was developed of those households living in poverty. Sources such as relevant indigent registers being kept by municipalities, indices of multiple deprivation, GIS platforms and SocPen were used. SocPen is the database of the DSD against which social pensions are paid. Households and communities were profiled to determine their strong points and requirements. Referrals were then

communicated to the responsible department delivering the services, which the individuals within the profiled households required, but were not receiving (Presidency 2008c, p. 5).

5.2.1.3 Overview of the period 2009 and beyond

The South African government realised that rural policy was mostly unsuccessful because it was not the result of up-to-date public discussions and had involved isolated bases of sectoral policy; these were produced without concern for multisectoral consequences and aimed predominantly at short-term concerns. The Department of Rural Development and Land Reform (DRDLR) was then mandated by the President to design a comprehensive programme for rural development. The result of the mandate was the introduction of the CRDP in 2009 (DRDLR 2011, p. 1). Describing rural development, as implemented through the CRDP, the DRDLR (2009, p. 36) indicated that this was seen as interventions that were initiated to improve the lives of communities in non-urban areas.

The CRDP replaced the RDF (1997) and ISRDP (2001) and promoted a three-phase approach to rural development focusing on land and agrarian reform (Ministry of Rural Development and Land Reform 2009, p. 3), in addition to investments in both social and economic infrastructure. The Minister of Rural Development and Land Reform indicated that the vision of “sustainable, vibrant rural communities” is achievable through the three phases of the CRDP. It was found that most of the basic needs of people, including food security, were not being achieved in many households. Therefore, the first phase of the CRDP focused on basic human needs and improving food productivity within these households. Phase two dealt with enterprise development through cooperatives, and phase three with agro-processing industries through homestead gardens and development of farms (GCIS 2013, p. 493).

The areas selected for the pilot sites for the CRDP were the Greater Giyani Local Municipality in the Limpopo Province, specifically the Muyexe village, and Riemvasmaak in the Northern Cape (GCIS 2013, p. 494). The initial approach followed in the two pilot sites was based on the approach of the WOP and from these pilot projects an appropriate intervention approach was developed for use across South Africa (Ministry of Rural Development and Land Reform 2009, p. 12). The CRDP was to be scaled up to include 160 wards across the South Africa by 2014, reaching an estimated 13 500 households per rural ward and supporting an estimated 432 000 rural households (DRDLR 2010). The development of a job creation model received attention to make sure that one member of each participating household underwent training and had a two-year employment contract as per the EPWP. As part of the contract, each person

employed was to contribute at least 50 per cent of their income to their household (Ministry of Rural Development and Land Reform 2009, p. 20).

To manage the roll-out process, a CRDP management model was developed. The model indicated the different roles of the stakeholders and is further explored in *Section 5.4.1.3*. The CRDP strategy documents the developments contributed to improved economic and social infrastructure in detail. When analysing the nature of these developments, it is clear that they involve different sectors and role players. For purposes of this study, these developments were allocated to the relevant sectors and role players involved in the respective infrastructure developments. This is illustrated in Table 5.1 that depicts specifically the multisectoral and transversal nature of the infrastructure component of the CRDP. From this table, it is clear that the CRDP is a multisectoral and transversal development intervention aimed at bringing about development in rural areas.

Table 5.1: Illustration of the multisectoral and transversal nature of the infrastructure component of the CRDP (developed by researcher)

ECONOMIC SECTOR INFRASTRUCTURE	
ROLE PLAYER	FOCUS
Department of Roads and Transport SANRAL Transnet Portnet	Roads Railway Ports Distribution and transport networks
Eskom Local government	Electricity networks
Private sector Local government	Rural shopping malls
Department of Agriculture Local government Private sector	Fencing for agricultural purposes Dipping tanks Milk parlours Irrigation schemes for small scale farmers
Department of Social Development Nongovernmental Organisations (NGOs)	Community gardens
Department of Water Affairs Research and Development Institutions	Water harvesting Water basin and water shed management
Government Communication and Information System (GCIS) Telkom Private sector	Communication networks Landlines, cellular phones

SOCIAL SECTOR INFRASTRUCTURE	
ROLE PLAYER	FOCUS
Department of Cooperative Governance and Traditional Affairs (CoGTA) Municipalities	Communal sanitation and ablution systems to improve health conditions
Faith-based organisations Community based organisations Organs of civil society	Social mobilisation to enable rural communities to take initiatives Social cohesion
Local Municipalities Traditional Councils Provincial Government	Coordination, alignment and cooperative governance
Department of Education Municipalities Private sector	Adult Basic Education and Training (ABET) centres for capacity-building Rehabilitation and development of schools as centres of excellence
Department of Sports, Arts and Culture Municipalities	Community halls and museums Sport and recreation facilities Rural libraries to promote a reading culture

The goals of the CRDP are advanced in the development of the National Outcomes developed during 2010, specifically Outcome 7 in respect of “Vibrant, equitable, sustainable rural communities contributing towards food security for all” (Presidency 2010b, p. 13). These, and a number of other ongoing strategies impacting on rural development, are discussed below.

5.2.2 Ongoing growth strategies supporting rural development

In the previous section the policy and legislative framework underpinning rural development and the rural development programmes implemented in South Africa, was discussed. This section focuses on the growth strategies since 2009, which have been put in place to support rural development.

5.2.2.1 Medium-term Strategic Framework 2009-2014

A key aspect of development interventions is the national planning and monitoring framework, the MTSF. The MTSF is the framework that ensures that the medium-term strategic goals of the South African Cabinet are constantly informed and being mirrored by government programmes (Everatt 2002, p. 7). The strategic objective of reducing poverty, inequality and unemployment are contained in the MTSF 2009-2014, which is the key focal point for all government development interventions. One of the “priority areas to give effect to the strategic objectives” is rural development (Presidency 2009d, p. 2).

The July 2011 Cabinet Lekgotla prioritised high level interventions for the DRDLR with regard to the priority area of rural development, including the development of sustainable rural settlements. Twenty-one prioritised District Municipalities countrywide were to be the focus of these high-level interventions. Four District Municipalities (Greater Sekhukhune, Vhembe, Mopani and Capricorn) were identified in the Limpopo Province (LPG 2011a, p. 15).

5.2.2.2 National Outcome 7 (2010)

During 2010, the South African government decided on 12 outcomes as a vital focus for the period 2010 to 2014 (see *Chapter 5.3.7.3*). Outcome 7 deals with “vibrant, equitable and sustainable rural communities” and “food security for all”. The challenges facing rural areas included poor natural resource management, inadequate socioeconomic infrastructure and moral degeneration (Presidency 2010c, p. 3). Outcome 7 has the following performance outputs for rural development:

- “Output 1: Sustainable agrarian reform;
- Output 2: Improved access to affordable and diverse food;
- Output 3: Rural services and sustainable livelihoods;
- Output 4: Rural job creation linked to skills training and promoting economic livelihoods; and
- Output 5: Enabling institutional environment for sustainable and inclusive growth” (Presidency 2010c, p. 4).

The DRDLR is the coordinator of Outcome 7 and its delivery partners are reflected in Figure 5.1.

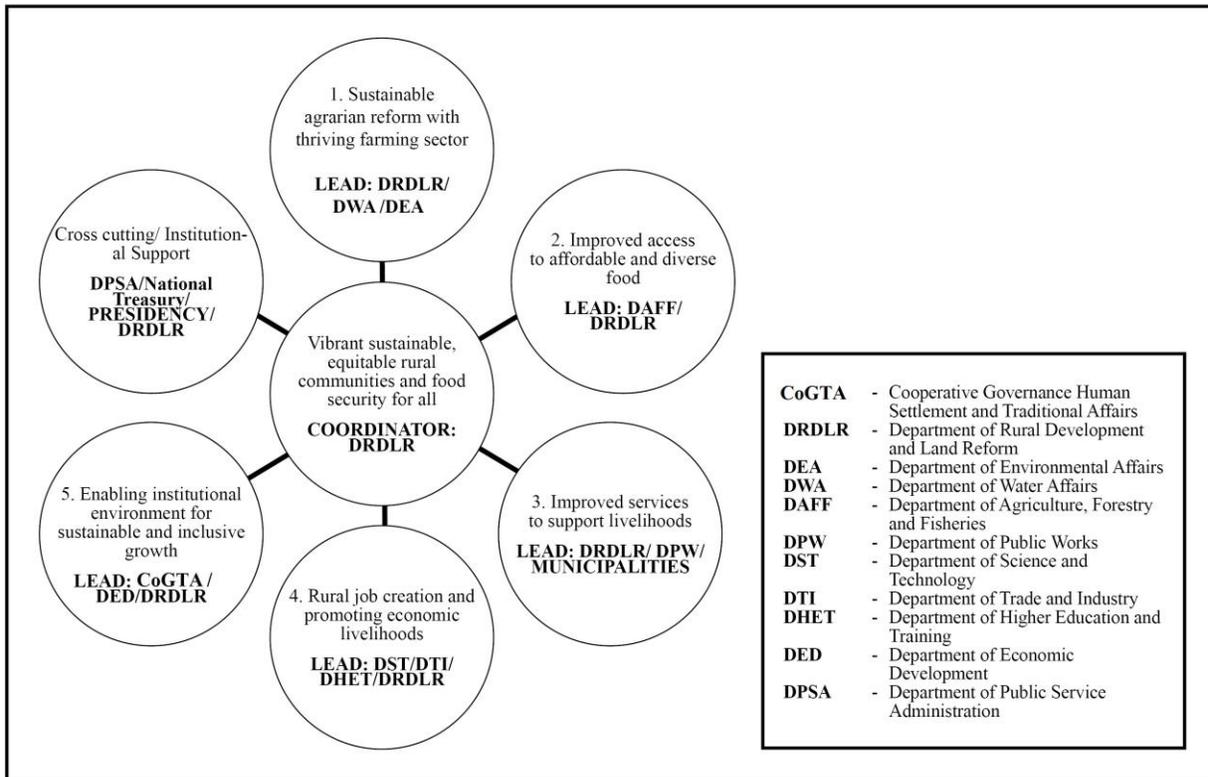


Figure 5.1: Coordinator and delivery partners for Outcome 7 (Presidency 2010c, p. 4)

These delivery partners play a role in achieving the five abovementioned outputs.

5.2.2.3 New Growth Path (2011)

The NGP is a national policy introduced in 2011 to encourage job creation and provides further impetus to the vision for a transformed rural sector (EDD 2011, p. 11). The document illustrates government's actions for the targeting of mass joblessness, poverty and inequality. The policy identifies instances where employment was possible (i.e. job drivers) and establishes the frameworks necessary to take advantage of opportunities. The NGP is used to generate an enabling setting for mass job creation and employment and NGP brings together policies and programmes in rural development and agriculture, where agriculture focus on both commercial and small-scale farming (EDD 2011, p. 43).

The NGP aims to create five million jobs by the year 2020, with contributions from various government sectors and private sectors. The identified job drivers will influence provinces and localities in a different manner, according to local resources and the indicators of the success of the policy will be the scale of jobs created (EDD 2011, p. 23).

5.2.2.4 National Development Plan 2030 (2012)

The National Planning Commission (NPC) in the Presidency completed the NDP 2030 (Presidency 2012e) in 2012. It was called *Our Future - Make It Work*. The diagnostic review underlying the NDP observed that South Africa had changed substantially compared to 1994 in terms of socioeconomic progress. The NDP further noted that, for numerous poor South Africans, little seemed to have changed, which was an indication of shortcomings in development interventions. Poverty remained widespread and there had been unsatisfactory improvement in the lessening of inequality.

The vision for rural development in the NDP is that by 2030, rural communities in South Africa would require improved opportunities to be able to contribute to the economic, social and political life of the nation. High-quality basic services should be available to people so that they could be food secure, healthy and progressively more trained. Rural economies should be sustained by agriculture and agriculture-related activities (Presidency 2012e, p. 218).

The vision included improved integration of the rural areas of South Africa to be realised through land reform, development of infrastructure, creation of jobs and the alleviation of poverty. In those areas that had economic potential, activities not directly related to agriculture (such as agro-industry, the leisure industry, small business opportunities and fisheries) could improve growth. Lack of progress in the former homelands needs to be challenged through agricultural growth, improved land supervision and support aimed at rural women (Presidency 2012e, p. 218). Another important factor, which had high importance for many families, was the availability of social and infrastructural amenities.

To accomplish this, it was recommended that the NPC create a differentiated rural development plan centred on agricultural development, better rudimentary facilities, manufacturing and enterprise improvement. Agricultural development should be based on positive land reorganisation, creation of employment opportunities and environmental protection. Increasing the availability of irrigated farming as well as dry-land production areas to smallholder farmers is also important. Established agricultural businesses should become supporting partners. The provision of a high standard of basic services, namely education, health care and community transport, is necessary. When communities have these basic facilities, people are empowered to look for better economic opportunities (Presidency 2012e, p. 218).

This plan should ensure that there is access to basic services, food security and encouragement for those employed on farms. There are large numbers of opportunities existing in rural areas and development

approaches need to be customised according to the needs of local settings. Institutional ability is essential for success, particularly in the reorganisation needed to resolve disputed associations among traditional and constitutional establishments (Presidency 2012e, p. 219).

5.2.2.5 Strategic Infrastructure Projects (2012)

The South African Government plans to implement 17 SIPs (PICC 2012). The projects identified by the Presidential Infrastructure Coordinating Council (PICC) have a projected budget of R4-trillion over the following 15 years. These are geographically defined strategic projects covering all provinces and every SIP encompasses element of infrastructure (Maake 2012).

In an analysis of the state of economic infrastructure in South Africa by the Development Bank of South Africa (DBSA), it was foreseen that together the SIPs would expose South Africa's economic growth and capitalise on the yields from this investment through increased employment, growth and economic possibilities. This process would continue and create a prospective "pipeline" of ventures, which would provide substance to the NDP. The SIPs are to be supported by a synchronised national infrastructure plan. Individual SIPs would be started, organisational structures established and project content improved during discussion with stakeholders (DBSA 2012, p. 2).

Specifically relevant to this study is SIP 11, which deals with agri-logistics and rural infrastructure. SIP 11 aims to "improve investment in agricultural and rural infrastructure that supported expansion of production and employment, small scale farming and rural development" (PICC 2012, p. 21).

In a presentation of the Infrastructure Plan made by the PICC to the Provincial and Local Government Conference on 13 April 2012, it was envisaged that the SIPs would enable socioeconomic growth, while simultaneously addressing the needs of the poor (Presidency 2012a, p. 15).

5.3 DEVELOPMENT OF THE GWMES AS MODEL FOR M&E IN SOUTH AFRICA

5.3.1 Introduction

In this section the development of the GWMES as a model for M&E in the South African government at provincial level is discussed. To contribute to the logical flow of the information, the evolution process is broken down into timeframes, namely the pre-1994, 1994-2004, 2005, 2009, 2011 and the 2012 periods.

Specifically the 2005 timeframe is reflected against the institutional, data and analytical components as identified in *Chapter 3*.

5.3.2 Overview of the pre-1994 system

Prior to 1994, the M&E systems that materialised inside the government were established to furnish data for the purpose of state security. The systems were not focused on delivering precise and consistent information but rather to produce information for reasons related to control. Limited information is available on M&E systems that concentrated on monitoring the developmental goals. Prior to 1994 the main emphases was on providing information on assets used and actions completed. As budget and human resource management (HRM) were consolidated, it was easier at this time to produce information on inputs central to the pre-1994 administration (PSC 2005, p. 10).

During March 2007, Abrahams from the University of Cape Town discussed M&E in a presentation titled the “Historical and emerging theoretical foundations for M&E in South Africa: Implications for practice”. He indicated that only a small fraction of programmes implemented by various NGOs through donor funding for development projects in various sectors of society had been evaluated. Abrahams stated that programme evaluation and the types of evaluations conducted in South Africa were more qualitative in approach. Most of the evaluations were formative rather than summative in nature (see *Chapter 3.5.3.5*). He compared the historical elements of programme evaluation pre-and post-1994 as illustrated in Table 5.2.

Table 5.2: Historical elements of programme evaluation pre-and post-1994 (Abrahams 2007)

PRE-1994	POST-1994
Project driven	Programme focused
Donor requirements	Planning requirements
Mostly formative	Clear objectives
Personally driven	Logical frameworks
Vague objectives	Accountability principles promoted by international agencies
Liberation rhetoric	
Dwindling resources	

5.3.3 Overview of the 1994-2004 system

5.3.3.1 Introduction

In 1994, the transition of South Africa to a new democratic arrangement resulted in enormous strain on the appointed leadership (Engela and Ajam 2010, p. 1). The inheritance of a racially slanted approach to community service provision in the apartheid system had to be overcome. All citizens now had socioeconomic rights, which were to be realised by government within available means.

To address the fragmented monitoring of expenses and the use of human resources, the first activities in monitoring after 1994 were targeted at ensuring that all information was combined and that a system of monitoring of overheads and human resources was established within South African government. This was combined with an emphasis on the reorganisation of expenditure and HRM (PSC 2005, p. 10).

5.3.3.2 Democratic transition (1994-1999)

During the initial five years of the newly elected representative administration of South Africa (1994-1999), only a small number of departments started any methodical M&E of their policies and programmes. “Performance information was deliberately kept away from the public” (Naidoo 2011, p. 5). Towards the end of the 1990s government attempted to institutionalise government-wide M&E, but these efforts were unsuccessful (Bester 2009, p. 3).

The problem of collecting and collating information on inputs became the responsibility of the national departments and provinces. This happened after changes to policy occurred with the adoption of the Constitution in 1996 (PSC 2005, p. 9). As a result of these changes, national departments became progressively more dependent on information from units with high degrees of devolved and decentralised functions and responsibility. Increased trust was placed in national departments and their establishing of standards and reporting requirements. This involved forming specific conditions for reporting on all decentralised government departments and proceeded to reporting progress on sectors. Through ongoing learning, departments experimented and created a variety of M&E systems. The result of such experimentation was the formation of different structures across the government as a whole.

5.3.3.3 Towards the turn of the century

Post-1999 the policy-programme relationship had to be evaluated. Integration of programme evaluation had to start at conceptual level and accountability structures and frameworks had to be put in place (Abrahams 2007). There was a growing need for sophisticated information management systems. Development implementation had to be managed, especially large scale interventions as international agreements were signed on the basis of programme evaluation and all efforts were geared towards sustainable development. However, there were concerns from academics as evaluations requested by single units focused only on the programmes that they implemented and emphasised conducting summative evaluations (see *Chapter 3.5.3.5*) (Everatt and Zulu 2001, p. 21). In addition, most of the evaluation focused on processes rather than outcomes (Louw 1995, p. 352).

With regard to monitoring *per se*, the absence of a monitoring culture within government was identified. Monitoring systems were weak and problems identified by the systems were not resolved. Factors such as the lack of an instrument for integrated planning, targeting, monitoring and information sharing prevailed. The lack of practical M&E systems and a principal database to produce reliable information to key stakeholders, contributed to the challenges mentioned above (Everatt and Zulu 2001, p. 21).

5.3.4 Audit of M&E systems (2007)

During 2005, the South African Cabinet approved a process to develop an M&E system for the government as a whole. This resulted in the Government-wide M&E System (hereinafter referred to as GWMES) (see *Section 5.3.6*). During 2007 the PSC conducted an audit of the existing M&E systems in national government departments, provincial Offices of Premiers and provincial Treasuries. The objective of the audit was to deliver an outline of the state of M&E systems in government in relation to M&E strategies, capacities and products. The methodology was a desk-based survey of existing systems using a standard questionnaire sent to the respondents in government. This was followed up with individual meetings with respondents if clarification on the answers provided in the questionnaire was required. Prior to the audit, not much was known about the environment into which a national transversal M&E system was to be introduced. Information was lacking on the M&E systems that were in place and the tools that were being utilised to measure performance, governance matters, accountability and service delivery. It was not known whether performance indicators had been developed and applied consistently for programmes and projects that cut across the different sector departments at the national and provincial spheres of government. Information regarding the extent of the reporting formats being aligned to the

M&E system and whether the reports generated yielded the information required for decision-making and assessment of institutional and individual performance, were limited (PSC 2007, p. 6).

The findings of the audit were that an effective approach to M&E should be comprehensive, integrated and relate logically to the nature of the programmes implemented. However, as the findings indicated, few coherent M&E approaches were being implemented and M&E had become a fragmented, disjointed activity in many instances. A significant proportion of the national and provincial departments lacked adequate M&E systems to manage policies, projects and programmes (PSC 2007, p. 20).

For national and provincial departments that had made some investment in instituting monitoring, evaluation and reporting systems, the focus was narrow, the data ascertained was underutilised and the role of management of programmes and development planning at national level was limited. Large quantities of the resources for M&E were dedicated to monitoring the physical and financial elements of development interventions. Very little attention was devoted to the assessment of the sustainability of the interventions and the quality of the social developments taking place (PSC 2005, p. 5).

M&E was carried out more as a condition of legislation or a requirement set by external stakeholders, such as donors, rather than as a response to whether government policies and strategic plans were implemented and that the purpose, objectives and efficiency standards thereof were achieved (PSC 2005, p. 5).

The situation was that national and provincial departments tended to set up parallel monitoring, evaluation and reporting systems. This gave evidence of the lack of full integration of programme components and harmonisation of indicators, tools and reporting mechanisms. This was a major concern as it was impossible to compare information across departments to draw an informed conclusion on the performance of indicators. There was “no proof that the full integration of programme components was always the best solution” (PSC 2005, p. 6) in addressing departmental priorities and plans across all spheres of government.

Thus there was a lack of a transversal and integrated M&E system customised to meet the needs of the government within the national, provincial and local spheres with no uniform approach underpinning theory to either monitoring or evaluation within the South African government (Podems 2005, p. 8).

5.3.5 Culminating circumstances leading to the Government-wide M&E System

The demand for M&E “is more pronounced in a maturing democracy like South Africa, which is attempting at various levels to break with its colonial past where previously the performance of government was not considered to be a matter of public concern” (Naidoo 2011, p. 5). During 2003 the Presidency published the discussion document: *Towards a Ten Year Review: Synthesis Report on implementation of Government Programmes*. This document emphasised the need for improved M&E of the implementation of its programmes (Presidency 2003, p. 13).

While the South African Government has made progress with regard to monitoring, evaluation and reporting, much of this was executed in a vertical and isolated manner failing to ensure triangulation with additional sources. Evaluation of projects sponsored by donors could have been undertaken in a significant part of programming, with no findings ever made available to stakeholders (PSC 2005, p. 4). In short, the utility of much of the information gathered through M&E exercises and the reports generated within the different spheres of government might have been lost because often there was no M&E system that could depict the information on multisectoral development interventions.

The shortcomings that were emerging as a result of the lack of a coordinated approach for M&E were part of the wider process to develop policies. This acknowledgment encouraged government to create approaches aimed at instituting the essential standards for data collection and collation (PSC 2005, p. 9).

A number of considerations motivated the South African government to develop the GWMES. One consideration was that when South Africa hosted the 2002 World Summit on Sustainable Development (WSSD) held in Johannesburg, there was no M&E system at the national level to monitor sustainable development as was expected by the Rio Convention of 1992 and restated at the 2002 WSSD. A second consideration was the task undertaken by the President of South Africa to notify people on a regular basis regarding improvements in the Government’s national PoA (Cloete 2009, p. 298).

In addition, “South Africa is obliged to meet standards set out in mandatory developmental ideas such as the MDGs. Achieving the MDGs has complemented other efforts to develop M&E, as it triggers an internal process within government to establish appropriate M&E frameworks so that the country can generate information to show progress against the MDGs” (Naidoo 2011, p. 8).

5.3.6 Overview of the 2005 GWMES

5.3.6.1 Introduction

Since the dawn of democracy in South Africa during 1994 the government has acknowledged the actions, which would arise from the transformation of the state into a developmental state, while at the same time attempting to provide services and compensating for the inheritance of the previous socioeconomic inequalities. In order to make sure that perceptible results were realised, there was growing acknowledgment of the associated and pressing requirements for greater efficiency in the method that government uses to monitor and evaluate its policies, programmes and projects (PSC 2007, p. 2). As a result, Cabinet mandated the Governance and Administration (G&A) Cluster of the Forum of South African Directors General (FOSAD) to prepare a plan for an M&E system that could be used across governments.

Despite the various systems in existence in collecting information within government (see *Section 5.3.6.4*), there were numerous gaps in the information required for planning for service delivery (National Treasury 2007, p. 2). During 2004 three models were considered that could be applied in M&E activities in government. The first model was a high-level tertiary model that would be updated by the SONA, decisions made by Cabinet and priorities identified by the Clusters. The second model was a government level M&E model that would monitor the improvements made by the government unanimously in focusing on the goals and applying programmes in order of priority. The third model focused on departmental M&E initiatives. This model would address the development of individual departments in executing their agendas in agreement with the main concerns of government. These included departments developing performance indicators and targets as informed by their development strategies (Masiteng 2004).

During 2005 the GWMES was developed, aligned to the first model described above. It was anticipated that the GWMES would “provide accurate and reliable information on the implementation of government programmes and ensure the optimal integration and utilisation of current systems” (Presidency 2005, p. 2) in the government. The Presidency would take on the responsibility for the establishment and process of the system in a phased approach, through the unit for Policy Coordination and Advisory Services (PCAS) in the Presidency.

5.3.6.2 Institutional component of M&E in South Africa

The following elements relating to the institutional component of M&E in South Africa are discussed: Context of M&E, objectives and principles of the government-wide M&E model, roles and responsibilities of key stakeholders in the M&E process, organisational structure supporting M&E, organisational learning and capacity-building in M&E.

a. Context of M&E

For the GWMES “to achieve its aims and objectives, it needs to be guided by a thorough analysis of the context within which” (2004-2009) the model operates (Naidoo 2011, p. 16). This consists of the overarching interrelated political, legislative and governance contexts of M&E in South Africa.

Political context of M&E

M&E is dependent upon an enabling political context that is accountable and receptive to measurement (see *Chapter 3.5.1.1*). Since 2004 the RSA President has made pronouncements on M&E in the SONA. The SONA marks the official opening of Parliament for the year and during this joint sitting the Presidents reports on the status of the nation, projects undertaken during the previous year and the goals for the year ahead. In the 2004 SONA the President announced that the “The government is also in the process of refining our system of monitoring and evaluation, to improve the performance of our system of governance and the quality of our outputs, providing an early warning system and a mechanism to respond speedily to problems, as they arise” (Mbeki 2004, p. 10). In the 2005 SONA it was indicated that M&E across government would be improved, which included focusing on the data (see *Section 5.3.6.3*) and analytical components (see *Section 5.3.6.4*) (Mbeki 2005, p. 7). The necessity of focusing on M&E was again highlighted in the 2007 SONA with the instruction by the President to strengthen M&E capacity across all spheres of government (Mbeki 2005, p. 14).

The “South African government has placed increasing importance on M&E during its third term of office since democracy” (Naidoo 2011, p. 270). Political pronouncements were made stating that M&E is a priority for government. In the 2009 SONA the importance of M&E was highlighted in that it was announced that a Ministry in the Presidency would be established to strengthen M&E of service delivery and implementation of programmes by government (Zuma 2009, p. 13). In the 2010 SONA the intention to build a performance-oriented state by improving M&E was declared. The work of departments would be measured by outcomes and Ministers would be accountable to the President on the achievement of

these (Zuma 2010, p. 5). References were made also to the findings contained in the M&E products (see *Chapter 3.5.2.3*) developed by the Presidency to determine progress made regarding government priorities.

Policy and legislative context of M&E

There are various constitutional requirements for M&E in South Africa. As the highest law in the country, the Constitution of the Republic of South Africa, 1996, requires that the South African Government be accountable and transparent to the public. In Chapter 10 (Public administration) these concepts are dealt with in that “Public administration must be accountable and transparency must be fostered by providing the public with timely, accessible and accurate information” (section 195(1)(f) and (g)). Thus, the South African government needs to respond to constitutional and legislative imperatives to ensure that the implementation of development strategies and programmes can be monitored.

The Presidency (2009a, pp. 2-3) was of the opinion that “a strong policy platform has been created that provides conceptual clarity and a common understanding of the intention and purpose of M&E in government”. The two key RSA policy documents for the GWMES are the *Proposal and Implementation Plan for a GWMES* (2005) and the *Policy Framework for the GWMES* (2007). Other documents were developed to support the policy platform of the GWMES and subsequently best practice guideline documents were published by the Presidency. These documents are *From Policy Vision to Implementation Reality* (2008), *Basic Concepts in Monitoring and Evaluation* (2008) and the *Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* (2008).

Proposal and Implementation Plan for a Government-wide Monitoring and Evaluation System (2005)

The purpose of the *Proposal and Implementation Plan for a GWMES* published in 2005 was to add to enhanced governance and augment the effectiveness of the South African public sector. The principle aim of the proposal was to demonstrate an integrated approach to M&E. The document consisted of two parts: Part One, which presented the conceptual and operational framework for M&E and the implementation plan, and Part Two, which provided the performance indicators for the M&E of programmes at a macro level (Presidency 2005, p. 1).

Policy framework for the Government-wide Monitoring and Evaluation System (2007)

In order to guide the national and provincial government and municipalities in establishing and maintaining effective M&E policies and procedures, the Presidency published a *Policy Framework for the Government-wide Monitoring and Evaluation System* during 2007. This is a basic document fundamental

to all M&E activities in South Africa and provides an outline to be modelled and implemented by national and provincial departments and municipalities. An effective M&E system in a government department should include principles to guide how M&E is to be conducted (Bester 2009, p. 4). When attempting to build the GWMES, the South African Government developed rules for the feasibility, propriety and guiding principles for M&E. The principles are envisioned to direct the practice of M&E and to empower citizens on the principles to be maintained by M&E practitioners (Levin 2005a). Seven principles form part of the policy framework indicating that M&E should (a) add to improved governance, (b) be rights based, (c) be development orientated, (d) be utilisation orientated, (e) be undertaken ethically and with integrity, (f) be methodologically sound, and (g) be operationally effective (Presidency 2007, pp. 3-4). These principles within which the GWMES are conceptualised are deemed to be consistent with international practices (Presidency 2009a, p. 1).

The policy framework consists of four parts, the first part promoting the comprehension of M&E, followed by the GWMES System, M&E at institutional level and the implementation of the system. The document clarifies key concepts, principles that guide M&E activities and the processes of M&E. The details of the GWMES are presented covering the aim, components and data sources of the system. It also sets out how M&E should be practiced at the institutional level and linked with managerial systems such as planning, budgeting, project management and reporting (Van der Westhuizen 2008, p. 6). The policy framework requires that M&E be implemented on all government levels to ensure that government meets the outcomes determined in the MTSF and the MDGs.

From Policy Vision to Implementation Reality (2008)

From Policy Vision to Implementation Reality, published in 2008, outlined the then current and proposed M&E undertakings of the main coordinating departments. The purpose of the document was to encourage the stakeholders in M&E to comprehend the upcoming reform procedures and to urge essential coordinating departments to improve their support of M&E and associated management functions (Engela and Ajam 2010, p. 4).

Basic Concepts in Monitoring and Evaluation (2008)

The *Basic Concepts in Monitoring and Evaluation* was released by the PSC in February 2008 and is an extended theoretical and practical analysis of the concepts of M&E with specifics relating to the context, roles and responsibilities at all levels of government (Van der Westhuizen 2008, p. 9). The document describes evaluation perspectives and clarifies specific approaches to programme evaluation, such as logical models and results-based models. This supporting document to the GWMES explores the context

of the developmental state as well as the integration of M&E in the policy and planning process (PSC 2008, pp. 8-9).

Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide (2008)

The *Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* was published in July 2008 and “addresses the complex M&E roles of coordinating structures in provincial governments” (Engela and Ajam 2010, p. 5). It was acknowledged that little guidance had previously been given regarding the role of the Offices of the Premier in M&E resulting in provinces being left to their own devices on how to proceed with the institutionalisation of the GWMES. As this document is relevant to the case study conducted of the LPG, a detailed discussion is provided in *Chapter 6.3.2*.

Governance context of M&E

The Constitution determines that South Africa has three spheres of government, being the national, provincial and local spheres. In the national sphere the centre of government is described as including the Presidency, the National Treasury, the Department of Public Service and Administration (DPSA), the Department of Cooperative Governance and Traditional Affairs (CoGTA) and the Public Service Commission (PSC). The entities in the centre of government “have an essential role to play in ensuring that human, financial and other resources are well used to achieve the greatest impact” (Presidency 2005, p. 11) and is reflected in Figure 5.2.

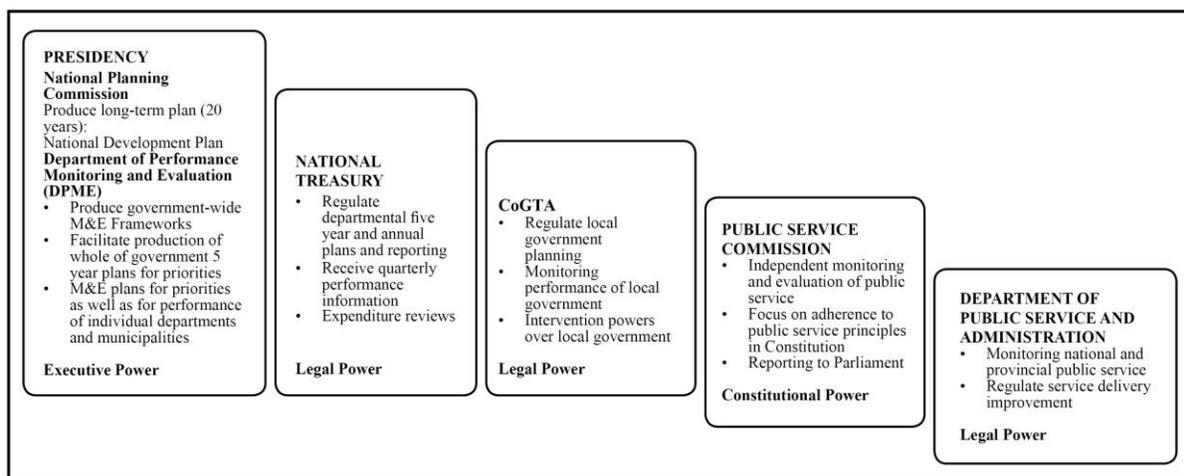


Figure 5.2: Governance context of the GWMES: Centre of government (developed by researcher)

As each of the national departments mentioned above has a particular mandate, information needs to centre on data being accessible and appropriate. The GWMES must provide such data and M&E needs to assist in improving the delivery of services, instead of simply supplying information regarding the services dispensed and reporting on the use of the budget (APRM 2006, p. 26). The departments at the centre of government in the provincial sphere are discussed in *Chapter 6.2.3*.

As regards the link between performance budgeting and M&E, the enactment of the Public Finance Management Act 1 of 1999 and the Local Government: Municipal Finance Management Act 56 of 2003 improved the regulation of public expenditure. Another question for the public sector has been the more effective application of resources. The GWMES encourages the submission of evidence-based policy development (AFReC 2009b, p. 10). Evidence-based policy development is defined as the “systematic application of the best available evidence to the evaluation of options and to decision-making in management and policy settings. Evidence can come from any of the three data sources outlined in the GWMES: programme performance information, evaluation and census data/statistics as well as from research studies and local community information” (Presidency 2007, p. 22). The presentation of evidence-based policy development is encouraging in the context of the Medium-term Expenditure Framework (MTEF) budget cycle and for planning across the three spheres of government. These management functions concentrate on the priorities of government between the competing claims from citizens. M&E information can assist with the decision-making by government by supplying evidence regarding more economical types of government action, for instance different development interventions that support performance budgeting.

As regards the link between auditing and M&E, the Constitution allows for various independent institutions assigned to monitor and encourage active service delivery; the Auditor General (AG) being one. The mandate of the AG “is to audit and report on the accounts and financial management of all spheres of Government and public-funded bodies” (APRM 2006, p. 48). The Public Audit Act 25 of 2004 necessitates that the AG must conduct an Audit of Pre-determined Objectives (AoPO) and state an opinion on the reported information of the performance of government departments audited against predetermined objectives (AFReC 2009b, p. 23). After the 2005/06 financial year-end, the AG provided reports on gaps in policies, systems and procedures as regards the performance information of departments. From the 2011/12 financial year audit cycle the AG has also expressed an audit opinion on the quality of performance information. The AG, as a public sector oversight mechanism, has placed “further pressure on the South African government for more effective resource utilisation and to improve its capacity to plan and execute its service delivery mandate” (Morkel 2012, p. 16).

b. Objectives and principles of the government-wide M&E model

The objective of the GWMES “is to contribute to improved governance and enhance the effectiveness of public sector organisations and institutions” (Presidency 2005, p. 14). Comprehensive M&E would have an early warning function to allow for interventions to be made where necessary and be able to detect inconsistencies, lack of coherence and to track progress and/or problems in service delivery and policy implementation. The system is “to collect, collate, analyse, disseminate and apply the information on the progress of programmes in order to ensure transparency and accountability, promote service delivery improvement and compliance with statutory and other requirements as well as a learning culture in the public sector” (Presidency 2007, p. 5). The implementation of the model aims to continuously improve the quality of M&E practice in government (SAMDI 2006). In line with these aims, the GWMES as a model attempts to instil a culture of RBM (see *Chapter 3.3.2.4*). This approach complements other reforms such as the move towards performance budgeting and performance management.

c. Roles and responsibilities of key stakeholders in the M&E process

The *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007) distinguishes between the roles and responsibilities in relation to the legal mandate of the GWMES (see *Section 5.3.6.2*) and the institutional roles and responsibilities.

The roles and responsibilities of key government stakeholders in line with the legal mandate of the GWMES are reflected in Figure 5.3.

INSTITUTION	LEGAL MANDATE	ROLES AND RESPONSIBILITIES
PRESIDENCY	Section 85 of the Constitution	<ul style="list-style-type: none"> Coordination, M&E and communication of government policies and programmes Evaluation of the implementation of government strategy, including its impact as measured against desired outcomes
NATIONAL TREASURY	Sections 215 and 216 of the Constitution Public Finance Management Act 1 of 1999 Local Government Municipal Finance Management Act 56 of 2003	Ensure that information on inputs, activities, outputs and outcomes underpins planning, budgeting, implementation management and accountability reporting in order to promote effectiveness as well as transparency and expenditure control
DEPARTMENT OF PUBLIC SERVICE ADMINISTRATION	Public Service Act of 1994	<ul style="list-style-type: none"> Responsible for public service transformation to increase effectiveness and improve governance Acts as custodian of public management frameworks, performance and knowledge management and service delivery improvement
PUBLIC SERVICE COMMISSION	Sections 195 and 196 of the Constitution	<ul style="list-style-type: none"> Monitor the organisation and administration of the public service Evaluate achievement, or lack, of government programmes Promote values and principles of public administration
CoGTA	Chapter 3 and 7 of the Constitution, Local Government Municipal Structures Act 117 of 1998 Local Government Municipal Systems Act 132 of 2000	Develop national policies and legislation for provinces and local government, monitor their implementation and support them to fulfill their constitutional and legal mandate
SOUTH AFRICAN MANAGEMENT DEVELOPMENT INSTITUTE	Chapter 11 of the Public Service Act of 1994	Provision of training in the public service
AUDITOR GENERAL	Section 20 of the Public Audit Act 25 of 2004	<ul style="list-style-type: none"> Audit financial statements and statements of programme performance by departments Express an opinion or conclusion on reported information
STATISTICS SA	Statistics Act 6 of 1999 (Sections 14(6), 14(7) and 14(8))	<ul style="list-style-type: none"> Advise an organ of state on the application of quality criteria of statistics Designate statistics produced by other organ of state as official statistics
PROVINCIAL OFFICES OF THE PREMIER	Chapter 3 of the Constitution Section 125 of the Constitution	<ul style="list-style-type: none"> Develop and implement provincial policy Implement national policies in concurrent functional areas Coordination of the functions of provincial departments

Figure 5.3: Roles and responsibilities in relation to the legal mandate of the GWMES (Presidency 2007, p. 7)

In the *Policy Framework for the Government-wide Monitoring and Evaluation System (2007)* legislators and councillors, executive authorities, accounting officers, programme managers, other line managers and officials and designated M&E units are identified as having institutional roles and responsibilities in relation to the GWMES (Presidency 2007, p. 14) (Figure 5.4).

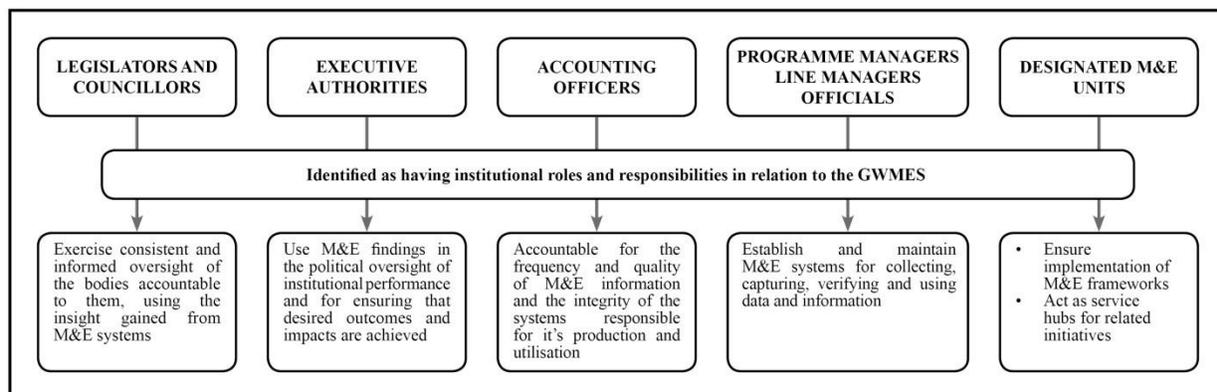


Figure 5.4: Institutional roles and responsibilities in relation to the GWMES (Presidency 2007, p. 14)

d. Organisational structure supporting M&E

In *The Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* (Presidency 2008b) it is indicated that a various organisational structures can be contemplated. Consideration should be given to the scope and recognition of M&E by Executive Authorities and accounting officers, and where the M&E unit is located in the department. It is not useful to prescribe structures given the differences across organisations. The approach taken in the 2008 Guide was to outline a generic structure that should reflect functions relevant to M&E. How the more complete structure can be configured, should be left to the M&E practitioners in the departments to develop in reaction to the prevailing context (Presidency 2008b, p. 29).

e. Organisational learning

As it is important to find ways in which M&E can foster organisational learning, the Presidency utilises M&E Learning Network forums as a vehicle. The forums provide the prospect of communicating accounts of success in the M&E setting and presenting information on comparable practices from the international community, as well as allowing M&E practitioners to create networks (Engela and Ajam 2010, p. 9). Learning Networks were held on two occasions in 2007 and were attended by more than 300 contributors, government officials and international experts. Although these forums required intensive organisational effort, it would have been ideal if additional forums could have taken place. In the past the Presidency had supported an M&E Network but this was not sustained.

However, during 2010 the DPME initiated a process to develop a mechanism for ongoing support to the Learning Network. The intention was to involve key government and nongovernment stakeholders to develop M&E practice in South Africa. The Programme for Support to Pro-Poor Policy Development (PSPPD), a partnership between the Presidency and the European Union, has supported the development of a conceptual base for such a network and has indicated that it would fund some elements of the Network (Matomela 2010). Subsequent to this initiative, three M&E Learning Network forums were held during 2011, focusing on Evaluation in Government, Impact Evaluation and M&E Systems in Latin America.

f. Capacity-building in M&E

The need to build capacity to support the GWMES as a model was identified (Presidency 2007, p. 15). Skills such as research, statistical, data and policy analysis and report writing are required (Masiteng 2004). The South African Management Development Institute (SAMDI, since reconstructed as Palama) is responsible for capacity-building in the government and is formally sanctioned as part of the M&E policy implementation (Van der Westhuizen 2008, p. 12). The intention is to develop one core training manual and the training would be based on the GWMES in particular, not just on M&E in general. It was anticipated that adopting this approach would ensure that many self-proclaimed M&E experts would not be able to market their training, as GWMES training would be done for government by government agencies. Different facilitation guides would ensure that the level and complexity for the target beneficiaries are addressed. In practice, this means that when an M&E manager is being trained, the complexity and depth of the training would be commensurate with the M&E responsibilities that the person has to fulfil. The same applies to frontline staff that has basic M&E responsibilities, for instance, recording information on client contact or services rendered. Adopting this approach would result in a certain level of uniformity in the terminology as well as an understanding of M&E in the GWMES (SAMDI 2006). SAMDI released two guideline documents supporting the GWMES, the *SAMDI M&E Curriculum Framework* during 2007 and the *SAMDI M&E Orientation Course Manual* in 2008.

SAMDI underwent a process of reconstitution as an academy for the public service, the Public Administration Leadership and Management Academy (Palama). During 2009, Palama developed and piloted the curriculum on M&E training. The *Curriculum Framework* that supports M&E capacity-building identifies target groups for training; these include M&E practitioners, M&E managers, project and line managers, data capturers and M&E users, including oversight bodies (Maja 2010).

A number of training and professional development courses on M&E are supported by graduate programmes presented at universities in South Africa. The Centre for Research on Science and Technology at the University of Stellenbosch presents a Postgraduate Diploma in M&E Methods. This one-year course is delivered in an intensive mode of classes to be attended, interspersed with self-study. The School of Health Systems and Public Health at the UP, in collaboration with the MEASURE Evaluation Project, focus on M&E in their Master of Public Health degree program. The Graduate School of Public and Development Management at the University of the Witwatersrand presents electives on M&E as part of their Master's Degree programme in Public and Development Management as well as in Public Policy (Rogers 2007).

Capacity-building in M&E is also supported by the South African M&E Association (SAMEA). SAMEA “strives to cultivate a vibrant community that will support, guide and strengthen the development of Monitoring and Evaluation (M&E) as an important discipline, profession and instrument for empowerment and accountability in South Africa” (www.samea.org.za). SAMEA was founded in 2005 and held its inaugural conference on 28-30 March 2007 in Johannesburg, South Africa. The theme of the conference was “Evaluation in Action”. SAMEA’s mission is include the development of M&E “as an important discipline, profession and instrument for empowerment and accountability” (Morkel 2012, p. 18). Membership of SAMEA is open to any individual having an interest in M&E. SAMEA is expected by role players in M&E to contribute towards building a community of practice on M&E (Naidoo 2011, p. 17) and to endorse the acknowledgement of M&E as an occupation (Morkel 2012, p. 18).

5.3.6.3 Data component of M&E in South Africa

In relation to the data component of M&E in South Africa, the data sources for the GWMES, statistical systems and data quality, the range of M&E products and IT as enabler in an M&E system are discussed.

a. Data sources of the government-wide M&E model

The GWMES draws from three data sources (Presidency 2007, p. 7). The data sources of the GWMES are broken down into (a) Programme Performance Information, (b) Social, Economic and Demographic Statistics, and (c) Evaluation. To arrive at these data sources, there had to be conceptual agreement as to what the procedure entailed in understanding the work processes and related interdependencies by all role players. Programme Performance Information is to be derived from registers and administrative data sets kept by departments. The social, economic and demographic statistics data source covers data collected by Statistics SA (Stats SA). The data is collected through the census and other surveys, and statistics collected by various government institutions (Engela and Ajam 2010, p. 3). Each of these three components is referred to as a data source, which can essentially be understood as sources of data, being supported by frameworks as reflected in Figure 5.5.

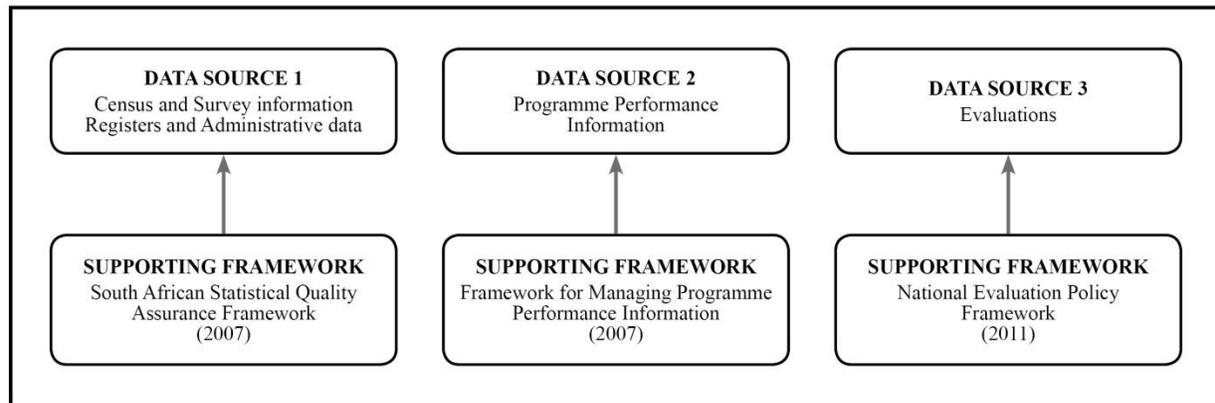


Figure 5.5: Data sources of the GWMES and supporting frameworks (developed by researcher)

The *Framework for Managing Programme Performance Information (2007)*, *South African Statistical Quality Assessment Framework (SASQAF) (Stats SA 2008b and 2010)* and the *NEPF (2011)* provide detail as regards the three abovementioned data sources.

Framework for Managing Programme Performance Information (2007)

In May 2007 the National Treasury published the *Framework for Managing Programme Performance Information (FMPPI) (National Treasury 2007)*. The framework relates to the motivation for monitoring performance in that what gets measured gets done. The principle of the National Treasury is that if an organisation is aware that its performance is being monitored, it can be expected to carry out the necessary tasks within the prescribed parameters (National Treasury 2007, p. 7).

Through this framework, National Treasury attempts to make its role more effective in providing information about the procedures required to develop performance indicators and the core set of performance information. This is to be done in collaboration with sector departments to ensure service delivery across provinces and municipalities (National Treasury 2007, p. 11).

The FMPPI provides guidelines on the information to be used to monitor performance. It states that information for M&E should be related to a set of indicators, targets, baselines and standards. Indicators must be compiled to measure aspects useful from a strategic, management and accountability perspective. Performance indicators should therefore be well-defined, appropriate, reliable, verifiable, cost-effective, and relevant (see *Chapter 3.5.3.1*). Indicators that measure inputs, activities, outputs, outcomes and impacts should be utilised (National Treasury 2007, p. 7).

When a group of appropriate performance indicators has been developed, the level of performance to be achieved should be specified; this involves setting targets related to current baselines. Performance targets indicate a “detailed level of performance that the organisation aims to achieve within a given time period” (National Treasury 2007, p. 9). Targets should be included in the planning document and used as measurements to monitor performance.

The emphases of the FMPPI is specifically on obtaining information to be used to monitor effective programme performance. Utilising available data is critical for improved decision-making and for this reason the use of programme performance information must be an essential part of management within the government planning cycle.

Social, economic and demographic statistics: South African Statistical Quality Assessment Framework (2008 and 2010)

During 2008 Stats SA released the SASQAF based on the International Monetary Fund’s Data Quality Assessment Framework and customised to address local environments (Engela and Ajam 2010, p. 11). The framework presents the eight criteria to assess and certify statistics produced by government departments in line with “eight dimensions: relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness and integrity” (Stats SA 2010, p. 4). SASQAF’s components provide detailed criteria for the preconditions for statistics as well as criteria for each of the eight dimensions. An institution’s statistics can be rated against these detailed criteria and be graded into a number of levels, from level one being the poorest quality to level four being the highest quality statistics.

Knowledge of the SASQAF is imperative to ensure the collection of performance data to assist in monitoring the achievement of performance outcomes and impacts. Even though these requirements apply within the SASQAF in respect of statistical information, they can be applied to all information collected to monitor and evaluate performance. A second edition of SASQAF was published in 2010 where it was stated that the function of official statistics as provided by Stats SA is to assist organs of state to monitor or assess policies and for decision-making purposes (Stats SA 2010, p. 4). Based on this statement, the aim of the data and information provided by Stats SA is to support and guide government decision-making.

National Evaluation Policy Framework (2011)

During 2011 the NEPF was published by the DPME in the Presidency. This policy framework is discussed in more detail in *Section 5.3.8* in this Chapter.

It is anticipated that the data sets that are published in the annual Development Indicators (see *Section 5.3.6.4*) will be disaggregated on a more comprehensive geographical basis. A GIS platform will make this possible. From a government planning perspective, this information will be useful particularly for rural development planning (Engela and Ajam 2010, p. 7).

b. Statistical systems and data quality

Following the release of the second edition of the SASQAF in 2010, the demand for quality assessment of data has increased from different stakeholders. To provide additional support in improving the assessment of data, Stats SA has updated its *Data Quality Policy* (which was initially developed in 2006) in 2010. The *Data Quality Policy* “defines data quality in terms of fitness for use” (Stats SA 2010, p. 12). This refers to the extent to which a set of intrinsic features fulfils user requirements and places reliance on the planned use and characteristics of the data.

Within the National Statistics System (NSS), SASQAF differentiates between national statistics and official statistics. National statistics sets refer to “those in the public arena, but which the Statistician-General has not certified as official in terms of section 14(7)(s) of the Statistics Act 6 of 1999” (Stats SA 2010, p. 10). These include surveys, registers and administrative data from the three spheres of government, for example the number of patients treated for a specific illness in clinics, number of houses constructed, licenses issued, roads constructed, etc. Official statistics are regarded as credible and provide a robust basis for policy development, planning, budgeting and M&E. For statistics to be declared as official, certain criteria are necessary before assessing the data, including that the “statistics should meet user needs beyond those specific and internal to the producing agency” (Stats SA 2010, p. 10).

There is a need for an integrated system of national statistics in South Africa to supply stakeholder needs for data, to facilitate production of quality data and to support the building of statistical capacity within this context, thus Stats SA play an integral role in the GWMES.

c. Range of M&E products

A range of M&E products has been developed to deliver reliable, accurate and useful sources of information to strategic decision makers such as those in the centre of government (Engela and Ajam 2010, p. 29). The M&E products, as identified in the *Policy Framework for the Government-wide M&E System* (2007, p. 7), are reflected in Figure 5.6.

Monitoring the Programme of Action (PoA)	Public Management Watch (PMW)	Service delivery targets and non-financial indicators in the Annual Performance Plans	Functionality Assessment	Public Sector Evaluations	Monitoring of the 5 year local government agenda
Presidency	Department of Public Service and Administration	National Treasury	Presidency	Public Service Commission	Cooperative Governance and Traditional Affairs
The Presidency publicises the most important focus fields during the annual opening of Parliament in the SONA. These priority focus areas are then defined and translated into the PoA. On the basis of information provided, progress on the implementation of these priorities is reported to Cabinet on a bi-monthly basis. (Engela and Ajam 2010, p. 7)	A system to assess human resources practices produces a quarterly report, the PMW is an indicator focused initiative that diagnoses the working environment within the Public Service, enabling government to implement proactive measures to minimise disabling factors. (Engela and Ajam 2010, p. 12)	Monitoring the service delivery targets and non-financial indicators in the APPs monthly and quarterly reports. This reporting process culminates in an annual review of performance, the Annual Report. (Engela and Ajam 2010, p. 8)	Early warning system to provide evidence of the functionality of national government departments. Indicators are tracked to assess the level of service delivery. Reviews public opinion surveys. (Engela and Ajam 2010, p. 8)	Promote compliance with the nine constitutional values and principles (CVPs). Sector specific reports on the compliance to the CVPs are produced. The Annual State of the Public Service Report assess adherence by national and provincial departments to the principles of public administration enshrined in the Constitution. (Naidoo and Henning 2012, p. 5) (PSC 2007, p. 2) (Van der Merwe and Mathe 2012, p. 29)	Agenda is comprised of three priorities: 1. To mainstream hands-on support for improving municipal governance performance and accountability 2. To address the structural and governance arrangements that are designed to support and monitor local government 3. To strengthen the policy, regulatory and fiscal environment (Engela and Ajam 2010, p. 12)

Figure 5.6: M&E products of the GWMES (developed by researcher)

d. IT as enabler in an M&E system

The GWMES is depicted as a composite system that draws upon subsystems of information. Data collected through the system will be warehoused and portions of it presented to specific users using dashboards constructed to their requirement (Presidency 2009a, p. 1).

5.3.6.4 Analytical component of M&E in South Africa

In relation to the analytical component of M&E in South Africa performance indicators and systems integration, as part of sustaining the M&E system, are discussed.

a. Performance indicators

In 2007 the PCAS in conjunction with the Clusters of Directors General released the Development Indicators Mid Term Review. Based on a set of core development indicators of human development in South Africa as approved by Cabinet, the publication provided information on the development of the South African society (Presidency 2008a, p. 1). Aggregate data was compiled for each of the 72 indicators in the Development Indicators Mid Term Review (2007) summarising the trends for the period 2004 to 2007. The “information sourced from official statistics and research by local and international institutions was clustered into ten broad themes” (Presidency 2007, p. 1), including poverty and inequality.

The 2008 Development Indicators retained the format of the 2007 edition. “For each indicator, the government’s policy goal is described, a trend analysis is provided indicating specific policy interventions, a data table and graph (where applicable) are supplied, information on the definition, data sources and notes on the calculation are provided” (Presidency 2009b, p. 1). Some of the 72 indicators were reviewed, resulting in the 2009 Development Indicators reflecting progress on 76 indicators.

Subsequent Development Indicators were published in 2010 and 2011. In August 2013 the 2012 edition was released. In the Foreword to the 2010 Development Indicators, the Minister in the Presidency responsible for the NPC indicated that this M&E product (see *Section 5.3.6.3*) released during the last months of 2010, came “at a right time with the launch of the outcomes methodology under the leadership of the Department of Performance Monitoring, complementing the data that enables government to improve its performance and for citizens to hold us accountable for our performance” (Presidency 2010a, p. 1).

b. Systems integration

Based on international experience, centralised “M&E systems that are not integrated into” departmental information systems create duplicate processes and produce information that lacks integrity and cannot be verified and audited (OECD 2006, p. 28). The GWMES aims to synchronise existing systems and fill any gaps in the information that is collected. During the presentation on the M&E Framework: Implications for Government to the Senior Management Service Conference in 2004, the government model for systems integration at national level was introduced (Masiteng 2004). The model is reflected in Figure 5.7.

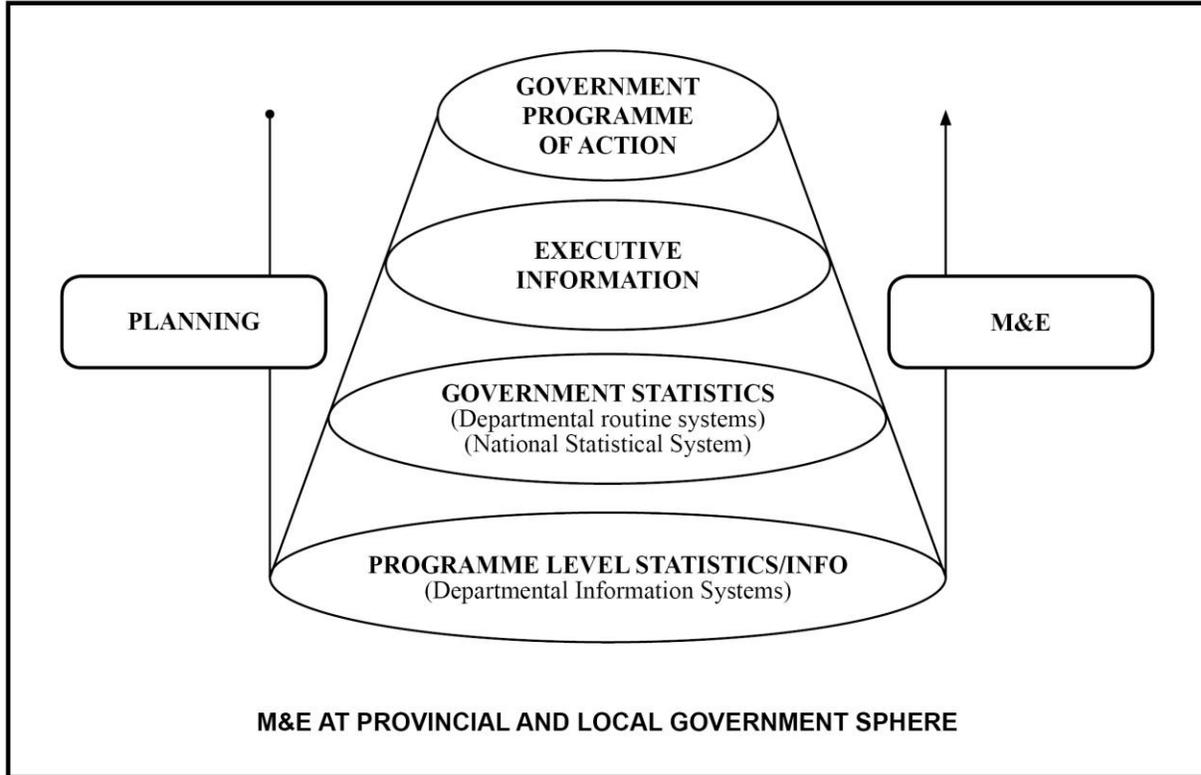


Figure 5.7: Government model for systems integration at national level (Masiteng 2004)

The systems supporting the GWMES model are transversal M&E systems (Table 5.3), departmental information systems and statistical systems. The institutional areas of coverage of the systems range from crosscutting and government-wide initiatives, cluster-based activities and provincial M&E activities to departmental initiatives. The functional areas of M&E coverage included governance and process, programme activities, outputs and delivery as well as outcomes and impacts.

Table 5.3 Transversal M&E Systems (Levin 2005c)

M&E SYSTEM	LEAD DEPARTMENT
Public Service Commission (PSC) M&E System	PSC
Cluster matrix of indicators	Presidency
Programme of Action	Presidency
Nonfinancial reporting	National Treasury
In Year Monitoring	National Treasury
Public Management Watch	DPSA
Annual Human Resource Report	DPSA
Sector specific systems	Health, Education, Social Development
Provincially based systems	Office of Premiers

5.3.7 Overview of the 2009-2012 M&E system

5.3.7.1 Introduction

Goldman, Engela, Akhalwaya, Gasa, Leon, Mohammed and Philips (2012, p. 1) are of the opinion that “there has been a major shift in emphases concerning M&E since 2009, partially stimulated by a political need to improve service delivery, but also from the extensive exposure of both technocrats and political leadership to international experiences”. Since 2009, additions have been made to the GWMES as a model related to an Outcomes approach to M&E (2009), Frontline Service Delivery (2011) and institutional performance M&E (2012). The evaluation data source of the GWMES is taking the form of the National Evaluation System (2011). To support the abovementioned additions, a number of institutional arrangements have been put in place and they are discussed in *Section 5.3.7.2*.

5.3.7.2 Post-2009 institutional arrangements for the government-wide M&E model

During 2009 the Presidency reported to Cabinet that the entities instituting the planning function at the centre of government should ensure that state actors not only take active responsibility for decisions and implement the decisions, but that the M&E of government performance is to be given a central focus. An M&E unit with dedicated expertise and resources linked to the planning function should focus on service delivery outcomes, the performance of various departments and progress in meeting the objectives of government (Presidency 2009a, p. 3).

In the 2009 SONA (Zuma 2009, p. 13) the importance of M&E was highlighted as it was announced that a Ministry in the Presidency would be established to “strengthen M&E of service delivery and

implementation of programmes by government. The priority was to strengthen and stimulate the performance of government to ensure that government programmes yield the desired” outcomes. During the draft Budget Vote for the 2009/10 financial year, the Minister in the Presidency for Performance Monitoring and Evaluation stated that the performance of government initiatives in all spheres needed to be consistently assessed (Chabane 2009, p. 1). Subsequently the NPC and the DPME were established in the Presidency.

a. National Planning Commission

The NPC is the expression of the efforts of the South African Government to improve planning over the long-term. During 2012 the NPC completed a NDP 2030 for South Africa titled “Our future – make it work”. The aim of the NDP is to provide a road map on what should be done to address the development challenges in the country (see *Section 5.2.2.4*).

b. Department of Performance Monitoring and Evaluation

During September 2009 the Presidency published the Green Paper on *Improving Government Performance: Our Approach*, a paper representing the first step in policy development. The Green Paper was approved by Cabinet, opening the way for public submissions. The Green Paper emphasises the need to “develop the capability to monitor the performance of government, evaluate the impact of programmes and to intervene where performance is not optimal” (Manuel 2009, p. 2). The focus in M&E must be to develop an M&E system for government priorities, including rural development. The Green Paper provides the framework for the activities of the DPME, with the intention of interpreting the electoral mandate of Government into defined outcomes. It also supplements the 2009 *Green Paper on National Strategic Planning* and envisages reforms, which will facilitate improvements towards achieving a development state.

M&E is required to oversee the achievement of plans as the NDP and the establishment of the DPME clearly demonstrated the necessity of M&E to ensure a public service that performance-oriented as asserted in the 2011 SONA that “our Monitoring and Evaluation Department will coordinate and monitor the work of government departments closely” (Zuma 2011, p. 24). In close collaboration with the NPC, the DPME plays a vital role in creating expectations for enhanced outcomes and measurement thereof across Government.

5.3.7.3 Outcomes approach of the government-wide M&E model (2009)

In 2009, government translated the five priorities identified at the 2007 Polokwane Conference of the ANC into ten priorities in the MTSF, amongst others: “creation of decent work and sustainable livelihoods, education, health, rural development, food security and land reform and the fight against crime and corruption” (Presidency 2009d, pp. 7-8). The DPME initiated a process of defining outcomes, developed against the Manifesto of the ANC and the MTSF priorities. Various versions of the list of outcomes were discussed at several key government meetings. In January 2010, Cabinet adopted and approved 12 priority outcomes, as reflected in Table 5.4.

Table 5.4: Twelve priority outcomes and their intended focus areas (Presidency 2010b, p. 13)

OUTCOME	FOCUS AREAS
“Outcome 1	Quality basic education
Outcome 2	A long and healthy life for all South Africans
Outcome 3	All people in South Africa are and feel safe
Outcome 4	Decent employment through inclusive economic growth
Outcome 5	Skilled and capable workforce to support an inclusive growth path
Outcome 6	An efficient, competitive and responsive economic infrastructure network
Outcome 7	Vibrant, equitable, sustainable rural communities contributing towards food security for all
Outcome 8	An efficient, competitive and responsive economic infrastructure network
Outcome 9	Responsive, accountable, effective and efficient local government system
Outcome 10	Protect and enhance our environmental assets and natural resources
Outcome 11	Create a better South Africa, a better Africa and a better world
Outcome 12	An efficient, effective and development oriented Public Service and an empowered, fair and inclusive citizenship”

In the Green Paper on *Improving Government Performance: Our Approach* (Presidency 2009c) it is stated that government needs to be more efficient in improving the quality of service delivery. Within the above framework output and outcome measures must be used to encourage behavioural changes and develop a culture of performance. Information from the process can be used to comprehend why policies and implementation approaches function and how those not functioning properly can be improved. Data obtained through M&E process should be used to inform planning. This necessitates a change in emphases from inputs such as budget, human resources and equipment to managing for outcomes. The *Guide to Outcome Approach* (Presidency 2010b), published by the Presidency in 2010, provides the framework for achieving this delivery chain. When outcomes are monitored and evaluated, the supporting results chain of inputs, activities and outputs will receive the most consideration. The Outcomes approach is built on the principle that the three spheres of government must work together to achieve

outcomes. Achieving an outcome requires quick actions and actual service delivery outputs from key stakeholders. No single department or sector can achieve an outcome on its own, but collectively as the whole of government, success may be achieved. The Outcomes approach does not displace, but builds on the GWMES as a model (AFReC 2009a).

As regards to the Outcomes approach, the Presidency stated “One of the key factors that has shaped our progress as government is the performance M&E approach that this fourth administration introduced. It has enabled us to identify loopholes in the Government-wide system and to hold government departments accountable. This is a significant move on the part of government as it shows that we are acknowledging and addressing the challenges that impede our people from living a better life” (Presidency 2012d, p. 3).

The M&E of the outcomes, specifically Outcome 7, is discussed in detail in *Section 5.4.1.4*. The roles of implementation forums, the DAs, the implementation, monitoring, reporting and evaluation of Outcome 7 and the review of Outcome 7 DA are discussed based on the *Guide to the Outcomes Approach*.

5.3.7.4 Frontline Service Delivery (2011)

During 2011 the DPME developed a framework for FLSD monitoring. The aim of FLSD monitoring is to assist in improved accountability of government to the public at local level. Through FLSD monitoring citizens are empowered with information about service delivery and provided with ways to engage with government to effect improvements. The “FLSD has three components”, namely oversight “visits by officials in DPME and the Offices of the Premiers to service delivery” sites to monitor the condition of FLSD, the development of an organised “approach for citizen-based monitoring of FLSD, and executive visits to an area or institution by the President, Deputy President, Minister or Deputy Minister accompanied by officials” (Philips 2012, p. 15).

The “differentiating characteristic of FLSD is that it focuses on monitoring the experiences of citizens” at the receiving end of public services. Service delivery is analysed from the perspectives of citizens. Results feed into initiatives to improve FLSD. During the executive visits data are collected to monitor service delivery indicators, such as the length of time citizens spend waiting in queues and turnaround times for pension applications. The data is analysed and information provided to the management of service delivery institutions and departments to consider when improving FLSD. FLSD monitoring is carried out in collaboration with the OtP, provincial departments, municipalities and citizens (Philips 2012, p. 15).

5.3.7.5 Institutional Performance Monitoring and Evaluation – Management Performance Assessment Tool (2011)

The DPME, in partnership with the centre of government (see *Section 5.3.6.2*), developed a Management Performance Assessment Tool (MPAT) in 2011. The development drew on international experience of countries where the centre of government engages in performance assessment as a means of driving improvement, for example the Canadian RMAF (see *Chapter 4.2*). The aim of the MPAT is to determine the efficiency and effectiveness management practices of departments. It is believed that the MPAT will yield results because it will consolidate existing monitoring tools and develop new tools in areas of management where tools are currently underdeveloped. The “theory of change behind this is that if management practices are effective and efficient, they should lead to the achievement of outcomes” (Philips 2012, p. 14). The MPAT is a key instrument for achieving Outcomes 9 and 12 (see *Section 5.3.7.3*). The DPME leads the performance monitoring process of national departments. Offices of the Premiers embark on the performance assessments of departments at provincial level. Reports on results are processed to Cabinet (Philips 2012, p. 14).

5.3.8 Overview of the national evaluation system (2011)

5.3.8.1 Introduction

Since 2005 progress has been made in conceptualising the GWMES as a model for M&E. However, little activity has occurred in relation to evaluation. Prior to 2011, the majority of national and provincial departments that participated in or conducted evaluations were determined by the requirements of the donor concerned against the specific milestones with very little input by the national and provincial departments. In cases where M&E was commissioned by government, it was designed, conducted and analysed by external evaluators without formal approaches related to utilising the results to further strategic aims. This was further exacerbated by inadequate capacity within government to drive the evaluation process, determine the objectives and contribute to the design, implementation and analysis of information gathered during the evaluation. The results and recommendations emanating from the evaluation as lessons which allowed for the identification of the types of programmes with the highest possibility of success, as well as those factors which would most probably contribute to that achievement, were not utilised (PSC 2005, p. 5).

5.3.8.2 National Policy Evaluation Framework (2011)

The Presidency developed the NEPF in 2011. The aims of the NEPF are to enable the implementation of evaluation systems across the three spheres of government, inspire departments to consistently evaluate their programmes and give direction on the overall method to be implemented (Presidency 2011b, p. 1). However, the Presidency (2011b, p. vi) admits that the application of the framework will be gradual and that capacity-building to conduct evaluations should be a priority.

After the approval by Cabinet in November 2011, the NEPF was published by the DPME. With the publication of the framework, the GWMES now has a complete set of guidelines and the foundation for consistent assessment of government's service delivery performance has been laid. The emphasis is on the evaluation of policies, sector and multisectoral plans, programmes and projects of significant public interest.

In the NEPF six types of evaluation are identified: "Diagnosis, Design Evaluation, Implementation Evaluation, Impact Evaluation, Economic Evaluation and Evaluation Synthesis" (Presidency (2011, p. iii). These evaluations can be conducted during the various stages of the implementation of development interventions (see *Chapter 3.5.3.5*).

The implementation of the NEPF is guided by the principles in evaluation as contained in the *Policy Framework for the GWMES (2007)* (see *Section 5.3.6.2*). As such, evaluations should:

- Be based on the objectives of the programme;
- Be inclusive of all stakeholders involved in the development;
- Be programme orientated;
- Promote learning;
- Advance government's transparency and accountability; and
- Consider other relevant programmes, which have direct influence on the programme being evaluated (Presidency 2007, p. 3).

These principles were also emphasised when the DRDLR and the DPME commissioned an implementation evaluation of the CRDP in 2012 (see *Section 5.4.1.3*).

5.3.8.3 National Evaluation Plan (2012)

In November 2012 the Cabinet approved the *National Evaluation Plan* (NEP) (Presidency 2012f). Whereas the NEPF sets out the approach to institutionalise evaluation in South Africa, the NEP provides detail of the evaluations to be conducted in line with the national priorities (Presidency 2012f, p. 1). The relevant departments conduct the evaluations with the DPME providing technical support. The findings of the complete evaluations will be available to citizens. Departments are expected to provide improvement plans founded on the evaluation (Presidency 2012f, p. 1).

5.4 SOUTH AFRICAN PERSPECTIVE ON THE M&E OF RURAL DEVELOPMENT

This section presents the South African perspective on the M&E of rural development aligned to the rural development initiatives implemented since 1994, as discussed in *Section 5.2.1*. The M&E of specifically the RDP, ISRDP, CRDP and Outcome 7 is analysed, after which the challenges experienced with the M&E of rural development in South Africa are discussed.

5.4.1 M&E of rural development strategies

This section commences with the M&E of the RDP, followed by the ISRDP, CRDP and finally, Outcome 7. The M&E of rural development strategies in South Africa is explored and described in terms of institutional, data and analytical components.

5.4.1.1 M&E of the Reconstruction and Development Plan (1994)

The South African Government indicated that the M&E of the RDP would be applied to government as a whole to ensure the development of RDP priority areas. The RDP was formulated with the objective of addressing poverty and decreasing disparity between citizens of the country. However, the formulation of poverty-alleviation policies was being disadvantaged by the absence of baseline data concerning poverty. Policies cannot be conveyed without details about the poor, the extent of the poverty and the geographical location of the poor (Whiteford, Posel and Kelatwang, 1995, p. 1).

The *RDP Policy Framework*, developed by the ANC, included guidance on the M&E of the RDP. The policy framework indicated that key indicators had to be developed and that the impact of the RDP be measured, based on those indicators (ANC 1994, p. 141). It was foreseen that high-level indicators,

revealing the overall performance of departments on the implementation of programmes, would be reported on a regular basis to the President and the Cabinet. The proposal was that an annual evaluation of the RDP should be submitted to Parliament and that this evaluation would be composed of indicators that specified the results of all funded programmes.

Development programmes should be based on business plans to increase efficiency and the effective use of resources. It was anticipated that business plans should provide measurable outputs and provide for performance evaluation through indicators and their structure and that the template would ensure uniform performance appraisal (ANC 1994, p. 20).

Monitoring mechanisms should be established and the UNDP Human Development Index and other suitable indices be modified to reflect local conditions (ANC 1994, p. 44). Many indicators were still to be developed at that stage, but a number of macro-development indicators were identified, including child mortality, adult literacy rates and setting up of infrastructure.

At the provincial level, structures were proposed for the coordinated and integrated implementation of the RDP. Functions included policy development and implementation, legislative input and executive management and reporting. These structures and functions were proposed in a Discussion Document on the RDP, generated at an Interdepartmental Workshop held in October 1994 in the then Northern Transvaal Province and are reflected in Table 5.5. Specifically, the Special Cabinet Committee on the RDP comprised the key designated Members of the provincial Executive Councils (MECs). The RDP Office was assigned to carry out the M&E of programme implementation progress (Northern Transvaal Province 1994, p. 5).

Table 5.5: The RDP Planning and Management Model for the implementation and devolution of the RDP at provincial level

(Northern Transvaal Province 1994, pp. 4-7))

NATIONAL GOVERNMENT INPUT		POLICY STRATEGY PLANS		RDP PROGRAMMES AND IMPLEMENTATION PLANS		RDP PROJECT PROGRESS REPORT
POLICY AND STRATEGY FORMULATION <ul style="list-style-type: none"> • National government policies, goals and targets • Provincial priorities, needs, level of development • Environmental constrains and opportunities • Resource availability • Institutional capacity • Development infrastructure • Policy analysis 		PROVINCIAL PROGRAMMES AND PLANS <ul style="list-style-type: none"> • Infrastructure development • Institutional arrangement • Fiscal relations • Community involvement initiatives • Environmental management issues • Legal framework • Budgets • Private sector involvement 		IMPLEMENTATION OF RDP PROGRAMMES/PLANS <ul style="list-style-type: none"> • Resource allocation • Capacity development • Community involvement • Develop norms/standards • Accountability • Internal control procedures • Coordination mechanisms 		M&E <ul style="list-style-type: none"> • Budget control • Progress evaluation • Deviation analysis • Impact analysis • Problem analysis • Reporting

The national government would provide monitoring and performance resources for the RDP and that the provincial governments should conduct their M&E in such a way as to meet the prerequisites of the national sphere of government (Northern Transvaal Province 1994, p. 8).

5.4.1.2 M&E of the Integrated Sustainable Rural Development Programme (2001)

In *Section 5.2.1.2* the ISRDP was discussed regarding its goals, the focus being on the nodes with the greatest level of poverty in South Africa. The institutional, data and analytical component of the M&E of the ISRDP is subsequently explored and described. The role of evaluation of the ISRDP as an element is placed in the analytical component.

a. Institutional component of the M&E of the ISRDP

During 2006, the DPLG developed an M&E framework for the ISRDP and Urban Renewal Plan (URP); among others, the DPLG was responsible for the M&E of the ISRDP (Kole 2005, p. 29). The DPLG planned to follow a phased approach to operationalise the M&E framework focusing on the confirmation of indicators at different levels: role player education and buy-in. Role player education and buy-in were perceived as “crucial to the successful implementation of the M&E framework and will necessitate information and training sessions with the information champions in each District” (DPLG 2006, p. 63).

The ISRDP M&E framework included the monitoring of efforts and initiatives of role players. This was useful at an operational or district level in order to coordinate, consolidate and monitor development activities. The evaluation of the ISRDP focused on the quality of life of citizens in terms of the objectives of development. This was necessary at a strategic or national level to evaluate impact as it consisted of composite indicators that required service delivery and key performance indicators (DPLG 2006, p. 21).

The challenge in developing an M&E framework for the ISRDP and URP was to select a solution that would be effective and useful in coordination within government spheres; this could be undertaken by merging the service delivery results and goals of the many initiatives and role players without interfering with their internal systems’ designs (DPLG 2006, p. 21).

Monitoring progress against service delivery goals was not enough. The ISRDP M&E Framework design also supported a method of evaluating the crosscutting, qualitative key performance areas, which the ISRDP sought to achieve. Thus a multidimensional model was considered for the M&E framework for

the ISRDP. Monitoring performance examined the progress of the various sub-programmes against their particular goals and objectives. However, evaluation was the measurement of their impact in terms of the improvement of service delivery outcomes and improvement of the quality of life of citizens (DPLG 2006, p. 22). The focus of the framework was on both M&E and provided a monitoring perspective at district level and an evaluation perspective at national level.

The size and nature of the ISRDP meant that in order to evaluate it effectively, the M&E framework had to divide it into service delivery and functional objective areas; these, in turn, were broken down into focused subsets, each having its own specific goals. The needs defined in the district IDPs were recorded under each service delivery area and the progress made by the individual projects and programmes was evaluated in terms of addressing these requests, as well as how they were to be implemented in terms of realising crosscutting functional objectives. Given the level of cross-departmental coordination required, success would depend on the extent of the stakeholders' understanding of their individual roles in the process and where and how the change in objectives would affect the service delivery functions for which they were responsible (DPLG 2006, p. 25- 26).

b. Data component of the M&E of the ISRDP

The Stats SA data, which could be used to evaluate the impact of the ISRDP, was mostly related to the census data, which was the only survey data source present at the local municipal level where the nodes were located. Thus, impact could only be assessed once every five years, if and when the census was conducted.

The M&E framework of the ISRDS required the establishment of a MIS in the above conceptual design in order to remain relevant and current. The success and sustainability of any information system hinges on its usefulness to all role players, most especially those whose activities generate the base operational information used to produce their views. Experience has shown that the most successful approach is to tap into the existing information systems used by the functionaries to manage their operational functions and to use this information to produce the more consolidated views required by other players (DPLG 2006, p. 64).

Reporting typically takes the form of explanation or commentary on performance data or statistics, adding knowledge to a set of figures. It therefore follows that there need to be available data, in order to report progress or performance in terms of achieving the ISRDP strategic goals. The definition of a common

data set and the implementation of automated data acquisition systems form the foundation upon which a reliable and useful M&E system can be built (DPLG 2006, p. 65).

Two challenges were identified to bring about a reliable and useful M&E system (DPLG 2006, p. 65). Firstly, in order to produce consolidated views, a standard data format needed to be agreed on by local municipalities to monitor their key operational functions, as well as the crosscutting information elements used to monitor each of the functions' efficacies. In addition, in order to address the negative impact on local government resources in terms of the provision of information to other sector players, a practical and effective method needed to be agreed to automate data acquisition.

Secondly, the data acquisition systems of the other role players needed to be established to provide the framework with the required data in order to consolidate all initiatives with the IDP needs. This could be achieved by influencing how the local municipalities managed their functions and portrayed the live operational data from their information systems and provide basic systems where there were none (DPLG 2006, p. 65).

In order to present a suitably flexible model to cater for the integration of present systems and compatibility of future developments, it was proposed that a Dynamic Data Acquisition System (DDAS) be established, including a Municipal Data Set indicating standard minimum data for key areas. Existing and new systems would feed into the DDAS with provision being made for an ISRDP Repository and Knowledge Bank (DPLG 2006, p. 66).

c. Analytical component of the M&E of the ISRDP

The input indicators required for monitoring could be readily available from project tracking and programme or functional management information at the operational level. However, input indicators for evaluation are more difficult. Typically, the evaluation indicators are generated by surveys and studies, which occur only every few years. Statistics South Africa (Stats SA) produced useful data sets at more regular intervals for the development nodes, which had established baselines to indicate the trends (DPLG 2006, p. 26).

During 2002, Stats SA published a document, *Measuring Rural Development: Baseline Statistics for the Integrated Sustainable Rural Development Strategy*. The document covered the 13 rural nodes with the greatest level of poverty, as identified in the ISRDS (see *Section 5.2.1.2*). Stats SA was tasked with

providing baseline data on the nodes, against which development could be measured. Stats SA conducted a Social Development Indicators Survey in the identified nodal areas. The intention of the survey was:

- “To provide baseline information on the current levels of the need, access and use of services in those areas”; and
- “To provide reliable and easily measurable indicators for monitoring poverty and the effects of government programmes, projects and policies on the living standards of the people in the nodal areas” (Stats SA 2002, p. 12).

Baseline information covered selected indicators such as the unemployment rate, proportion of households with no income and number of households having access to land for agricultural purposes.

The performance of the various sub-programmes within the overarching ISRDP was to be monitored in terms of their progress compared to their objectives, planned time frames and budget. The activities would be reported by individual role players against service delivery and key performance areas to indicate the intended focus and bring about cross-departmental coordination (DPLG 2006, p. 33).

Impact was to be evaluated in terms of progress with the indicators associated to each of the strategic objective key performance areas. In order to effectively measure impact, existing information and M&E systems were to be used, as this would reduce cost and effort and be in line with the coordinated approach adopted by the M&E framework. This would include data from Stats SA, ISRDP associated departments and IDP progress reports (DPLG 2006, p. 34).

To explore and describe the evaluation studies conducted on the ISRDS, a sample of evaluation studies conducted between 2004 and 2011 has been assessed for the purpose of this research. The sample included:

- *Integrated Sustainable Rural Development Programme Phase 1 Evaluation: Nodal Review* (conducted by Everatt, Dube and Ntsime in 2004);
- *An evaluation of the Integrated Sustainable Rural Development Programme highlighting stakeholder mobilisation and engagement* (conducted by Kole in 2005);
- *Building sustainable livelihoods...an overview*, the Department of Social Development’s study on the ISRDP and URP (conducted in 2008);

- *An Evaluation of Integration and Coordination in the Integrated Sustainable Rural Development Programme* (conducted by the PSC in 2009); and
- *A Meta-evaluation of the Department of Social Development's study on the ISRDP and URP (2008)* (conducted by the PSC in 2011).

The *Integrated Sustainable Rural Development Programme Phase 1 Evaluation: Nodal Review* was conducted during 2004. The findings of the evaluation reflected the challenge of coordination of rural development interventions and the lack of skills to M&E the implementation of the ISRDS. Data from the questionnaires administered in the 13 nodes (see *Section 5.2.1.2*) indicated that 39 per cent of the Executive Mayors and Municipal Managers participating in the survey believed their grasp of the ISRDS was inadequate (Everatt, Dube and Ntsime 2004, p. 3). This indicated the importance of awareness campaigns to the strategy as eight per cent of all the respondents involved in the ISRDS thought it was an unconnected strategy (Everatt, Dube and Ntsime 2004, p. 4). (Prof: "...one in ten (8%) respondents – all of whom worked on the ISRDP- see it as a stand-alone programme") Respondents were sceptical about the capacity of the nodes to implement the ISRDS, as municipalities lacked the expertise to implement the strategy and M&E the operation of the projects (Everatt, Dube and Ntsime 2004, p. 6). Challenges such as the absence of coordination between the national, provincial and local governments were identified (Everatt, Dube and Ntsime 2004, p. 31). The roles of the stakeholders in effecting the ISRDS were not clear and departments crucial to the implementation of the strategy were not engaged in all the nodes (Everatt, Dube and Ntsime 2004, p. 32).

During 2005 *An evaluation of the Integrated Sustainable Rural Development Programme highlighting stakeholder mobilisation and engagement* was conducted. The evaluation indicated that stakeholder participation formed the cornerstone of ISRDS success, as the resources available for rural development were leveraged for a striking impact. This interaction could only be successful if all spheres of government (see *Chapter 6.2*) and the various stakeholders clearly understood their role and responsibilities. The evaluation study aimed to analyse the participation of different stakeholders in the ISRDP through answering questions, including names of the stakeholders who were supposed to participate in the ISRDP and their assigned roles. The analysis of the stakeholders and their involvement in the ISRDP were imperative for measuring the success of the programme's goals of building partnerships with communities and ensuring the programme's sustainability (Kole 2005, p. 10).

Government laterally managed the ISRDP through its different spheres, departments and agencies; each component had varied managerial responsibilities. The management, coordination and implementation

responsibilities also shifted from the Presidency to the DPLG, on account of a change from development to the implementation phase of the strategy, which necessitated a different kind of intervention. The evaluation indicated that stakeholders' mobilisation and management in the implementation of the ISRDP had not reached the desired impact (Kole 2005, p. 77).

The DSD commissioned a set of socioeconomic and demographic baseline studies in each of the 22 nodes of the ISRDP and Urban Renewal Programme (URP). The 22 nodes were chosen due to their conditions of extreme poverty, 14 nodes under the ISRDP and eight within the URP (DSD 2008, p. 7). The initial 13 nodes (see *Section 5.2.1.2*) increased to 14 as Bohlabela, being a cross-border node, was divided into two nodes (Maruleng and Bushbuckridge) (DSD 2008, p. 7). An extensive socioeconomic and demographic baseline study was conducted in 2006.

The socioeconomic baseline study was a Quantitative Social Survey. The survey was a detailed account of the social conditions prevailing in the nodes. The advantage of this quantitative study was a methodical documentation of factors that determined the success of the ventures and provided information for programme design and projects in future (PSC 2011, p. 14). The demographic baseline studies were qualitative and longitudinal in nature. A baseline study was carried out in 2006, with a follow-up study in 2008 to determine changes that had taken place in comparison to the baseline of 2006. This longitudinal design made it possible to determine how concerns raised in the first evaluation had been addressed in the interim period (PSC 2011, p. 14).

In 2008 the DSD published a study on the ISRDP and URP, *Building sustainable livelihoods...an overview*. Results from both baseline studies were combined in this document to illustrate the baseline and further to investigate any changes that might have taken place (DSD 2008, p. 7). The study established that generally poverty levels had been reduced. In 2006, this had occurred more abruptly in urban than rural areas. However, in 2008 poverty was decreasing in the ISRDP, but in the URP it had flattened off. The steep 2001-2006 reduction was partly a result of the establishment of infrastructure, but more obviously through increased availability of social grants supplied by the DSD. These cash injections had an impact on poverty levels in the nodes. It was clear that it was the combined result of services and income support that were having an effect on poverty (DSD 2008, p. 36).

The performance at nodal level was irregular. At one level, a distinct rural/urban difference was apparent; this was the case where the urban municipalities were overtaking their rural counterparts in the provision of infrastructure and services to residents. Between 2006 and 2008, service delivery was significantly

upgraded in urban nodes, but not in the rural nodes. There was no real indication of an ISRDP “footprint” that provides proof of its application in a uniform manner (DSD 2008, p. 36). The URP and ISRDP were intended to improve coordination among sectors, with the aim of establishing an integrated basket of services. From the 2006-2008 measurement, it is apparent that the challenge of coordination and integration was located in rural areas. Respondents in the 22 nodes, who replied to a questionnaire, were becoming progressively more unconvinced as to whether coordination was actually taking place between the spheres of government (DSD 2008, p. 38).

During 2009, the PSC conducted an *Evaluation of the Integration and Coordination in the ISRDS*. The objectives of the study were to evaluate the government integration and coordination processes; these were established to support the ISRDP and to explore the relationship between the integration and coordination processes and the success of the ISRDP in the nodes (PSC 2009, p. 3). The study consisted of two phases. Phase 1 entailed document analysis, reviewing secondary data sources, and Phase 2 entailed an evaluation of the coordination mechanism used in rural development planning. This method was used to describe and map the coordination process (PSC 2009, p. 7).

The findings of the study centred around planning processes and capacity, institutional arrangements, authority of local government, intervention mechanisms used by the ISRDP and the value of the programme. The IDP process (see *Chapter 6.2*) and sectoral planning processes were still taking place separately. Although provincial and national sector departments were invited to participate in the IDP process, they did not participate as partners in a collaborative enterprise (PSC 2009, p. 63). Consequently, development plans were not drawn up to ensure that essential conditions for development at municipal level were satisfied.

To some extent, technical planning capacity was available in sector departments and was subsequently established in municipalities. Sector departments had noted the lack of technical capacity at municipal level to develop project plans that were technically adequate. For this reason, there was continued sector-driven planning at municipal level. Most of the provincial and national departments were putting their own institutional arrangements for integrated planning and implementation in place. Consequently, there was a risk of a proliferation of frameworks and institutional arrangements and some rationalisation or consolidation was urgently required. In the context of spheres of government, the authority to drive and enforce alignment with common rural development imperatives was absent. It was found that local government lacked the authority to be the nexus for integrated development planning (PSC 2009, p. 63).

The intervention mechanism used by the ISRDP could not achieve the programme's stated objectives, as it was too abstract and sometimes misunderstood. The coordination mechanisms introduced by the ISRDP were too simplistic. The Interdepartmental Task Teams, for example, were not coordinating or planning forums at all, but information sharing and reporting channels. In addition, they were making no real planning decisions, such as approval of objectives, programmes, projects, or budgets. Stakeholders found it difficult to understand the value added by the ISRDP as they felt that much of the progress made with rural development could be ascribed to other interventions, as opposed to the intervention of the ISRDP (PSC 2009, p. 14).

The recommendations from the *Evaluation of the Integration and Coordination in the ISRDS*, conducted by the PSC in 2009, included the review of the ISRDP and the decentralisation and rationalisation of institutional arrangements. A review of the ISRDP was recommended in order for a policy decision to be made on whether it should continue in its then current form. In the light of the plethora of institutional arrangements and structures facilitating integration and coordination of rural development, the PSC recommended that some form of rationalisation or consolidation be pursued to simplify institutional arrangements (PSC 2009, p. 79).

During 2011 the PSC carried out *A Meta-evaluation of the Department of Social Development's study on the ISRDP and URP (2008)*. The purpose of the meta-evaluation was the assessment of the quality of the evaluation, to make observations about areas for upgrading of M&E and to define the scope of the evaluation findings by decision makers and the consequent impact of evaluations. The meta-evaluation was undertaken in two parts. Firstly, the main contention of the 2008 evaluation was considered to measure how the evaluation had progressed in relation to the objectives, which had been established by the assessment, how arguments were presented and how conclusions and recommendations were formulated. The analysis attempted to determine whether the assumptions were valid and the recommendations appropriate (PSC 2011, p. 8). Secondly, the PSC's Meta-evaluation Framework was used to appraise the evaluation to establish whether the postulated standards were met by the 2008 study (PSC 2011, p. 18).

The meta-evaluation categorised the limitations and strengths of the 2008 DSD evaluation, *Building sustainable livelihoods...an overview*. The strengths included that the evaluation achieved its objectives (PSC 2011, p. 29). The recommendations on the ISRDP and URP were noted as being rigorous, objective and implementable (PSC 2011, p. 14). With regard to the recommendations that emerged from the 2008

evaluation, the DSD was unable to provide the PSC with evidence that the recommendations had been implemented (PSC 2011, p. 16).

5.4.1.3 M&E of the Comprehensive Rural Development Programme (2009)

In *Section 5.2.1.3* of this chapter, the CRDP is discussed with regard to the phases, pilot sites and an illustration of the multisectoral and transversal nature of the programme. The institutional, data and analytical components of the M&E of the CRDP are subsequently explored and described.

a. Institutional component of the M&E of the CRDP

It was envisaged that a feedback mechanism would be developed to enable role players to “obtain critical contentious and real-time feedback on the progress or policy” (Ministry of Rural Development and Land Reform 2009, p. 28). A CRDP management model (Figure 5.8) was developed which identified the roles of stakeholders in rural development.

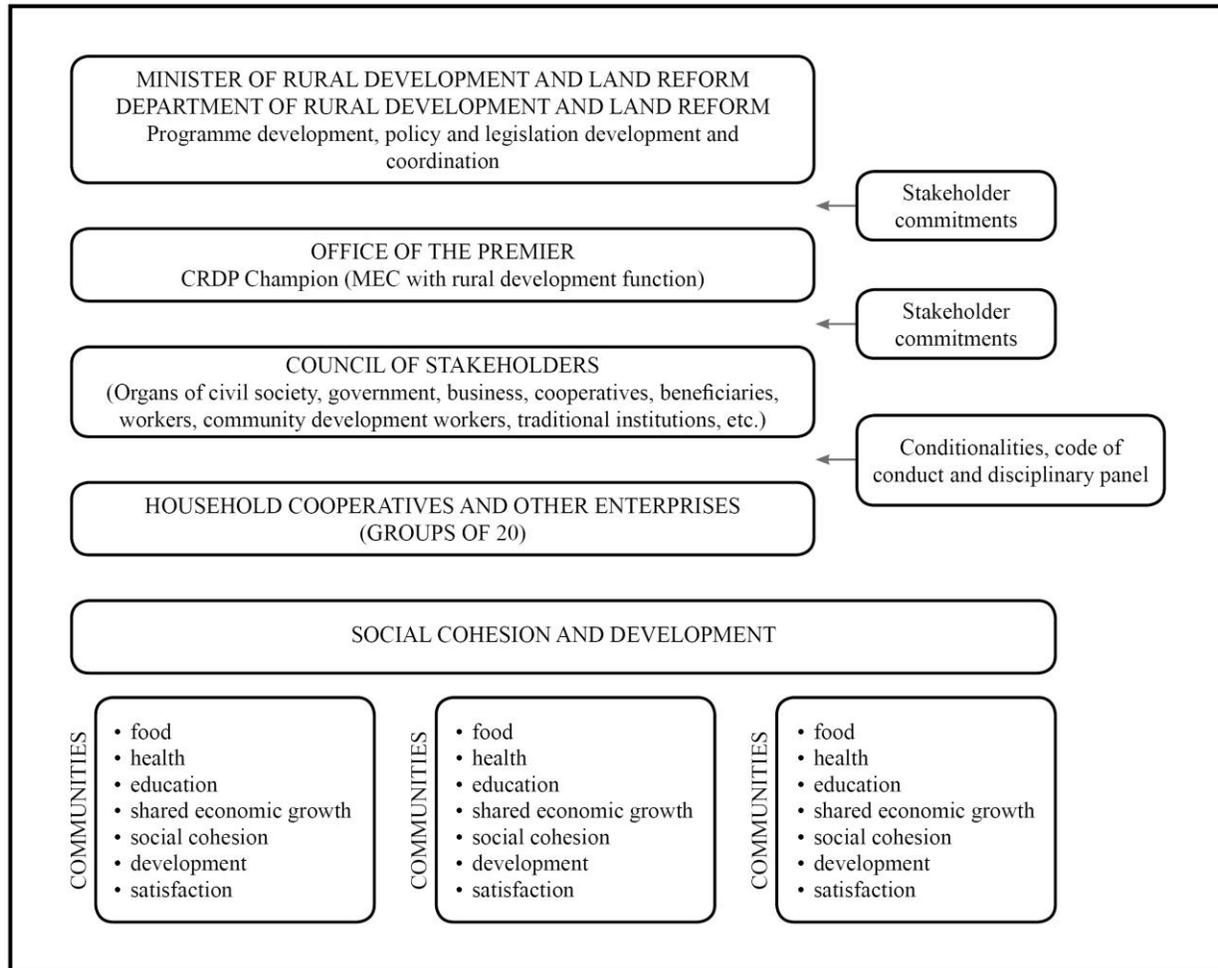


Figure 5.8 CRDP Management Model (Ministry of Rural Development and Land Reform 2009, p. 25)

The CRDP Framework contains a section on the M&E of the CRDP. It was foreseen that M&E would be included at all stages of the implementation of the CRDP. Expectations were that the M&E system would supply data on the rate and extent of the differences in relation to the programme objectives. The conduit for this information on change would be via indicators. The evaluation of the CRDP had to cover the systematic and objective assessment of the programme in relation to its design, implementation and results (Ministry of Rural Development and Land Reform 2009, p. 27).

An M&E strategy was developed with a three-pronged reach for determining whether the CRDP is implemented as intended, achieving the set objectives and reaching the intended beneficiaries (Ministry of Rural Development and Land Reform 2009, p. 27). The CRDP M&E Strategy is reviewed in Table 5.6 below. The Table is based on the CRDP Framework (Ministry of Rural Development and Land Reform 2009, p. 27), but has been customised for the purpose of this research for determining the impact of the

CRDP. The overview of the CRDP M&E Strategy that is reflected in the CRDP Framework (Ministry of Rural Development and Land Reform 2009, pp. 27-28) has two additional columns, *Source of Information* and *Important Assumptions*. The *Source of Information* column was not populated in the Strategy document and the column on *Important Assumptions* reflected the supposition that the Technical Task Team, through the Offices of the Minister and Premiers, would have “everything in place including pre-implementation studies surveys” (Ministry of Rural Development and Land Reform 2009, p. 28). For the purpose of this study, rows were added and populated in the table reflecting the definition of impact, outcome and outputs.

Table 5.6: Overview of the CRDP M&E Strategy (Ministry of Rural Development and Land Reform 2009, p. 27 and customised by researcher)

HIERARCHY OF OBJECTIVES	PERFORMANCE INDICATORS	M&E STRATEGY	
		SOURCE OF INFORMATION	BASELINE DATA
IMPACT: Positive and negative long-term effects on identifiable groups produced by a development intervention, directly and indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types			
Rural communities implement their development	Number of rural communities implementing their development	Pilot reports	Pilot report Spatial planning reports
Self-sustainable rural communities	Sustainable rural communities	Pilot reports	Pilot report Spatial planning reports
Vibrant (abuzz with socioeconomic activities) communities	Indicator for vibrant communities	Pilot reports	Pilot report Spatial planning reports
OUTCOME: The intended or achieved short- and medium-term effects of an intervention's outputs, usually requiring the collective effort of partners. Outcomes represent changes in development conditions which occur between the completion of outputs and the achievement of impact			
Rural communities apply skills (both modern and indigenous) to implement and manage their own development. Available natural resources are used for development projects. Indigenous knowledge is applied in development	Improved level of skill application for both modern and indigenous knowledge	Annual report Evaluation research Performance report	Spatial planning reports Pilot study
OUTPUTS: The products and services which result from the completion of activities within a development intervention			
Employment created for rural communities	Number of employment created for rural communities	Project reporting template	Spatial planning reports Pilot study
New cooperatives formed in local areas	Number of cooperatives formed in local areas	Project reporting template	Spatial planning reports Pilot study
Agricultural activities in local areas	Number of agricultural activities	Project reporting template	Spatial planning reports Pilot study
Provision of irrigation systems	Number of irrigation systems	Project reporting template	Spatial planning reports

HIERARCHY OF OBJECTIVES	PERFORMANCE INDICATORS	M&E STRATEGY	
		SOURCE OF INFORMATION	BASELINE DATA
	provided		Pilot study
Agro-processing activities	Number of agro-processing activities established	Project reporting template	Spatial planning reports Pilot study
Availability and accessibility of schools	Number of children accessing school	Project reporting template	Spatial planning reports Pilot study
Schools and clinics provided with water and electricity	Number of schools and clinics provided with water and electricity	Project reporting template	Spatial planning reports Pilot study
Proper sanitation provided	Sanitary facilities provided	Project reporting template	Spatial planning reports Pilot study
Partnerships available between traditional authorities and government in local areas	Existing functional partnerships structure	Project reporting template	Spatial planning reports Pilot study
Farm-dweller cases submitted to the DRDLR resolved	Land rights confirmed for specified pilot village	Project reporting template	Spatial planning reports Pilot study
Outstanding farm-dweller cases resolved (Types of cases with determined intervention required, for example, land, housing, water, electricity and other basic services)	Number of outstanding farm-dwellers cases resolved	Project reporting template	Spatial planning reports Pilot study
Estimated number of farm workers	Number of farm workers	Project reporting template	Spatial planning reports Pilot study
Farm workers encouraged to join unions	Number of farm workers registered with unions	Project reporting template	Spatial planning reports Pilot study
Employment created through EPWP	Number of jobs created	Project reporting template	Spatial planning reports Pilot study

b. Data component of the M&E of the CRDP

With regard to the M&E products of the CRDP, it was anticipated that quarterly progress reports, both quantitative and qualitative in nature, would feed into the evaluation reports produced annually (Ministry of Rural Development and Land Reform 2009, p. 27). Further to the quarterly progress reports, both the DPME in the Presidency and the DRDLR conducted a midterm review of the CRDP in 2012 to determine progress made within rural development. The findings and recommendations flowing from the reviews, relevant to this study, are presented below.

Midterm review of the CRDP conducted by the Department of Performance Monitoring and Evaluation (2012)

One of the findings of the midterm review of the CRDP by the DPME indicated that the model that drove the CRDP (see *Section 5.2.1.3*) resulted in the DRDLR duplicating rural development interventions implemented by other government departments, thus compromising the coordination of rural development interventions. The DPME recommended that the CRDP should be monitored and that coordination and integration of different role players' interventions in rural areas should be improved (Presidency 2012d, p. 25).

The Midterm Review of government priorities by the DPME was presented to the Parliamentary Standing Committee on Appropriations on 12 August 2012. This M&E product included progress in rural development, being one of the five priorities of the South African government, through the implementation of the CRDP. The members of the Parliamentary Standing Committee on Appropriations analysed the review and a number of issues were raised:

- Whether the review would be submitted to other relevant Portfolio Committees for their consideration, to maximise the impact of the findings;
- Some of the findings in the review appear to differ from what the Committee members had observed through their oversight visits;
- Whether figures in the review could be completely trusted;
- The need for greater integration across government interventions in rural areas;
- Whether data contained in the review was verified; and
- Whether departmental information systems were reliable.

The DG of the DPME indicated that in future more emphases would be placed on the M&E of departments and municipalities (Parliamentary Monitoring Group 2012, p. 5).

Midterm review of the CRDP conducted by the Department of Rural Development and Land Reform (2012)

The midterm review of the CRDP, conducted by the DRDLR, went into more detail than the Review of the DPME. In implementing the CRDP, lessons learned from pilot sites indicated the lack of participatory M&E and the value of sustainable rural development. As in the Review of the DPME, the challenge of coordination across the spheres of government was highlighted (DRDLR 2012b, p. 49). However, the Review indicated that the challenge is partially addressed through the outcomes-based service delivery approach (see *Section 5.3.7.3*).

It was also indicated that the DPME and DRDLR were planning an implementation evaluation of the CRDP in 2012 (see *Section 5.4.1.3* below). This was completed in 2013. The findings of the reviews would be considered when making recommendations regarding the replicability of the CRDP on a sustained basis across South Africa.

c. Analytical component of the M&E of the CRDP

The DRDLR conducted a Socioeconomic Impact Study of CRDP Pilots on Rural Livelihoods and the findings were reflected in the 2011/2012 DRDLR Annual Report. The impact made in communities through rural development interventions was considered to exist in three thematic areas that were linked to the CRDP Phases (see *Section 5.2.1.3*). The thematic areas were: sustainable rural livelihoods, employment creation, and income generation and investments (DRDLR 2012a, p. 170).

In the area of sustainable rural livelihoods, the findings were that there were improvements in ensuring sustainable livelihoods in CRDP sites. There was progress in the provision of sanitation facilities and bulk water supply through the construction of reservoirs. Food security is critical to rural livelihoods and in this regard the DRDLR had established backyards and community gardens in CRDP sites. Participants were expected to plant cash crops in their backyard gardens for household consumption and income generation. The DRDLR in partnership with DAFF facilitated market access and farming support for the agricultural cooperatives, of which 22 had been established and other related community projects (DRDLR 2012a, p. 171).

As regard employment creation, the CRDP job creation model and the NGP (see *Sections 5.2.1.3 and 5.2.2.3*) provided a point of departure for employment creation in rural development. In all provinces, 3 443 jobs were created as a result of the CRDP intervention with the majority in KwaZulu-Natal, followed by the Eastern Cape and Limpopo.

In respect of income generation and investments, the findings were that projects implemented in the CRDP sites and land reform programmes had, to some extent, generated income for members of the communities (DRDLR 2012a, p. 171).

Within the context of pilot sites included in the study, lessons and insights were recorded. In terms of community participation and mobilisation it was found that communities were taking part in their development. However, at times this was combined with some level of dependency on government. The study also found that by linking the implementation of the CRDP initiatives with employment creation and skills development, it had been possible to contribute to the absorption of some community members in employment and improve household incomes. The challenge was that most of the jobs were temporary. There was also a need to explore other sectors with the potential to contribute to job creation.

It was recommended that the three-pronged strategy of the CRDP (see *Section 5.2.1.3*) should be strengthened. There was a requirement to advance integrated planning and implementation, thus ensuring moving away from projects to the programme implementation, in line with Phases 2 and 3 of the CRDP model (see *Section 5.2.1.3*). Coordination and integration also could not be done in a vacuum. It was necessary to identify high impact contributors who reflect the broader scope of work required to develop rural areas and then group them according to work streams led by relevant departments for better coordination (DRDLR 2012a, p. 172).

The provision of basic services in the selected CRDP pilot sites varied due to the dynamics of the area, resources allocated and the nature of stakeholder engagement. Where basic services had not yet been adequately provided, efforts to increase the pace of delivery should be made. The CRDP clearly articulated the importance of setting in place effective institutional arrangements to ensure seamless project implementation on the ground. Given the dynamic nature, requiring multiple stakeholder engagement and contributions from the three spheres of government, delays often caused slow project implementation. The existing delivery institutional arrangements should have created an enabling

environment to ensure fast-tracking project progress. Increasing capacity-building for beneficiaries and supporting local enterprises were central to CRDP. There was a need to ensure procurement from local suppliers and businesses in the selected sites and employing local labour on the CRDP projects (DRDLR 2012a, p. 172).

In October 2012, the DRDLR and DPME in the Presidency commissioned an implementation evaluation of the CRDP. The rationale of the evaluation centred on improving programme performance and the government's priority outcomes by learning from what had been achieved since the CRDP was initiated in 2009. The evaluation was commissioned against the background of the intention to increase the number of wards being developed through the CRDP (see *Section 5.2.1.3*). The purpose of the evaluation was to determine the following:

- Whether the CRDP was achieving its policy goals;
- How the programme could be strengthened and upscaled through learning what had been achieved; and
- Whether the institutional arrangements set in place to support the implementation of the CRDP (for example political champions, council of stakeholders and CRDP technical committees) were appropriate and clear about their roles and responsibilities (DRDLR 2012c, p. 5).

The evaluation concentrated on the implementation of the CRDP and responded to the following matters:

- Achievement of the objectives set for the CRDP;
- The extent to which a programme was reaching the appropriate target population;
- Application of CRDP principles and implementation cycle with regard to project implementation;
- Coordination of rural development interventions by departments and spheres of government;
- Appropriateness of institutional arrangements set in place to support CRDP implementation and clarity about their roles and responsibilities;
- Cost/benefit analysis;
- Identification of problems experienced with the transition from the first phase to the second and third phase;
- Consistency between service delivery and programme design; and

- Comparison of the CRDP with other countries that have implemented similar programmes (DRDLR 2012c, p. 6).

The key potential users of the evaluation results were identified as being political leadership at national and provincial levels, all departments and provinces, development partners and NGOs, staff at community level and industry. It was anticipated that key potential users might use the evaluation results to prioritise resources, ensuring sustainable rural development.

The scope of the evaluation covered the implementation of the CRDP from its inception in 2009 until June 2012 with the final evaluation report being required by 2013. Two of the themes of the evaluation were coordination and M&E. It was indicated by the DRDLR and DPME that the principles for guiding the evaluation were to be sourced from the *Policy Framework for the Government-wide M&E System* (2007) (see *Section 5.3.6.2*) (DRDLR 2012c, p. 11) and that the evaluation should be compliant with the NEPF (DRDLR 2012c, p. 12) (see *Section 5.3.8.2*).

The joint DPME-DRDLR evaluation of the CRDP was completed in 2013 and the results were submitted to the DRDLR to prepare an implementation plan. This plan was to consider the findings of the evaluation of the implementation process of the CRDP. Thereafter, a memo as to be submitted middle 2014 to the Cabinet for the consideration of the evaluation report and the implementation plan. When this process has been completed, the results of the evaluation and the implementation plan will be available in the public domain.

5.4.1.4 M&E of Outcome 7

For each of the 12 outcomes a DA, which serves the purpose of a detailed implementation plan, was developed by stakeholders who are required to collaborate towards achieving the outcome. According to Philips (2012, p. 14) the DAs are a major achievement for the South African Government as “this is the first time that we have had outcomes-oriented implementation plans which cut across government departments and spheres of government”.

The President has signed performance agreements with Ministers responsible for individual outcomes. Performance agreements between the President and Ministers outline outputs, indicators and activities to be achieved for each key outcome. The President has also entered into inter-governmental protocols with

Premiers of provinces to ensure that strategic plans are aligned with key outcomes. Protocols would focus on outcome areas that have intergovernmental implications such as rural development (Philips 2010).

In *Section 5.3.7.3* it was indicated that during 2010 the South African Government agreed on 12 outcomes and of these Outcome 7 had a number of outputs for rural development. As in the case of the other 11 outcomes, progress made with Outcome 7 was monitored through a DA. The DRDLR is the coordinator of Outcome 7 and some of the delivery partners include the DAFF and the Department of Public Works (DPW). The elements of the Outcome 7 DA are reflected in Figure 5.9 in terms of outputs, drivers, sub-outputs, activities and the result chain.

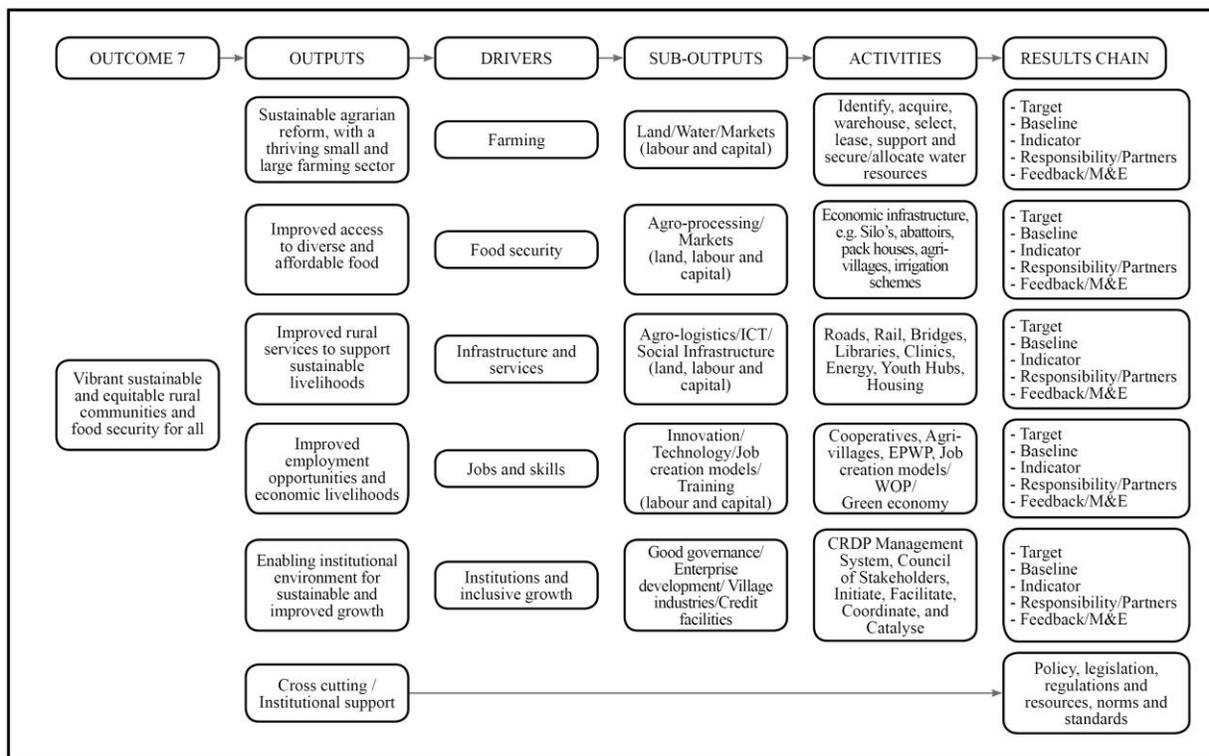


Figure 5.9: Elements of Outcome 7 Delivery Agreement (Presidency 2010c, p. 6)

In summary, the implementation of the DA on Outcome 7 is monitored by an Implementation Forum, either in combined meetings of the Ministers concerned and provincial Members of the Executive Councils (MinMEC) or Clusters. The Implementation Forum oversees the application of the DA “by focusing on progress and challenges and facilitating the unblocking of obstructions in the implementation process” (Philips 2012, p. 14). The relevant Cabinet Committee is provided with an analysis of progress

made with the implementation of the DAs. The Cabinet considers the progress reports and clears the obstacles standing in the way of the attainment of Outcome 7.

The roles of implementation forums, the DAs and the implementation, monitoring, reporting and evaluation of Outcome 7 are discussed in more detail based on the document *Guide to the Outcomes Approach*, compiled by the DPME in the Presidency in 2010 (see *Section 5.3.7.3*). The section is concluded with the review of Outcome 7 DAs.

a. The role of Implementation Forums

The role of Implementation Forums is to coordinate government's work towards achieving the key outcomes. An Implementation Forum and a supporting Technical Administrative Forum manage each outcome. The main tasks of the Implementation Forum are to negotiate a DA and oversee its implementation and monitoring the achievement of milestones.

The executive authority attends the Executive Implementation Forum. At provincial level, this consists of the Premier and the accounting officers and/or relevant delegated senior officials in charge of delivering outputs. Local government is represented by selected Executive Mayors and Municipal Managers or other senior officials or by Mayors and officials from municipalities involved in the achievement of predetermined outcomes (Philips 2010).

Delivery organisations and agencies are responsible for implementation and the monitoring of DAs and the execution of the activities related to a specific outcome. They form part of the national, provincial or local government, public sector agencies or NGOs. An Implementation Forum for each outcome joins the role players included in the delivery chain.

b. The role of Delivery Agreements

DAs are collective agreements that usually involve the three spheres of government. Producing DAs requires a structured and systematic approach. To produce a DA all the key partners working towards a result need to meet so as to agree on the main activities. Such activities include who needs to do what, by when, with what resources and within which context (legislative, regulatory and organisational arrangements) (Department of Communications 2010).

Generally, a DA is a negotiated agreement between role players working together to deliver an outcome and will contain details of their roles and responsibilities. It will describe the logic between outcomes, outputs, activities and inputs and provides details of the analysis and theory of change. The result is that the outcome and the chain of logic can be tested and improved based on evidence and this will build a more outcome-oriented and evidence-driven M&E approach (Philips 2010).

For it to be effective, a DA should include the following:

- The desired outcomes to be achieved in relation to the MTSF 2009-2014;
- Outcome and output indicators to be used to measure progress towards achieving desired outcomes;
- Guidelines on how the M&E information related to outcomes and outputs will be analysed and reported on;
- The sector delivery chain and key role players in the chain;
- Accountability within the chain;
- Agreed norms and standards for delivering services;
- Budget prioritisation and alignment with DAs;
- Timelines;
- Capacity required to deliver and current available capacity;
- Methods to be used to resolve disagreements and disputes; and
- List of likely blockages and a plan to resolve them (Presidency 2010b, p. 7).

To ensure accountability, the DA brings a clear understanding to the parties responsible for the budget and human resources. Within the provincial government, MECs and Mayors are held liable in various ways. Public accountability is ensured by making DAs available to the community concerned. The President's Coordinating Council (PCC) is also used to improve accountability. The PCC "is a forum that allows the President and Premiers to meet and discuss governance aspects" requiring inter-governmental coordination (Presidency 2009c, p. 9) (See *Chapter 6.2*). This forum is used to report on progress against DAs relevant to provinces. The production of a DA is the result of six steps. The first step is the sitting of the Implementation Forum aimed at achieving a common understanding of the outcome, outputs and change required. During this meeting, roles and responsibilities between partners should be negotiated. The second step is when partners meet in work teams to develop implementation plans and project schedules for each output. The third step is the second Implementation Forum meeting held to report on output

implementation plans and collate the plans into a coherent DA designed to achieve the outcome. Disagreements and disputes need to be resolved in the fourth step before the DA is finalised in the fifth step. The sixth step is when the Implementation Forum adopts the final DA (Presidency 2010b, p. 17).

c. Implementation, monitoring, reporting and evaluation of Outcome 7

As indicated above, individual organisations and agencies are responsible for the delivery of activities included in DAs (Philips 2010). They are the primary connection in the implementation, M&E and reporting process. The Outcomes approach provides “a framework for an integrated whole of government approach that coordinates” (Presidency 2009c, p. 13) the programmes that contribute towards a given outcome. Coordination aims to make certain that management activities are aligned across national, provincial and local government to assist in achieving outcomes. DAs are the organisational mechanisms used to consolidate this cooperation. Delivery parties must take their commitments under the DA into consideration when compiling strategic, tactical and operational plans; these have budget implications as well as effects on the monitoring process required to measure performance. The delivery parties are responsible for the M&E of Outcome 7 and must provide feedback on findings via M&E products. When M&E data regarding a specific outcome becomes available from the delivery parties, the information is to be submitted to the Technical Administrative Forum, which is responsible for compiling a joint progress report. Such reports are submitted to the Executive Implementation Forum for review. The Executive Implementation Forum can adopt or adjust recommendations before reporting on progress to the relevant Cabinet Committee.

d. Review of Outcome 7 Delivery Agreement

It was foreseen that the DAs should be reviewed annually, based on M&E findings. During 2011, the DPME issued a Practice Note detailing the process for effecting refinements to outcome DAs. In the course of preparing quarterly reports, as M&E products relating to the outputs of the DA, there had been indications during discussions in the Technical Implementation Forum that there might be a need for modifications to the details of the DAs. A number of changes were “envisaged, including adjustments to language for clarity purposes, prioritisation and reduction of the number of activities and adjustments to milestones” (Presidency 2011c, p. 1). A challenge was how to steer the procedure of reviewing the DAs in a manner that optimises the benefits of strengthening them. At the same time, this process should not undermine or repeat the “process of reaching negotiated agreements among participating departments”

(Presidency 2011c, p. 1). Furthermore, this should not compromise the emerging public interest in the Outcomes approach.

Therefore, principles were agreed upon to inform the refinement of DAs. The procedure for making adjustments to the DAs should be seen as a process of refinement and strengthening of the agreements to enhance delivery performance. However, these refinements could not be of a nature that would compromise the achievement of deliverables set out in the performance agreements, between the President and the respective Ministers. The review and refinement of DAs should take place annually and should be synchronised with the annual strategic planning and budgeting process. The DAs were the product of a negotiated process between relevant departments, spheres of government and, in some cases, organised civil society. Any amendment of the DA, therefore, requires discussion and agreement among the partner signatories to the DA. Refinements are intended to improve delivery and should thus flow from a thorough review and assessment of what is working or not working and where there are major blockages to service delivery. The DAs are a transparent presentation to South African citizens of the key targets, indicators, outcomes, outputs and activities for service delivery for this political cycle. Refinement of the DAs must therefore be justifiable to South African citizens (Presidency 2011c, p. 2).

5.5 EVALUATION AND REFLECTION ON SHORTCOMINGS OF THE GWMES AS A MODEL FOR M&E IN SOUTH AFRICA

The evaluation of the GWMES, as a model for M&E, is based on the observation and findings of the developers of the model, international and local researchers and the researcher through experience surveying. To structure the section, the shortcomings are linked to the elements and the institutional, data and analytical components as presented in Chapter 2.

5.5.1 Shortcomings of the institutional component of M&E

The institutional component covers the elements of the context of M&E, coordination of M&E, objectives and principles of M&E, roles and responsibilities of key stakeholders in the M&E process, organisational structure supporting M&E, organisational learning and capacity-building in M&E.

5.5.1.1 Context of M&E

With regard to the political context, the need for political support for the institutionalisation of M&E in government has been documented (see *Chapter 3.5.1.1*). Since 2004, political support has been in place for the GWMES as a model for M&E in South Africa. According to Goldman, Engela, Akhalwaya, Gasa, Leon, Mohammed and Philips (2012, p. 1), “there has been a major shift in emphases concerning M&E since 2009, partially stimulated by a political need to improve service delivery, but also from the extensive exposure of both technocrats and political leadership to international experiences”.

As a consequence of the political support, institutional arrangements were put in place through the creation of the Ministry of Performance M&E and the establishment of the DPME in the Presidency (see *Section 5.3.7.2*). However, the strong support for M&E, in the form of a political champion, in the person of the President of South Africa, created a potential challenge. Should the President be replaced, there could be a challenge in maintaining the commitment to the M&E system, in the possible absence of strong and consistent political leadership and will (Goldman, Engela, Akhalwaya, Gasa, Leon, Mohammed and Philips 2012, p. 9).

With regard to the policy and legislative context, the institutionalisation of M&E systems in the South African government is founded on the constitutional mandate for the establishment of mechanisms to M&E service delivery (see *Section 5.3.6.2*). Apart from the Constitution, there are no legislative or regulatory instruments, which enforce the institutionalisation of government-wide M&E (Presidency 2009a, p. 1). In the absence of a legislative instrument for M&E, the understanding of the separation of powers between the Executive and the Legislature may be limited. There is a need for a legislative base for M&E to institutionalise the role of the Presidency, “reducing the risk of relying on a single, strong political champion for M&E who is vulnerable to political changes” (Goldman, Engela, Akhalwaya, Gasa, Leon, Mohammed and Philips 2012, p. 10). This assertion links the political and legislative context, in that political support for M&E should be strengthened through legislation.

The Green Paper on *Improving Government Performance: Our Approach* (Presidency 2009c, p. 20) stated that legislation might be considered. However, the aim of this proposed legislation was not well-defined as there were existing Acts, regulations and policies that involved departments in accounting for spending and performance (Bester 2009, pp. 8-9). Specific legislation to impose M&E application does

not automatically guarantee M&E, as legislation might have the unintentional consequence of people focusing only on marginal compliance.

A policy platform has been created that provides conceptual guidance on M&E (Presidency 2009a, p. 2). The Presidency published the *Proposal and Implementation Plan for a Government-wide M&E System* during 2005 and a *Policy Framework for the Government-wide M&E System* during 2007 (see Section 5.3.6.2). However, both these documents lacked comprehensive consideration from the lessons to be learned from international experience on developing M&E systems, or adequate consideration of the context in which the system was to be developed. In addition, they lacked reference to M&E systems in Africa and within the country (Van der Westhuizen 2008, p. 7), including the M&E of rural development programmes in an integrated and transversal manner. There was limited shared understanding of M&E definitions and terminology (Matomela 2010).

Furthermore, both these documents failed to acknowledge that provincial dynamics played a critical role. This limitation was also highlighted by Podems (2005, p. 8), who stated that the way government departments implemented useful and effective M&E, depended on various contextual issues and commented on the need for better understanding of M&E in government departments.

With regard to the accountability system being part of the governance context, the Presidency started with a top-down Outcomes approach. The DPME had to carve its niche, as some resistance was notable from other government departments (Mathe 2011). Change management should be paramount and collaborative approaches should be developed with national government departments, as well as with provincial government departments, to promote accountability. The end results of M&E should promote and establish greater accountability, promote learning and reflect the performance of the public sector in relation to its contribution towards development within global, regional, national and provincial contexts (PSC 2007, p. 2).

The implementation of the GWMES as a transversal model had not succeeded in creating M&E practices across national, provincial and local governments while streamlining and aligning existing reporting structures. There was an emphasis on M&E at project level but a lack of either monitoring or evaluation of multiprogrammes at macro-development level. At provincial level, there were departmental M&E development programmes at project and programme level to a certain extent, but they were not integrated and transversal. The implications were that the effects of programmes contributing to development

provincially were not measured and that accountability of development spending was limited. However, despite not having the benefit of the information that a readiness assessment would have generated, the DPME went ahead in 2009 and introduced a new approach to M&E. It would have been informative for the DPME to undertake a readiness assessment of the departmental M&E systems, to determine the readiness to monitor and evaluate the 12 priority outcomes and their intended outputs as contained in the Outcomes approach (see *Section 5.3.7.3*).

5.5.1.2 Coordination of M&E

The Constitution initiated three distinctive but interrelated spheres of government, being the national government, provincial government and local government (Engela and Ajam 2010, p. 1) (see *Chapter 6.2*). Policy development takes place chiefly at national level and implementation of national policies in respect of concurrent functions follows essentially at provincial level. As the supreme law of the country, the Constitution provides the legal foundation for the existence of the Republic and, among other things, defines the structures of the government of South Africa. A number of sections within the Constitution refers to the importance of, and necessity for, M&E (see *Section 5.3.6.2*). Effective M&E within all three spheres of government is necessary to ensure that the three work together to address poverty, lack of development and the side-lining of people and communities (LPG 2011a, p. 13).

At local government level, the perception was that the failures at that level were also the failures of the cooperative governance system, as stated in the 2009 Declaration of the National Indaba on Local Government. In some instances, national and provincial governments added to the reporting burden of municipalities, failed to evaluate outcomes and impacts of service delivery and had a limited understanding of municipal processes and systems (Van Nieuwenhuyzen 2009). At one level, there were government-wide M&E systems and, at another level, there were systems specific to provinces, sectors, departments and clusters (Levin 2005c). As provinces account for around 70 per cent of the public service, monitoring and evaluating their performance is essential. Local government had not yet realised the impact of the GWMES. Accountability, as required by the Constitution, was weak. Thus a more effective system of M&E was required (Van Nieuwenhuyzen 2009). However, this had not happened, as the DPME was still to focus on the strategic and operational performance of municipalities within local government.

5.5.1.3 Objectives and principles of the GWMES

According to the Presidency (2009a, p. 1), the principles (see *Section 5.3.6.2*) within which the GWMES were conceptualised were consistent with international practices. However, the system was not flexible enough to allow for changes when, for example, development mandates changed. An additional concern was raised (Bester 2009, p. 4) in that the principle of independence was not included in the principles guiding the GWMES, as reflected in the *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007). This was despite the fact that the principle of independence had been recognised as a guiding principle in the *Draft National Guiding Principles and Standards for Monitoring and Evaluation of Public Policies and Programmes in South Africa*, published by the Presidency in 2006. Engela and Ajam (2010, p. 34) discuss differences in objectives of the GWMES that result in tensions among different government departments in South Africa. The objective of budget prioritisation was sometimes overshadowed by a more complex view of how programmes work in the sectoral departments.

5.5.1.4 Roles and responsibilities of key stakeholders in the GWMES

Roles and responsibilities concerning stakeholders were clarified in the GWMES as a model, as there were inevitable concerns regarding limits and overlaps between the various stakeholders (Bester 2009, p. 4). The Presidency published a *Policy Framework for the Government-wide Monitoring and Evaluation System* during 2007, which identified stakeholders who had roles and responsibilities in relation to the legal mandate and institutionalisation of the GWMES (Presidency 2007, pp.17-19).

However, intersecting M&E mandates between its key stakeholders need be addressed, to ensure coordinated ownership of the model (Levin 2005c). In addition, an organisational culture of cooperation, as opposed to hierarchical competition, should be encouraged (Cloete 2009, p. 308). As with any “complex adaptive system”, the GWMES is not entirely controlled by a single agency, but has to rely for its success on cooperation between stakeholders that are located across diverse spheres of government (Cloete 2009, p. 1). The characteristics of this are complicated and need to be acknowledged as they are and not forcibly changed into a top-down approach, as this would bring the system to a standstill and adversely influence its processes and capacity (Engela and Ajam 2010, p. 17). At the local level of government, defining and clarifying the role of municipalities towards the institutionalisation of the GWMES as model for M&E, is not receiving sufficient attention.

5.5.1.5 Organisational structure supporting M&E

From a structural and capacity perspective, the GWMES should enable an environment conducive to develop such a system, and to enhance and sustain it (PSC 2005, p. 15). However, only a limited number of provincial departments had M&E units (PSC 2007, p. 73). The perception of how an M&E unit should be established was inadequate. There was insufficient knowledge regarding the ideal structure of the unit: the knowledge and skills essential for M&E practitioners; what policies and procedures are required; and how to plan for M&E (Bester 2009, p. 8).

5.5.1.6 Organisational learning

A 2007 audit by the PSC, covering M&E and reporting requirements in government, showed that progress in entrenching M&E is slow, with M&E viewed as the process of reporting to national departments, rather than a practice of critical reflection and learning within departments themselves (Naidoo 2011, p.16).

As previously discussed, M&E Learning Networks were used by the Presidency as vehicles to foster organisational learning (see *Section 5.3.6.2*). However, the M&E Learning Network forums were only held twice in 2007. This forum thus provided limited opportunities for M&E practitioners to communicate stories of achievement on M&E, offer evidence from comparable practices from the international community and present M&E practitioners with the opportunity to form networks (Matomela 2010). Although organising these forums was an excellent initiative, it requires rigorous organisational effort and, as a result, fewer have taken place than would be ideal (Engela and Ajam 2010, p. 9).

The GWMES was based on a comparative overview of a number of countries, including the USA, Australia and New Zealand (Presidency 2005, p. 7). As such, “the literature on M&E emerges largely from observations of the practice of M&E in countries outside Africa” (Naidoo 2011, p. 13). In the field of M&E, knowledge generation consisted of importing theories and methodologies largely from the Northern Hemisphere. This posed a challenge to M&E in Africa. Africa had a considerably diverse context which might not have been amenable to northern imports (Naidoo 2011, p. 13). Thus, the complex task of the institutionalisation of M&E in the South African government took place without the benefit of a few international benchmarks (Levin 2005b, p. 6).

5.5.1.7 Capacity-building in M&E

There is a natural relationship between creating a productive learning environment and creating accountability systems; the GWMES aimed to do both (Presidency 2009a, p. 4). It provided for sanctions and rewards to change behaviour, to meet the core objective of government being to provide services to the public. During 2009, CoGTA conducted a capacity-building needs assessment to determine the level of knowledge of the competencies required to implement the GWMES. The M&E practitioners in the Offices of the Premiers and provincial Departments of Local Government were mainly targeted. The competencies tested were identified using the Policy Framework for the GWMES and other relevant documents. In total, thirty people responded to the questionnaire and most indicated that they had a limited knowledge of the competencies identified. Generally the evaluation indicated that most individuals had limited understanding of the skills listed in the questionnaire and these were the following:

- Collation of information;
- Data analysis;
- Development of databases;
- Management of databases;
- Validation and verification information;
- Development and management of MISs;
- Indicator development;
- Statistical analysis and interpretation; and
- Impact evaluation (CoGTA 2009, pp. 1-2).

Respondents indicated that they had some comprehension of the following competencies:

- Data collection;
- Report writing;
- Programme and project management;
- Facilitation skills;
- Developing M&E systems; and
- Basic M&E (CoGTA 2009, 2).

Only a few respondents stated that they had satisfactory understanding of the proficiencies listed in the survey. Some indicated that they had no expertise in these skills, except for expansion and administration of information structures and investigation of statistics. Some of the provinces identified additional skills for improved M&E, which were not mentioned above and included M&E framework development, M&E tools and knowledge management (CoGTA 2009, p. 5).

Based on the information gained from the respondents, it was concluded that focus and emphases for the capacity-building of M&E practitioners should be on the development and management of information systems and statistical analysis. In addition, the capacity-building programme needed to focus on the collection of data and its analysis, especially to determine impact or outcomes of government programmes. The M&E orientation course by Palama did to some extent address the shortcomings identified during the needs assessment, such as developing indicators, data collection and reporting. The Palama course did not seem to focus on data analysis, validation and verification, development of indicator protocols and report writing. The recommendation was made that a customised capacity-building programme be designed, to address the identified skills and that the abovementioned competencies needed to be examined (CoGTA 2009, p. 6). Subsequently, during 2009, Palama developed and piloted the curriculum on M&E training. Other informative publications assisting M&E practitioners consist of “elementary guides from the NT, the Presidency and the PSC on M&E” (Naidoo 2011, p. 17).

M&E can be used as an inventive learning opportunity, but this requires institutional systems at a high level of maturity, a requirement that was lacking in government (Naidoo 2011, p. 17). Annually, the government allocates about R3 billion to training, which has produced a profitable market for training suppliers. As a consequence of the government’s attention to M&E themes, a choice of M&E training courses was being offered by the private sector. However, it became obvious that the standard of the courses was not reliable (Engela and Ajam 2010, p. 11). This occurred despite the indication that one core training manual would be developed for the GWMES and that the training would be based on the system in particular, not just on M&E in general. It was perceived that adopting this approach would ensure that many self-proclaimed M&E experts would not be allowed to market their services as training on the GWMES. Different facilitation guides were to ensure that the level and complexity of target beneficiaries would be addressed. In other words, if any M&E manager was being trained, the complexity and depth of the training would be commensurate with the M&E responsibilities that the learner had to fulfil. The same applied to frontline staff with very basic M&E responsibilities, for instance, recording information of services rendered to clients (DPSA 2006).

Capacity-building in M&E was also supported by SAMEA (see *Chapter 5.3.6.2*). However, the association, in an attempt to assist in building a community of M&E practice, had found that discussions on the development of professional standards for M&E had proven more complex than originally anticipated. Thus, SAMEA continued to generate debate towards developing a common understanding and approach towards the “professionalisation” debate in South Africa (Morkel 2012, p. 17). SAMEA had yet to evolve to the position where the association could begin to set parameters for and give credence to the quality of M&E products, provide methodological guides, or lead research and development initiatives in improving the theory of M&E (Morkel 2012, p. 18).

Circumstances with minimum capability for M&E systems is defined as the capacity to develop performance indicators, construct baselines and collect, analyse and report performance data, comparative to the indicators; the final requirement being the communication of, and response to, M&E findings. Sustainability of the M&E system requires sufficient individuals with essential skill levels, who are residents in the country; this is preferable to having skills obtained from international M&E experts (Kusek and Rist 2002, p. 158). However, there were various degrees of understanding, M&E capacity and readiness within provinces to fulfil the M&E function (Engela and Ajam 2010, p. 19).

5.5.2 Shortcomings of the data component of M&E

The data component covers the elements of M&E data, range of M&E products and IT as enabler in an M&E system, including systems integration.

5.5.2.1 M&E data

While the quality of data collected and analysed by Stats SA is generally good, pressure to demonstrate progress can lead to statistics being used selectively. The credibility and reliability of statistics used for policy development, planning and M&E should be improved (APRM 2006, p. 71). When the 2009 edition of the Development Indicators was published, the challenge of the quality of data and availability of data was indicated (Presidency 2009a, p. 1). As a result, a number of performance indicators had not been updated due to the non-availability of the latest data sets from the sources.

While there have been improvements in the NSS, (see *Chapter 5.3.6.3*) there are a number of remaining challenges. These include “an information gap in terms of relevant official statistics to meet the needs of

users; a quality gap in terms of common standards, including concepts, definitions, classification, methodologies and sampling frames; and a capacity gap in terms of both human resources and infrastructure” (Stats SA 2010, p. 1).

Government departments produced administrative data (for example registers and surveys) and other CSOs also produced data and information. Unfortunately, the quality of these data sets was often unknown and widely variable. There was poor comparability of statistics across isolated producers and no common quality standards. It was this problem which the SASQAF (see *Section 5.3.6.3*) sought to address. By providing a mechanism through which departments and other public sector institutions could convert their administrative data into official statistics, SASQAF would contribute to creating more reliable statistics that were also more sustainable over time. SASQAF set out quality standards for each stage of statistics production, from needs analysis, design, collection and processing, to analysis and dissemination. SASQAF delivered a standard set of criteria for the assessment of statistical products to be classified on a scale of one (poorest) to four (quality statistics) (Stats SA 2010, p. 4). It is important to note that requirements were fairly rigorous and that many administrative data sets being used by the South African government would need some determined upgrading before these requirements could be met (Engela and Ajam 2010, p.11).

Data sets and information were not shared between the three spheres of government and the organisational culture was not conducive to managing results. A culture had developed across government where custodians of data tended to be reluctant to share their information, referred to as “information hoarding” by Engela and Ajam (2010, p. 25). This reluctance to share data and information had become so entrenched that government departments were obliged to purchase data that should have been easily accessible from other departments. Assorted forms of similar data existed and baseline data was not identical between departments. The example used to illustrate this point was the number of households used for planning of services (Presidency 2009a, p. 4).

Particularly, the different versions of similar data and the inconsistencies in baselines led to adverse experiences for government departments, when erroneous data was released into the public domain and as such, data needs and custodianship of information should be further explored and developed.

There is a link between M&E capacity and data quality, in that the absence of capacity can result in poor support for the M&E system, through poor quality of data provided (Naidoo 2011, p. 16).

5.5.2.2 Range of M&E products

The range of M&E products as identified in the *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007), were discussed in *Section 5.3.6.3*. These products include the *Public Management Watch*, compiled by the DPSA, and the *State of the Public Service*, compiled by the PSC. Both products focused on the monitoring of aspects of departmental performance. The *Public Management Watch* was an indicator-focused tool for diagnosis of the state of the working environment in the department (DPSA 2007). The *State of the Public Service* evaluated the extent to which departments complied with the values and principles in section 195 of the Constitution were complied with by departments. However, these products have not had sufficient impact, as the potential of the products has not been fully realised. The reasons provided for this statement were that each product provided a narrow view of one aspect of departmental performance. These narrow views were not consolidated into a comprehensive and integrated picture of the state of management practices in a department (DPME 2010).

5.5.2.3 IT as enabler in an M&E system

Confusion initially reigned, as the GWMES was understood to be an IT system. There was a tendency to over-emphasise the role of IT in M&E, without the resultant benefits being evident. The term system tended not to be understood as enabler, but rather as an electronic system. This confusion was perpetrated by the Presidency as mixed directives were put forth. In the *Policy Framework for the Government-wide Monitoring and Evaluation System*, the statement was made that the GWMES would not give rise to a single automated IT system for the government of South Africa (Bester 2009, p. 4). Instead, the model would outline the “policy context, within which electronic IT-based systems” would function. The GWMES strove to put in place a management system within government departments, which communicated “with other internal management systems”. This referred to “management systems such as planning, budgeting and reporting systems”, which may or may not be sustained by IT software. If the IT software support was there, the accent was on the integration and inter-operability of the systems (Presidency 2007, p. 5).

The Minister for Performance M&E indicated in 2009 that government would develop an M&E system for, among other things, rural development (Chabane 2009, p. 2). The outcome measures and

accountability matrix were developed (see *Chapter 5.3.7.3*), but the indicated piloting of data architecture of government administrative systems and data sets was not gaining momentum.

As regard system integration, the GWMES was, in reality, a government-wide policy to coordinate many existing and disparate M&E initiatives in the South African government (Shepherd 2011, p. 7). Apart from mandatory legislative and policy reporting prerequisites, for example quarterly and annual reporting, the GWMES did not recommend these elements to departments. Consequently, there was a great deal of disparity between M&E systems in departments. Based on international experience, centralised M&E systems that are not integrated into departmental information systems, create duplicate processes and produce information that lacks integrity and cannot be verified or audited (Presidency 2009a, p. 3).

Most of the departmental systems were not mature enough to allow for a ready extraction of data that could be developed into a dashboard for the GWMES (Presidency 2009a p. 1). The shortcomings of the IT infrastructure in government prevented the use of data-intensive applications. To create a central dashboard would entail the development of a parallel-centralised IT system, not an extractive system, as originally envisaged. Based on international experience, centralised systems that are not integrated into departmental information systems create duplicate processes and produce information that lacks integrity and cannot be verified or audited.

The implementation of the GWMES as a model had not succeeded in improving the departmental systems by promoting and supporting M&E in existing situations. There were no clear patterns about how M&E systems were developing nationally and within provinces and as a result, provincial departmental systems were not integrated into national systems.

In rolling out M&E systems to provinces, three simultaneous and inter-related processes had been taken into consideration. For many of the concurrent functions in provinces, there might already have been functioning provincial M&E systems for reporting on various policy-related matters to relevant national line-function departments. For eleven provincial sectors, including agriculture, there were PFMA-based prescribed formats for Annual Performance Plans (APPs), which included sets of nonfinancial indicators monitored quarterly. Many OtPs monitored the goals of their individual PGDSs. These M&E systems functioned in parallel, had clear overlaps and placed unnecessary reporting burdens on provincial delivery departments.

Frequently in government, new proposals are started with little or no real comprehension of the current circumstances. The Presidency has developed a guideline on these issues, but it may need more than just a guideline to align systems (Presidency 2009a, p. 3). However, the GWMES, as a model, should have incorporated and consolidated existing M&E initiatives and been aligned to the three spheres of government. In addition, it should have been based on a comprehensive readiness assessment.

5.5.3 Shortcomings of the analytical component of M&E

The analytical component covers the elements of performance indicators, sustaining the GWMES and the role of evaluation.

5.5.3.1 Performance indicators

A conceptual anchor for GWMES was the formulation of a set of national indicators. However, limited capacity led to the inadequate refinement and testing of the indicators (Levin 2005b, p. 6). One of the values of indicators is the ability to make comparisons across programmes at both provincial and national level (Van Breda 2004, p. 6). Such comparability requires indicators to be defined and used across programmes. However, indicator data was often only available in a fragmented and incoherent form, and there was a need for such data to be integrated into a coherent and meaningful form. This need for data integration with regard to indicators was not being addressed by the GWMES.

It is further acknowledged that the approach of nesting of indicators presupposes “that there can be a single decision point in government that will decide on all indicators” (Engela and Ajam 2010, p. 29). There will always be a necessary tension between indicators that are developed by policy experts in certain terrains, and the need for strategic guidance from the centre of government on strategic and overarching indicators. Imposed indicator sets are usually resisted. It would be more productive to think of a consultative process (dialogical model) for the development of shared and commonly acknowledged indicators (Engela and Ajam 2010, p. 29).

Specifically relevant to the scope of this study was the absence of a set of rural development indicators. The coining of Outcome 7 in 2010 (see *Chapter 5.2.2.2*) necessitated the development of indicators related to rural development. However, this process was problematic, as indicators were developed on an *ad hoc* basis. Single indicators were developed to address divergent information and reporting needs, with

possible imposed indicator sets. The plethora of indicators was seen as confusing and complicating delivery and management. There was a call for uniformity that would ease comparisons on national and provincial levels (Van der Westhuizen 2008, p. 22).

5.5.3.2 Sustaining the GWMES

The development of the GWMES has tended to be evolutionary, rather than being comprehensively designed beforehand. The solution was to allow for sufficient flexibility that would allow for changes in the route of implementation when necessary (Presidency 2009a, p. 1). However, the GWMES as a model was silent on the methodology to be used to sustain the system and on the value of regularly evaluating the system, with the objective of assessing its functionality.

5.5.3.3 Role of evaluation

In order for the NEPF (see *Section 5.3.8.2*) to be implemented, it required a robust champion (the DPME), as well as wide decision-making power across government to assemble the scarce evaluation skills that exist in government. The DPME conceded that the application of the NEPF “across government, will be progressive and that considerable capacity will need to be built for evaluations to be undertaken” (Presidency 2011b, p. vi). The onus was placed on government departments to integrate evaluation into their management functions, as a method of continuously improving their performance (Bester 2009, p. 8). In addition, it would require strong political will to act on the findings of evaluations conducted.

The Presidency (2011, p. 17) stated, “Donors have funded many evaluations. However, there is a potential for parallel systems, which puts major strains on government capacity. This Evaluation Framework should also be used by donors”. However, international donor funding agencies solidified the importance of M&E with the Paris Declaration on Aid Effectiveness (2005), which set out to eliminate duplication of efforts and to rationalise donor activities, making these as cost effective as possible (see *Chapter 3.3.1.2*). South Africa is a participating country to the *Paris Declaration on Aid Effectiveness*. The Statement of Resolve in the *Paris Declaration on Aid Effectiveness* states that, “because demonstrating real progress at country level is critical under the leadership of the partner country, mutual progress at country level in implementing agreed” commitment on aid effectiveness would be periodically assessed (OECD 2006, p. vi). The international donor community’s focus on development impact resulted in more donors stepping in to ensure the necessary assistance for developing countries to implement M&E systems. Based on

agreements already in place, it might be difficult to force donors to use the NEPF, which was the guiding policy document for the data source of the GWMES relating to evaluations (see *Section 5.3.8.2*).

5.5.4 GWMES as model for M&E

In 2009, the M&E Outcomes approach was introduced, to move the emphases from the management of outputs to the monitoring of outcomes. The Green Paper on *Improving Government Performance: Our Approach* (Presidency 2009c, p. 16) states that the Outcomes approach towards the M&E of development interventions is intended to complement the GWMES model. Regarding the question of whether the Presidency was reinventing the wheel or not by now focusing on an Outcomes approach to M&E, AFReC (2009a) summarised the key elements of the path that the Presidency was taking on M&E. The new mandate does not replace but expands on the GWME framework. Service delivery outcomes relating to quality are disappointing. In the priority areas, political accountability for predetermined outcomes linked to the MTSF is necessary as well as a shift to an outcomes focus, but the entire results chain needs to be monitored. There should be performance agreements between President and Ministers, Premiers and Members of the Executive Councils (MECs) and Sector Delivery Forums, consisting of all implementation stakeholders across the three spheres, including civil society. DAs need to be signed. Furthermore, the Delivery Unit in the Presidency should resolve service delivery blockages and focus needs to be allocated to a limited number of priorities. The emphases should be sectoral, rather than departmental or sphere focus and throughout the results chain, there must be accountability through citizen oversight and independent assessments. Improved data architecture for government is necessary through the development and use of SASQAF.

Significant outcomes, such as poverty reduction, economic development and employment creation, rarely result from initiatives in one programme or sector (Perrin 2006, p. 28). It would thus seem that the Outcomes approach was long overdue, since the reality was that the inputs and outputs from more than one department contributed to the outcomes of a development intervention (LPG 2010b, p. 10). A case in point was rural development, where the South African government aimed to address development through a cross-sectoral and multi-occupational diversity of programmes. These included:

- Social development in areas such as education and health;
- LED and rural livelihoods;
- Development of agriculture and related enterprises;
- Safety, security, welfare and legal issues;
- Rural development in partnership with NGOs; and
- Social sustainability by highlighting people's constitutional rights.

The same applied to land reform, in that more than one department (the DRDLR) was to play a role to ensure equitable land redistribution (LPG 2010, p. 10).

However, the documents on the Outcomes approach provided limited guidance on how M&E should be implemented, on provincial and local government level. An information gap existed between the Outcomes approach and what provinces were expected to do (Matomela 2010). The formulation of the outcomes was also criticised, in that they were vague and lacking in material substance (Haffajee 2010). In addition, there was no consistency with regard to the focus of the GWMES model. Initially the focus was on the M&E of results, as indicated in the *Policy Framework for the Government-wide Monitoring and Evaluation System* (Presidency 2007, p. 5). This implied that both outcomes and impact were an integral part of the GWMES, as results should become discernible at outcome and impact level. However, during 2009, the focus of the GWMES model reverted back to outcomes when the Outcomes approach was introduced. Only outcomes, being only one aspect of results, were monitored and evaluated, while determining the impact of development interventions fell by the wayside.

5.5.5 Challenges in the implementation of the GWMES as a model for M&E in South Africa from the perspective of the DPME

The DPME in the Presidency raised some challenges in its Strategic Plan 2011/12-2015/16 on implementing the GWMES. The coordination and management of the Outcomes approach lacked strategic focus, services were not integrated across agencies and there was an absence of citizen empowerment associated with service delivery. The absence of strategic focus related to challenges with planning, not focusing on crucial priorities and the lack of feedback on what constitutes effectiveness. Service delivery was not integrated across departments. There was competition among spheres of government and poor government-wide planning for integrated service delivery. Insufficient information

relayed to citizens, inadequate accountability, poor reaction of government to citizens and weak instruments for citizen alternatives, had led to service delivery protests (Presidency 2011d, p. 11).

The DPME is responsible for coordinating the collection and analysis of data to assist in evidence-based decision-making, as part of the GWMES. However, the data was inappropriate to inform management and contribute to the understanding of FLSD (see *Section 5.3.7.4*), and the use of data to increase performance did not exist. M&E systems were inadequate and appropriate data was not available. There was insufficient information to evaluate implementation of management systems and suitable devices to allow citizen participation in service delivery monitoring were not in place (Presidency 2011d, p. 12). The M&E of government and the monitoring of FLSD were hampered by the want of a culture of analysing M&E information and using the resultant M&E findings to improve performance (Presidency 2011d, p. 13).

The challenges in implementing the GWMES, as identified by the DPME, have resulted in a lack of “credible data and information systems for effective government-wide, sectoral and citizen-based M&E” (Presidency 2011d, p. 12).

5.5.6 Conclusion on the shortcomings of the GWMES as a model for M&E in South Africa

In a presentation titled *M&E-Opportunities and Challenges*, made by the National Treasury to the Technical Management Information Group on 25 July 2005, it was stated that M&E in South Africa was a “recently adopted, flurry of M&E activity, some of which is not well informed”. The following questions relating to this statement were made:

- Are the right indicators being selected?
- “What should be the outcome of M&E?”
- Where should the function be located and how should it be managed?
- What processes and methodologies can assist in the formulation of indicators?
- How can M&E be moved from policing (accountability) to empowerment (learning) thus shifting organisations from defensiveness to receptiveness on M&E findings?” (National Treasury 2005b)

In 2013 it would appear that the major concerns relating to the GWMES, as a model, still existed. The implementation of the GWMES as a model had not succeeded in creating M&E practices in departments where there were none, nor streamlining and aligning existing reporting systems. An audit of reporting requirements and M&E systems in government, especially at provincial level, still needed to be conducted. Non-integrated spreadsheets or manual reports were used to report on performance. Reports were submitted in different non-standardised formats to various regulatory bodies. Data integrity and data quality were a persistent challenge, which was contributed to by the lack of verification processes and the existence of different data sets on each issue.

Thus the findings of a study by the PSC during 2007 (see *Section 5.3.4*), which indicated that a significant proportion of the national and provincial departments lacked adequate M&E systems to manage policies, programmes and projects, still stood. There was a lack of information about the M&E systems, in terms of what systems were in place and what tools were used to measure performance, accountability and service delivery.

Researchers such as Naidoo (2011, p. 15) are of the opinion that the frameworks in place, relating to the GWMES, have not been fully operationalised. Despite positive developments regarding the GWMES, “significant challenges remain in ensuring the coherence of reform initiatives conducted by central government departments, improving administrative data quality, and establishing M&E as a core role of management” (Goldman, Engela, Akhalwaya, Gasa, Leon, Mohammed and Philips 2012, p. 1).

Research in South Africa on M&E systems was very limited. While there was some literature on M&E, much of this had been developed by donor funding agencies and NGOs. The literature is useful, but does not focus specifically on all the fine distinctions involved in the institutionalisation of M&E systems spanning the public sector. The interplay of M&E at different levels of government was not clear against the background of the GWMES (Presidency 2008b, p. 8). Policy documents on the GWMES published by the Presidency were contributing factors to the limitation, as they lacked comprehensive consideration of lessons to be learned from the international, African and South African experiences in developing M&E systems (Van der Westhuizen 2008, p. 7).

There was an absence of in-depth probing of the context in which M&E was implemented in South Africa, resulting in limited acknowledgement of the importance of strong and consistent political leadership, internal and external interest groups. A legal mandate and a clear institutional and policy role

for M&E were lacking. In regard to the institutional component, a proliferation of different M&E approaches and methodologies prevailed. This resulted in a lack of integration between systems, processes and strategies. M&E in the same country, across sectors and within sectors were not integrated or transversal. Roles and responsibilities of key stakeholders in M&E were not defined, contributing to a lack of demand and ownership of the M&E system. The lack of a strategy on the communication of M&E findings and the slow implementation of a capacity-building strategy, contributed to limited, evidence-based decision-making and a delay in developing an M&E skills base, respectively.

The perspective that the clustered structure of the Cabinet led naturally to an integrated and transversal approach to M&E was absent from government practice (Atkinson and Everatt 2001, p. 8). Diverse stakeholders may have needed different information for different valid and fluctuating reasons, and this frequently resulted in differing M&E requirements. The inference was that an M&E approach needed to be determined to meet the needs of assorted stakeholders. Further to this was the lack of a comprehensive M&E feedback mechanism into the decision-making processes.

The development of performance indicators was compromised by the development of single indicators to address divergent information and reporting needs, the nesting of indicators and imposed indicator sets. The scope of reporting requirements and M&E systems in government, especially at provincial level, was not known. The data component of M&E systems was clouded by centralised systems that were not integrated into departmental systems. Because such duplicate processes were created and information produced that lacked integrity and could not be verified and audited, IT platforms were emphasised without resultant benefits.

The GWMES placed limited emphases on evaluation, despite it being one of the data sources of the model (see *Section 5.3.6.3*). As a result, few M&E systems had institutionalised evaluation, with a particular absence of impact evaluation. Sustaining the GWMES as a model was not central and the value of regular evaluation of an M&E system, especially external evaluation, with the objective of assessing the functionality thereof, was not recognised.

The *Policy Framework for the Government-wide M&E System* (2007) (Presidency 2007), as a model, sketched a destination point, the normative management system, towards which the public sector was moving, its constituent parts and the principles to guide its operation. It did not, however, provide a map for how the public sector would move from the *status quo* to that final destination. The framework ideally

had to be supplemented by a more detailed implementation plan which detailed, among other items, the various roles and responsibilities of key stakeholders and the sequencing of planned interventions over time, within a particular public institution or provincial government. The non-prescriptive nature of the framework created latitude for provincial governments to craft approaches which were most suitable to particular provincial contexts. On the other hand, the lack of prescription created a need for more guidance and technical support by provincial governments, as they attempted to operationalise their interpretation of the framework.

From the gaps and shortcomings identified, it is clear that there is currently no specific integrated and transversal model for the M&E of development interventions, such as rural development as, in theory, the development of the GWMES should have contributed to such. The GWMES, as a model for M&E, has a number of shortcomings as highlighted in this chapter. M&E is approached in an *ad hoc* manner through the GWMES and there are limitations inherent in such an approach. In *Section 5.6* an overview of challenges experienced from a South African perspective on the M&E of rural development is presented. The application of the GWMES as a model did not lead to an integrated approach to M&E of the broader development impact of multi-programmes focusing on rural development. This resulted in policy development and analysis not being supported, transparency and accountability on rural spending not being enhanced and organisational learning not stimulated.

Despite progress having been made in implementing M&E in South Africa “there is, however, a lot of ground to be covered in the institutionalisation of the concept of M&E in government. Like most countries that are implementing performance M&E, we are in the process of learning. With the necessary support from all stakeholders, over time, we will develop the system in order to effectively improve performance in government” (Philips 2012, pp. 14-15).

5.6 OVERVIEW OF CHALLENGES EXPERIENCED IN M&E OF RURAL DEVELOPMENT (1994-2012)

The section on the South African perspective of the M&E of rural development is concluded with an overview of the challenges experienced in the M&E of the RDP, ISRDP, CRDP and Outcome 7.

5.6.1 M&E of the Reconstruction and Development Programme (1994)

In all the literature surveyed in the desktop review pertaining to the M&E of the RDP, no evidence could be found that the M&E of the RDP was institutionalised, either at the national or provincial level of government. The creation of institutional arrangements at provincial level for the coordinated and integrated implementation of the RDP had not necessarily led to the M&E of the programme (Hemson, Meyer and Maphunye 2004, p. 15). The RDP determined the targets for rural development interventions, such as agrarian reform, basic services and health care. Most targets had critical repercussions for rural communities. Some sectors had information accessible but, in many areas, an analysis of accomplishments was still required.

Rural development was analysed against some “constitutional, policy and implementation perspectives” (Olivier, Van Zyl and Williams 2010, p. 101). The argument was made that the lack of a model for government-wide M&E before 2004, which included the period when the RDP was implemented, resulted in inadequate execution of the constitutional duty of government to give effect to rural development (Olivier, Van Zyl and Williams 2010, p. 122).

5.6.2 M&E of the Integrated and Sustainable Rural Development Programme (2001)

The approach of the ISRDP was criticised for trying to fast-track expansion. This made the strategy susceptible to failure by being too dependent on IDPs and for not defining the main concerns which would result in development (Hemson, Meyer and Maphunye 2004, p. 12).

The absence of integration and coordination among government departments in the different spheres of government, was a frequent problem across nodes and resulted in their having different M&E systems (DSD 2008, p. 150). Challenges were experienced in the absence of an M&E plan as well as guidance on reporting on progress (DSD 2008, p. 127). Indicators required to monitor and evaluate the outcomes and impact of projects were not always formulated. Thus the M&E systems were uncertain and not standardised. Proposals were made to reinforce these structures, but there was no proof that these were ever applied (PSC 2011, p. ix). The roles and responsibilities of the stakeholders in the M&E process were not clearly defined. As a result, accountability was not addressed (DSD 2008, p. 137) and knowledgeable managements were not supported (DSD 2008, p. 168). Few evaluations of the ISRDP

were conducted (Jacobs, Aliber, Hart and O'Donovan 2008, p. 41) and, in particular, determining the social impact of ISRDP projects was a challenge (DSD 2008, p. 140).

With regard to the alignment of the 2000-2009 rural development policies, programmes and projects with the Constitution, the “lack of a cohesive constitutional development vision” and the inconsistent implementation of the GWMES (see *Section 5.5.6*) resulted in a disjuncture concerning what had been done and what the Constitution had required government to carry out (Olivier, Van Zyl and Williams, 2010, p. 127). Towards 2009, the lack of full implementation of the GWMES resulted in limiting the involvement by government, which might have safeguarded the ability to sustain perhaps some of the rural development interventions (Olivier, Van Zyl and Williams 2010, p. 135).

5.6.3 M&E of the Comprehensive Rural Development Programme (2009)

The inability of the ISRDP to coordinate sector-wide rural development interventions prompted the CRDP to make coordination its main focus. The *status quo* was representative of institutional fragmentation and scattered data and there were multiple role players, with different mandates and agendas, often working in isolation from one another (De Satge in NYDA 2011, p. 5). The CRDP necessitated a coordinated strategy to address the assorted requirements of the communities and to harness limited government capacity and budget. The success of the strategy was underpinned by the vital involvement of numerous stakeholders, including NGOs, the private sector, research institutions and communities.

The need for effective coordination with regard to the formulation, planning, implementation and M&E of the CRDP development was stressed (Olivier, Van Zyl and Williams 2010, p. 141), as this is central to producing M&E findings that can contribute to evidence based decision-making. To address the fragmentation and build a cohesive approach, the focus should be on the development of an integrated and transversal approach to the M&E of rural development (De Satge in NYDA 2011, p. 5).

During 2010 a study was conducted to develop baseline information on technology-orientated initiatives in eight of the CRDP pilot sites. These pilot sites were spread across eight provinces: KwaZulu-Natal, Northern Cape, Western Cape, North West Province, Limpopo, Mpumalanga, Eastern Cape and the Free State. A multidisciplinary team of researchers, led by the Human Sciences Research Council (HSRC), conducted the study. The study was one of the first to be conducted at the original eight CRDP sites (Hart,

Aliber, Letty, Mbisi, Baiphethi and Nxele 2012, p. 1). Information collected therefore delivers significant insight about the implementation of the CRDP.

Effective M&E has also been identified as a key requirement for the implementation of sustainable development interventions. M&E should go beyond monitoring financial resources and number of people benefiting, towards considering sustainability of interventions and determining impacts thereof. Participatory M&E should be used to ensure that the aim of the pilot sites is achieved, that is the development of best practices and acknowledgement of lessons learned (Hart, Aliber, Letty, Mbisi, Baiphethi and Nxele 2012, p. 2).

The study found that the M&E of the projects and interventions was inadequate. The limited availability of records contributed to the question of whether lessons were to be learned from the pilot sites that would contribute to the better roll-out to other planned sites. Based on the key research findings, in relation to the M&E of the CRDP, it was recommended that an M&E system be established to ensure early warnings of lack of progress to make sure CRDP projects have the intended impact (Hart, Aliber, Letty, Mbisi, Baiphethi and Nxele 2012, p. 4).

From an M&E perspective, the progress reports on the CRDP compiled by role players in the coordination and implementation of the CRDP did not allow for the tracking of progress. This statement is based on the observation of the differences in the templates of the progress reports. Uniform information regarding progress was therefore not reflected across the different reports and as a result the effective tracking of progress was not possible.

Another limitation of the approach to the M&E of the CRDP was observed; it lacked an indication of how the findings emanating from the M&E process were to be communicated. The CRDP Framework (Ministry of Rural Development and Land Reform 2009, p. 29) contains a Communication Strategy, but the strategy was aimed at increasing awareness of the DRDLR and its policies and promoting a confident image of the Ministry and Department, not on communicating M&E findings as contained in M&E products.

5.6.4 M&E of Outcome 7 (2010)

The DRDLR is the coordinating entity for Outcome 7 (see *Section 5.2.2.2*) and contributing departments submit progress reports on Outcome 7 to DRDLR for consolidation. On the agricultural outputs in Outcome 7, DAFF coordinated the Outcome 7 reporting process from the Provincial Departments of Agriculture (PDA) to ensure that comprehensive and consolidated reports were submitted to the DRDLR. In correspondence dated 10 December 2012 from DAFF to the PDAs, it was indicated that concerns regarding the second quarter Outcome 7 report for the financial year 2012/2013 were raised by the DRDLR and Presidency. These were that there was a lack of information on the reporting template and in some instances where the template was populated with information. In addition, the reliability of the data was questioned. Reporting on annual targets, rather than quarterly targets, created inconsistencies in the report and departments failed to meet reporting deadlines.

Challenges were experienced with the coordination and implementation of Outcome 7. Provinces struggled to come to grips with their role in Outcome 7 and, as a result, the responsibilities of local government were a grey area. Obstacles relating to implementation and reporting on Outcome 7 at provincial and local level and included defining the responsibility of the provincial representatives due to the lack of coordination, integrated planning and implementation by contributing national departments and provinces. This situation resulted in lack of reporting or inaccurate reporting by some of the departments and provinces.

5.7 CONCLUDING REMARKS ON THE CHALLENGES RELATING TO THE M&E OF RURAL DEVELOPMENT IN SOUTH AFRICA

All the growth strategies supporting rural development in South Africa identified food security as an issue closely linked to rural development. With regard to M&E, it is indicated in the IFSS that the availability of adequate and relevant information for monitoring, analysis, evaluation, reporting and communication of the impact of the implementation of food security interventions is critical (DoA 2002, p. 5). Data is not available for evidence-based analysis (Hendriks 2013, p. 12). Appropriate food security M&E systems should have been institutionalised at the provincial level, among others, to enable sharing information among all the sectors concerned with food security and to support multisectoral coordination (DoA 2002, p. 31). However, no M&E system for the IFSS was institutionalised, either at national or provincial level. During 2008, the rural development programmes in South Africa were reviewed in a paper commissioned

for by the Presidency. It was concluded in the review that the coordination of rural development, between the three spheres of government and government departments, was challenging (Jacobs, Aliber, Hart and O'Donovan 2008, p. 43). “Comprehensive and reliable data on the rural development impact of policy interventions” that was surveyed in the review was not in place. Credible information was essential, in order to comprehend what was “going on in rural areas”. The recommendation was made that “better M&E systems ought to help” (Jacobs, Aliber, Hart and O'Donovan 2008, p. 55).

5.8 SUMMARY

Chapter 5 presented the single case study conducted of the South African national context. The case study covered the evolution of rural development and the ongoing growth strategies supporting rural development in South Africa, development of the GWMES as a model for M&E in the South African government and the South African perspective on the M&E of rural development.

A summary of the development process of the GWMES as a model for M&E in the South African government is reflected Table 5.7.

Table 5.7: Development of M&E in South Africa 1994-2012 (developed by researcher)

YEAR	MILESTONE
1994	<ul style="list-style-type: none"> • South Africa becomes a democratic state and inherits limited M&E of development interventions
2004	<ul style="list-style-type: none"> • Pronouncement in the SONA on 21 May 2004 that the government is focusing on M&E
2005	<ul style="list-style-type: none"> • Cabinet approval of the GWMES as a model with the Policy Coordination and Advisory Services (PCAS) in the Presidency as custodian • <i>Proposal and Implementation Plan for a Government-wide Monitoring and Evaluation System</i>
2006	<ul style="list-style-type: none"> • Initial implementation preparations for the GWMES as a model • Interdepartmental GWMES task team
2007	<ul style="list-style-type: none"> • GWMES Coordination Forum established • <i>Policy framework for the Government-wide Monitoring and Evaluation System</i>
2008	<ul style="list-style-type: none"> • <i>Role of Premier's Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide</i>
2009	<ul style="list-style-type: none"> • New Ministry of Performance M&E (DPME) established • Green Paper on <i>Improving Government Performance: Our Approach</i> • Increased outcomes focus
2010	<ul style="list-style-type: none"> • DPME established in the Ministry of Performance M&E in the Presidency, becomes the custodian of the GWMES as a model • <i>Guide to Outcome Approach</i>
2011	<ul style="list-style-type: none"> • Frontline Service Delivery (FLSD) • Management Performance Assessment Tool (MPAT) • <i>National Evaluation Policy Framework (NEPF)</i>
2012	<ul style="list-style-type: none"> • <i>National Evaluation Plan for 2012/13 (NEP)</i>

Visible commitments were made to develop effective M&E within the South African government towards the end of the first decade of democratic governance. This demonstrated a political will and a desire by the government to ensure the integration of M&E in government's operations. There were various political pronouncements on the importance of M&E and through putting these into effect the GWMES was developed. Within the GWMES the focus has shifted to the M&E of 12 politically agreed outcomes, which currently inform the work of government as a whole. Over and above these developments, there are various other measures that have been put in place by government to strengthen and institutionalise M&E. These included, but are not limited to, the functioning of institutions such as the PSC, which executes the M&E of government institutions and has published a number of documents in this area. A Ministry of Performance Monitoring and Evaluation was created in 2009 in the Presidency and the DPME was established. Existing institutions were strengthened, including their alignment; Stats SA and the SASQAF processes are an example.

The concept of rural development has evolved over a number of years with different emphases being placed on certain drivers and outcomes of the rural development agenda. In the 1960s, rural development was synonymous with agricultural development and hence placed strong emphases on initiatives that focused on increasing agricultural production as a way of dealing with the challenges associated with rural under-development. In recent years, rural development has gradually developed to focus on a more encompassing approach that not only deals with the multi-dimensional nature of rural development, but also has placed rural people at the core of rural development. The shift in approach from rural projects and programmes to strategies and processes that focus on the sustainable improvement in the quality of life of rural people has largely influenced government's policy responses to dealing with rural under-development. South Africa is faced with several rural development challenges. Since 1994 the South African government has developed a policy and a legal framework for rural development and a range of rural development initiatives have been implemented. There has been a change in the order of priorities and the allocation of resources for advancement of sectors involved in rural development. However, both the implementation of the RDP, ISRDP, CRDP and Outcome 7 and the M&E of these strategies have experienced challenges. These challenges range from the lack of coordination between stakeholders to the scarcity of quality M&E data, and shortcomings in the reporting process.

In conclusion, this chapter provides valuable insights as regards lessons to be learned in respect of the focus of an appropriate M&E system for rural development initiatives that should be further customised for implementation at provincial level.

The GWMES as a model aims at providing guidance and advising all national, provincial and local government efforts to institutionalise M&E. This aim is further explored and described in the next chapter, *Chapter 6*, where a single case study was conducted to document the implementation of the GWMES in the LPG as a model for the M&E of rural development.

CHAPTER 6

CASE STUDY OF THE LIMPOPO PROVINCIAL GOVERNMENT: THE M&E OF RURAL DEVELOPMENT

6.1 INTRODUCTION

In the previous chapter (*Chapter 5*) an overview was given of the South African national context as it pertains to the M&E of rural development (the third phase of the study).

This chapter presents a case study of the LPG and forms part of the fourth and fifth phases of the study. It consists of five parts. Part One is the profile of Limpopo with emphases on the development context and the machinery of government in the province. Part Two focus on the institutionalisation of M&E in the LPG, within the framework of the GWMES model. Part Three discusses rural development in the LPG. Part Four reflects on the M&E of rural development in the LPG, and Part Five provides an overview of interviews with key informants, reflecting contributions summarised per key topic. The chapter concludes with a structured summary.

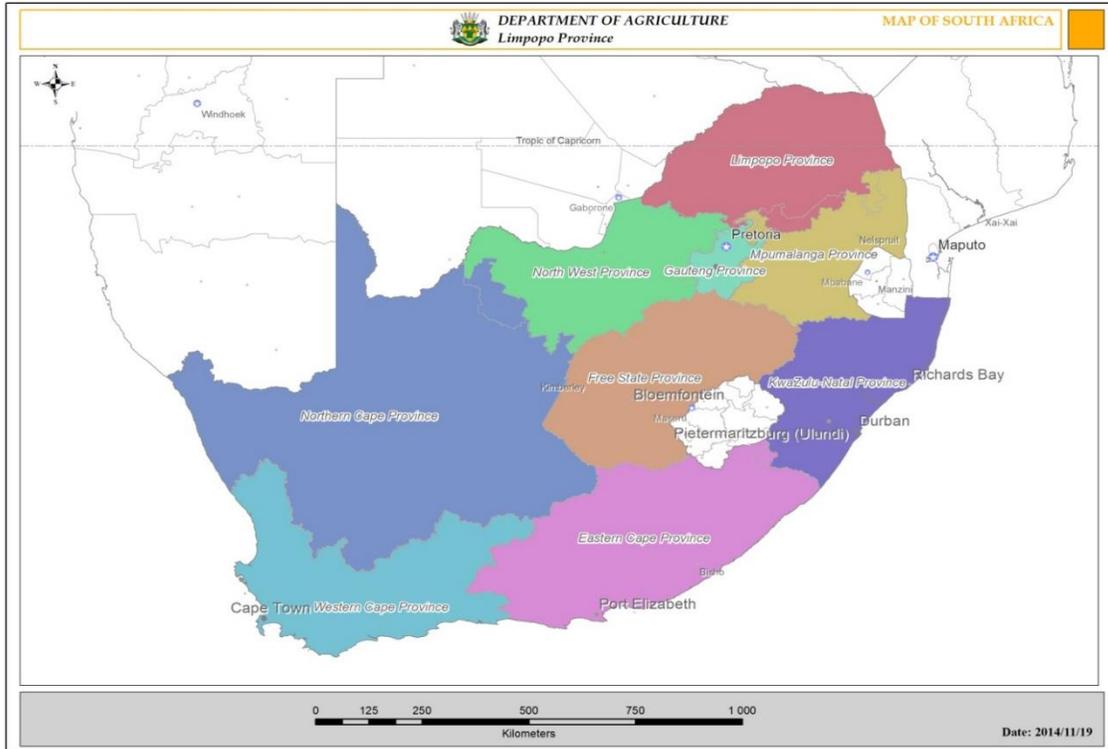
6.2 PROFILE OF THE LIMPOPO PROVINCE

6.2.1 Introduction

The profile of the Limpopo Province is presented as regards the development context, machinery of government and the planning process followed.

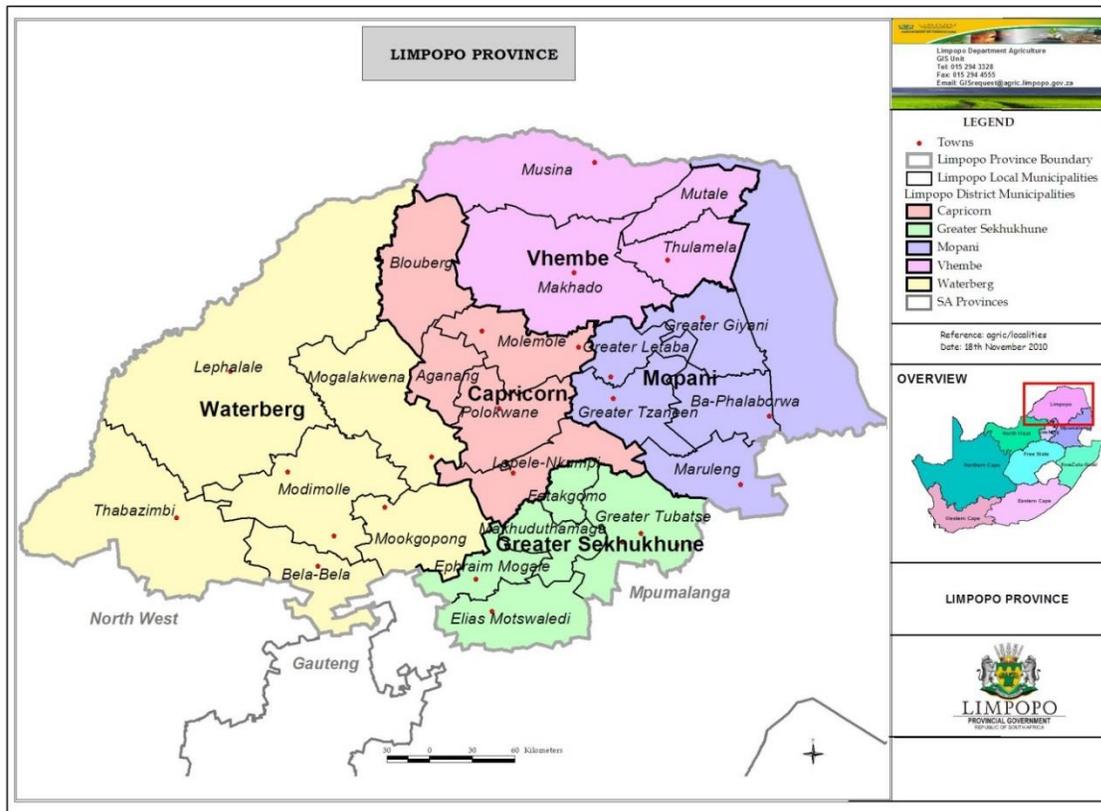
6.2.2 Development context

The Limpopo Province is one of the nine provinces in South Africa and is depicted in the map of South Africa (Map 6.1), with Botswana, Zimbabwe and Mozambique being the African countries on its borders.



Map 6.1: South Africa (Map drawn by the Geographic Information Systems Unit, Limpopo Department of Agriculture)

In 2011, it was estimated that the Province is home to a total population of 5,4 million (Stats SA 2012a, p. 53), located in five District Municipalities and 25 Local Municipalities (Map 6.2). Three principal home languages are spoken: Sesotho (52,1 per cent), Xitsonga (22,4 per cent) and Tshivenda (15,9 per cent).

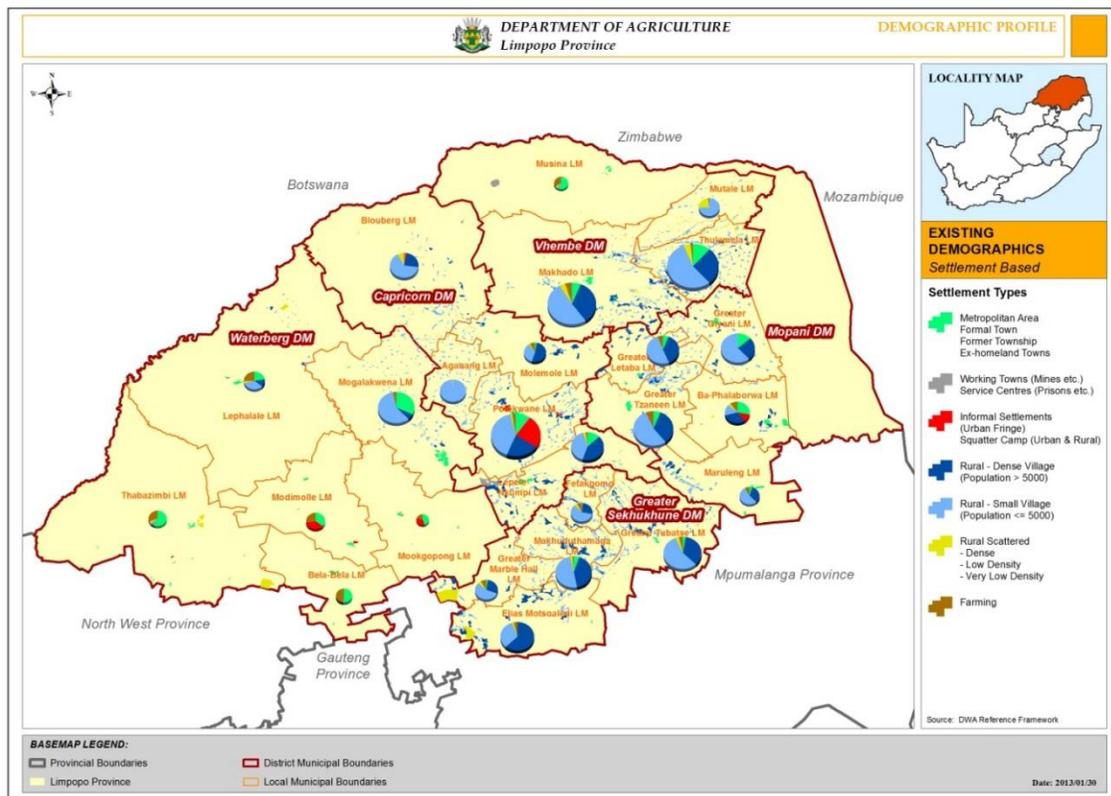


Map 6.2: Limpopo Province (Map drawn by the Geographic Information Systems Unit, Limpopo Department of Agriculture)

A significant part of the South African population is resident in rural areas (Machete 2004, p. 2), and in 2010 this accounted for 38 per cent (World Bank 2012, p. 140). South Africa has nine provinces with the largest rural population (in terms of the percentage of their citizens) living in rural areas), being in Limpopo (86,7 per cent), Eastern Cape (61,2 per cent) and Mpumalanga (58,7 per cent) (Stats SA 2001, p. 8). This *status quo* with regard to the rural dimension remains relatively the same, as indicated in the *Income and Expenditure of Households 2010/2011* (Stats SA 2012b p. 40) with Limpopo (87 per cent), Eastern Cape (57 per cent) and Mpumalanga (57 per cent). Limpopo is the least urbanised province in the country and the mainstay of the rural population is farming. The area of jurisdiction of the LPG is predominantly rural with a majority of people living in conditions of poverty in rural areas (Tsheole 2002,

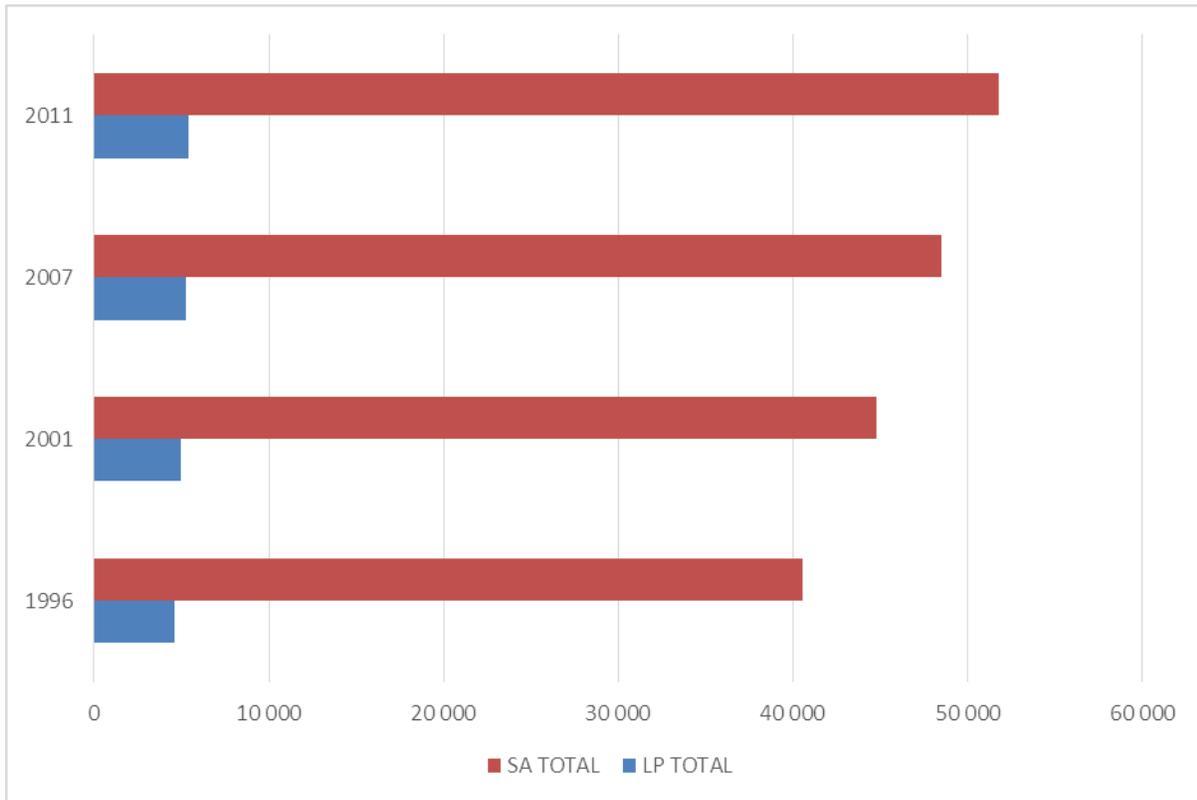
p. 51). As depicted in Map 6.3 in the Settlement Demographics of the Limpopo Province, the rural dimension of the Province is as follows:

- Sekhukhune District: 95,1 per cent rural;
- Mopani District: 93,4 per cent rural;
- Vhembe District: 93,1 per cent rural;
- Capricorn District: 84,8 per cent rural; and
- Waterberg District: 67,3 per cent rural.



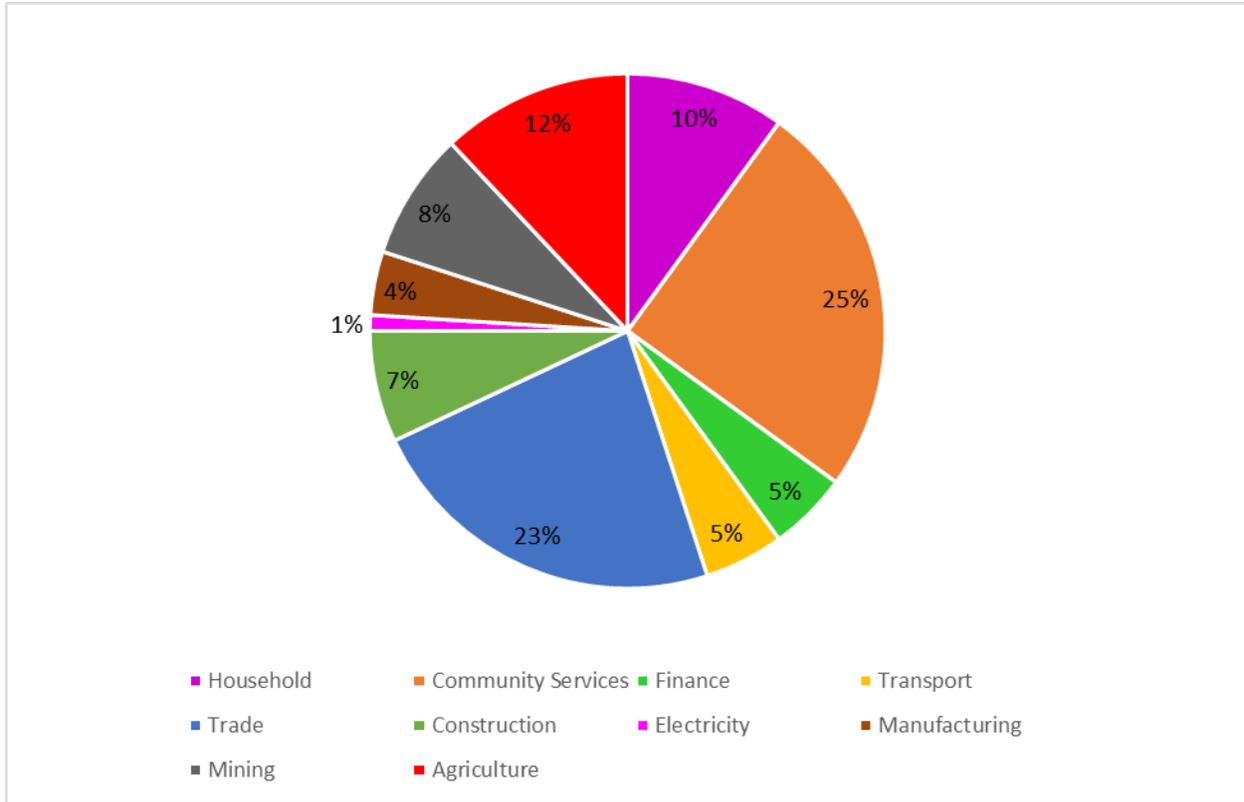
Map 6.3: Settlement demographics of the Limpopo Province (Map drawn by the Geographic Information Systems Unit, Limpopo Department of Agriculture)

The population size in Limpopo has grown by 3,2 per cent from 2007 to 2011. In 2007, the Limpopo Province had a population size of 5,2 million, which grew to 5,4 million in 2011. Graph 6.1 depicts the percentage provincial share of the 2011 national population size, being 10,4 per cent of the national population of 51,7 million.



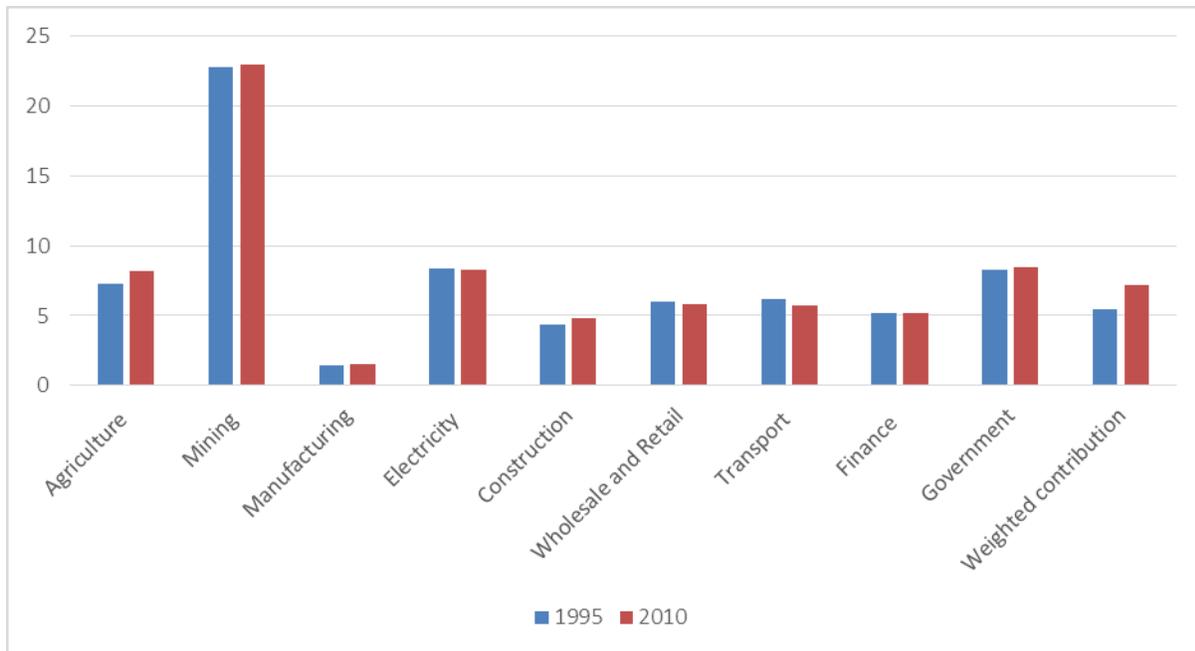
Graph 6.1: Percentage provincial share of the national population size (Stats SA 2012a, p. 3)

Thirty five per cent of the population is unemployed and is largely comprised of unskilled people. A concern is the low 2011 absorption and labour force participation rates in the Province (29,3 per cent and 37,4 per cent respectively). South Africa's absorption rate is 40,9 per cent and the labour force participation rate 54,6 per cent. In Gauteng Province, the absorption rate is 50,9 per cent and the labour force participation rate is 70,5 per cent. High numbers of people are deemed to be not economically active in the Province (2,1 million) (Stats SA 2012a, p. 75). Graph 6.2 reflects the employment composition of the Limpopo Province.



Graph 6.2: Employment composition in the Limpopo Province (Stats SA 2013, pp. 16-19).

As regards the economic growth in the Province, the biggest contributors to the provincial economy are mining (27,2 per cent) and the service sector (52,6 per cent). Government is the second biggest individual contributor, viz. 17,1 per cent to the economy. Manufacturing is underperforming when compared as a major employer on national level. It is contributing only 2,6 per cent to the Limpopo economy, while the national contribution to the national economy is 16 per cent. The Limpopo Province share of the national economy grew from 5,5 per cent in 1995 to 7,2 per cent in 2010 mainly due to an increased share in mining, agriculture, manufacturing and construction (Graph 6.3).



Graph 6.3: Limpopo provincial share of the economy (Stats SA 2012a)

Limpopo Province has a large reserve of the platinum group of metals and is also one of South Africa’s best endowed agricultural regions with vegetables being the most significant crop. Agriculture is an important focus in developing the province’s economy and also in the rural development interventions because of its high potential for job creation among the poorest sectors of society. Limpopo’s natural environment is one of the world’s richest in terms of biodiversity, wildlife and archaeological sites and these continue to offer immense tourism opportunities.

In summary the key findings of Census 2011 for Limpopo indicate that the Province has a large number of young people with a high level of unemployment in this group. The median age in Limpopo was 20 in 1996 to 2001 and this has steadily increased to 22 in 2011. The Province has a negative net migration figure, meaning more people have migrated to other provinces, which may result in loss of scarce skills. The functioning literacy rate is the third lowest in the country, after the Eastern Cape and Northern Cape Provinces. Between 2001 and 2011, the population of people attending pre-school has decreased. Household access to piped water, electricity for lighting and flush toilets is 86 per cent, 87 per cent and 91 per cent respectively (Stats SA 2012a).

6.2.3 Machinery of government

At provincial level, the OtP is fulfilling a coordination function and providing strategic leadership to the Limpopo Province. The LPG consists of the following departments (as on 31 August 2013 (see *Chapter 1.1*):

- Department of Agriculture;
- Department of Cooperative Governance and Traditional Affairs;
- Department of Economic Development, Environment and Tourism;
- Department of Education;
- Department of Health;
- Office of the Premier;
- Provincial Treasury;
- Department of Public Works;
- Department of Roads and Transport;
- Department of Safety, Security and Liaison;
- Department of Social Development; and
- Department of Sports, Art and Culture.

At the local level government consists of five District Municipalities and 25 Local Municipalities (see Map 6.2).

In 1996, the Constitution of the Republic of South Africa was adopted. It outlines the roles, powers, functions and responsibilities of the three spheres of government (national, provincial and local) in respect of people, human rights of citizens and governmental institutions. The Constitution allows a plurality of political parties. According to the Constitution, government has to realise that rural development needs to be highlighted to ensure that the majority of the previously disadvantaged are to benefit from the new dispensation (DPSA 2003, p. 14).

This Constitution indicates that the three spheres of government are based on the principle of cooperative governance. National government is mainly assigned policy responsibilities, while provincial government is responsible for the monitoring and implementation of policy, and local government is given developmental responsibilities (DPSA 2003, p. 15).

In 2000, the Presidency instituted a new governance system referred to as the integrated governance system. In accordance with this system, national government departments were teamed into Cabinet Clusters that are expected to report to Cabinet in a collective manner and not as individual departments, thus fostering intergovernmental and intra-governmental relations (DPSA 2003, p. 27).

Like national departments, provincial departments also act as agents of service delivery at regional level. Their responsibilities are also based on responsibilities as provided for by the Constitution. These departments are further required to channel their resources through the basket of services to the different nodes. The individual Premiers are responsible for the coordination of activities in the Province concerned.

Local government, as mandated by the Constitution and other pieces of legislation related to development, is the primary service provider to communities. This is performed with national and provincial government support and the developmental local government system. Local government is required to develop IDPs to assist with the identification of projects, as well as with the sourcing and prioritisation of resources. Through the IDP development process (Figure 6.1), it can be argued that this government sphere would also be required to act as a catalyst for the involvement of other stakeholders. This process requires that all local stakeholders become involved in identifying and prioritising the needs of the community members living in their locality.

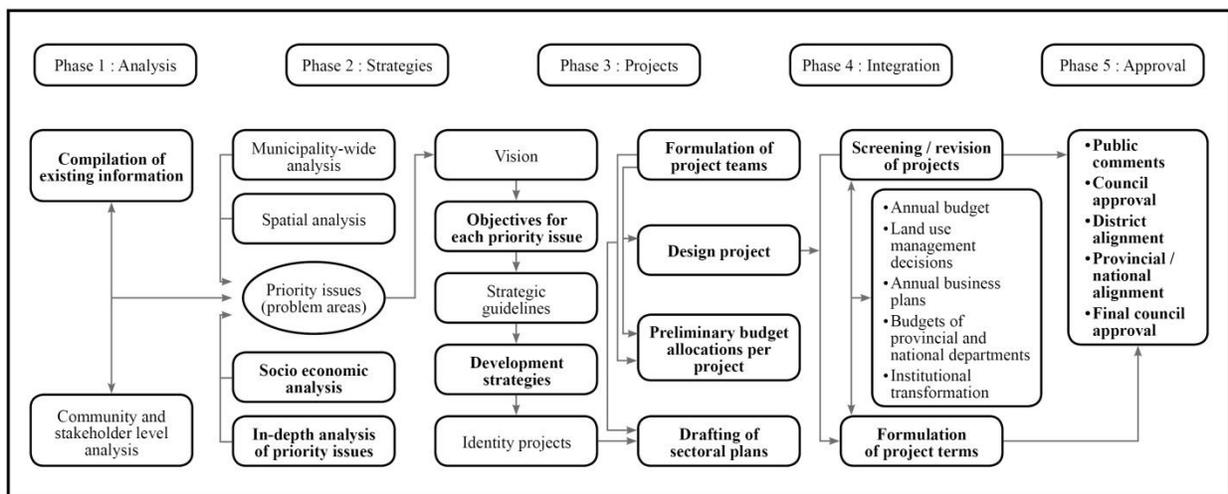


Figure 6.1: Integrated Development Planning Process (Kole 2005, p. 87)

The Premier and his Executive Council (EXCO) is responsible for the implementation and oversight of implementation of government programmes. The Premier of the Limpopo Province is the custodian of the PGDS (see *Section 6.2.3*). The EXCO is the political decision-making body of the Province and consists of all the MECs and is chaired by the Premier. Headed by the Premier, the LPG operates through political and technical structures, the Provincial Cabinet Cluster System. The coordination of LPG programmes is done through the provincial Cluster System, which aims to ensure coordinated service delivery. The Cluster System should ensure that information can be gathered, analysed, and organised in such a way that EXCO can systematically review it, understand the key issues and either accept the recommendations submitted, modify the recommendations, choose an alternative, or elect to maintain the *status quo*. The ultimate aim is for EXCO to be able to make informed decisions.

Within Limpopo, service delivery is monitored through the Economic, Social and G&A Clusters. Although they differ according to their functions, the provincial clusters are the same as those that have been set up at the national level. Cluster Committees were introduced at national level in the second term of the democratically elected government in South Africa (1999) to promote an integrated and informed planning, implementation and decision-making process. The Limpopo Cabinet Cluster Committees are used to provide advice to the EXCO and review the memoranda before they proceed to the EXCO for consideration. Cabinet Cluster Committees follow up the implementation of decisions to ensure that implementation is consistent with EXCO direction (LPG 2009b, p. 20).

Matters come before the Cabinet Cluster Committees in the form of memoranda from departments. Matters relating to new policy proposals and proposed significant variations to existing policies, expenditure proposals, including proposals for major capital works, proposals requiring legislation and cross-cutting issues are considered. The nature and composition of the Cluster Committees has evolved over the years to become more inclusive regarding issues of infrastructure, finance and local needs and expectations through the attendance of District Municipal Managers and representatives from national departments, located within Limpopo. The current Cluster Committees in the LPG are the Economic, Social and G&A Clusters.

Intergovernmental relations are further strengthened by the following structures:

- Presidential Co-ordinating Council (President and Premier);
- Provincial Co-ordinating Forum (Premier and Executive Mayors);

- Mayors' Co-ordinating Forum (Executive Mayors and Local Mayors);
- FOSAD; and
- Municipal Managers' Forum (MMF) (DPSA 2003, p. 35, 48).

Once a month a meeting of HoDs is convened to ensure coordination and intergovernmental cooperation. The HoDs meeting, chaired by the DG in the OtP, is a forum where all HoDs are represented and serves as a mechanism to coordinate and promote good governance (LPG 2009b, p. 36). Annually the Limpopo Province observes two Imbizo focus weeks during which the EXCO and Mayors meet with communities to listen to their complaints. In addition, EXCO Meets the People is organised on a monthly basis to achieve the same objective. Issues raised during the Imbizos and EXCO Meets the People should be followed up and feedback provided on progress made with the issues raised, before the next round of outreach exercises.

6.2.4 Planning process

Planning is required to review stakeholder inputs and needs and ensure that future plans are responsive to such needs. The success of any planning effort is based on participation and support from all stakeholders within the Limpopo Province. At the beginning of each year an EXCO Lekgotla precedes planning for the decision-making process of the LPG, during which EXCO sets and reviews policy priorities and focus areas. Departments present their plans in an integrated manner as cluster presentations for the year. A further EXCO Lekgotla is held in the middle of the year in order to review progress and to determine gaps for further recommendations by EXCO. EXCO Lekgotlas are comprised of the Premier, MECs, DG, HoDs, the, District Executive Mayors, District Municipal Managers and any other officials deemed necessary, to ensure integration and alignment with regard to the planning process (LPG 2009b, p. 25).

The *Provincial Growth and Development Strategy Guidelines* (see *Chapter 1.10*) provides guidance on the important role that provinces play in contextualising national imperatives and economic macro environment, and grounding them in the development and implementation of provincial and departmental strategic plans as well as the Integrated Development Plans (IDPs) and programmes at municipal level (see *Section 6.2.3*). In the Limpopo Province a PGDS is formulated based on the policy mandates identified in, amongst others, election manifestos, the NDP (see *Chapter 5.2.2.4*), SONA, budget pronouncements and SOPA. Legislative mandates flow from Parliament (Acts), the Provincial Legislature (Provincial Acts) and Municipal Councils (by-laws, also referred to as municipal legislation).

The purpose of the PGDS is to provide strategic direction on the growth and development direction of the Limpopo Province. The PGDS is thus the key strategic planning and decision-making document that informs activities to be conducted within the Province. Since this document forms the strategic framework for planning and implementation activities, it provides details as regards the programmes and projects to be implemented by sector departments within the Province. All parties involved in the planning process should have sound knowledge of, and understand the requirements and impact of, the goals and strategic objectives of the Limpopo Province. Furthermore, it is important to cascade these goals and strategic objectives down for inclusion in the strategic documents of provincial sector departments. The key to successful planning is to ensure alignment between the planned activities of the Province and that of the national and local spheres of government.

The roles of the OtP, as custodian of the PGDS, are to provide overall political guidance to departments and municipalities in drafting their strategic plans and to implement an integrated planning framework.

This framework should draw together the planning and budgeting activities of all role players in the Province around a coherent set of goals and strategic objectives (the PGDS). In addition, the OtP should provide a framework against which the overall M&E of activities of all role players can take place (see *Section 6.3.1*).

With regard to the departmental strategic and operational planning processes, departments must identify their contributions for the PGDS on an annual basis. The responsibility of the sector departments is to implement the PGDS development interventions and report back through the Provincial Cabinet Cluster System (see *Section 6.2.3*). The budgeting processes support the planning process in the Province. Departments draw up their budgets in line with PGDS and within the MTEF funding. An EXCO Budget Lekgotla is held annually in order to review progress made during that particular financial year and to determine the budget for the coming financial year. This budget process culminates in the departmental budgets being considered, debated and approved by the Provincial Legislature.

6.3 INSTITUTIONALISATION OF M&E IN THE LIMPOPO PROVINCIAL GOVERNMENT

6.3.1 Introduction

The institutionalisation of M&E in the LPG against the GWMES model as discussed in *Chapter 5 Case Study of the South African national context: The M&E of rural development*, is documented in this section of the chapter. The GWMES was institutionalised on the understanding that national and provincial departments would take responsibility for their own M&E processes according to the policy framework and other best practice guideline documents discussed in *Chapter 5.3.6.2* (Masiteng 2004).

The 1994 elections created the necessary conditions for the LPG to commence with the task of changing the province for the better. In Limpopo the provincial government had to amalgamate four administrations (Transvaal Provincial Administration and those of Venda, Lebowa and Gazankulu), each with their own challenges ranging from a lack of representation and accountability to low productivity. The LPG was faced with the task of public service reform and ensuring the delivery of services to communities previously marginalised and deprived of access to opportunities and services. As a result, there were delays in the restructuring process, as well as in the rationalisation for the administrative and financial systems of government (LPG 2004, p. 4).

During the period between 1994 and 2004 the environment in the province was not conducive to the institutionalisation of M&E as the LPG was still in the process of implementing national legislation and policy and formulating provincial legislation and strategy (LPG 2004, p. 36). Planning processes were being established and the challenges were to ensure that the three spheres of government cooperated with each other in ensuring integrated development planning (LPG 2004, p. 54).

As the international and national development goals have become more explicit, the internal and external pressure on the LPG for the availability of immediate information about progress, problems, successes and impacts has increased. There is greater concern about correcting problems and improving performance immediately and continuously while development interventions are being implemented.

In *Chapter 5.3.6* the development of the GWMES as a model for M&E in the South African Government was explored. In 2005 the South African Cabinet approved an implementation plan to develop an M&E system for use across government. In order to guide provinces and local government in establishing and

maintaining effective M&E policies and procedures, the Presidency provided the *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007) (see *Chapter 5.3.6*). The framework describes the normative management system to which the public sector is moving and its constituent components and the principles that will guide its operations. It requires that M&E be implemented on all government levels to ensure that government is meeting service delivery targets (Presidency 2007, p. 7). Provinces were mandated in 2006 to start a process of establishing a PWMES, aligned to the GWMES as a model (Cwayi 2011, p. 2). In 2008 the Presidency published the *Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* (see *Section 5.3.6.2*). This guide was clear on the expectation that provincial departments would contribute to the realisation of provincial and national priorities being monitored and reported.

The LPG has similarly steered the focus towards improving M&E in the province with the objective of assessing the impact of development interventions more efficiently and several pronouncements were made to this effect (see *Section 6.3.2.1*).

6.3.2 Overview of the 2005-2009 Limpopo M&E system

During 2005 the LPG through the OtP embarked on a process to institutionalise M&E in the province against the GWMES model. The institutionalisation of the 2005 system (see *Chapter 5.3.6*) in the LPG is subsequently discussed with reference to the institutional, data and analytical components explored and described in *Chapter 2*.

6.3.2.1 Institutional component of the 2005-2009 Limpopo M&E system

The institutional component covers the elements of the context of M&E, coordination of M&E, planning for M&E, objectives and principles of M&E, roles and responsibilities of key stakeholders in the M&E process, organisational structure supporting M&E, organisational learning and capacity-building in M&E.

a. Context of M&E

It is increasingly recognised that an understanding of the context where M&E is implemented is important in order to ensure an appropriate environment for the successful uptake of the M&E products. Subsequently, the context in which this process took place is explored and described with the focus on the

political, legislative and governance background. The developmental context and the machinery of government in the Limpopo Province were referred to in *Section 6.2*.

Political context of M&E

Since 2004 various pronouncements on M&E matters have been made at both the political and administrative level in the province. These are subsequently discussed in chronological order.

During the State of the Province Address (SOPA) on 17 February 2005 the Premier indicated that the area in which the LPG was found wanting was that of M&E, hence the inability to determine the impact of development interventions (Moloto 2005, p. 7). During the EXCO Lekgotla held in January 2006 the then DG of the Limpopo Province stressed the need to ensure improved M&E across programmes, noting the need for the OtP to develop a comprehensive M&E system (Manzini 2006). In accordance with this, the commitment was made during the 2009 SOPA that a PWMES would be piloted to improve capacity and efficacy within the Limpopo Province (Mathale 2009, p. 30). During the 2010 SOPA feedback was given on the achievement of this commitment in that a PWMES had indeed been piloted (Mathale 2010b, p. 12).

During the HoD Forum held on 17 November 2009, the progress made with institutionalisation of M&E in the LPG against the GWMES model was discussed. It was indicated that the LPG had made interesting strides in the area of M&E. However, despite this encouraging level of progress, it remained a fundamental challenge, as the majority of provincial departments did not have M&E units, thus placing total responsibility on the transversal M&E unit in the OtP. More than at any time in the past, M&E was elevated to a new trajectory due to the need for realigning development interventions to achieve immediate impact in improving the lives of ordinary people. The role of the HoD, as accounting officer within the individual provincial departments, was to provide the necessary support for the optimal exploitation of the M&E system to improve outcomes and make the critical impact possible. It was stressed that the level of political support, HoDs and all M&E practitioners were key to the success of the PWMES (LPG 2009d, pp. 1- 2).

Policy and legislative context of M&E

The institutionalisation of M&E systems in the LPG is backed up by the constitutional mandate for the establishment of mechanisms for M&E service delivery. As mentioned in *Chapter 5.3* (dealing with the development of the GWMES as a model for M&E in South Africa), there are a number of constitutional

requirements for M&E in South Africa. These requirements were discussed from a national perspective (see *Chapter 5.3.6.2*). The constitutional requirements for M&E in the LPG are subsequently discussed from a provincial perspective.

Chapters 6 and 10 of the Constitution provide information on the establishment and management of provincial structures and public administration. With regard to M&E, certain sections provide guidance as to the roles and responsibilities to be complied with by provinces. Section 114(2) stipulates that a Provincial Legislature must provide for mechanisms to ensure that all provincial executive organs are accountable to it. In addition, the Provincial Legislature must maintain oversight of the exercise of the provincial executive authority, including the implementation of legislation. Implied within this oversight function is the institutionalisation of M&E as a mechanism for accountability and oversight.

Section 125 of the Constitution focuses specifically on the executive authority of Provinces. Section 125(1) indicates that the executive authority of a Province is vested in the Premier of that Province. According to sections 125(2)(d) and (e) the Premier and Members of the Executive Council (MECs) are responsible for developing and implementing provincial policy, as well as ensuring the implementation of national policies and coordinating functions between provincial departments. These functions include, amongst others, the M&E of service delivery. The Premier and his/her office are also responsible for the implementation of Chapter 3 of the Constitution on cooperative government and play a critical role in the development and implementation of the PGDS. By implication this places a responsibility on the OtP to oversee and coordinate the development of a transversal M&E approach to ensure the achievement of the PGDS.

According to section 133(1) of the Constitution, MECs “are responsible for the functions of the executive assigned to them by the Premier”. MECs of a Province “are accountable collectively and individually” to the Legislature “for the exercise of their powers and the performance of their functions” (section 133(2)). Section 133(3) states that MECs of a Province must “act in accordance with the Constitution” and Provincial Constitution (if passed, which is not the case in the Limpopo Province) and “provide the Legislature with full and regular reports concerning matters under their control” (Constitutional Assembly 1996). These accountability and reporting requirements refer to the institutionalisation of M&E and, as a result, enabling the review of the performance of MECs.

Section 137 of the Constitution makes provision for the “transfer of functions. The Premier, by proclamation, may transfer to an MEC the administration of any legislation entrusted to another member or any power or function entrusted by legislation to another member”. The Premier may also “assign to a member of the EXCO any power or function of another member who is absent from office or unable to exercise that power or perform that function” (Constitutional Assembly 1996). The implication thereof is that all MECs are responsible for M&E and that additional functions related to the achievement thereof may be assigned as necessary.

Chapter 10 of the Constitution focuses specifically on public administration. According to section 195(1), “public administration must be governed by democratic values and principles” including the “efficient, economic and effective use of resources”. Accountability of the “public administration” and “transparency must be fostered by providing the public with timely, accessible and accurate information” (Constitutional Assembly 1996) (see *Chapter 1.3.2*). It is evident that the provincial public administration must monitor and evaluate the use of resources to provide management and stakeholders with feedback on progress and the achievement of outcomes by applying the above values. By being accountable and transparent, public administration is required to monitor and accurately report on progress made to achieve set national priorities. Such reporting requires that progress be evaluated to determine relevance, effectiveness, efficiency, impact and sustainability.

In addition to the Constitution, the institutionalisation of M&E in the LPG is mandated by various mandates and policies as summarised in Table 6.1.

Table 6.1: Mandates and policies guiding M&E in the LPG (developed by researcher)

LEGISLATION	FOCUS
<p>The Constitution of the Republic of South Africa, 1996 Chapter 10 Section 195(1)(f) and (g)</p>	<p>Accountability and transparency, “providing the public with timely, accessible and accurate information”</p>
<p>The Constitution of the Republic of South Africa, 1996 Chapter 6 Section 125(2)(e)</p>	<p>The “Premier exercises the executive authority together with the other members” of the EXCO by (amongst others) coordinating the functions of the provincial administration and its departments. These functions include the M&E of service delivery</p>
<p>The Constitution of the Republic of South Africa, 1996 Chapter Section 133(3)(b)</p>	<p>The “members of the Executive Council of a province must provide the Provincial Legislature with full and regular reports concerning matters under their control”. Thus the Constitution places a responsibility on the OtP to oversee and coordinate the development of a transversal M&E system in the Province</p>
<p>Public Service Regulations Part iii</p>	<p>Specifying the information system that will enable the EXCO to M&E the progress made towards attaining goals, targets and objectives, as contained in the Strategic Plan of a department</p>

SOURCE OF THE MANDATE/POLICY	MANDATE/POLICY
RSA Cabinet	Mandate for Provinces to develop a Province-wide Monitoring and Evaluation System, RSA Cabinet 2005
Presidency	<p><i>Proposal and Implementation Plan for a Government-wide Monitoring and Evaluation System (2005)</i></p> <p><i>Policy Framework for the Government-wide Monitoring and Evaluation System (2007)</i></p> <p><i>From Policy Vision to Implementation Reality (2008)</i></p> <p><i>The Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide (2008)</i></p> <p><i>Green Paper on Improving Government Performance: Our Approach (2009)</i></p> <p><i>National Evaluation Policy Framework (2011)</i></p> <p><i>National Evaluation Plan for 2012/13</i></p>
Public Service Commission	<i>Basic Concepts in Monitoring and Evaluation (2008)</i>
National Treasury	<i>Framework for Managing Programme Performance Information (2007)</i>
SAMDI	<p><i>SAMDI M&E Curriculum Framework (2007)</i></p> <p><i>SAMDI M&E Orientation Course Manual (2008)</i></p>
Palama	<i>The Palama Curriculum (2009)</i>
Stats SA	<i>Stats SA South African Statistics Quality Assessment Framework (2008)</i>

	<i>Stats SA Statistical Quality Assessment Framework (2010)</i>
Limpopo Provincial Government	<i>Guidelines for the development of a monitoring and evaluation system for the Limpopo Province (2006)</i> <i>Limpopo Provincial Monitoring and Evaluation Framework (2007)</i> <i>Limpopo Provincial Outcomes Based Monitoring and Evaluation Policy Framework (2010)</i>

Governance context of M&E

The intention is indicated in the Limpopo *Framework for the Province-wide Monitoring and Evaluation System* (2007) to use the existing structures as a feedback mechanism linking M&E to the planning, budgeting and decision-making process. The structures identified were the EXCO, Provincial Cabinet Cluster System and EXCO Lekgotla (*see Section 6.2.3*).

Literature studied (*see Chapter 3.5.1.1*) indicated that an assessment should be conducted of the organisation's readiness to institutionalise M&E. To provide a baseline in terms of the *status quo* with regard to M&E in the province, the Monitoring, Evaluation and Impact Analysis Unit in the OtP conducted a rapid review during 2007 of M&E capacity and systems in use in the LPG. The rapid review is subsequently discussed in detail with reference to the methodology followed to conduct the review, compliance to the request to participate, analysis of the information collected and a conclusion regarding the rapid review.

Methodology followed to conduct the rapid review

Through the DG of the Limpopo Province, letters were sent to the HoDs requesting that they ensure that the identified M&E focal persons generate the requested information (Annexure F). A questionnaire asking for key information as well as guidelines for the completion and submission was attached (Annexure G). The questions essentially asked departments to provide information on their M&E strategies, the capacity in place to undertake M&E activities, the products generated by their M&E work and the IT in place to support M&E (LPG 2007e, p. 3).

Compliance to the request to participate in the rapid review

The compliance in terms of the departments submitting the requested information is presented in Table 6.2. Out of ten sector departments in the LPG, two departments did not submit responses to the rapid review.

Table 6.2: Compliance by the LPG departments to the 2007 request to participate in the rapid review (LPG 2007e, p. 4)

SECTOR DEPARTMENT	STATUS OF SUBMISSION
Department of Agriculture	Not submitted
Department of Economic Development, Environment and Tourism	Submitted
Department of Education	Not submitted
Department of Health and Social Development	Submitted
Department of Local Government and Housing	Submitted
Department of Provincial Treasury	Submitted
Department of Public Works	Submitted
Department of Roads and Transport	Submitted
Department of Safety, Security and Liaison	Submitted
Department of Sports, Arts and Culture	Submitted

In all instances the eight responding departments were helpful and informative and made visible efforts to assist this process.

Analysis of information with regard to M&E strategies, capacity and systems

An *M&E strategy* should be comprehensive and integrated and relate logically to the nature of the services provided. It should deliver results that identify good and bad practices and contribute to improvements in policy and procedures. Almost all the respondents indicated that they recognised the importance of M&E, but few departments had successfully developed clear strategies. Some departments were largely structured around projects and in these cases M&E was often particularly underdeveloped. The primary strategic concern was project tracking. Long-term impact was usually not adequately assessed. While most responses indicated an insufficient awareness of performance indicators, others showed that they had considered the issue in some depth. The Department of Health and Social Development, for example, had developed a list of performance indicators used to monitor performance. Most respondents identified their Performance Management and Development System (PMDS) as an important element of their M&E strategy. However, the links between individual and institutional performance were often not identified meaning that the two systems operated without taking account of each other. Communication and dissemination of M&E findings were often overlooked in strategies.

While provision was made for *M&E capacity*, it was dispersed amongst a number of sections in the organisational structure. This is not necessarily a problem, since staff working in different sections according to a shared strategy can be successful in achieving results. However, as noted above, there were few coherent M&E strategies being implemented, so with M&E responsibilities distributed

amongst various sections it became a disjointed activity in many instances. The departments with clear, persuasive M&E strategies were those that had a dedicated M&E capacity in place. The OtP had a unit specifically charged with M&E and this suggests a clear consciousness of their M&E mandate.

As regard to *M&E systems* the Department of Health and Social Development had the District Health Information System (DHIS) in place to capture, analyse data and generate graphs so that interpretation and report writing could be realised. The Department of Local Government and Housing was considering securing an automated integrated information system for all their reporting imperatives. The remainder of the departments did not have any software or specialised IT systems for M&E to support the achievement of their M&E strategic objectives (LPG 2007e, p. 4-5).

Conclusion as regards the rapid review

While many departments had unclear M&E strategies with fragmented and dispersed capacity, this should not obscure the fact that in 2007 there were reasons to be optimistic regarding the *status quo*. Although M&E in the province was still generally underdeveloped, the basic building blocks were present (LPG 2007e, p. 6).

Also useful in determining the readiness of the LPG to institutionalise M&E are the matters raised by Seale (2007) pertaining to the Limpopo Province. He found little coherent or articulated strategy in the province through expenditure on systems to collate ME data. He questioned what was meant by a system and the quality of the data. The M&E of development interventions was focused on collecting data, but with limited analysis and feedback taking place. Plans on development interventions were found to be misaligned. The concern was how M&E should be incorporated into planning, especially pertaining to the development of indicators. Questions related to the absence of baseline data, the type of baseline data required and how the data could be obtained.

a. Coordination of M&E

The OtP is the political centre as well as the executive head of the LPG. The OtP ensures effective oversight and is responsible for centralised planning and the M&E of the implementation of government programmes and priorities in the province. The mandate of the OtP in the LPG is depicted in Table 6.3.

Table 6.3: Mandate of the OtP in the LPG (PSC 2012, p. 4, 5)

FUNCTIONS	KEY RESPONSIBILITY AREAS
POLITICAL MANAGEMENT NERVE CENTRE	<ul style="list-style-type: none"> • “Strategic support and advice to the Premier and EXCO • Facilitation of the Premier’s role as head of government • Strategic planning and agenda setting • Support for the Premier’s political role
STRATEGIC LEADERSHIP AND COORDINATION	<ul style="list-style-type: none"> • Research, strategic analysis and policy development • Strategic communication and stakeholder management • Mainstreaming of youth, gender and disability issues • Intergovernmental relations, international relations and stakeholder relations • Leader of government business • Coordinator of government strategic planning • M&E • Developing the legislative agenda for the province
TRANSVERSAL SERVICES	<ul style="list-style-type: none"> • Transversal human resources • Cabinet secretariat • Legal and legislative drafting services • Communication services • Service delivery improvement and change management • Security, threat and risk management services
PLANNING	<ul style="list-style-type: none"> • Centralised planning • Spatial planning”

The role of the OtP in M&E is to coordinate M&E in the province as each department is still responsible for the M&E of service delivery within its functional domain, which is guided by the objectives of the PGDS (LPG 2007a, p. 41). The 2008 *Role of Premiers’ Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* outlines the responsibility of the OtP in ensuring province-wide M&E. It is required that guidance is provided on M&E to ensure that all government departments within a province strive towards similar M&E best practices. To this effect the OtP plays a pivotal role in providing coherent M&E standards that support policy reformulation, planning and service delivery to achieve national and provincial priorities (Presidency 2008b, p. 2).

In 2004 an M&E unit was established in the OtP to M&E the key priority areas and the growth and development activities within the province. This unit plays a central role in M&E as part of the cyclical process to continuously strive towards achieving a developmental state. The core functions of the M&E unit within in the OtP are to:

- Coordinate the monitoring of the progress of implementation of the PGDS;
- Evaluate the outcomes and impacts of the PGDS;
- Ensure that the (manual and electronic) PWMES is implemented;

- Build capacity for the success of implementation and functioning of the M&E system;
- Ensure that the M&E system is maintained and continuously improved;
- Coordinate the Provincial M&E Forum; and
- Contribute to the function of knowledge management (LPG 2007a, p. 14).

The OtP has the responsibility of providing support to the local sphere of government in the development and maintenance of M&E systems for municipalities. The (then) DPLG has developed a rigorous approach to monitoring the IDP processes and products of local governments through the IDP hearings. Increasingly, the provincial governments positioned at the interface between national and local spheres are called on to provide an important coordinating and communicating role; these are filtered from the detailed and highly contextualised local perspective to the more generic and broader national view and back again (LPG 2007a, p. 13).

b. Planning for M&E

Literature reviewed (*see Chapter 3.5.1.2*) indicated that planning for M&E entails having a strategy to address rural development that is clear on the objectives to be achieved, a policy framework guiding how the M&E system will be developed and institutionalised and an M&E plan guiding M&E at the operational level.

As is the case of all government organisations, the LPG had to institutionalise M&E in the province aligned to the GWMES model. The M&E unit within the OtP was involved in efforts to implement the requirements of the *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007) in the province (AFReC 2009b, p. 5).

In the 2006 SOPA the Premier indicated that the greatest measure of the success of the PGDS of the province lay in the implementation and impact of the strategy on the lives of the people of Limpopo Province (Moloto 2006, p. 4). When planning for the institutionalisation of M&E in the LPG, the focus is to be the PGDS. The PGDS is the strategic document guiding the delivery of services and the achievement of outcomes and impact within the province. This was a conscious decision on the part of the LPG to ensure the introduction of a sustainable system that addresses the linkages between provincial planning, departmental planning and municipal planning.

Each department and municipality is to identify strategies and critical programmes within their area of operation. The PGDS should inform these development interventions. At local level municipalities will prepare IDPs every five years to be reviewed on an annual basis in terms of the Local

Government: Municipal Systems Act 32 of 2000. These plans are intended to achieve a balance or integration of social, economic and environmental matters. The IDP is a strategic five-year multisectoral plan developed by districts and local municipalities in consultation with the community concerned with sustainable development objectives in mind. The PGDS is developed with the same objectives as an IDP, but at provincial level to ensure synergy and long-term benefits and its alignment with district and local municipality IDPs is critical. In 2005, the Presidency and DPLG provided a guideline on developing a PGDS, emphasising that all three spheres of government should be covered (DPLG 2005, p. 13). As the PGDS is the document guiding development in the province and a strategy consisting of multisectoral programmes being implemented by sector departments, the focus of M&E in the LPG is the PGDS.

A participative process was followed during 2008 in the institutionalisation of M&E in the LPG against the GWMES model, comprising of the following eleven steps:

1. Desktop study and literature review;
2. Readiness assessment;
3. Consultation with main stakeholders;
4. Develop Provincial M&E Framework;
5. Key indicator selection;
6. Establish baseline and targets for key indicators;
7. Develop Provincial M&E Plan;
8. Solidify and verify the Provincial M&E Plan as basis for the electronic M&E system (database);
9. Design the electronic database to support the PWMES;
10. Training in respect of the PWMES; and
11. Implementation, piloting, quality control and continuous improvement of the PWMES (LPG 2007a, p. 6).

These steps are subsequently discussed with regard to the rationale for the 11 steps and the progress made.

The rationale for the desktop study and literature review was to research best practices on M&E systems. A Canadian expert on the RMAF trained officials in the OtP and a document was later drafted that deals with some of the options the LPG could explore to institute a PWMES. A desktop study was also conducted on the *status quo* regarding M&E systems in other Provinces. Flowing from the desktop study and literature review, lessons were learned from developed and developing

countries on the institutionalisation of M&E systems. The second step entailed conducting a readiness assessment to assist in diagnosing M&E capacity and determining the resources available to support an M&E system (see *Section 6.3.2.1*). The third step comprised consultation with main stakeholders to forge partnerships and ensure the uniform approach to M&E. Bilateral discussions were held with the Presidency on the GWMES. Learning Networks, forums and workshops were attended. M&E focal persons in departments were identified at the request of the DG by their respective HoDs. The officials in the OtP M&E unit participated in both the M&E audit conducted by the PSC (see *Chapter 5.3.4*) and the study driven by SAMDI to determine M&E capacity needs (see *Section 6.3.2.1*). The Provincial M&E Forum was established in an attempt to bring together the stakeholders relevant to the institutionalisation of M&E in the LPG (see *Section 6.3.2.1*).

The fourth step covered the development of a Provincial M&E Framework. The purpose of the Framework was to present a coherent approach to M&E that was appropriate and could be embraced by all stakeholders committed to achieving the strategic objectives of the PGDS. The fifth step involved the selection of key performance indicators as they provided the terms of measurement and reflect changes associated with a development intervention. Indicators developed were based on the five objectives of the PGDS (see *Section 6.3.2.3*). During the sixth step baseline and targets for key performance indicators were established. The baseline indicated the *status quo* at the onset of a development intervention. Targets indicated the amount of change from the baseline measures to be expected in a defined period of intervention.

The seventh step involved the development of a Provincial M&E Plan (LPG 2007a). The eighth step was to solidify the Provincial M&E Plan as a basis for the electronic database of the M&E system. As the database formed only one component of an M&E system, the M&E Plan was to be adopted by stakeholders before the electronic system could be designed. The intention was that the electronic database would allow for systematic and speedy management of large amounts of information and create automated reports. The ninth step was to design the electronic database to support the PWMES and a bid specification for this was put in place. IT as enabler for M&E is further explored in *Section 6.3.2.2*. The tenth step centred on capacity-building in the PWMES. The rationale for the capacity-building was for staff of the M&E units in the OtP and the departments to be equipped with the knowledge and skills to manage and maintain the PWMES. The eleventh (final) step of the participative process followed entailed the implementation, piloting, quality control and continuous improvement of the PWMES. The rationale for this was to ensure that the PWMES was sustained (LPG 2007a, p. 10).

Flowing from the analysis of information reflected in the 2007 Rapid Review (see *Section 6.3.2.1*) with regard to M&E strategies, capacity and systems, the *Guidelines for the Development of a Monitoring and Evaluation System for the Limpopo Province* was developed during 2007. This document presents guidelines for the development of a PWMES, which aims to guide, coordinate, align and strengthen efforts that ensure that decision-making is based on sound evidence. The development process would require the participation of stakeholders, encompassing political and administrative leadership and the broader civil society (LPG 2007c, p. 4). The document constructed a platform for a common understanding of the concepts used in M&E and proposed an approach to M&E for the province in support of the PGDS.

During the latter part of 2007 a *Framework for the Province-wide Monitoring and Evaluation System* (LPG 2007a) was developed. This Limpopo framework adopts a results-based model to M&E in line with the GWMES (LPG 2007a, p. 15). This allows the LPG to track progress and demonstrate the impact of projects, programmes or policies as this model focuses on the implementation level of input and outputs as well as on outcomes and impacts. Typically an M&E framework operates at the level of broad policy and principle, to be supplemented by other operational documents. In the case of the (Limpopo) *Framework for the Province-wide Monitoring and Evaluation System* (2007) supporting documents included a *Provincial Monitoring and Evaluation Plan* (2008), which provides further operational substance such as specific indicator sets and the M&E cycle (AFReC 2009b, p. 9).

The development of the (Limpopo) *Provincial Monitoring and Evaluation Plan* (2008) in support of the PWMES was a participatory exercise involving M&E focal persons in the sector departments and municipalities in the LPG. Indicators were reviewed to ensure that they directly relate to outcomes; these need to be achievable, realistic, practical to measure and verifiable in the sense that there was a process of verifying the information through Means of Verification (MoVs). The targets and baselines set for indicators were reviewed. With regard to data collection, consideration was given as to how and by whom data would be collected. Planning for data analysis took place through identifying those responsible for analysing the data within sector departments. An indication was given on how data should be disaggregated by variables, and when the data needs to be analysed. Plans for stating which departments would be responsible for reporting on each indicator were identified, as well as how and when data would be presented and who would need this data (LPG 2007,a p. 25). The (Limpopo) *Provincial Monitoring and Evaluation Plan* covered the following elements: Objectives, Targets, Outcomes, Measurable outputs, Main activities, Indicators, Indicator definition, Baseline, MOVs, Data collection methods, Data analysis methods and Data reporting.

The *Framework for the Province-wide Monitoring and Evaluation System* (2007) and the *Provincial Monitoring and Evaluation Plan* (2008) were presented to various municipal and provincial department stakeholders to create awareness on the institutionalisation of M&E in the LPG.

c. Objectives and principles of M&E

The objectives of the PWMES as stated in the *Framework for the Province-wide Monitoring and Evaluation System* (2007) were to track service delivery progress over time. This would evaluate the results achieved in respect of specific targets of the different spheres of government and inform policy makers for improved intervention and determine the overall provincial performance in relation to the PGDS (LPG 2007a p. 11).

d. Roles and responsibilities of key stakeholders in the M&E process

The national *Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice Guide* (2007) (Presidency 2008b) is clear on the expectation that provincial departments contribute to the realisation of provincial and national priorities being monitored and reported. The Limpopo *Framework for the Province-wide Monitoring and Evaluation System* (2007) identified departments and municipalities as having a role to play in M&E; this is the responsibility of each line department, as they have to provide feedback and early indications of progress or lack thereof in the achievement of goals and objectives. Inherent in this task is the responsibility of the sector departments to collect and analyse the data (LPG 2007a, p. 13).

e. Organisational structure supporting M&E

Since 2005 the need to strengthen the M&E capacity in departments, including the OtP, has been highlighted at different forums:

- Cabinet Cluster Committee meeting held on 13 July 2005 indicated that that the capacity of the M&E unit in the OtP should be strengthened to enable the unit to perform its functions;
- Executive Management Decision No 34/2005 stated that the structure of the Policy Coordination Unit (PCU) had to be revised to enable the Branch to carry out its mandate;
- EXCO decision no 139/2006 stated that M&E capacity in departments, including the OtP, be established; and

- Presentation made by DPLG to the President’s Co-coordinating Council (PCC) on 22 June 2007 stated that the Cabinet Lekgotla of January 2007 endorsed that provinces should provide for adequately staffed M&E units in the OtP (LPG 2007a, p. 2).

Ideally, integrated M&E units should form part of the departments. The lack of M&E capacity in most departments indicated in the 2007 Rapid Review was deliberated at different forums of the LPG. At the OtP Executive Management meeting held on 28 July 2008, the directive was given that the Policy Coordination Unit (PCU) should embark on a series of demonstrations to departments to advocate for the creation of M&E capacity. In the meantime, departments should be requested to allocate the function of dealing with M&E matters while capacity was being created through capacity-building (LPG 2008a, p. 3). After these presentations had taken place and were deliberated with the departments, a document, *Guidelines on the Establishment of Monitoring and Evaluation Units in Departments and Municipalities*, was developed by the OtP in 2008. The Guidelines attempted to provide guidance to departments and municipalities on how M&E units should be configured within the organisational structure. A proposed structure formed part of the Guidelines and is reflected in Figure 6.2.

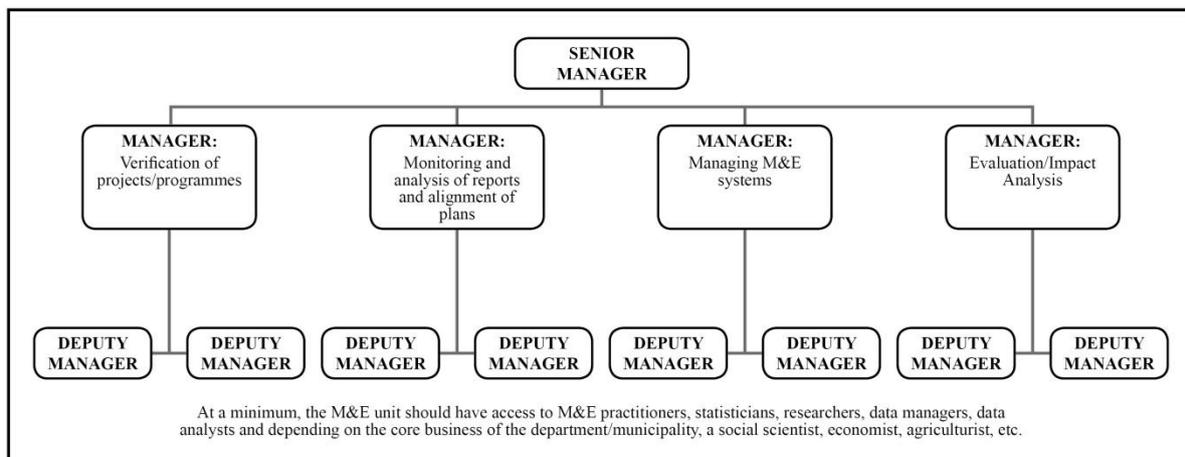


Figure 6.2: Proposed structure of an M&E unit in departments and municipalities (LPG 2008d, p. 7)

It was predicted that the structure could be customised, based on the size and the needs of departments and municipalities. The *Guidelines on the Establishment of Monitoring and Evaluation Units in Departments and Municipalities* were presented to the Limpopo G&A Technical Cluster during August 2008. After consideration of the Guidelines, the Technical Committee resolved that there was a need to ensure that all the relevant stakeholders were given an opportunity to provide inputs for the Guidelines. As the proposed M&E structure appears larger than necessary, as there were line

managers already in place, the Organisation Development Unit was requested to develop the core functions and an ideal structure for an M&E Unit (LPG 2008e, p. 2). The HoD Forum held on 3 October 2008 agreed that it was necessary to analyse the composition and functioning of different departments, following which a concrete proposal should be developed that is tailor-made for each and describes how the M&E units in different departments should be structured. The analysis should also look into the possibility of assigning the M&E function to certain units without necessarily creating a stand-alone M&E unit (LPG 2008b, p. 3).

In Table 6.4 the progress made with M&E capacity in sector departments from 2007 to 2013 is reflected. The sources for the information reflected in the Table are various reports submitted to the OtP on the organisational structure supporting M&E from 2007 to 2013.

Table 6.4: Organisational structure supporting M&E in the sector departments in the LPG
(developed by researcher)

DEPARTMENT OF AGRICULTURE	
2007	Not indicated in reports
2011	M&E unit attached to Strategic Management Branch
2013	Performance M&E and Service Delivery Improvement Directorate

DEPARTMENT OF ECONOMIC DEVELOPMENT ENVIRONMENT AND TOURISM	
2007	M&E unit is attached to the Strategic Planning and Coordination Directorate
2011	M&E unit is attached to the Strategic Planning and Coordination Directorate
2013	M&E unit is attached to the Strategic Planning and Coordination Directorate

DEPARTMENT OF EDUCATION	
2007	Not indicated in reports
2011	No M&E unit. Added as a function to Strategic Planning and Research
2013	M&E unit that is only focusing on schools

DEPARTMENT OF HEALTH AND SOCIAL DEVELOPMENT		
2007	M&E unit in place, reporting to Transformation and Transversal Services, which in turn report to Corporate Services	
	Department of Health	Department of Social Development
2011	M&E Directorate	M&E Directorate
2013	M&E Directorate within the Planning and Policy Branch	Not known

DEPARTMENT OF LOCAL GOVERNMENT AND HOUSING	
2007	There is a division on M&E under Strategic Management Service in the Office of the HOD. The department also has another M&E component, namely Performance M&E, which is mainly focused on municipalities, under the Local Government Support Branch In terms of

	monitoring feedback from clients there are two components, the Help Desk and Service Excellence Programmes
2011	Transversal M&E unit, responsible for municipalities Internal M&E unit, attached to Strategic Management
2013	Transversal M&E unit, responsible for municipalities Internal M&E unit, attached to Strategic Management

PROVINCIAL TREASURY	
2007	Component addressing M&E is under the proposed Chief Directorate of Strategic Operations and Transformation Services. The proposed directorate is called Strategic Operations.
2011	M&E Unit under Strategic Operations and Policy Coordination
2013	No dedicated M&E unit, structure is being reviewed

DEPARTMENT OF PUBLIC WORKS	
2007	M&E function is performed within the Strategic Planning Directorate
2011	M&E unit
2013	M&E Directorate

DEPARTMENT OF ROADS AND TRANSPORT	
2007	Department has a dedicated unit of performance management which is also responsible for the M&E of the department's performance and progress
2011	M&E unit is attached to Strategic Planning and Policy Coordination
2013	M&E unit is attached to Strategic Planning and Policy Coordination

DEPARTMENT OF SAFETY, SECURITY AND LIAISON	
2007	M&E unit in place, dedicated to address M&E externally of the South African Police Service (SAPS)
2011	Transversal M&E unit for SAPS Internal M&E unit, added as a function to the Research, Policy and Strategic Planning Unit
2013	M&E is located within the Research, Policy and Planning Unit. There is no dedicated official responsible for M&E

DEPARTMENT OF SPORTS, ARTS AND CULTURE	
2007	No M&E unit
2011	No M&E Unit, added as a function to Strategic Planning Directorate
2013	No M&E Unit, added as a function to Strategic Planning Directorate

With regard to the organisational structure supporting M&E in the OtP, a directorate responsible for M&E was created in the OtP during 2004 and formed part of the PCU. This M&E unit had a staff complement of only three M&E practitioners, which is very small in relation to its mandate to coordinate M&E across the province (AFReC 2009b, p. 9).

During 2009 South Africa held elections ushering in a new electoral period with new mandates. This necessitated the review of the organisational structure of the OtP. On 4 March 2010 the Limpopo

Premier delivered the Budget Speech for the OtP and mentioned that: In conformity with the outcomes based performance management system, the OtP will prioritise governance, integrated planning, M&E. There will be restructuring of the Office in order to ensure that much emphasis and focus is devoted to monitoring the implementation of policy, a mandate we dare not falter. The reconfiguration process should be able to link the thinking, the planning and the action to take place in an environment which has set clearly articulated performance targets and these targets would be continuously monitored and evaluated. The restructuring process will also warrant robust refocusing of the budget outlook of the Office (Mathale 2010a, p. 4). This pronouncement was consistent with the resolution taken during the 2009 National Lekgotla to reprioritise programmes and focus more on the building of M&E capacity at both the provincial and local spheres of government in order to be able to respond to the Outcomes approach (see *Section 6.3.3.1*). In some cases the functional content of departments would have to change to give effect to the new national ministerial portfolios, namely the NPC and the DPME (see *Chapter 5.3.7.2*).

During the OtP Strategic Planning held on 15 July 2010, the Limpopo DG presented the proposed organisational structure of the OtP. It was indicated that the structure was discussed at various meetings. After a number of variations, a structure with three branches was approved: Planning, Performance M&E and Administration. The strategic focus of the Performance M&E Branch is to coordinate effective service delivery in the province, coordinate performance M&E of government programmes and strengthen and coordinate provincial M&E systems (Manzini 2010).

f. Organisational learning

Institutional arrangements are in place for organisational learning in the form of the Provincial M&E Forum. Members of the Forum comprise M&E focal persons in departments and municipalities, Stats SA and universities. The functioning of the Forum is guided by Terms of Reference (TOR) that was adopted by the forum members. Issues such as capacity-building and the Local Government 5 Year Strategic Agenda are standing items on the agenda of the Forum. The LPG M&E Forum model was described as the best practice on how to structure and make a learning forum functional with well-planned roles and activities (Matomela 2010). As required by the Presidency, officials from the M&E unit in the OtP participated in the M&E Learning Network events at national level organised by the Presidency (see *Chapter 5.3.6.2*). An official of the M&E unit in the OtP was involved in the task team established by the DPME to develop a mechanism for ongoing support to the Learning Network (see *Chapter 5.3.6.2*).

With regard to utilising SAMEA as a forum for organisational learning, the intention was to launch a Limpopo SAMEA Chapter. During a Provincial M&E Forum held on 24 and 25 March 2010 the matter was presented and Forum members suggested that approval be sought from the EXCO. However, no progress has been made on this matter with the result that SAMEA has no Chapter in Limpopo (LPG 2010g, p. 6).

g. Capacity-building in M&E

There is a need to build capacity to support the GWMES as a model (Presidency 2007, p. 15). In response to “the fact that M&E is a relatively new discipline in the South African public sector” (Bester 2009, p. 9) and that M&E skills (particularly quantitative skills in dealing with large data sets) are scarce, planning how to build M&E capacity over time would be attended to by the LPG. The OtP should facilitate training (LPG 2008b, p. 2) and this was indicated in the *Guidelines on the establishment of M&E Units in Departments and Municipalities* (LPG 2008d, p. 7). These M&E units should have access to M&E practitioners, statisticians, researchers, data managers, data analysts and depending on its core business, a social scientist, economist, agriculturist, etc. During 2009 a *Provincial M&E Capacity-building Plan* (Table 6.5) was developed and presented to the G&A Technical Cluster Committee. It was indicated to the Committee that the plan was drafted based on the financial resources available and that capacity in both the provincial and local government will be built (LPG 2009f, p. 2).

The Limpopo *Provincial M&E Capacity-building Plan* outlines the arrangements for training provision both within the M&E unit of the OtP and for sector departments in the LPG. The Palama curriculum (see *Chapter 5.3.6.2*) for M&E training was also built into the plan. The plan was implemented without the benefit of a prior audit of training needs.

Table 6.5: Provincial M&E Capacity-building Plan 2009/10

TARGET GROUP	FOCUS OF TRAINING	TIMEFRAME	INSTITUTION
<p>Three officials from Monitoring, Evaluation and Impact Analysis Unit, OtP</p> <p>Two officials from CoGTA</p>	<ul style="list-style-type: none"> • Orientation to M&E Course • M&E and Indicator development • M&E and Performance Management • M&E and Quantitative Research • M&E and Data Quality • M&E and Data Analysis • M&E and Report writing • M&E and Qualitative Research • M&E and Data Management • M&E and Strategic Management 	<p>Blocks of four weeks over a period of July to October 2009</p>	<p>Palama</p> <p>(Pilot group)</p>
<p>M&E practitioners (Attendance at the discretion of individual Departments)</p>	<p>South African Monitoring and Evaluation Association (SAMEA) Conference</p> <p>Theme: M&E in the public sector: The principles and values that inform frameworks and practices</p>	<p>17- 21 August 2009</p>	<p>SAMEA</p>
<p>Two provincial M&E focal persons per department</p>	<ul style="list-style-type: none"> • Review of relevant M&E concepts • Introduction to GWMES • The Provincial M&E Framework and its linkage to the GWMES • The Programme Performance Information Framework • Evaluation Plans • The Provincial M&E Plan • Draft reporting formats against the Plan • Piloting and suggestion for the improvement of the PWMES • The link between Monitoring, Evaluation, Planning and Budgeting 	<p>24 – 26 August 2009</p>	<p>Applied Fiscal Research Centre (AFReC)</p>
<p>Programme managers in departments</p>	<ul style="list-style-type: none"> • Guidance for programme managers in Departments on monitoring programmes • Functioning of programme managers in relation to 	<p>Third Quarter 2009</p>	<p>AFReC</p>

TARGET GROUP	FOCUS OF TRAINING	TIMEFRAME	INSTITUTION
	departmental M&E units		
M&E focal persons in departments and municipalities	<ul style="list-style-type: none"> • Purpose and benefits of planning and M&E • The project cycle • Introduction to the LFA • Stakeholder, Problem, Objective and Alternative analysis • Presentation of Logic Framework Approach • Identification of Indicators and Means of Verification (MoVs) • Identification of Assumptions and Risks • How to produce a Plan of Action • Key concepts and approaches in evaluation • Data analysis techniques and reporting • Towards developing a M&E system 	Third Quarter 2009	Southern Hemisphere (private service provider)
M&E practitioners in the OtP	Advanced M&E and Indicators Development	Third Quarter 2009	The School of Public Management and Planning (Stellenbosch University)
M&E focal persons in departments and District and Local Municipalities	Provincial M&E Forum used as a platform to build capacity	Convened on a quarterly basis	Convener: OtP

6.3.2.2 Data component of the 2005-2009 Limpopo system

The data component covers the elements of M&E data, M&E reporting systems and range of M&E products and IT as enabler in an M&E system.

a. M&E data

The data sources of the PWMES were aligned to the data sources for the GWMES, being (a) Programme Performance Information, (b) Social, Economic and Demographic Statistics and (c) Evaluation (see *Chapter 5.3.6.3*). The data sources, which are essentially sources of data for M&E, are subsequently discussed in relation to the PWMES (with the exception of Evaluation, which is discussed in *Section 6.3.4*).

As part of the policy platforms of the GWMES, National Treasury published the FMPPI (2007) (see *Chapter 5.3.6.3*). Performance information reflected in the quarterly and annual reports of the sector departments in the LPG is audited by the AGSA. The audit covers the reported information against pre-determined objectives. A determination is made of whether performance information fairly reflects the achievements made against objectives and the outcome of these audits is discussed (see *Section 6.3.5*).

As regards the social, economic and demographic statistics, the M&E unit in the OtP analyses reports submitted by sector departments as they pertain to the implementation of government policies and programmes in the LPG. This analysis has led the unit to the following observations: different reports reflect different statistics on progress made with a specific issue and the source of the statistical information is not quoted within the reports analysed.

Furthermore, contradictions in the reports analysed can lead to the credibility, quality and usefulness of information questioned. One possible explanation of the contradicting statistical information is that departments and municipalities produce national statistics whereas official statistics are the data produced by Stats SA (see *Chapter 5.3.6.3*). The Presidency sees an important role for Offices of the Premier in promoting Stats SA's SASQAF: "As part of the province-wide M&E Framework, Premier's Offices need to devise a five year plan for the implementation of the SASQAF whereby departmental administrative data can be accredited as official statistics" (Presidency 2008b, p. 74).

The M&E unit within the OtP started this process in 2009 and are exploring with Statistics SA the process of transforming local government data into official statistics. There have been discrepancies between the community surveys and local government administrative data and this has been an area of mutual interest (AFReC 2009, p. 25). During 2010 Stats SA was in the process of integrating national official statistics through the NSS. As knowledge on the NSS and SASQAF could also assist, the OtP requested Stats SA to train identified persons on the NSS and SASQAF. The target group for the training was M&E practitioners and planners in departments and municipalities.

With regard to a GIS for the LPG, the PCU in the Limpopo OtP developed a GIS Policy for the LPG. It is stated in the policy document (LPG 2007b, p. 5) that the main objective of the GIS function in the province is to support the realisation of the objectives of the PGDS. GIS is to be used as technology to professionalise planning and enable government to make informed and high-impact decisions for service delivery. Spatial and spatially related information and support will be provided to all provincial departments in order to facilitate informed decision-making.

b. Reporting systems and range of M&E products

Through the PWMES (2007) the following M&E products are produced:

- Progress Report on the SOPA;
- Provincial Quarterly Monitoring Report;
- Provincial Annual Performance Review;
- End of Year Report; and
- PGDS Macro Analysis Report (LPG 2010a).

These M&E products are produced in line with an M&E Working Cycle (Annexure H). The Working Cycle reflects the timeframes for the development of the M&E products and the dates of the Limpopo Provincial M&E Forum. The M&E products are subsequently discussed in more detail.

Progress report on the SOPA

At the Annual Opening of the Provincial Legislature the Premier of the Limpopo Province delivers the SOPA. The address contains pronouncements, which guide the strategic direction of the province and a set of commitments to improve service delivery across the province. After the delivery of the SOPA, the

M&E unit in the OtP embarks on the analysis with a view to identify all pronouncements, which will become part of the Cluster PoA. These pronouncements are analysed and allocated to Clusters and the responsible departments and are then processed for inclusion in their PoAs and APPs to ensure that progress on implementation is reported on a quarterly basis.

Progress reports on issues emanating from SOPA are based on information from the following data sources:

- Cluster PoA;
- Cluster reports;
- Departmental Quarterly reports;
- Budget Statements;
- EXCO Lekgotla reports;
- Press statements;
- Monitoring Field Mission reports;
- Departmental Annual Reports; and
- Progress reports on the PGDS (LPG 2010a).

Verification of information from the data sources is achieved through field missions where project sites are visited. A comparison is drawn against information contained in the source documents and the actual progress on site and a field mission report produced to evaluate actual progress. This method is necessary to identify bottlenecks, provide early warnings and proactively ensure timely interventions where there are challenges in terms of adhering to the agreed targets and timeframes. The progress reports are presented to the Provincial M&E Forum and processed to the DG, HODs and Technical Cluster Committees on a quarterly basis to ensure informed decision-making. This is done against the M&E Working Cycle that indicates the timeframes of data collection and producing the progress report

Provincial Quarterly Monitoring Report

During 2008 the M&E unit in the OtP introduced a system of compiling a Provincial Quarterly Monitoring Report to facilitate the provision of information to political office-bearers and senior officials. In line with the *Framework for the Province-wide Monitoring and Evaluation System (2007)* (see Section 6.3.2.1) departmental performance is monitored through the Provincial Quarterly Monitoring Report. The report is an analysis of the APPs of the departments as well as their Departmental Quarterly Reports

(QRs). The focus of the report is on monitoring service delivery by departments based on the extent to which indicators and targets are met. To guide the development of this M&E product *Guidelines for the analysis of Departmental Quarterly Performance* was developed by the M&E unit in the OtP in 2008. The Guidelines include the methodology used to assess departmental performance. The analysis by the M&E unit is objective and independent, and based on data sources signed off by the respective HoDs. Both qualitative and quantitative methods are used for the analysis of this report and a standard format is used to analyse the departmental progress reports. APPs are the main documents for assessing progress. During the first quarter, the unit compiles all the programmes of the departments as listed in the APPs. In studying the targets in the APPs, the unit then compares the progress from the quarterly reports and analyse it (LPG 2008c, p. 1).

A desktop analysis is conducted on the level of compliance regarding the achievement of targets. The level of compliance and description of scale measure are explained in Table 6.6.

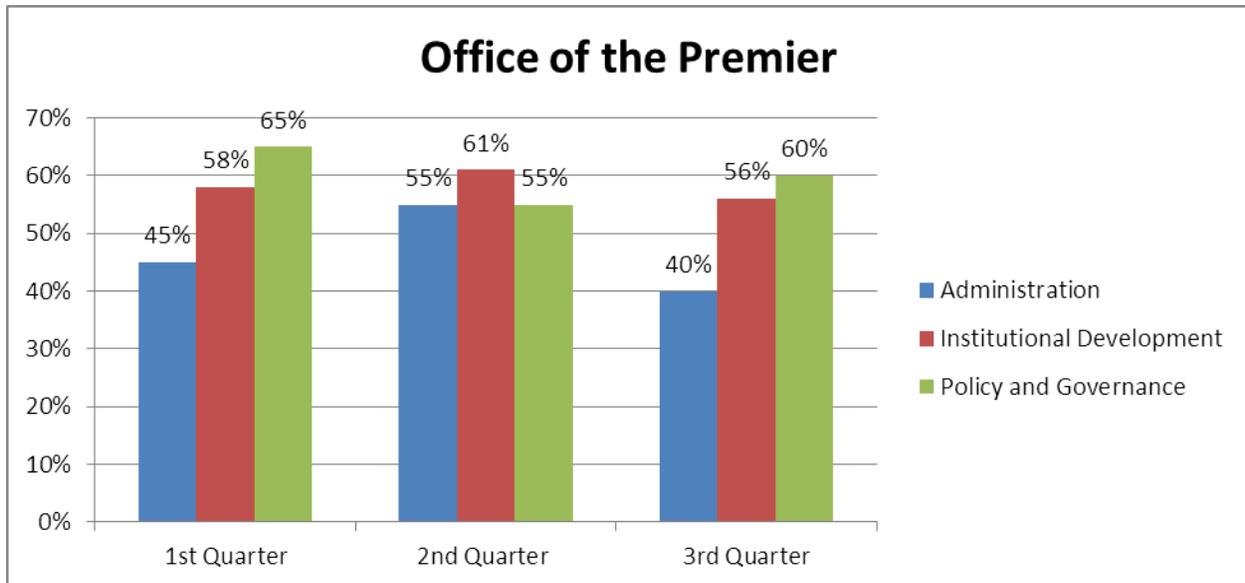
Table 6.6: Level of compliance and description of scale measure (LPG 2008c, p. 1)

LEVEL OF COMPLIANCE	DESCRIPTION OF SCALE MEASURE
Targets achieved	The planned target and the reported performance matched exactly 100% and above of the targets were achieved
Targets partially achieved	The department achieved some of the targets it had set for itself 0.9 to 99.9% of the targets were achieved
Target not achieved	The department achieved none of the targets it had set itself Either 0% of the targets were achieved, or the progress made with regard to the target was unclear

The report further compares the progress made with the previous quarter in a graphic form to indicate whether the departments are improving or will achieve their annual target. The graph only depicts the total of each programme and the focus is on achieved targets.

Graph 6.4 is a comparison of the performance of the three programmes (administration, institutional development, and policy and governance) of the Limpopo OtP for the first and second quarter of 2009/10. The average of each programme has been calculated in terms of percentage. Comparing performance across the three quarters, there was no improvement in all three programmes of the OtP. The

administration programme dropped by 15% compared to the second quarter and 5% compared to the first quarter.



Graph 6.4: Quarterly performance 2009/10 Limpopo Office of the Premier (LPG 2010d)

Key reasons for not achieving the set targets are highlighted. The Provincial Quarterly Monitoring Report is then processed to the individual HoDs with recommendations for corrective measures to improve performance in order to achieve the set targets at the end of each financial year (LPG 2008c, p. 2).

An initiative has been taken to ensure that all the M&E focal persons in the departments do receive the report and the schedule for submission of the quarterly reports. The M&E practitioners in the OtP M&E unit are available for discussions in respect of the reports if there is a request from the departments (LPG 2008c, p. 2).

Provincial Annual Performance Review

The Provincial Annual Performance Review is an analysis of departmental annual performance. The objective of the Review is to verify the extent to which the performance of the sector departments is reaching the appropriate targets, whether or not its service delivery is consistent with programme design and what resources are being expended. The Review functions as a non-financial analysis of departmental performance on the implementation of government programmes, projects and policies during the annual term. The Provincial Quarterly Monitoring Reports are compiled by the M&E unit in the OtP into an

overall Provincial Annual Performance Review that covers all provincial departments for a given financial year (LPG 2010h, p. 2).

The same methodology followed in analysing the compiling the Provincial Quarterly Monitoring Report, guides the Provincial Annual Performance Review. The source documents for the Review are the individual Provincial Departments Quarterly Reports, Provincial Quarterly Monitoring Reports and the APPs of provincial sector departments for the year under review. The outcome of the review process is a document indicating lessons learned from the perusal of individual LPG departmental reports and the provision of appropriate advice. The Annual Provincial Performance Review is then presented to the Limpopo Provincial M&E Forum for quality assurance before the Review is processed through the Provincial Cabinet Cluster System (LPG 2010h, p. 3).

End of Year Report

The End of Year Report reflects provincial progress on issues identified by the Presidency and is required in preparation for the SONA. Provinces are provided with an indication of the information required and a reporting template; this includes the main achievements of the province in advancing the electoral mandate of the government. Progress is reported on ongoing programmes that are strategically the most important programmes contributing to the achievement of the electoral mandate. Departments are expected to report on activities that are implemented in an integrated manner. Capital projects are reported on in terms of in the amount allocated to these and the expenditure to date. The report also includes a list of legislation to be submitted to Cabinet and Parliament during the rest of the term of government. Provinces are expected to provide a statement indicating issues to be mentioned in the SONA that is to be delivered by the President. Critical communication events, which in relation to the cluster priorities, best promote integrated governance and merit consideration for inclusion in the programme of the President forms part of the report (LPG 2010a).

Macro Analysis Report

The Macro Analysis Report provides an indication of the progress made in the province at a macro development level in relation to the PGDS 2004-2009, pronouncements in the SOPA and departmental performance. The report concludes with issues to consider for forward planning in the province. Annexure I reflects a presentation prepared based on the 2010 Macro Analysis Report of the LPG.

c. IT as enabler in an M&E system

The document *Guidelines for the Development of an M&E System for the Limpopo Province* (2007) states that a manual and/or automated PWMES should be developed with which to collect and analyse performance information. Such information should be reported on and used to improve decision-making. The document provides guidelines for the development of an M&E system which will guide, coordinate, align and strengthen efforts to ensure that decision-making is based on sound evidence.

The Provincial Government IT Office (PGITO) was tasked to assist the M&E unit in the OtP with the development or acquisition of an automated PWMES. The TOR bid document for user's requirements specification and subsequent system development was formulated (LPG 2008g, p. 3). The LPG requested the State Information Technology Agency (SITA) to publish the bid for the provincial automated system (SITA 2008, p. 1). SITA is mandated in accordance with the SITA Act 88 of 1998, as amended by the SITA Amendment Act 38 of 2000, to render Information Communication Technology (ICT) services to government departments, and to act as the procurement agency for government. The bid to appoint a service provider to develop an automated PWMES was published in the Limpopo Provincial Treasury Tender Bulletin and on the SITA website in May 2008. A Bid Evaluation Committee (BEC) appointed by the DG conducted the evaluation of the bids in August 2008. The outcomes of the evaluation were sent to SITA's Recommendations Committee to look into the process followed and draft their report which, together with the report drafted by BEC, had to be forwarded to the DG for consideration. The validity period for the bid expired in September 2008 without the DG receiving feedback from SITA with regard to the way forward or status of the bid arising from SITA's internal procurement processes (LPG 2008f, p. 4).

The executive management the OtP noted its concern at the lack of M&E capacity in most departments and indicated that the manual system of conducting M&E should be developed (LPG 2008a, p. 5). During a meeting of the OtP executive management in March 2009 it was indicated that it had become clear from interactions with the M&E unit in the OtP that a manual system had been put in place through which M&E products were generated. The resolution was made that departments need to be trained on how to report against the Provincial M&E Plan before an attempt is made again to develop an electronic system (LPG 2009c, p. 7). Thus, currently the LPG has a manual PWMES in place.

6.3.2.3 Analytical component of the 2005-2009 Limpopo M&E system

The analytical component covers the elements of performance indicators, baseline data and targets.

During 2007 the LPG developed a *Provincial Compendium of Indicators* (LPG 2007d). However, the Compendium was found to be lacking in that the document contained an extensive number of indicators. A substantial number of these indicators dealt with issues within the functional domains of the provincial and local spheres of government. In addition, a significant number of indicators focus on matters within the exclusive national domain, as well as, in a number of instances with matters that are geographically speaking not directly related to the Limpopo Province. International issues in the exclusive domain of the Presidency of the Department of Foreign Affairs were also referred to in the document. An analysis of the document indicated a strong focus on transport and IT matters. Some of the indicators were similar to World Bank indicators. It was proposed that the Compendium be updated and aligned by the LPG in order to provide the basis for an implementable, responsive and predictive M&E system for the Province.

As regard to baseline data to be able to M&E the impact, information on the situation in the Province before the implementation of the PGDS took place was required. The baseline study was also required to collate and set the basis for the M&E of the Limpopo Employment, Growth and Development Plan (LEGDP) 2009-2014, as baselines would indicate the *status quo* in relation to the outcomes and measurable outputs associated with the objectives of the LEGDP (Presidency 2008b, p. 50). However, the LPG found itself in a situation similar to many other governments where credible baseline data are extremely scarce (AFReC 2009, p. 22), impacting on the setting of targets.

6.3.3 Overview of the 2009-2012 Limpopo M&E system

As discussed in *Section 6.3.2*, the LPG has since 2005 institutionalised M&E in the province against the GWMES model. The Limpopo 15 Year Review Report (1994-2009), conducted during 2009, attempted to assess the government's performance by measuring the impact of its policies and programmes. In a number of cases, the necessary data was not available and in other cases, a proxy indicator was used (LPG 2009e, p. 15). The key data used to conduct this review was sourced primarily from Stats SA. The review also utilised information from other sources such as reports and research commissioned by the departments and reports presented to the EXCO. The shortcomings from an M&E perspective were as follows:

- No comprehensive M&E system for the province, including an IT platform;
- Lack of M&E practitioners;
- Time spent on data verification;
- Lack of government information;
- Data for the earlier years unavailable;
- Most of the information was scattered and uncoordinated; and
- Lack of baselines (LPG 2009e, p. 60).

It was indicated in the review that information management remained a challenge that requires strategic attention as a matter of urgency.

The overview of the 2009-2012 system covers the Outcomes approach (2009), as documented in *Guide to the Outcomes Approach* (Presidency 2010b), *Frontline Service Delivery* (2011) (Presidency 2011d), *Institutional Performance M&E* (2012) and the *National Evaluation System* (2012).

6.3.3.1 Outcomes approach of the Government-wide M&E Model (2009) in the Limpopo Provincial Government

Since 2009 the Presidency has placed an emphasis on the Outcomes approach to the performance M&E of government (see *Chapter 5.3.7.3*). National and provincial government works together in pursuing the outcomes. This is done in the spirit of the Constitutional requirements for cooperative governance. At national level performance agreements (PAs) were signed between the President and Ministers on outcomes of service delivery at high level. PAs with outcome coordinating Ministers required DAs to be developed for each outcome. No legal framework exists for PAs between the President and the MECs. As the MECs reports to the Premier, the President sign an Intergovernmental Protocol with the Premier, based on the contribution of the Province to the outcomes; this is not a punitive document but a management tool. The purpose of the protocol is to strengthen interaction and cooperation between national and provincial government, particularly the delivery of concurrent functions such as education, health, human settlements and rural development. MECs are signatories to the DA signed by their respective Ministers. Premiers will encourage their MECs to participate in the relevant outcome Implementation Forums, the production of DAs and the subsequent M&E of progress in implementing the DAs. An administrative performance management system is used to hold DGs, HoDs and Municipal Managers accountable for the implementation of their institution's DA commitments (Philips 2010).

Implementation Forums such as MinMEC and FOSAD monitor and facilitate implementation of the DA. In addition to MinMEC, the key structures to promote intergovernmental integration and cooperation include the extended Cabinet meetings and the President's Coordinating Council (PCC). The extended Cabinet meetings (Makgotla) held twice a year involve all Premiers and provincial DGs as well as the South African Local Government Association (SALGA) political and management leadership. This is a forum where the national five-year strategic plan (the MTSF), progress on the outcomes and the PoA (that describes the targets and actions to achieve the outcomes) are discussed and adopted. The PCC, comprised of the President, select Ministers and the nine premiers and representatives of local government, has a key role in the coordination and alignment of priorities, objectives and strategies across national, provincial and local governments. To this end the PCC is the principle platform to discuss progress and the challenges associated with the outcomes involving the provincial and municipal spheres (Presidency 2009c, p. 9).

There is a need for the provinces to actively participate in the Outcomes approach (2009) and contribute to the achievement of the outcomes and associated measurable outputs and targets. The implications of the Outcomes approach for the province were identified as initially only affecting key sectors and increased political pressures for performance and political visibility (AFReC 2009). It became necessary to review the (Limpopo) *Framework for the Province-wide Monitoring and Evaluation System* (2007) (LPG 2007a) in line with new directives from the Presidency such as the Green Paper on *Improving Government Performance: Our Approach* (Presidency 2009c) and *The Green Paper: National Planning Commission* (2009). The result of the review process was the *Limpopo Provincial Outcomes Based Monitoring and Evaluation Policy Framework* (LPG 2010c), adopted by the LPG in 2011.

6.3.3.2 Frontline Service Delivery (2011) in the Limpopo Provincial Government

During 2011 the DPME developed a framework for FLSD (see *Chapter 5.3.7.4*). Monitoring of FLSD in the Limpopo Province enabled the political and administrative leadership to keep in touch with ground-level issues as this focused on monitoring the experience of citizens when obtaining services. FLSD comprises executive visits to local areas and service delivery sites that publically and visibly demonstrate to the public that the Office of the President and the OtP are monitoring frontline service delivery (see *Chapter 5.x*). Key frontline service delivery indicators, such as length of time citizens spend in queues and turnaround times for pension applications are measured. The accountability of government to the

public at local level is improved by empowering citizens with information about service levels and by providing methods for citizens to engage with government to effect improvements. The aim is to provide management of service delivery institutions and departments with information to improve frontline service delivery. Governance structures such as ward committees and school governing bodies should be strengthened by empowering them with information and encouraging them to focus on working with government to effect improvements (Philips 2010).

The focus areas of FLSD in the LPG are health and education. Reports have been analysed and submitted to the Office of the President. Revisits were conducted to facilities, which had serious challenges to monitor progress, followed up by feedback reports to the visited sites (LPG 2011b, p. 5). The following challenges were frequently experienced during the FLSD visits:

- Weak operational management;
- Lack of mechanisms to obtain feedback from users;
- Unclear responsibility and accountability for facilities management;
- Management taking no action to address weaknesses; and
- Infrastructure not being maintained in a preventative manner (LPG 2012a, p. 4).

Additional challenges identified were that the FLSD monitoring tool was not fully completed, reports lacked supporting evidence such as photos, and reports from the various provincial departments were outstanding (LPG 2012b, p. 5).

6.3.3.3 Institutional performance M&E (2011) in the Limpopo Provincial Government

During 2011 the DPME developed a MPAT (see *Chapter 5.3.7.5*). The MPAT focuses on strategic and operational performance of individual departments and is carried out in collaboration with National Treasury, DPSA, AG, PSC and the Offices of the Premiers. The MPAT aims to provide a baseline of management performances against benchmarks. The reports generated after the application of the tool provide management information to assist departments to improve on performance. The DPME would then facilitate support to departments to develop and implement improvements plans. The national MPAT was launched by the Presidency in October 2011. Provinces were expected to follow suite and launch the assessment tool. During the November 2011 Provincial M&E Forum a presentation was made by the DPME. It was noted that MPAT collates and integrates existing frameworks into one management tool.

It draws on data produced by M&E systems and focus on four key performance areas (KPA): “Governance and Accountability, Strategic Management, Financial Management and Employees, Systems and Processes” (Presidency 2011a, p. 4). The tool has four levels of assessment descriptors that must be used to rate departmental performances and they are as follows:

- “Level 1: Non-compliance with legal/regulatory requirements;
- Level 2: Partial compliance with legal/regulatory requirements;
- Level 3: Full compliance with legal/regulatory requirements; and
- Level 4: Full compliance and doing things smartly” (Presidency 2011a, p. 10).

The provincial implementation process to complete MPAT activities was explained to the Forum members. The process consists of six steps. Step 1 requires that the DPME would draw available secondary data to produce an initial overall assessment. During Step 2 departments carry out the self-assessments by completing the standard questionnaire. DPME will then conduct a validation exercise of the self-assessment against evidence provided by the department concerned in Step 3. During Step 4 the DPME will facilitate appointments of subject matter experts to conduct external assessments on the self-allocated scores. In Step 5 the DPME will engage the leadership of the department to discuss findings of the MPAT. During Step 6 the department concerned will be required to develop and implement an improvement plan to address areas of weaknesses (LPG 2011b, p. 3).

Provincial M&E practitioners indicated the concern that there was no common understanding in terms of evidence required on MPAT self-assessment scores (Minutes of the Provincial M&E Forum 19 July 2012, p. 4). With regard to the 2011/12 MPAT results, all LPG departments submitted their self-assessment scores. However, based on advice from the OtP, “the department’s scores were not signed off by the respective HoD of the departments” (Presidency 2012c, p. 8) and were not part of the MPAT report presented to National Cabinet in June 2012. The MPAT results 2012/13 indicated an improvement in the MPAT scores of the sector departments in the LPG (Presidency 2013, p. 2).

6.3.4 National evaluation system (2011)

The LPG has not institutionalised the National Evaluation System of 2011, which is the third data source of the GWMES (see *Chapter 5.3.6.3*). A report presented to the Provincial M&E Forum indicated that no sector departments in the province have conducted evaluations (Minutes of the Provincial M&E Forum 24

March 2011, p. 6). In 2013 the concept of the Provincial Evaluation Plan (PEP) was still under consideration (LPG 2013b, p. 2).

6.3.5 Reports on M&E in the Limpopo Provincial Government (2005-2010)

This section is a reflection on reports on the institutionalisation of M&E in the LPG. The reports sampled are the report from National Treasury on the quality of performance information (2005), PSC report on the audit of M&E systems in provincial government (2007), National Treasury presentation on provincial performance management (2010), a report on the M&E Plan of the LPG compiled by Southern Hemisphere (2010) and the audit outcomes of the Limpopo Province (2012).

6.3.5.1 Institutional component

Factors identified as constraints in the institutionalisation of M&E in the LPG included lack of human, financial and infrastructure resources (PSC 2007, p. 48). Reporting was seen primarily in terms of external accountability and compliance rather than internal management information needs (PSC 2007, p. xii). The process of M&E should be participatory and empower citizens to take ownership and hold government accountable for its actions (PSC 2007, p. 2). Roles and responsibilities must be allocated as stakeholders need to know what their roles are in the M&E system (Southern Hemisphere 2010, p. 3). Very few departments in the LPG had established fully capacitated M&E units (PSC 2007, p. xii). The organisational learning culture was not conducive to learning and critical reflection and knowledge management was not taking place (PSC 2007, p. 8). Capacity-building in M&E should include training in the concepts related to M&E and how to operationalise an M&E system (Southern Hemisphere 2010, p. 3).

6.3.5.2 Data component

During 2005 the majority of the departments in the LPG did not have ongoing data gathering processes in place. Performance information was gathered on an *ad hoc* basis when reports on service delivery were due. This situation prevails as the audit outcomes of the Limpopo Province for 2011/12 reflects a regression on the management of performance information (AGSA 2012, p. 14).

A further stumbling block for reporting is the different formats in which they had to report on their performance (National Treasury 2005a, p. 16). As most departments collected data manually, data integrity was not guaranteed as data verification did not take place (National Treasury 2005a, p. 14). GIS as a data source is utilised to measure performance in providing sustainable human settlements (PSC 2007, p. 48).

The process of reporting was influenced by the management style of the line managers, which often determine how reports are compiled and the schedule of meetings to report to (PSC 2007, p. 46). Reports were generally focused on financial outputs against programme performance in combination with reasons for deviation (PSC 2007, p. 56). However, there was no feedback on the reports generated. Structured processes for validation and feedback on integrity of information did not exist (PSC 2007, p. 34). The issues between different reporting formats remained a challenge as well as the lack of clarity on reporting lines between the departments, OtP and Clusters (Southern Hemisphere 2010, p. 3).

Annual Reports as M&E products of the LPG, specifically the 2008/09 Annual Report, were found to be easily accessible and acceptable in terms of whether the report can be readily understood by the public. However, baseline data to put its performance indicators in context was not provided. Limited evidence was found that performance was aligned with budgeting (National Treasury 2010).

Once the paper based M&E plan, tools and reporting formats are in place, the TOR for developing an electronic M&E system (database) will be much clearer (Southern Hemisphere 2010, p. 3)

6.3.5.3 Analytical component

Baselines and targets need to be related to indicators. For example, if the indicator indicates percentage of children enrolled in early childhood development (ECD), then the baseline and target must also be a percentage and not a number. If the indicator indicates ratio, then the baseline and target need to be expressed as a ratio. Some qualitative indicators are best measured by qualitative means such as case studies and not in numbers and percentages. The baseline and target need to reflect disaggregation when required, for example, by age, race and gender. The PWMES reflects many indicators which are more output focused and may be too low level for province-wide M&E. While these are critical to know at a departmental level, the Premier and the EXCO should have an overview of outcomes (Southern Hemisphere 2010, p. 3).

The tracking of results and outcomes was rare among departments and indicators were formulated mostly at output level (PSC 2007, p. 49). The PWMES should be piloted and tested and improvements implemented (Southern Hemisphere 2010, p. 3). None of the departments used M&E products to evaluate impact (PSC 2007, p. 46).

6.4 RURAL DEVELOPMENT IN THE LIMPOPO PROVINCIAL GOVERNMENT

6.4.1 Introduction

Part Three of the single case study focuses on rural development in the LPG. As the dimension of the rural reality in Limpopo was dealt with in Part One of this chapter, the context of rural development in the LPG is presented. Thereafter, rural development in Limpopo and the various Limpopo provincial rural development strategies are discussed, including the coordination of rural development in the LPG and progress made with the implementation of these rural development strategies.

6.4.2 Context of rural development in the Limpopo Provincial Government

The last four years (2009-2013) has seen the endorsement of rural development as one of the South African government's key priorities. While there had been development programmes throughout the past 1994 phase, the ANC's 52nd Conference, held in Polokwane, Limpopo in December 2007, placed rural development onto centre stage with the adoption of a resolution calling for a high level "integrated programme of rural development, land reform and agrarian change" (ANC 2007). Since then strategic development planning and policy directives placed emphases on rural development (see *Chapter 5.2*). Rural development is an integral component of the ANC Economic Strategy, Limpopo 2030 (2009 p. 23). The reasons for the concern and government commitment to rural development are evident in Limpopo. Though conditions across the province have changed over the last few years, the challenges faced by rural areas remain critical. Rural areas in the province are faced with high population concentrations, high dependency ratios and limited access to economic and government services (Van Huyssteen, Oranje & Meiklejohn 2010, p. 2).

The context of rural development is explored and described with regard to the constitutional and legislative framework for rural development and the status of food security in Limpopo.

6.4.2.1 Constitutional and legislative framework for rural development

According to Schedule 4 (Part A) of the Constitution of the Republic of South African rural development is a concurrent competence of both the national and provincial spheres of government. With regard to rural development, the key references to the term development in the 1996 Constitution were discussed in *Chapter 5.2.1.1*.

The Limpopo Provincial Legislative Framework for rural development consists of the Limpopo Province Objectives Regulations (1999) and the Limpopo Housing Act 2 of 2006. However, these pieces of legislation do not contain detailed provisions regarding the planning and implementation of rural development in the province (LPG 2011, p. 20).

The Intergovernmental Relations Framework Act 13 of 2005 aims to promote and facilitate intergovernmental relations by establishing a framework for the relations between and the coordination of activities of the three spheres of government. National policy frameworks, such as the CRDP (2009) (see *Chapter 5.2.1.3*) and any provincial rural development-related policies, are not enforceable if not supported by specific enabling legislation. The consequence of this is that the enactment of rural development-specific legislation is needed and the Limpopo Provincial Legislature is competent to enact such provincial legislation (LPG 2011a, p. 20).

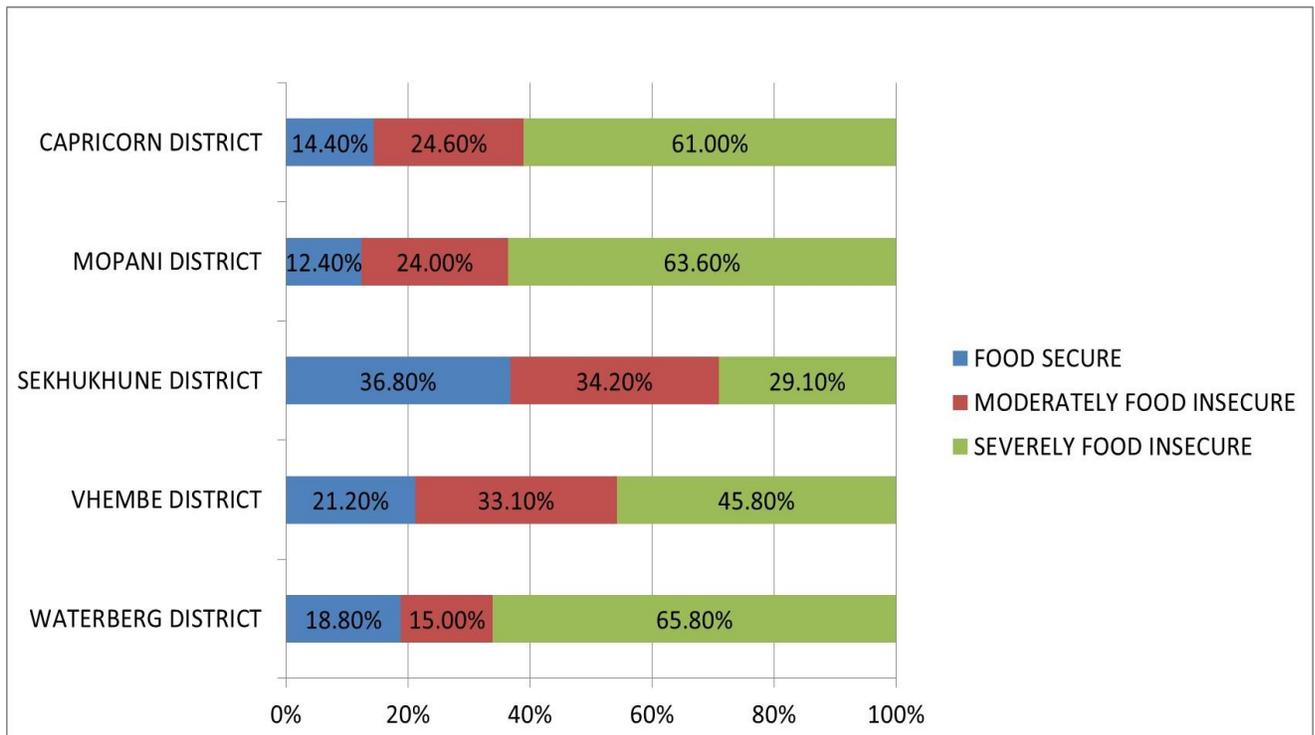
6.4.2.2 Food security in Limpopo

As indicated in Chapter 3, (see *Section 3.2.2.3*) an issue that is closely linked to rural development is that of food security. The IFSS (see *Chapter 3.2.2.3*) requires that the strategy be integrated into other government programmes within a rural development framework to eliminate the duplication of efforts. These are evident in the coexistence of a number of programmes covering the issue of food security in a sectoral fragmented approach (DoA 2002, p. 11). The NPFNS (see *Chapter 3.2.2.3*) states that the attainment of food security requires a comprehensive approach (DSD 2013, p. 6).

During 2011 collaborating partners, including the LDA, the University of Pretoria and the National Agricultural Marketing Council, conducted a case study in Limpopo under the theme of food security vulnerability in South Africa. The objectives of the case study were to ascertain the factors having an

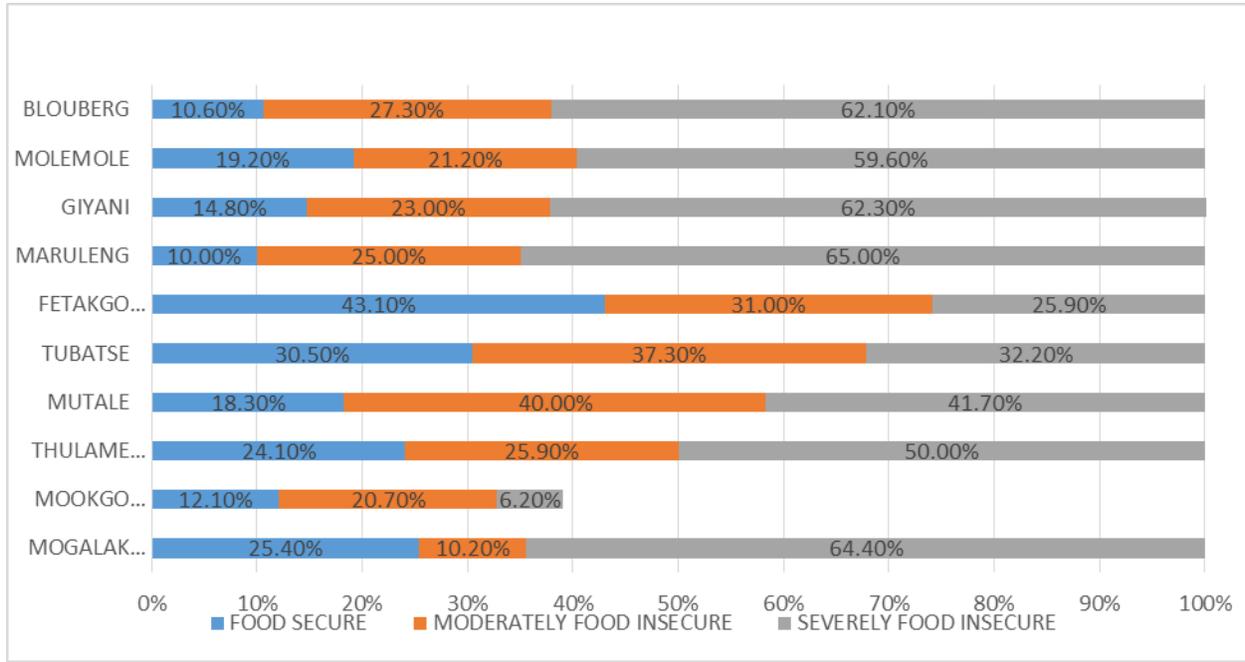
influence on “food security vulnerability at household and municipality level” and to establish a “Food Security Index based on four components: availability, accessibility, utilisation and stability”. The objectives were to lead to the “development of an accessible assessment tool to measure food security vulnerability and policy advice and new strategies related to food security”. The methodology followed for the case study was to collect secondary data through surveys on background information at municipality level and food security levels. Both qualitative and quantitative data was collected from the data sources. Data collected through the questionnaire included “household demographics, food availability and consumption, agricultural production and household income and expenditure”. Data was collected in five districts from two municipalities in each district (De Cock, D’Haese, Vink, Van Rooyen, Staelens, Schonfeldt and D’Haese 2013, p. 271).

The results of the case study indicated that 53 per cent of households are severely food insecure, 26 per cent moderately food insecure and 21 per cent food secure. The highest food insecurity levels were found in the Waterberg and Mopani District Municipalities and the lowest food insecurity level in the Sekhukhune District Municipality (Graph 6.5).



Graph 6.5: Food security status at District Municipality level (De Cock, D’Haese, Vink, Van Rooyen, Staelens, Schonfeldt and D’Haese 2013, p. 273)

As regard the status of food security at local municipality level, the highest food insecurity levels were found in the Mookgopong, Maruleng and Mogalakwena Local Municipalities and the lowest food insecurity levels in the Fetakgomo and Tubatse Local Municipalities (Graph 6.6).



Graph 6.6: Food security status at Local Municipality level (De Cock, D’Haese, Vink, Van Rooyen, Staelens, Schonfeldt and D’Haese 2013, p. 273)

Flowing from the case study conducted in Limpopo under the theme of food security vulnerability in South Africa, the most essential “determinants of food security in Limpopo” were found to be education level, household income, dependency on grants and type of employment. Policy priorities identified included promoting education in rural areas, ensuring sustainability of income and promoting the “potential for household food production to contribute to food security” (De Cock, D’Haese, Vink, Van Rooyen, Staelens, Schonfeldt and D’Haese 2013, p. 272).

6.4.3 Rural development in the Limpopo Province

Chapter 5 of the research focused on the context of rural development in South Africa (see *Section 5.2*) and explored the rural development programmes being implemented. The RDP in 1994, the spatial concepts of nodes, corridors and infrastructure strategies contained in the ISRDS of 2000, to the WOP in 2008 and the extension of quality government services to rural areas in the CRDP of 2009 were discussed.

The growth strategies supporting rural development from 1996 until 2012 were also analysed, with reference to GEAR in 1996, MTSF 2009-2014, the National Outcomes (specifically Outcome 7) in 2010, the NGP in 2011 and both the NDP and the SIPs in 2012.

In the *Limpopo Provincial Government Ten Year Report 1994-2004* (LPG 2004), it was indicated that the LPG had initiated steps towards addressing rural development, which included agricultural development, LED and environmental sustainability (LPG 2004, p. 23). The objectives of the development interventions were to stimulate rural growth points, improve the geographic distribution of economic activities within the province and to improve the impact of expenditure on infrastructure provision (LPG 2004, p. 19). These development interventions included the RDP and the ISRDP.

6.4.3.1 Integrated Sustainable Rural Development Strategy (2001)

For the implementation of the ISRDS in Limpopo since 2006, two nodes were identified, i.e. the Sekhukhune and Bohlabela District Municipalities. The Bohlabela District Municipality was then a cross boundary municipality situated in both Limpopo and Mpumalanga Provinces. It was comprised of two local Municipalities, Bushbuckridge and Maruleng as well as the District Management Area (DMA) comprising the Kruger National Park. The re-demarcation of municipalities in South Africa from 1 March 2006 led to a part of Bohlabela District Municipality being transferred to Mpumalanga Province and Maruleng Local Municipality. The Sekhukhune District Municipality is situated in the Limpopo Province and comprises of five local municipalities, which are the Makhuduthamaga, Featagomo, Greater Marble Hall, Groblersdal and Greater Thubatse Local Municipalities.

Several projects were identified to address the challenges in nodal points with a view to improve the quality of life, increase the local economies and create job opportunities and also address specific priorities. All three spheres of government implemented some of these projects. Information on all the identified projects and their *status quo* reports were available at the DPLG, which was responsible for ISRDP in Limpopo.

In addition to the RDP and the ISRDS in the past, the WOP and CRDP are currently also being implemented in Limpopo and are consequently discussed in more detail.

6.4.3.2 War on Poverty (2008)

In *Chapter 5.2.1.2* the WOP is described. Through this the programme various nodes in Limpopo with a high concentration of poverty were identified. Those specific wards in each of the nodes where the WOP campaign should be launched were identified. During 2008 the WOP was launched in the Ga-Kgatla village in the Blouberg Local Municipality (Capricorn District Municipality), which is currently still the only node in Limpopo where the WOP was, and is still being, implemented.

In a WOP Progress Report to the Economic Cluster Working Committee Meeting held on 1 August 2013, the OtP reported on progress since the launch of WOP. The report covered infrastructure, economic and social development and the challenges experienced during the implementation of WOP (LPG 2013c, p. 6).

As regards infrastructure development, the need to construct a structural contour to protect Ga-Kgatla village during excessive rainy periods was identified. This was undertaken by the LDA, but the contour has collapsed. There is an urgent need for an engineered solution to be built and for villagers to be educated with respect to how to maintain it. As a result of rainwater washing away the village's internal streets, the Blouberg Municipality is unable to grade the streets before a contour has been constructed. There was no access road to the village in the past. The Department of Roads and Transport (DRT) continues to maintain access roads, as the gravel road is bladed once every two months. Before the WOP there were only 25 RDP houses and subsequently 35 houses have been built and 137 toilets have been provided. The whole village has been provided with electricity. The reliable supply of water to the village is receiving attention from the Capricorn District Municipality. Seventy-five water tanks were provided and mounted by the DWA for rainwater harvesting. Provision was made for a four-classroom block at Lenare Secondary School. A classroom block at Makhutla Primary School was renovated. The absence of an ECD centre was addressed through the construction of one (LPG 2013c, p. 5).

In respect of economic development, Vodacom, Cell C and MTN cellular networks are available in the village. As there was no means of buying electricity in the past, a vending machine has been bought which provides electricity and cellular phones airtime to the community. Supply of animal feeds and crush pans was done by the LDA to all points across Blouberg Municipality, including Ga-Kgatla. The WOP led to employment opportunities in the village. Thirty-one community members were employed to work in community work programme with incentives. Five people worked in the EPWP with incentives.

Seventy-five labourers were employed for mounting the water tanks. Six people were employed as bricklayers. Twenty-six labourers were employed for laying pipes in the water project (LPG 2013c, p. 6).

With reference to social development, the lack of a clinic in the past is being addressed as a mobile clinic now visits the village on a fortnightly basis. There was a need to issue identity documents (IDs) and birth certificates to people as required. Birth certificates, death certificates, marriage certificates and ID books have been provided and the process is ongoing. Access to these critical documents has in turn improved access to social grants. Qualifying community members received grants ranging from disability to child support grants. Food security in the village has been strengthened as the LDA assisted with the construction of vegetable tunnels in the village. Fruit trees were also provided and households were encouraged to start vegetable gardens (LPG 2013c, p. 5).

A lack of cooperation, project sustainability and exit strategy were raised as challenges experienced during the implementation of WOP in Ga-Kgatla. Given that WOP is a multisectoral programme, it was evident that there is a lack of cooperation between the government departments, which have projects and programmes running in Ga-Kgatla. Coordination of development interventions by role players within the village should be improved. The need to ensure sustainability of projects and initiatives and the development of an exit strategy is important (LPG 2013c, p. 6).

6.4.3.3 Comprehensive Rural Development Programme (2009)

During June 2009, the DRDLR compiled a report on the pilot project for the CRDP in the Greater Giyani Local Municipality. The report covered the provincial, district and local context of the Greater Giyani Local Municipality as the study area. The methodology followed in the identification of the village for the first phase implementation of the CRDP used key indicators such as infrastructure provision, income levels, employment and existing initiatives (DRDLR 2009, p. 8).

The data obtained on the key indicators were reflected spatially and an analysis was undertaken. Three areas were recommended for investigation as the pilot area within the Greater Giyani Local Municipality. The three villages of Muyexe, Gon'on' o and Dingamanzi were inspected and the needs, findings and proposed interventions documented (DRDLR 2009, p. 25). The analysis informed the decision to pilot the CRDP in the Muyexe village, as the village exhibited more apparent needs and challenges than the other two villages. From an M&E perspective, the desktop analysis using the Greater Giyani Spatial

Development Framework, the Greater Giyani 2008-2011 IDP and spatial information sourced from various government departments, provided baseline information for the CRDP implementation. The maps generated of these areas contributed to the spatial information to be used in the M&E of the CRDP.

The Limpopo OtP processed the abovementioned report through the Cluster System in July 2009, with a recommendation that “sector departments need to be harnessed to ensure success in the delivery of the pilot project” (LPG 2009a, p. 6).

As indicated in *Chapter 5.2.1.3* and above, one of the areas selected for the pilot sites for the CRDP in 2009 was the Greater Giyani Local Municipality in the Mopani District in the Limpopo Province, specifically the Muyexe village. Muyexe is a rural settlement of 826 mainly Xitsonga speaking households, totalling a number of 3 228 residents. The village is located adjacent to the Kruger National Park, 30 kilometres east of the town of Giyani. The community was relocated in the early 1900s and has unresolved land claims on land within the Park (DRDLR 2009, p. 4).

As the pilot area for the CRDP, Muyexe became the focus of integrated development with a view to improving the prevailing conditions, which included low incomes, poor access to water and sanitation and limited sources of livelihood. The President officially launched the CRDP at Muyexe village in August 2009. The Premier of Limpopo delegated the MEC of Agriculture to be the champion of rural development. The Mopani District Municipality was the chair of the coordination committee that focused on the implementation of rural development initiatives on the Muyexe CRPD site. The key government departments involved are the OtP, relevant national and provincial departments, the Mopani District Municipality and the Greater Giyani Local Municipality.

Since the inception of the CRDP, various role players have produced progress reports on the programme. A progress report on the CRDP Greater Giyani: Muyexe, compiled by the DRDLR (2009, p. 14) in August 2009 focused on the progress in general and particularly on developments related to the implementation of the projects. These were identified in response to the needs of the community as well as the progress made with deliverables (such as household surveys, development of an action plan and sector commitments to the action plan). The progress report also included a summary of progress on project implementation and the various government interventions in Muyexe. In a CRDP Progress Report to the Economic Cluster Working Committee Meeting held on 1 August 2013, the OtP reported on progress since the launch of the CRDP in Muyexe. The report covered infrastructure, economic and social

development and the challenges experienced during the implementation of the projects linked to the CRDP (LPG 2013a, p. 9). Various government departments and organisations from within and outside the province implemented the projects. The funding of the projects was undertaken by the respective implementers (LDA 2011b, p. 2-3).

As regard to infrastructure development, a community hall has been constructed and furnished and the construction of netball and soccer sports fields was completed. Pit ablution blocks with 422 pit toilets were constructed at the two schools in Muyexe. When the pilot started, many households lived in mud houses and RDP houses have replaced these for almost every household where the need for housing was identified, totalling 383 houses (LGP 2013, p. 6).

In relation to economic development, people in the community were travelling long distances and incurring high transport costs in order to access services (post office, clinic, police station and other services) in Giyani and other parts of the Mopani District Municipality. Transport costs are no longer incurred as the services are accessed within a walking distance in the community. Economic development through agricultural development was the main concern. Fencing of cropping area for the community and grazing camps were completed. To contribute to the eradication of animal diseases, a 17 kilometre buffer zone was completed to prevent animals from entering the village. The provision of agricultural support took place through the supply of fruit trees, seedlings and fertiliser to the community. The revitalisation of Macena Garden, a stable community garden supplying crops to the community and commercial ventures, has resulted in guaranteed income generation for the community. The CRDP led to 1 498 employment opportunities in the village (LPG 2013a, p. 7).

In respect of social development, the difficulty for people who had to travel long distances to collect water was evident when entering the village with women pushing wheelbarrows and this problem has visibly disappeared. After the CRDP intervention the greatest distance a household has to travel to access water is 200 metres. Food security in the village has also been strengthened. Vegetable tunnels were provided to 10 poor households and 300 household gardens were established, but these are currently not functional because of a lack of water for irrigation. The community does not have library, but a site has been identified for the construction of a library (LPG 2013a, p. 6).

New sites for CRDP implementation were identified by the DRLR, WOP and through EXCO processes when interaction with communities took place (see *Section 6.2*). The level of distress of the sites were

determined by the DRDLR, thus guiding interventions required (LDA 2011b, p. 4). The CRDP sites are located in all five districts of the Limpopo Province, but official data on completed and ongoing activities is not yet available

As with the WOP, a lack of cooperation was raised as a challenge experienced during the implementation of the CRDP in the Muyexe pilot project. Given that the CRDP a multisectoral programme, this lack of cooperation between the government departments implementing development interventions in Muyexe, was evident. Another challenge is the availability of on-site water for domestic and irrigation purposes. Although communal water points have been installed to provide water to parts of the village, which previously had a shortage of water, households do not have on-site access to water (LPG 2013a, p. 9).

6.4.4 Provincial rural development strategies

National legislation provides for a homogeneous set of policies and institutions, both controlled by provincial governments (DLA 1997, p. 2). At provincial level, rural development policy and implementation are both guided by provincial development strategies.

6.4.4.1 Provincial Growth and Development Strategy (2004-2009)

The PGDS 2004-2009, which was the blueprint of development in the province during that period, made no mention of rural development being a priority. The PGDS 2009-2014 identifies agriculture and rural development as a key pillar of development in the Province. Strategic challenges to this pillar were identified (LPG 2010e, p. 38) and included extension services, limited natural resources, lack of access to markets and the collapse of land reform projects. The challenge of infrastructure comprised off-farm infrastructure, on-farm infrastructure and capacity-building infrastructure. Strategic interventions to address the challenges proposed agricultural development for food insecure households, subsistence and emerging farming and profitable small-scale commercial farming (LPG 2010e, pp. 38-41).

6.4.4.2 Limpopo Integrated Rural Development Strategy (2011)

In provinces, the Premiers are the champions of rural development. In the Limpopo Province, the Premier has delegated the MEC of Agriculture to be the political champion of rural development. The LPG identified the need to develop a Limpopo Rural Development Strategy in line with the national priorities

of government. It was aimed at having a common and focused approach in dealing with rural development matters. The development of the TOR of the rural development strategy commenced after receiving the letter of support from the Economic Cluster on the proposal for the development of such a strategy. The motivation for the development of a Provincial Rural Development Strategy included that the strategy would assist in a comprehensive analysis of the Province with regard to rural development initiatives and attempts to bring together all scattered and uncoordinated initiatives of rural development. The strategy would also consolidate and enhance the current work being done by the national, provincial and local spheres of government for the advancement of rural communities (LDA 2011a, p. 1).

The development of the strategy was intended to be in line with the government policies, legislation and processes and other rural development initiatives that are initiated and supported by government. The strategy should be able to integrate initiatives by government, private sector and rural communities in attempt to improve the quality of lives in rural communities. In addition, it should provide the framework on how it can be implemented and coordinated, and how institutional arrangements are to be managed. The coordination of the programme should also be central to the implementation plan of the strategy (LDA 2011a p. 2).

In June 2011, the LDA embarked on the process to develop a comprehensive rural development strategy for the province. The rationale behind developing a provincial rural development approach was to afford the provincial leadership with a coherent development roadmap that addresses the current developmental challenges faced by rural communities in Limpopo. An analysis was conducted to identify historical, policy, statutory and implementation gaps regarding the development of a rural development framework in the LPG. The legislative review identified that the major challenges to current environment were brought by the absence of, or insufficient content of:

- Policy frameworks dealing directly or indirectly with rural development;
- Statutory frameworks dealing directly or indirectly with rural development;
- Information relating to the availability of rural land for rural development purposes within the context of (a) the restitution of rural land programme, (b) the redistribution of rural land programme and (c) unalienated state land, as well as (d) the communal tenure reform programme (which currently neither has a policy nor a statutory framework); and
- Intergovernmental relations frameworks, structures and systems that deal directly or indirectly with rural development (LPG 2011a, p.16)

The first draft of the strategy was completed by September 2011 and a Rural Development Summit was held during November 2011 as part of the stakeholder consultation process. The Cabinet approved the LIRDS for implementation in the 2012/2013 financial year.

The goals and objectives of the LIRDS have been developed taking into cognisance the socioeconomic priorities that have emerged as part of the environmental scan as well as existing national and provincial policy frameworks including the NGP, the CRDP, the PGDS and NDP. Various stakeholders also endorsed the LIRDS both nationally and provincially, indicating that it was critical to implement the findings of the strategy in the beginning of the 2012/2013 financial year. This approach would ensure that there is no vacuum left between the adoption and the implementation of the strategy. In order to ensure that there is smooth integration within government and other stakeholders to effect the sustainable implementation of the strategy, it has become critical to facilitate the integration and setting-up of the necessary structures that will enhance the implementation in line with the strategy.

6.4.5 Coordination of rural development in the Limpopo Provincial Government

According to Schedule 4 (Part A) of the Constitution rural development is a concurrent competence of both the national and provincial spheres of government. Thus, most sector departments functioning in the provinces of South Africa are implementing programmes, which contribute to rural development.

All three spheres of government have been individually addressing rural development in Limpopo through different programmes such as the following:

- EPWP;
- Welfare programmes;
- Livelihoods programmes;
- LED programmes; and
- Housing programmes.

These programmes all contribute to the WOP and CRDP in some way.

Interdepartmental coordination and relations between national, provincial and local government must be improved. Coordination of rural development becomes urgent when work is duplicated, thus compromising collaboration in rural service delivery.

The *15 Year Review* (LPG 2009e) conducted by the LPG during 2009 identifies the coordination of development interventions and sector plans between provincial and local government as a challenge. During the development of the LIRDS in 2011 the lack of coordination and integration between departments and spheres of government involved in rural development was again highlighted. The need to find a location for rural development within government allowing for coordination of the development interventions proves to be a challenge (De Janvry and Sadoulet 1996, p. 2).

The LDA has been tasked by the Limpopo OtP to coordinate rural development programmes in the Province. The LDA has secured support from the Economic Cluster endorsing the proposed institutional arrangement for the coordination of rural development initiatives as part of the integration of rural development in the Province. The LIRDS provides for cross-sectoral coordination of rural development programmes (LDA 2011a, p. 8) through the establishment of a Rural Development Coordination Unit and a Rural Development Forum. Government departments and institutions function in silos, resulting in duplication of programmes and services, wastage of resources, minimising positive impact and slowing down service delivery. Stakeholders in rural development advocate for a more meaningful coordination and alignment of programmes or services through an inter-sectoral planning and cross-sectoral budgeting coordinating unit. The OtP is spearheading rural development while the LDA is coordinating the Rural Development Forum and further strategy development. In order to achieve coordinated planning and implementation, the Limpopo government needs to define institutional arrangements for effective coordination efforts (LDA 2011a, p. 1).

Institutional arrangements at higher level refer to policies, regulations and structures that govern agreements amongst institutions. This means planners, managers and other key stakeholders from different institutions constitute forum at which they meet regularly to plan and monitor implementation processes to ensure efficiency, promote collaboration and avoid duplication. Such institutional arrangements should be mandatory and be linked to APPs. The HODs of delivery departments should be first in line to commit to measurable indicators and coherence regarding performance around rural development strategy and implementation because they are accounting officers and provide oversight.

One of the key strategic goals of the LIRDS was to establish a Rural Development Coordinating Unit by March 2012 (Figure 6.3)

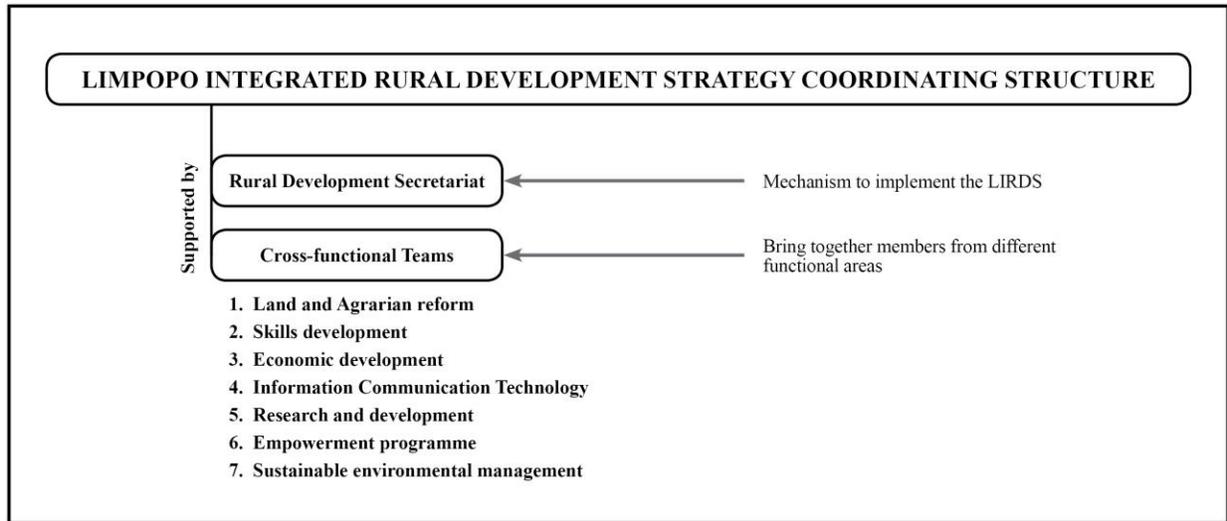


Figure 6.3: Rural Development Coordination Unit (developed by researcher)

The justification for establishment of the Rural Development Coordination Unit, as stated in the LIRDS, is that the Unit will contribute towards creating an enabling environment that integrates rural development strategic plans with local, provincial, national and regional economic and social development plans. Effective governance and alignment of all rural development-oriented strategies and programmes will be promoted. The perceived outcome of the Unit is effective and efficient intra-governmental and intergovernmental governance structure that collectively plans, implements and monitors the Limpopo rural development strategy.

The proper coordination of the CRDP has remained as the key critical success factor for the accomplishment of rural development objectives. As such the need to have a broader coordinating structure became an urgent matter and the Limpopo Rural Development Forum was established in May 2011. The coordinating structure was established in line with the new model on CRDP management system was proposed and accepted in the DRDLR MinMEC meeting held on the 29 March 2011. The establishment of the Limpopo Rural Development Forum further strengthens the coordination efforts in order to enhance integrated planning and implementation of rural development programmes (LDA 2013, p. 2).

The Rural Development Forum has noted the importance of strengthening the coordination of the CRDP. The delegation of the responsibility to the MEC of Agriculture to champion the programme was acknowledged. It was also noted that the LDA should take the responsibility of coordinating and advocating this programme. The MEC, in line with the new CRDP management model, will chair and provide political direction for the provincial team, which will include other relevant MECs and the five District Mayors. The HOD of the LDA will lead the provincial technical committees, which will include all the HODs of the LPG departments, five District Municipality Managers and the accounting officers of the provincial based national departments. The districts mayors, at a political level, will be responsible for the coordination of the district forums, which they will chair, and the secretariat will be provided by the LDA. All local mayors at the political level will attend the district forum. At the technical level the meeting will be chaired by the district Municipal Manager concerned and it will be attended by all heads of district based provincial departments, local municipality managers and representatives of the district based national departments. On the CRDP sites, the local councillor will head the meetings and key stakeholders will attend, as well as the council of stakeholders (LDA 2011a p. 5).

6.4.6 Progress made with the implementation of the Limpopo Integrated Rural Development Strategy

Progress made with the implementation of LIRDS was reported to the Economic Cluster and a summary is presented in Table 6.7.

Table 6.7: Summary of progress made with the implementation of LIRDS (LDA 2013, p. 3-4)

DELIVERABLE	MILESTONES	TIMEFRAME	STATUS
Project Inception Phase	<ul style="list-style-type: none"> • Confirmation of project scope • Determining deliverables, activities and timelines • Establishment of project team 	December 2012	Completed
Conduct stakeholder mobilisation and management	<ul style="list-style-type: none"> • Consultations held with district municipalities, sector departments and other stakeholders 	January – February 2013	Completed
To establish institutional structures in line with rural development strategy	<ul style="list-style-type: none"> • TOR for Secretariat and cross-functional teams developed • Roles and responsibilities for Secretariat and cross-functional teams developed • Secretariat and cross-functional 	March – April 2013	Completed

DELIVERABLE	MILESTONES	TIMEFRAME	STATUS
	teams established		
Prepare the Charter for key stakeholders	<ul style="list-style-type: none"> Charter developed 	April 2013	Charter developed, still to be signed off by sector departments and municipalities
HR plan for Secretariat developed	<ul style="list-style-type: none"> HR plan developed and submitted to LDA for approval 	May 2013	Completed Currently with LDA management for consideration
Development of business plans for Secretariat and cross-functional Teams	<ul style="list-style-type: none"> Business plans for teams developed and submitted 	April- May 2013	Completed
Facilitate the integration of the LIRDS into IDPs	<ul style="list-style-type: none"> Consultations with municipalities Facilitate joint planning 	May 2013	Completed LDA has an official who participate in the Provincial Planning Forum
Provide project management support	<ul style="list-style-type: none"> Meetings and workshops organised in line with work programme Stakeholder sessions facilitated Progress reports submitted 	December 2012 to May 2013	Ongoing (as on 31 August 2013)(See <i>Chapter 1.1</i>)

Progress made with the implementation of LIRDS centred mostly on stakeholder mobilisation, setting up cross-functional teams and conducting business planning workshops.

6.5 M&E OF RURAL DEVELOPMENT IN THE LIMPOPO PROVINCIAL GOVERNMENT

M&E, which enforces accountability, is one of the most important factors for sustainability within the rural development coordination process (LPG 2011a, p. 25). During 2007 a Poverty Alleviation Projects Audit was conducted by the Council for Scientific and Industrial Research (CSIR) and the scope included all poverty projects undertaken in Limpopo by the three spheres of government between 1994 and 2006. During that period the LPG was involved in 28 poverty alleviation programmes which were implemented by 12 departments with an estimated investment value of R1 billion per annum. The programmes had similar objectives of improving the quality of life of rural poor citizens through poverty alleviations. The problem statement of the audit indicated that the biggest challenge faced by all three spheres of government promoting development in the province, is the lack of information on both the existence and functionality of the poverty alleviation projects (CSIR 2007, p. 10).

The audit presented findings relating to the M&E of poverty alleviation projects, which appeared to be relatively superficial and uncoordinated. In the audit report it is stated that: “very few copies of evaluation reports could be obtained from the responsible departments for the purposes of this ... process. In these few cases, most of the reports dealt with project progress rather than project impact assessment” (CSIR 2007, p. 11).

While it was understood that most programmes reported on their progress, the M&E thereof lacked robustness for the following reasons:

- Different measures were used by sector departments;
- Lack of continuity in data management;
- Measurements of outputs rather than outcomes and impacts; and
- Lack of capacity to verify data captured in the M&E system.

Weak MIS was making it difficult to locate, compare and monitor the various poverty interventions in specific localities, in addition to the absence of GIS indicating the poverty distribution in the province. The difference which poverty alleviation programmes were making to the quality of life of Limpopo citizens could not be evaluated as there was a lack of measurable poverty indicators for impact assessment at given intervals (CSIR 2007, p. 11).

During an EXCO Lekgotla held in September 2012 the DG raised concerns about the lack of baselines for rural development interventions such as the establishment of food gardens. Targets for interventions were questioned and M&E data sets were found not to be credible (Modiba 2012).

In the process of developing the LIRDS the lack of performance indicators governing the implementation of rural development projects across provincial government departments was pointed out. The LIRDS emphasised improved inter-sectoral planning, coordination and M&E of rural development interventions in the province (LPG 2011a, p. 29). The development and coordination of integrated outcomes based planning, as well as an M&E system that would propel all sectors to delivery on agreed outcomes by 2016 was propagated (LPG 2011a, p. 28). The intention was that the one of the functions of the Rural Development Coordination Unit should be to monitor and evaluate the performance of province-wide

rural development programmes (LPG 2011a, p. 67). A model was proposed for this purpose and is reflected in Figure 6.4.

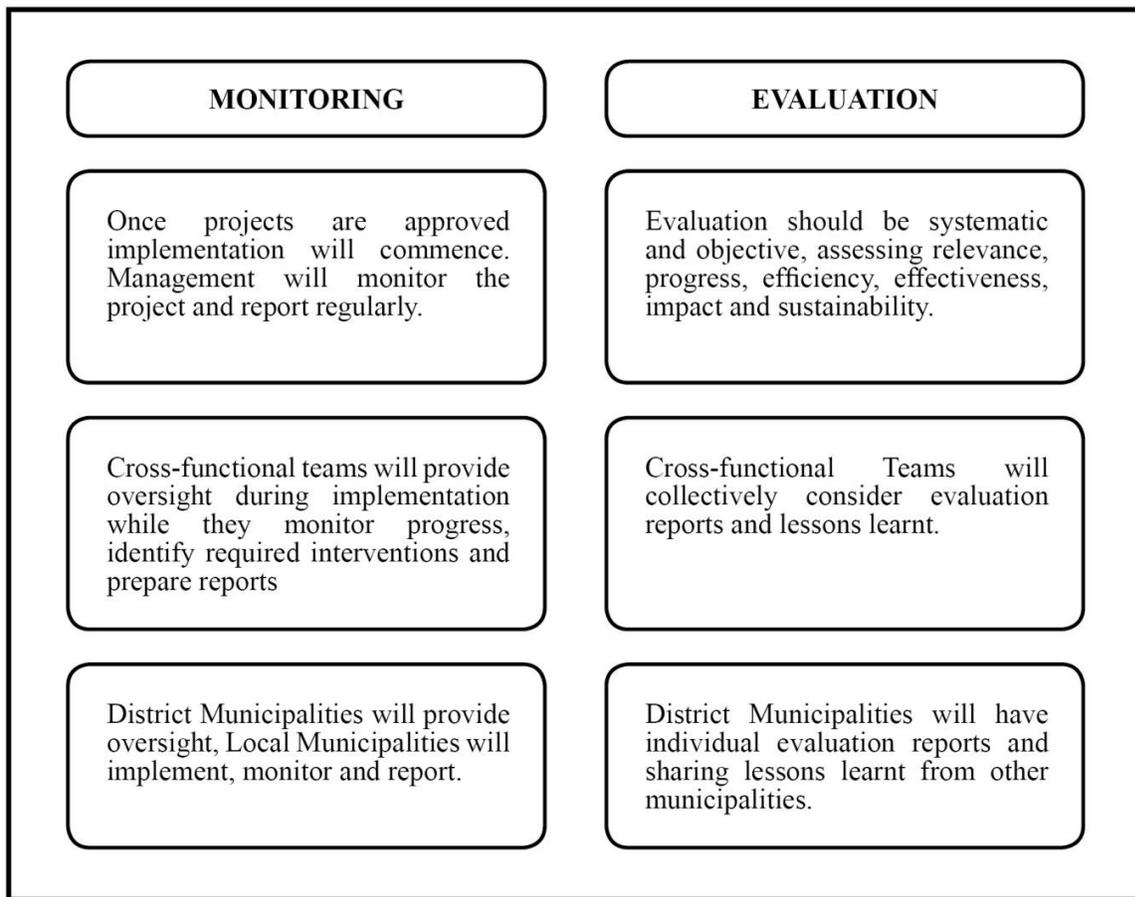


Figure 6.4: Current proposed model for the M&E of rural development in the LPG (LPG 2011a, p. 66)

As indicated in *Section 6.3*, the institutionalisation of M&E in the LPG was against the GWMES as model. This institutionalisation process resulted in a current model for M&E in the LPG. This current model also covers the M&E of rural development in the Limpopo Province (see *Section 6.4*). However, the current model has shortcomings, as reflected in Figure 6.5. Some elements identified as critical for an integrated and transversal approach to the M&E of rural development (see *Chapter 3.5*), are not in place in the current model.

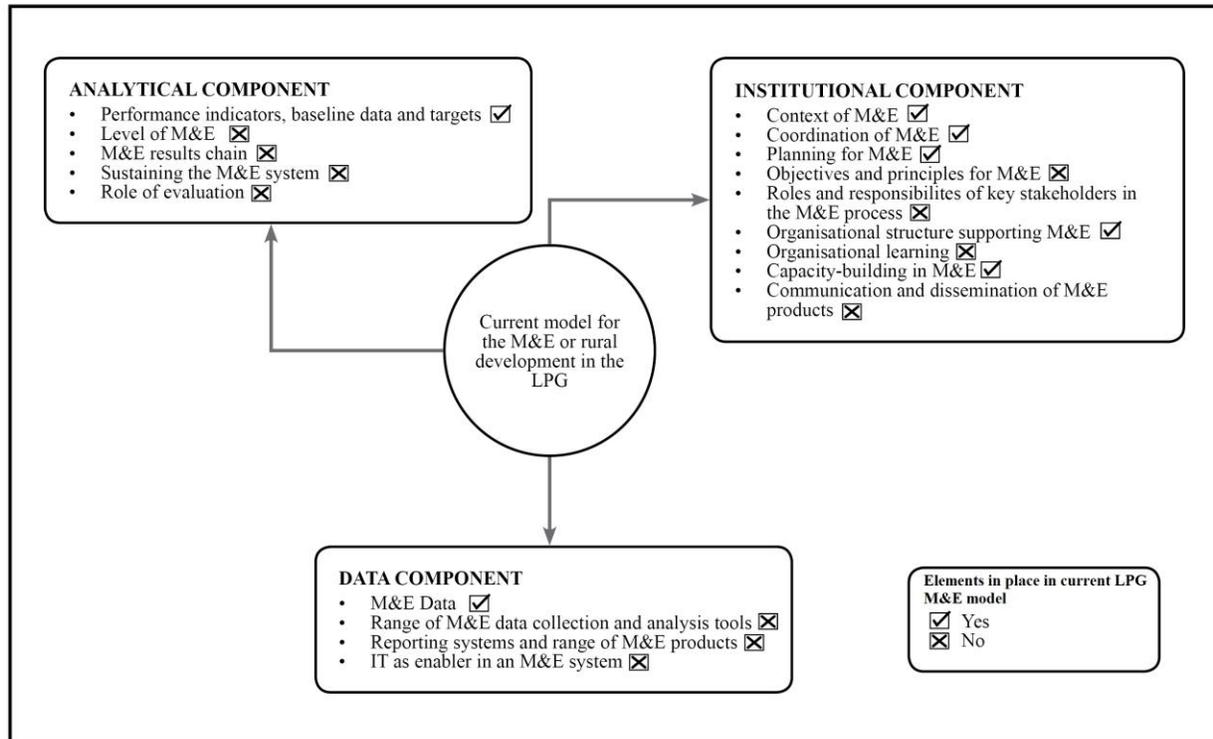


Figure 6.5: Shortcomings of the current model for the M&E of rural development in the LPG (developed by researcher)

The proposed model as reflected in the LIRDS (Figure 6.4) does not add value as it is an elementary model without any of the elements, placed within respective components, required for the integrated and transversal M&E of rural development in the LPG.

6.6 OVERVIEW OF INTERVIEWS WITH KEY INFORMANTS

In this part of the chapter Phase Five of the research is presented, which is an overview of the interviews with key informants in respect of the M&E of rural development in the LPG. Based on the data collected through the single case study of the South African context (Phase Three, *Chapter 5*) shortcomings were identified with regard to the GWMES being an appropriate model for the M&E of rural development. Suggestions were made with regard to changes to the GWMES as a model with information gathered from the comparative case studies (Phase Two, *Chapter 4*). Changes relating to, amongst others, organisational learning, data sources and evaluation, were suggested. These changes were explored through semi-structured interviews with key informants as respondents, guided by a semi-structured

interview schedule (see *Chapter 2.4.2.2*). An overview of verbatim contributions by respondents in relation to the interview questions is subsequently reflected.

Opinions on where coordination of both the implementation and M&E of rural development be vested in the LPG:

“In my view, all rural development activities should be wholly coordinated by the Department of Rural Development. I acknowledge the fact that rural development activities cut across all sectors. However, I strongly feel that the Department should take overall responsibility of coordination efforts. In order to ensure focused and effective implementation of projects; relevant sector departments should be the implementing champions of activities that fall within their mandates and, in addition, provides report to the Department of Rural Development and Land Reform as well. This department should establish a coordination framework to guide the process and establish institutional arrangements that will provide for multi-stakeholder platforms to plan, communicate progress and share lessons learned to improve the process”.

“As far as coordination is concerned and taking into account that our province is mostly rural, I am of the view that coordination should be vested at the highest office of the Province as Rural Development is about the provision of all basic services and dealing with everything in a Province like ours”.

Views on the role and responsibilities of role players/stakeholders in the M&E of existing and future rural development interventions implemented by the LPG:

The Presidency: “Provides a holistic M&E directions which National and Provinces should follow. An outcome-based approach is followed in this instance”.

Department of Agriculture, Forestry and Fisheries: “To provide direction and guidance on monitoring and evaluating the implementation of the outcome that respond to the departments’ mandate”.

Department of Rural Development and Land Reform: “Provide holistic approach to Rural Development”.

Other National Departments: “Supplement sister departments roles in delivering their mandate”.

Limpopo Office of the Premier: “Facilitate the coordination of monitoring and evaluation of rural development in the Province by ensuring that all the relevant stakeholders participate as expected to promote an integrated approach”.

Limpopo Department of Agriculture: “Responding to national goals and advances the provincial goals as outlined in the LEGDP”.

Other sector departments in the Limpopo Provincial Government: “Ensure accountability delivery of service by all departments in the Province”.

Limpopo Legislature: “An oversight of the M&E resolution taken on rural development in the Province. To also approve the budget allocation for the M&E of rural development”.

Civil society: “Provision of local inputs towards effective M&E of the rural development programme/projects”.

Statistics South Africa: “Provides credible and usable statistical data in order to inform policy”.

Nongovernmental Organisations involved in rural development in Limpopo: “Provide inputs on M&E of rural development programmes/projects through their expertise and serve as a delivery agents and coordinators of services”.

Universities based in Limpopo: “Provide research on conducting evaluation studies and share international information on lesson learned in M&E rural development programmes”.

Agricultural Training Colleges based in Limpopo: “Should capacitate aspirant young farmers and provide on-site training and facilitation of the M&E of rural development programmes/ projects”.

Statements on what can be done to promote clarity on these roles and responsibilities:

“Good understanding of M&E at the leadership and management level is crucial as it can assist in ensuring that roles and responsibilities are differentiated, hence the M&E cannot be generalised. It depends at the level (policy, programme and project level)”.

Experiences on the existing capacity-building on the M&E of rural development programmes:

“There is a lot of capacity gap because M&E is too viewed as a policy junction”.

“Various capacity-building workshops and training are conducted on M&E, the gap is to bring the theory into practice. Moreover the training offered is not recognized or accredited (for example, Palama training)”.

Indications on which skills set should people responsible for the M&E of rural development have:

“The in depth of rural development (subject content) will assist in developing indicators for rural development. Other skills which are important are statistical skills, which will assist in analysing the data and the IT skills for managing electronic system”.

“I have learned through experience that although having the M&E technical skills is important, it is also important that M&E practitioners understand the environment they monitor. This would mean taking time to have contact sessions with the people working in that environment and ask questions about the actual day-to-day work processes and the environment they operate under. So good listening and probing skills are very important. Understanding the work and the environment would assist in developing your M&E data collection tools and systems referred to in the question”.

Opinions on the data sources for the integrated and transversal M&E of rural development interventions:

“The GIS will be able to identify the areas that still need to be prioritised for rural development through the geographic information reference which will also assist the Province to take informed decisions”.

Views on which systems should be in place to support a well-functioning M&E unit:

“Systems such as Management Systems (planning, budgeting, reporting), Data Systems and Management Information Systems (MIS) provides information that is needed to manage organizations efficiently and effectively”.

“For M&E to function effectively there must be management system. M&E will also need data to be collected (from Data System) to be able to track the deviation from the management system (intended objective). The M&E feedback will be incorporated into the Management Information System. The three systems cannot be separated if you need a well-functioning M&E system”.

Statements on the level at which rural development should be monitored and evaluated to be able to report on provincial, national and global strategic imperatives such as the MDGs:

“Rural development should be monitored at both project and programme level in order to inform the sector specific goals and policies. The M&E of outcomes and impact of rural development should be located within the OtP, which essentially falls beyond the ambit of any one sector department”.

“Rural development like all other projects should be monitored at all levels. Monitoring should take place from the initial stage to the end of the project and programme”.

Indications how the M&E system of rural development programmes in the LPG can be sustained:

“By ensuring that there is buy-in from EXCO and is updated on a quarterly basis. The information is used at the PPP meetings and the decisions are taken based on the M&E reports. The planners need to be forced (decision to be taken) to use the M&E reports of the previous cycle when planning”.

“By regular populating credit monitoring information that is outcome oriented in nature”.

Experiences on the possible obstacles contributing to the absence of impact evaluation in the LPG:

“Common understanding of conducting impact evaluation (processes and procedures) by government officials and service providers. Challenge of credible data from monitoring reports which forms the basis of impact assessment as well as baseline data in some instances”.

“Funding and technical assistance”.

Views on how the (possible) obstacles can be overcome:

“Collect regularly populating credit monitoring information that is outcome oriented in nature”.

“Documenting the guidelines on conducting impact evaluation. Keep track of the monitoring information of the project and ensure that the data is credible and can be used”.

The key informants, based on their appropriate knowledge and experience, made a contribution to the study. Amongst others, they made inputs that the development of an M&E system functions optimally when associated with a public sector reform initiative such as constructing a growth and development strategy. The strategy should reflect priorities to inform the planning, budgeting, implementation and M&E processes. It links policy priorities, planning and budgeting for government as a whole and departments would develop programmes and projects. Linking the development of the system to such an initiative creates interdependencies, such as the alignment of strategic and operational plans to the strategy, which are also critical aspects to the sustainability of the system.

6.7 SUMMARY

Chapter 6 presented a case study of the LPG, conducted to document the implementation of the GWMES in the LPG as a model for M&E of rural development. Part One, the profile of Limpopo, indicated the developmental needs in a rural province that place greater strain on the M&E of service delivery because of realities such as resources, demographics and the geographic context. Part Two focused on the institutionalisation of M&E in the LPG, within the framework of the GWMES model. A PWMES was developed, directed by *Guidelines for the Development of an M&E System for the Limpopo Province (2006)* and the *Policy Framework for the Government-wide Monitoring and Evaluation System (2007)*.

Part Three of the chapter discussed rural development in the LPG. Part Four reflected on the M&E of rural development in the LPG. The multisectoral programmes contributing to rural development and the absence of an integrated and transversal approach of the M&E of the implementation thereof, contributed to the lack of information on the progress made with rural development in the LPG. Based on the data collected through the single case study, a number of shortcomings of the current model for the M&E of rural development in the LPG were identified with regard to the GWMES as an appropriate model for the

M&E of rural development. These shortcomings were further explored in Part Five, which provided an overview of interviews with key informants, reflecting contributions summarised per key topic.

The analysis and findings in this chapter makes an important contribution to the identification of critical shortcomings inherent in the current LPG model for the M&E of rural development interventions. This in turn, will assist in the development of the new model for the integrated and transversal M&E of rural development in the LPG.

The next chapter, *Chapter 7*, contains the research findings of the study emanating from the literature review; the comparative case studies; single case study of the South African national context and the LPG; and the interviews with key informants.

CHAPTER 7

RESEARCH FINDINGS IN RELATION TO A MODEL FOR THE INTEGRATED AND TRANSVERSAL MONITORING AND EVALUATION OF RURAL DEVELOPMENT

7.1 INTRODUCTION

The previous chapter (*Chapter 6*) described the case study of the LPG conducted to document the implementation of the GWMES in the LPG as a model for M&E of rural development. As discussed in detail in *Chapter 2 Research Methodology*, the research was conducted in six phases to ensure a logical process, which would achieve the aim of developing a model for the integrated and transversal M&E of rural development programmes, implemented by departments in the LPG in South Africa. The phases were the following:

- Phase One: Theoretical framework;
- Phase Two: Comparative case studies;
- Phase Three: Single case study of the South African national context;
- Phase Four: Single case study of the LPG;
- Phase Five: Interviews with key informants; and
- Phase Six: Development of a model for the integrated and transversal M&E of rural development at provincial level.

The first five phases have been concluded and research findings in relation to the research questions have emerged from all the phases. In this chapter an analysis of the research findings (focusing specifically on their application in the LPG M&E context) of the study, emanating from the data collected from the first five phases, supported by knowledge gained during experience surveying (see *Chapter 2.4.3*), is presented to respond to the research questions.

Directly related to the research objectives, research questions were formulated at the onset of the study (see *Chapter 1.6*) that had to be described and explored with relevance to empirical evidence. Subsequently a number of the research findings responding to the research questions are presented. The research findings are structured in line with the institutional, data and analytical components and reflect on these elements and how these elements can be incorporated in a model for the integrated and transversal M&E of rural development in the Limpopo Province

7.2 INSTITUTIONAL COMPONENT OF THE M&E OF RURAL DEVELOPMENT

The institutional component covers the elements of context of M&E, coordination of M&E, planning for M&E, objectives and principles of M&E, roles and responsibilities of key stakeholders in the M&E process, organisational structure supporting M&E, organisational learning, capacity-building in M&E and the communication and dissemination of M&E products.

7.2.1 Context of M&E of rural development

The context of M&E of rural development covers the political, legislative, policy and governance contexts.

7.2.1.1 Political, legislative and policy context of M&E

Successful M&E requires a legal mandate and a policy reflecting the function, objectives and roles of and in M&E. The institutionalisation of M&E systems in the South African government is founded on the constitutional mandate for the establishment of mechanisms to monitor and evaluate service delivery. In addition to the Constitution, the institutionalisation of M&E in the LPG is mandated by various mandates and policies as was discussed in *Chapter 6 Case study of the LPG: The M&E of Rural Development* and summarised in Table 6.1. Apart from the Constitution, there are no legislative or regulatory instruments, which guide the institutionalisation of M&E. The danger of the lack of legislative or regulatory instruments is that compliance with M&E requirements will not be enforced because it matters little if one does or not comply. Literature studied (see *Chapter 3.5.1.1*) indicated that in the absence of legislation, other tools such as policies, decrees or strategies could be utilised.

The presence of political champion that supports the institutionalisation of M&E is crucial (see *Chapter 3.5.1.1*). Political leadership is necessary to ensure the longevity of the integrated and transversal M&E of rural development. When the M&E system indicates challenges with regard to implementing rural development interventions, the political leadership will need to be in place to deal with the challenges. Since 2005, political support has been in place for the institutionalisation of M&E in the LPG against the GWMES model. Several political pronouncements have been made supporting M&E in the Limpopo Province. In addition to having a political champion, being the Premier in the case of the LPG, commitment towards M&E is required from the EXCO and legislative leadership. In the LPG the

Legislature is failing to display this commitment towards the M&E of rural development as none of the Portfolio Committees focus on, or deal with, rural development. The lack of involvement of the Limpopo Provincial Legislature in the M&E of rural development is an unexploited significant chance to assist committee members to fulfil their oversight function and their role of being representatives of their constituencies.

7.2.1.2 Governance context of M&E

The necessity of using M&E findings in the making of decisions is critical and this requires having institutional arrangements for feedback on M&E findings. However, in the LPG feedback of M&E findings concerning rural development to key stakeholders is not coordinated or effectively linked to planning, budgeting and decision-making processes. Consequently there is a lack of demand to use M&E findings to support decision-making among decision makers. It is critical that the M&E of rural development does not consist of only academic report writing and compliance exercises, but that M&E findings are actually responded to by stakeholders. Accordingly, it is good practice, to track whether actions have been taken regarding M&E findings.

However, reporting on the follow-up of M&E, findings are falling by the wayside. The Cluster System in the LPG has not been planned within the context of alignment, integration and coordination with the aim of delivering a holistic package of services to the public to be optimally used as an institutional arrangement for feedback on M&E findings concerning rural development. None of the Clusters specifically addresses issues of rural development, although the Premier was given responsibility of coordinating the CRDP. Stakeholders such as the DRDLR are not members of the Clusters, resulting in limited attendance and no reporting on rural development interventions. There is often a long time delay between the request for information by the Provincial EXCO and the provision of such up-to-date information by sector departments and entities. The current situation also makes it difficult for structures, such as the Provincial EXCO, legislative leadership and oversight bodies to have ongoing access to consolidated M&E information for policy development and enhanced decision-making.

M&E findings should be taken into account to successfully carry out various key management functions, including policy development and financial management. For an M&E system to succeed there must be constant feedback of M&E findings to make certain that politicians and senior management managers are

cognisant of the performance of rural development. This allows for the institutionalisation of corrective action and interventions are expedited.

Accountability in relation to performance is not adequately promoted in the LPG as the Intergovernmental Protocol and DAs as accountability mechanisms have not been adopted. Performance agreements (PAs) were signed between the President and Ministers on outcomes of service delivery at high level. PAs with outcome coordinating Ministers, of which rural development is an example, necessitated them to develop DAs for each outcome. It was foreseen that MECs would be signatories to the DA signed by their respective Ministers. Outcomes and measurable outputs formed the basis for performance and DAs between the President and his Ministers and thus by implication the DAs between the Premier and the MECs. As the MECs report to the Premier, the President will sign an Intergovernmental Protocol with the Premier. As no legal framework exists for PAs between the President and the MECs, the President can exercise his right to address under performance. The Intergovernmental Protocol between the President and the Premier is based on the contribution of the Province to the outcomes and ensuring that strategic plans are aligned with key outcomes. Protocols should place emphases on outcomes with inter-governmental consequences, such as rural development. It is stressed that the Intergovernmental Protocol is not a punitive document but a management tool. An administrative performance management system will be used to hold DGs and HoDs accountable for the implementation of their institution's DA commitments.

None of these accountability mechanisms have been adopted in the LPG and there is no clear linkage between performance plans and individual performance agreements. The lack of accountability mechanisms in relation to performance has also led to the fact that the incentives and sanctions needed to drive M&E are inadequately explored in the LPG and will need further consideration.

Although, monitoring and some sort of programme and project performance have in some shape or form, been part of government for many years, the introduction of M&E as a formal discipline is still in its infancy in the LPG. At present, despite the guidance contained in the Limpopo *Framework for the Province-wide Monitoring and Evaluation System* (2007), there still seems to be a lack of a shared understanding of the role of M&E. Change management is crucial in creating this understanding, thus ensuring stakeholders maintain a positive attitude towards M&E.

Besides understanding technical M&E and compliance dimensions, it is imperative that acceptance and co-ownership from senior management is obtained within departments. Accounting officers need to understand their role in championing departmental M&E systems and need to appreciate the benefits of M&E as an early warning system, as a safeguard to ensure performance remains on track and to foster organisational learning. Senior management can play a vital role in creating a performance-oriented organisational culture open to critical self-reflection conducive to effective M&E.

With regard to the link between budget allocation and M&E, there is limited evidence that M&E findings are considered when resources are allocated to programmes, as there is no strategy that outlines how the M&E findings inform budget formulation and execution. During Budget Lekgotlas, M&E findings are not used to ensure that performance plays a role when decisions are made on budget allocation. Thus, performance-informed budgeting, which occurs when performance information is present and used when budget decisions are made, is not practised in the LPG.

Literature analysed indicates the need for a readiness assessment to further explore the context within which the M&E system will be institutionalised. The assessment provides information that assists government in deciding how the M&E system will be introduced. The LPG proceeded to institutionalise M&E against the GWMES as a model without the benefit of the information that a readiness assessment would have provided. The evaluation of the GWMES as a model for M&E in South Africa found shortcomings for the M&E of rural development. Going forward, it is thus crucial to conduct a readiness assessment to ascertain the willingness and capacity of the LPG to undertake the monitoring, evaluation and reporting function to ensure the integrated and transversal M&E of rural development.

7.2.2 Coordination of M&E

The coordination of the M&E of rural development covers the coordination of rural development, the coordination of M&E of rural development and the integration of M&E in management functions.

7.2.2.1 Coordination of rural development

The research indicated how rural development is contextualised from a policy, legislative and implementation framework (see *Chapter 3.5.1.1*). The concept of rural development has evolved over a number of years with different emphases placed on certain drivers and outcomes of the rural development

agenda. In the 1960s, rural development was tantamount to agricultural development and emphasised initiatives that promoted increased agricultural production as a way of dealing with the challenges associated with rural development.

In recent years, rural development has gradually focused on a more encompassing approach that not only deals with the multisectoral nature of rural development, but also places the rural people at the centre of rural development. The shift in approaches from rural projects and programmes to strategies and processes that focus on the sustainable growth in the quality of life of rural people, has placed the rural population at the core of the rural development agenda and has largely influenced governments' policy responses.

Whilst agriculture may be an important component for rural development, the scope of rural development goes beyond agricultural production and also includes other activities such as provision of physical and social infrastructure that contribute to holistic improvement of the livelihoods of rural people. This broad concept of rural development is best illustrated by the current South African government approach to the CRDP with a focus on land reform and agrarian transformation as the two main pillars of intervention supported by infrastructure such as dams, boreholes, bridges, schools, clinics, access roads, ICT and electricity provision. The multisectoral nature of rural development therefore means that the rural development agenda cuts across spheres of government and requires the involvement and partnerships of multiple stakeholders, such as NGOs.

Given that rural development initiatives have a spatial component and are implemented in the provincial sphere of government, there is an implied and important role for the LPG in ensuring that the planning, implementation and sustainability of rural development programmes respond to development needs, and occur in a coordinated, aligned and sustainable manner. There are challenges associated with rural development that manifest themselves at levels such as policy development, programme planning, coordination, implementation and M&E. Although since 1994 there have been serious attempts at a policy level to deal with the challenges of rural development, it still remains a challenge now as it was before 1994. The various programmes that have been implemented thus far (for example the RDP, RDF, ISRDS and the CRDP) appear not to have made the impact anticipated. The reasons for the limited achievement of the various rural development approaches, can be attributed to, amongst others, the conceptualisation of rural development initiatives and challenges associated with the lack of appropriate institutional arrangements and coordination to sustain rural development.

The CRDP, which was developed during 2009, is the current policy framework that guides the approach of government to rural development. However, like its predecessors, the CRDP does not adequately articulate the coordination and M&E of rural development. Whilst the DRDLR champions rural development through the implementation of the CRDP, there are other key sector departments such as DAFF and DPW, whose development initiatives cannot be divorced from the rural development agenda. The rural space is awash with various development initiatives. National and provincial sector departments, in addition to the local government sector, are all involved in rural development programmes that require careful coordination. Given the plethora of stakeholders in rural development, coordination of the various rural developments processes and programmes is therefore critical in order to ensure optimal utilisation of resources and long-term sustainability of the various development initiatives, as well as ultimately the integrated and transversal M&E of the rural development interventions.

Linked to the M&E of rural development is the coordination thereof. It is evident that the institutional framework for ensuring coordination of rural development in the LPG is weak. M&E systems and practices within government are fragmented and exist outside of any coordination framework. More than at any time in the past, M&E has been elevated to a new trajectory due to the need for realigning government plans, particularly the growth strategies, development priorities and the budget in order for government agenda to achieve the required impact in bettering the lives of people. Crucial to the integrated and transversal M&E of rural development is the question of where the coordination of both the implementation and the M&E of rural development should be vested in the LPG. The M&E of rural development interventions cuts across sector departments and the three spheres of government. Consequently coordination is essential to make certain that rural development can be realised. Provinces have a seminal role in the implementation of rural development and currently the coordination of rural development in the LPG is the mandate of the LDA. The various rural development initiatives being implemented by different sector departments in the province are currently not sufficiently coordinated. There are obvious misunderstandings over who manages the process of development due to various stakeholders involved in putting rural development interventions in place as well as in the M&E of interventions. It is clear that the institutional component for ensuring coordination of rural development in the LPG is weak. M&E systems and practices within government are fragmented and exist outside of any coordination framework. The integrated and transversal M&E of rural development involves linking the data collection activities of multiple sectors. Various related components of work in rural development should be linked together. These components are the inputs, activities, outputs, outcomes and impacts that

constitutes rural development projects and programmes. This can be a challenge especially if stakeholders tend not to share information.

7.2.2.2 Coordination of M&E of rural development

The coordination of the M&E of rural development needs to be the responsibility of a department that has links to decision-makers, to ensure that M&E findings are considered when rural development interventions are designed and implemented. The Limpopo OtP has a mandate to M&E the performance of crosscutting priorities of government. The roles and responsibilities of the OtP in the M&E of rural development are to facilitate the coordination of the M&E of rural development in the province by ensuring that all the relevant stakeholders participate as expected to promote an integrated approach. Currently this is purely oversight in the form of monitoring if a programme is being delivered and ensuring that the mode of verification aligns with that submitted by the sector department to the OtP. M&E products are not shared. This lack of communication has resulted in duplication of work and contradictory reports on rural development. The evaluation part of this oversight role is sorely lacking, as there is no impact analysis of the programmes themselves. To facilitate the coordination of the M&E of rural development, key informants indicated that the M&E of inputs and outputs should be the responsibility of sector departments. The M&E of outcomes and impact, as it relates to transversal rural development interventions within the province, should take place at the centre of government, being the OtP.

7.2.2.3 Integration of M&E in management functions

Literature reviewed indicated the need for the integration of M&E with management functions such as policy development, strategic and operational planning, budgeting and reporting (see *Chapter 3.5.1.2*). From the LPG perspective, M&E has not yet become a practice that is integrated with other management functions in organisations. Where it has occurred, it has focused on monitoring for financial accountability or has been driven by donor funders who provided funds and want value for their money or return on investment. Planning and M&E in the LPG have been primarily characterised by a silo approach. Different sections in sector departments undertake planning, budgeting, reporting and M&E functions in isolation from each other. Strategic plans are not consistently aligned with budget provisions. The M&E system in the LPG is not able to provide key stakeholders with information on the performance of rural development and the impact of efforts to alleviate poverty through rural development

interventions, which are to be subsequently used in planning, budgeting and decision-making. The integration of M&E with other management functions across the provincial and local sphere of government remains a challenge for the LPG. An entrenched M&E system is dependent on the planning, budgeting, in-year reporting and decision-making functions.

7.2.3 Planning for the M&E of rural development

Planning for M&E entails having a strategy to address rural development that is clear on the objectives to be achieved, a policy framework guiding how the M&E system will be developed and institutionalised, and an M&E plan guiding M&E at the operational level.

7.2.3.1 Growth and development strategy

There are numerous developmental requirements in Limpopo from a demographical and geographical outlook as well as for rural development interventions (see *Chapter 6.2*). The LPG is attempting to address these needs through the 2009-2014 PGDS and provincial departments are implementing programmes to be aligned to the strategy. The PGDS sets numerous indicators and targets, which have to be measured at different levels. The limitation is that the PGDS is silent on goals and targets in relation to rural development. Rural development does not form part of the PGDS as regards the Pillars, Implementation Plans, Technical Working Groups and Premier's Advisory Council. Thus the PGDS does not provide rural development planning information on rural development interventions of departments and municipalities.

7.2.3.2 Policy framework

Strategically an M&E policy framework should provide guidelines for the alignment of government planning, monitoring, reporting and evaluation related to rural development. This should be carried out so that the multisectoral nature of rural development interventions is recognised and the fact that efforts from more than one state institution are necessary to realise a specific outcome. The methodology that the LPG should use to achieve effective and efficient performance, inclusive of M&E, needs to be presented. Guidelines to the various components to give execution to the policy framework, including organisational structures, management functions, performance indicators, MIS and reporting protocols should be included

The policy framework needs to comprise a number of differentiated processes brought together in an integrated analysis centre such as the OtP. The framework must take account of policy priorities and target specific areas of importance to rural development. In formulating an M&E policy framework, it is not only critical to employ sound methodological practices, but also to involve key stakeholders to ensure support thereof. A sound policy framework will provide all stakeholders with feedback of their individual functional contribution to the collective realisation of overall strategic goals in relation to rural development as contained in the PGDS.

Overall, the policy framework should provide an approach to the institutionalisation of M&E that defines the scope of M&E and systematically plans its implementation within existing institutional structures, and within human resource and financial constraints. The operational effectiveness of M&E is to be explored and the policy framework must focus on the quality of M&E plans, systems and information within the sector departments in the LPG.

The policy framework should be developed within the ambit of promoting good governance and effective management within the LPG. The framework needs to ensure that the processes and programmes of the LPG in relation to rural development are properly executed, monitored, evaluated and reported on within a system that is coherent, effective and compliant with the legislative and administrative requirements.

The framework should take into consideration planning and M&E developments in the rest of government, for example the NPC and DPME (see *Chapter 5.3.7.2*). Thus, at a strategic level the Provincial M&E Policy Framework should, amongst others, include the 2014 Electoral Mandate and MTSF 2014-2019 priorities, which at the cut-off date of the research, viz. 31 August 2013, still have to be published.

7.2.3.3 M&E plan

An M&E Plan is a tool to plan and manage the collection and analysis of data, reporting of data and the utilisation of M&E findings. The departure point of the Plan should be the strategic objectives of the PGDS, followed by the following information:

- Performance indicator;
- Target;
- Baseline data;
- Means of Verification;
- Responsibility for data collection;
- Frequency of data collection;
- Data collection tool;
- Data analysis responsibility;
- Reporting responsibility; and
- Frequency of reporting.

The Plan should enable sector departments to report on progress made with the development mandates as reflected in the PGDS.

7.2.4 Objectives and principles of M&E

M&E has diverse objectives (see *Chapter 3.5.1.3*) ranging from informing planning, supporting policy and programme design, informing the budget allocation process, encouraging continuous management improvement and enhancing transparency and accountability. However, in the LPG the institutionalisation of the GWMES as a model has not achieved the objectives of M&E to ensure the consistent flow of M&E information to support management functions. These include the budget cycle, the management of rural development interventions, and consistent reporting of performance to the Legislature. Information collected through the M&E process should be used for the modification of ongoing rural development interventions as and when necessary. Future interventions should be improved through the planning process. Dissemination of the information to stakeholders to make better decisions to ensure overall developments goals is not achieved.

Various principles of M&E were analysed throughout the progression of the research. These included M&E being developmentally orientated, the ethics of M&E practice and that M&E should be utilisation-oriented and rights-based. PME has been identified in the literature as a principle when the theme emerged that the M&E of rural development interventions need to follow a participatory process. The institutionalisation of PME as part of the integrated and transversal M&E of rural development will add another level of M&E of rural development interventions, which is the community. Democracy in South

African has resulted in communities as citizens demanding results over explanations, participation over exclusion, and sustainable and integrated development interventions. Currently there is a lack of PME in the LPG.

7.2.5 Roles and responsibilities of key stakeholders in the M&E process

For the integrated and transversal M&E of rural development in the LPG, the roles and responsibilities of key stakeholders should be defined. The role and responsibilities of a wide spectrum of stakeholders in the M&E of existing and future rural development programmes implemented by the LPG were explored. The spectrum of stakeholders covered are the Presidency, the AG of South Africa, national departments, Limpopo OtP, LDA, other sector departments in the LPG, the Limpopo Legislature, civil society, NGOs involved in rural development in Limpopo, Universities based in Limpopo, Agricultural Training Colleges (ATCs) based in Limpopo and other possible stakeholders and their roles and responsibilities in the M&E of rural development.

The roles and responsibilities of the **Presidency** in the M&E of rural development is to provide holistic guidance and direction to the National and Provincial Governments concerning the policies and procedures that should be followed in the M&E of rural development interventions. Objectives in the NDP and the National Outcomes as indicated and approved within the MTSF, provide clear guidelines as to the most important areas that require the M&E of specific socioeconomic areas. The Presidency should therefore provide the directive for the areas where M&E should take priority. Outputs linked to the set outcomes must be clear and specific to ensure that they can be used as measurements to determine the achievement of the outcomes.

The Office of the AG is an apolitical body and independent of any executive authority. The roles and responsibilities of the **AG of South Africa** in the M&E of rural development is the auditing of performance information pertaining to the implementation of the development interventions. The AG has the responsibility of assessing regularity and compliance with regard to government finances. This is also viewed within the strategic context of ensuring that the departments function economically and efficiently in their utilisation of public finances. The auditing of performance information as applied by the AG is located on a spectrum between assurance on financial information (i.e. whether financial information fairly presents the financial status of a department) and reporting on value-for-money (i.e. whether resources are used efficiently and effectively by public institutions to achieve desired outcomes). This

requires that departments implement appropriate management systems to promote the notions of economy, efficiency and effectiveness.

The roles and responsibilities of the **Department of Agriculture, Forestry and Fisheries**, as a national department, in the M&E of rural development is to provide sector specific direction and guidance in responding to the outcomes that are part of the departments' mandate. It is the responsibility of DAFF to oversee and support, amongst others, the agricultural sector of South Africa; this includes ensuring food security. Aligned with the outcomes set by Parliament, it is the responsibility of the national department to provide further direction in terms of goals and strategic objectives to be achieved so that the National Outcomes are realised. In line with National Treasury prescripts, programmes are to be identified and budget allocations completed to ensure that those policy directives and legislative or regulatory requirements within the sector are accomplished. In addition to providing strategic direction, DAFF is also responsible for setting policies and adapting legislation that will guide and govern agricultural development and therefore impacts directly on rural development. DAFF also sets standards for agricultural products and conducts climate change studies upon which climate change sector plans are based for use during the planning of agricultural growth and development schemes.

The roles and responsibilities of the **Department of Rural Development and Land Reform**, as a national department, in the M&E of rural development is to provide guidance on rural development and the M&E of the implementation of the outcome that respond to the departments' mandate. The DRDLR is responsible for a number of actions including land reform (comprising the redistribution, restitution and communal tenure reform programmes), spatial planning, infrastructure and disaster mitigation. This department is also responsible for providing strategic direction in terms of spatial and infrastructure planning, specifically related to the development of rural areas. Within the department's strategic plan, goals and strategic objectives, as well as identified programmes, should provide a clear indication as to the development that is required within rural areas. Indicators set within this strategic plan and cascaded to the annual performance plan should be used as a monitoring tool to determine whether the land restitution programme as prescribed in various legislative and strategic documents has been achieved in the restitution projects in the LPG. Also, strategic directives given in terms of land development should provide provincial departments with clear guidelines as to the actual implementation of land development programmes and projects to achieve national strategic outcomes.

The roles and responsibilities of **other national departments** in the M&E of rural development is to holistically support departments in delivering their mandate on rural development. Other national departments, such as Health, Economic Development, Human Settlements, Mineral Resources and Energy, Public Works, Social Development, Transport and Water Affairs, should work closely with DAFF and DRDLR to ensure that infrastructure is available to support and promote socioeconomic and agricultural growth and development. It is of no use that DAFF might envisage the expansion of agricultural growth in a sector without having the required transport and water infrastructure. In this way national departments must collaborate through development agreements to create a structure within which progress can occur. DAs encompass indicators that can be used by various departments to measure achievement towards set consolidated outcomes.

Section 125 (1) of the Constitution vests the executive authority of a Province in the Premier. The Premier and the Provincial EXCO, exercises this authority through the development and implementation of provincial policies, the implementation of national policies in concurrent function areas and the coordination of the functions of the provincial departments. The **Limpopo OtP**, which is statutorily and strategically responsible for championing transversal projects in the province, should coordinate the process of the institutionalisation of M&E in the LPG. The roles and responsibilities of the Limpopo OtP in the M&E of rural development is to facilitate the coordination of the M&E of rural development in the Province by ensuring that all the relevant stakeholders participate as expected to promote an integrated approach. The OtP is to provide strategic directives based on national and provincial goals and strategic objectives for the development of rural areas within Limpopo. Although M&E takes place in each of the sector departments, the OtP also has to perform the M&E exercise because they coordinate all programmes within the province. Sector departments need to be able to M&E their programmes, whilst the OtP needs to aggregate all these programmes to determine the impact on improving the lives of the citizens of Limpopo.

The OtP has the predominant M&E role over all provincial government programmes in the province implemented by the various provincial departments according to their respective mandates. This would also apply to existing and future rural development programmes, as this is a main deliverable of the current government. The role of OtP would thus be one of monitoring the delivery by the respective sector departments who have included rural development programmes in the respective plans. Currently this is purely an oversight in the form of monitoring if a programme is being delivered and ensuring that the MoVs, as submitted by the line department, are aligned to reported performance. The evaluation part

of this oversight role is profoundly lacking, as there is no impact assessment of the programmes themselves. The responsibility of the OtP should also be to ensure that any and all programmes are aligned to the PGDS that is in line with the requisite national and provincial prescripts of such a strategy. The plans of respective departments should therefore be evaluated for relevance and alignment to national and provincial priorities. The OtP would then M&E the plans in order to evaluate the programmes and hence the impact of the provincial strategy. The OtP should look at the integrated programme planning of cluster departments to ensure duplication is minimised, roles and responsibilities of respective sector departments are very clear, and budgets and other necessary resources are effectively optimised to meet the objectives of existing and future rural development strategies.

The roles and responsibilities of the **Limpopo Department of Agriculture** in the M&E of rural development is to M&E the implementation of the national and provincial mandates as outlined in the various policy documents, including the LEGDP. These mandates pertain to agriculture as a sector as well as a contributor to rural development. The LDA should promote economic growth by providing sufficient resource support, through financial support, training or land distribution as necessary, to promote farming and sustainable food growth within the province. The department should ensure that infrastructure and opportunities are available to create a prosperous agricultural sector. More specifically, the department should engage with and create an agricultural community that applies farming techniques based on scientific principles and modern farming applications. Extensive training may be required. Enterprise development projects may also be required to improve the farming practices that occur in rural areas.

The roles and responsibilities of **other sector Departments in the LPG** in the M&E of rural development are similar to other national departments in the province. Sector departments should support and work together to ensure the attainment of provincial goals and strategic objectives in line with National Outcomes and strategic directives on rural development. If parties enter into DAs to share resources and work together towards the achievement of common goals, indicators to measure the achievement of these goals can be used throughout various sectors to measure success. M&E should exist in relevant sector departments to ensure that their contribution to rural development, in line with their plans, is monitored, evaluated and reported. Departments are expected to incorporate and align their targets and objectives with that of the PGDS to contribute to the harmonisation and integration towards the implementation of government programmes. M&E is the responsibility of each sector department, as they have to provide feedback. The feedback should include indications of progress, or lack thereof, in the attainment of results and the achievement of goals and strategic objectives. Inherent in this task is the

responsibility of the departments to collect data and analyse it, as well as being data providers, holders and users.

The South African Constitution makes provision for specific structures to be established to M&E the delivery of public services by government institutions. These structures straddle legislative and executive establishments. The Limpopo Legislature is one of these transversal institutional arrangements that should guide M&E in the Province. The primary function of the **Limpopo Legislature** is to pass or repeal laws to enable provincial government to function according to the Constitution of South Africa. These laws are to be implemented within the province. Details pertaining to the implementation thereof and how it will affect goals and objectives set by provincial departments should be included in the Strategic Plan and APPs of the departments. The Legislature therefore plays less of an M&E role than that of impacting on the plans of provincial departments. Having said that, annual reports of provincial departments should include details pertaining to laws that have influenced strategies and programmes approved in the APP and how these laws and programmes were executed. In this way provincial departments do report on the implementation of provincial legislation to the Limpopo Legislature. In addition, the Legislature has an oversight role in respect of the budget process and the exercise of powers and the performance of functions by the LPG departments. Through the documents that are tabled, namely the Strategic Plan and APPs, annual reports and the budgets, the Legislature is able to determine the performance of sector departments and raise concerns with the relevant Executive Authorities. The roles and responsibilities of the Legislature in the M&E of rural development are to oversee the accountability of service delivery by all departments in the Limpopo Province that contribute to rural development. The Legislature provides oversight of the policies guiding rural development in the Province and approves the budget allocation for rural development interventions. The Portfolio Committees, which are part of the Legislature, strengthen the oversight role of the Legislature.

The roles and responsibilities of the **Civil Society** in the M&E of rural development are perceived as being that the civil society serves as community agents in ensuring that service delivery is realised. Ultimately, the programmes and projects identified and executed should be to the advantage of civil society. Civil society should therefore become the respondents who provide the data to be gathered pertaining to the successes and failures of rural development programmes. Feedback from communities can be obtained through formal channels such as research or informally via media comments and feedback.

The roles and responsibilities of **NGOs** involved in rural development in Limpopo in the M&E of rural development is that these organisations are often implementation partners in rural development and their insights can be valuable in framing M&E findings. In many instances NGOs provide practical and ground-level support and guidance to rural communities to promote growth and development. Government funding can assist the operations of NGOs and ensure that actual improvements take place within rural areas. If there is collaboration between government and NGOs then these organisations are responsible for making their reports available to government so that progress towards rural development can be monitored and measured. It is envisaged that these two spheres can collaborate to ensure that all plans be executed towards the improvement of rural area infrastructure as well as socioeconomic growth.

The roles and responsibilities of the **Universities based in Limpopo** in the M&E of rural development are to provide support with research on the M&E of rural development. Universities should become more involved in the education and training of researchers. In addition, if qualifications such degrees in agriculture are offered, students should be encouraged to complete their practical projects within rural areas where they can experience hands-on the application of theoretical knowledge. Research also assists in the evidence based policy development process, where evidence is gathered for policy decisions. The very same evidence gathered through research can be used as baseline for M&E purpose as research evidence is credible, reliable and accurate.

The **Agricultural Training Colleges (ATCs) based in Limpopo** form part of rural development since the colleges were established within rural areas. Rural areas enhance the possibility of practical farm training and allow for on-farm training, which is not possible in an urban area. Proper agricultural training is an important building block in ensuring food security and rural development in general. ATCs should provide short courses on a very basic level to assist prospective farmers with limited education in improving their agricultural skills. Feedback on progress should be passed on to government institutions and included in reports on progress towards skills development. Research is undoubtedly one of the most important functions of the Colleges and the development of tools specific to the M&E of rural development can be considered. Further to the roles and responsibilities of the ATCs in the M&E of rural development is to provide on-site training and facilitation of the M&E of rural development interventions in a theoretical as well as a practical manner.

Other possible stakeholders and their roles and responsibilities in the M&E of rural development must be identified. These include, amongst others, the Agricultural Research Council (ARC), which is one of

the agricultural agencies that provide up to date agricultural research and the farmers unions and commodity groups as they offer technical advice to fellow farmers.

The roles and responsibilities in the M&E of rural development between the **OtP, Provincial Treasury, the Limpopo Department of Cooperative Governance and Traditional Affairs (CoGTA)** (responsible for municipalities in the Province) and **Municipalities** require special attention. Provincial Treasury plays a critical role in monitoring the budget expenditure allocated to rural development programmes and assisting departments to prepare for the audit of performance information. It is essential to define the role of local government in the M&E of rural development interventions, given that rural development programmes have a spatial component and are implemented in municipal space. The current CRDP implementation framework does not clearly define the role of municipalities in the implementation of the CRDP, except to indicate that municipalities are part of the council of stakeholders. The local government sector, through the IDP process, is involved in initiatives that have similar objectives to those contained in the definition of rural development. The multidimensional nature of rural development means that various municipal development programmes that occur within a rural context cannot be separated from the other rural development interventions that are championed by various sector departments.

The research also explored and described what can be done to promote clarity on roles and responsibility of stakeholders involved in the implementation and the M&E of rural development programmes. As such there is a need to involve policy makers in the institutionalisation of M&E of rural development to ensure adequate understanding of M&E and its intentions. The key is improved communication and collaboration efforts. Institutions working in similar sectors tend to work in silos with little interaction towards the achievement of National Outcomes. Alignment between national department's strategies and those of provincial government departments is required. Other institutions working within the same sector should then be encouraged to become involved in achieving these strategies so that resource allocation can be focused on the same outcomes. If appropriate indicators are developed to measure these outcomes and can be used by all parties involved, the monitoring of programmes and projects towards rural development will improve. Good understanding of M&E at the leadership and management level is crucial as it can assist in ensuring that roles and responsibilities are differentiated and understood. Consultation of stakeholders is critical to ensure common purpose and understanding on M&E.

7.2.6 Organisational structure supporting M&E

The institutionalisation of M&E in the LPG necessitates the creation of organisational structures supporting M&E. An appropriate supporting organisational structure to perform M&E of rural development is important. Within the LPG there is a fundamental challenge, as the majority of the provincial departments lack functional M&E units, thus impacting on the ability of the LPG to M&E rural development in an integrated and transversal manner. A factor at play in the organisational structure supporting the M&E of rural development is the location of M&E being close to other strategic functions of the organisation such as policy formulation, planning, budgeting and resource allocation to establish appropriate integration. The institutional location of the M&E function is critical to its effectiveness and its ability to exert a strategic influence, rather than being relegated to a compliance function. Yet there is no standard blue print in the LPG of where location of the M&E function should be and this will differ in relation to the size of the department and its core business. More provision of advisory assistance and guideline to the departments on establishing M&E units is required. There is a need to analyse the composition and functioning of different departments involved in rural development, following which a concrete proposal should be developed, specifically designed for each department, on how M&E units in different departments should be configured.

As regards the organisational structure supporting M&E, most provincial departments have some level of M&E capacity, even though they are not ideally configured. Increased provision of advisory assistance and guidelines to the departments on establishing M&E units is required. Ideally the M&E and reporting function should be linked to policy coordination and planning functions. Within this context, it would then add value if the departments and municipalities locate their M&E units alongside the unit, which deals with planning and development within the departments/municipalities. It is critical that M&E units should function alongside planning and not be absorbed into planning. If located in the planning unit the danger is that M&E becomes an add-on function to planning and not a function focusing on M&E exclusively. A number of departments have either placed the monitoring, evaluation and reporting function within a stand-alone unit or absorbed it within strategic planning, HOD's office/ Municipal Manager's office, or within a unit that is responsible for performance management/corporate services. These units do not necessarily fall within the same line function as the planning unit in the organisational structure.

7.2.7 Organisational learning

M&E should also facilitate organisational learning. Organisational learning is one of the core roles for M&E and is achieved if M&E becomes a habit that enables learning and adaptation and thus the evolution of the M&E system. For M&E to lead to improvements in performance of departments involved in rural development everyone involved, from political leaders, senior managers to officials responsible for service delivery, must acknowledge M&E as an ongoing learning process. In the LPG the existing Provincial M&E Forum provides, to a certain extent, the opportunity to share experiences on M&E. To ensure alignment between M&E activities, the Provincial M&E Forum should provide the platform to promote dialogue meetings amongst monitoring staff, oversee the implementation of the policy framework on the M&E of rural development and contribute to the proper coordination of M&E activities in the province.

In the absence of a SAMEA Chapter, as a Chapter was not launched in the Limpopo Province (see *Chapter 6.3.2.1*), the LPG should consider the formation of a Learning Network on the M&E of Rural Development in the province. The Learning Network can be used as a vehicle to bring together M&E practitioners in the LPG to share ideas on the challenges and opportunities to ensure that rural development is M&E throughout the results chain, emphasising outcomes and impacts. The objectives of the Learning Network are perceived to facilitate the development of a network of M&E practitioners in the LPG who would meet periodically to promote the profile of the M&E function and to chart a way forward in order to enhance the M&E of rural development. In this manner the objectives of the M&E of rural development should evolve towards contributing to evidence based policy development, decision-making and budgeting.

Cumulative knowledge about rural development should inform development interventions. The lessons and achievements of South African and international development experiences need to be consistently used to support rural development. This can only be effectively done if a single well-designed system for managing knowledge relevant to rural development is put in place in the LPG.

7.2.8 Capacity-building in M&E

In response to the scarcity of M&E skills, particular quantitative skills in dealing with large data sets, planning how to build M&E capacity over time is critical. The institutionalisation of M&E calls for

capacity-building in that having an adequate supply of qualified human resource capacity, skills sets and budget is necessary for the sustainability of the M&E system (see *Chapter 3.5.3.4*). Building capacity to undertake effective M&E is an important long-term, continuous phase that also needs to be properly planned and implemented. Building M&E capacity in the LPG seems an obvious priority. However, little attention has been given to ensure that there are appropriately trained practitioners to perform the M&E of rural development. Exploration of views concerning the existing capacity-building on the M&E of rural development programmes in the LPG indicated that limited capacity-building workshops and training are conducted on M&E. Where capacity-building does take place the concern is on how to overcome the gap between theory and practice.

It is critical that leaders in Limpopo appreciate the need to develop a broad base of officials who understand M&E. There are certain M&E functions that are highly specialised in nature and only a few people need the skills to perform those roles. However, the success of M&E systems relies on a broad base of people who understand how to identify, collect and report performance data and information. Furthermore, a capacity-building strategy cannot be developed in the absence of an audit of training needs

The research findings regarding which skills sets are necessary for those responsible for the M&E of rural development were varied. Understanding of rural development programmes, their objectives and context and the understanding of M&E concepts in relation to indicators, targets and baselines were most important, as well as data collection and analysis skills, and report writing skills. Other skills that are considered essential are statistical skills, which will assist in analysing the data and the IT skills for managing electronic systems. Research skills are useful as M&E practitioners should be able to synthesise and evaluate information and make conclusions as well as interpretations based on fact. These must be presented in an easily understandable manner, using statistics and graphics so as to guide decision-makers on the current status and improvements required. They must also have sufficient knowledge to report on the subject matter so that proposals for improvement can be made available for review. Although having the M&E technical skills is vital, it is also important that M&E practitioners understand the environment they monitor. This would mean taking time to have contact sessions with the people working in that environment and ask questions about the actual day-to-day work processes and the environment. Listening and probing skills are as important as understanding the work and the environment would assist in developing M&E data collection tools and systems.

7.2.9 Communication and dissemination of M&E products

With increased citizen scrutiny, civil society plays a significant role in the fight against corruption by demanding greater transparency and accountability from the LPG. Ideally government has to facilitate this through access to M&E products that reflect information and findings. Constant feedback through communication to and from civil society, as important stakeholders in rural development, is necessary to ensure that planning, policies and implementation of rural development can be improved. The LPG is not succeeding in the dissemination of information as communication of performance to stakeholders, including those directly involved in rural development and civil society, is limited. Whilst legislative bodies and constitutional institutions have direct governance oversight authority, civil society organs have less authority to command a response to a request for information. There is an absence of a communication strategy in the LPG to guide the mechanisms that ensure that M&E products and M&E findings are distributed to key stakeholders in rural development.

7.3 DATA COMPONENT OF THE M&E OF RURAL DEVELOPMENT

The data component consists of the elements of M&E data, range of M&E data collection and analysis tools, reporting systems and the range of M&E products and IT as enabler in an M&E system.

7.3.1 M&E data

Essential to the sustainability of an M&E system is the availability of reliable and accurate information to guide decision-making; it is one of the objectives of M&E to provide this material for decision-making. There are generally duplications and inconsistencies in the data collected by departments within the LPG. In addition, there are no clear data management procedures for the handling of data from the point of collection, capturing and analysis to storage. This also includes the lack of standardised and harmonised data collection and reporting templates across different programmes. This raises the challenge in the M&E of rural development concerning the reliability of the data collected. Furthermore, there is no central database that maintains all M&E products such as quarterly and annual reports, mid-term review reports and survey results. Each of the sector departments has its own database. This in effect means that M&E data is not readily accessible to all managers for purposes of decision-making. There is limited use of data contained in M&E products and this means that data produced through M&E is merely used for reporting and not for decision-making.

In relation to data quality there are no common standards on the manner in which M&E data is collected, analysed and reported within the M&E products. There are differences and inconsistencies in similar data collected by sector departments within the LPG on rural development. In addition, there is duplication and replication in the M&E data that is requested and has to be generated by departments. It is difficult to establish the accuracy, reliability and validity of data in various reports on the delivery of rural development interventions. Executive Authorities in the LPG do not have ongoing access to consolidated M&E data for policy and decision-making purposes. However, there is often a time lag between the request for data by Executive Authorities and the provision of such data by sector departments.

As such M&E data should be managed. The purpose of data management is to manage and supply data either for M&E purposes and decision-making. Data management is the cornerstone of the monitoring pillar of performance management. Relevant data must be stored in such a way that it is secure but also easily retrievable. To analyse M&E data collected against indicators and targets in relation to rural development and transform data into strategic information to reflect in M&E products, it is required to integrate the data into a database. There is a demand to build capacity on data management as it will lead to improved quality of data being collected.

M&E data is obtained from data sources. The GWMES draws from three data sources: (a) Programme Performance Information, (b) Social, Economic and Demographic Statistics, and (c) Evaluation (see *Chapter 5.3.6.3*). In the LPG only Programme Performance Information and Social, Economic and Demographic Statistics are used as data sources as evaluations are currently not institutionalised in the province (see *Section 7.4.5*).

Programme Performance Information forms the basis for audits of nonfinancial information by the AG. The audit outcomes of the LPG concerning performance information are concerning (see *Chapter 6.3.2.2*). Audit findings include the absence of accountability, predominantly for monitoring and reporting on performance information, targets that are unrealistic and the unreliability of performance information as is evident in audit outcomes.

There is a degree of overlap between the *Policy Framework for the Government-wide Monitoring and Evaluation System* (2007) from the Presidency and the FMPPI (2007) from National Treasury as regards the management of performance information. It is thus important that the OtP and the Provincial Treasury

in the LPG have a shared understanding and approach to supporting the implementation of both frameworks in the Limpopo Province.

As regards the Social, Economic and Demographic Statistics as a data source, statistics play a vital role in rural development. It is only through statistics that the outcome and impact of development interventions can be determined. The LPG is challenged to use statistics as a data source as key informants raised the following:

- Different M&E products reflect different statistics on progress made with a development intervention;
- Within the M&E products the source of the statistical information should be indicated; and
- Discrepancies exist between community surveys and government administrative data.

The contradictions in the products can lead to the credibility, quality and usefulness of information being questioned. One possible explanation of the contradicting statistical information is that national and provincial sector departments and municipalities produce national statistics whereas official statistics are the data produced by Stats SA. Stats SA is nationally responsible for setting standards to which statistical data should comply, as guided by the SASQAF (2008 and 2010). These criteria or standards should be applied to qualitative data to ensure validity and reliability. Stats SA is also responsible for validating data so as to ensure that data and information used by government is deemed reliable. In addition, through census information Stats SA provides baseline data from which the implementation of government programmes and projects can be measured.

Both the literature studied and key informants interviewed indicated GIS as being a data source for the M&E of rural development. However, the contribution of GIS to the M&E of rural development is not explored in the LPG. GIS would be useful taking into consideration the vastness of Limpopo and could add value to the M&E of rural development interventions. GIS should be used to identify areas where development could take place, including the scope and framework of development required. GIS is able to identify the areas that still need to be prioritised for rural development through the geographic information reference, which will also assist the Province in taking informed decisions. Especially in deep rural areas GIS information should provide a clear indication of infrastructure development required and areas of re-allocation, should a site be deemed inhabitable. GIS could represent changes in rural development indicators on a map using specific geographic coordinates. Complex data obtained through

other methods should be represented geographically in thematic layers in a method to facilitate the interactions between the various thematic layers. An example of thematic layers would be to overlay the rural dimension statistics on a map showing infrastructure development, looking at the relationship between, amongst others, roads, schools and community health centres. GIS representations should reflect both quantitative and qualitative information and classify the qualitative information by using a numeric coding system, which can be recognised. GIS could display and analyse some M&E data through technology and skilled experts.

Throughout the development of rural areas, GIS information should be used to monitor progress and improvement and providing evidence that can support reporting data. GIS could be used for projections of future rural area development, as well as the impact of overpopulation or over extension of rural land for agricultural purposes. All this information could be used not only in monitoring but also for continuous planning of rural area development. The monitoring process adopted and followed should incorporate the collection and capturing of data spatially, linking every single step and progress of projects to the area, informed by the initial planning. The data collected and captured can be wide-ranging, depending on the specific objectives of such a programme. This may include physical progress, status of projects, financial expenditure at each stage and any other issue deemed important and related to the objective of such a programme.

An added advantage of GIS is the ability to capture images with the attributed information at each stage of the project during monitoring. This historical data is crucial in tracking progress over time and serves as evidence for actual progress. Using GIS for monitoring can also help highlight projects that are lagging behind schedule, thus enabling corrective measures to be put in place before it is too late. GIS can also simplify reporting to decision-makers by indicating the exact status of each project per locality. Maps and pictures in such presentations are very useful in enhancing and simplifying understanding of the work being done. These also enable decision-makers to visualise and contextualise the direction and progress of the overall programme.

Evaluation has to do with determining the benefits and overall impact of the programme. The benefits and the impact can be measured in terms of the outcomes and objectives of the programme set at the beginning. GIS can thus enable the LPG to use various related variables (for example population, demographics, incomes and literacy levels) to measure and determine the impact of the programme in specific localities (for example number of people now having access to decent housing, quality education,

electricity and health care). Using GIS in this manner could thus also highlight areas that still do not have access to services or infrastructure, thus informing future planning and interventions and assist in aligning the PGDS with all the rural development interventions in the Limpopo Province. For instance, most provincial activities, such as the construction of a road, take place within a particular municipality. Spatial referencing can assist in ensuring that provincial and municipal service delivery plans complement each other.

7.3.2 Range of M&E data collection and analysis tools

M&E data can only be monitored and used to determine performance if it is collected from data sources through the use of M&E data collection and analysis tools. Weakness in data collection and analysis tools used in the LPG included inappropriate tools that do not collect the information that is required to M&E rural development. Data collection and analysis tools should be both quantitative and qualitative in nature for individual or group-based studies or interventions. Tools should also be simple and provided in different languages allowing for their usage in any part of the Limpopo Province without significant changes. Information included against set targets is to be analysed to determine if targets have been achieved. Analysis refers to the process whereby the departments assess whether they are achieving their targets. Analysis of performance requires the province to examine inputs, outputs and outcomes to determine the impact made on achieving, amongst others, the National Outcomes and the MDGs. Contributing factors regarding under performance should be examined and proposals for improvement should be presented and reviewed. A report, summarising the findings of the analysis, should be generated and presented at the appropriate forum.

7.3.3 Reporting systems and range of M&E products

As part of the integrated and transversal M&E of rural development there should be a reporting process. This reporting process follows data collection and analysis (see *Section 7.3.2*). Data will be transformed into information and reported through the reporting systems in M&E products. Reporting systems are thus an important part of effective M&E and must provide useful information that builds transparency and accountability and need to fit into broader performance improvement processes.

Provincial government departments have obligations to report in terms of sector-specific policy and legislation and in terms of more general legislation such as the Public Finance Management Act 1 of

1999. Given the wide range of reporting requirements in the LPG, a reporting system should be institutionalised in order for reporting to be streamlined and integrated as much as possible. Standard reporting templates, which are used by all reporting levels across the sector departments in the province, should be developed. The reporting template needs directing to be refined and aligned with government systems so that a provincial reporting template can be institutionalised.

M&E products are the reports that are produced through the M&E reporting system. M&E products produced by the LPG, such as the Ten Year Report (1994-2004) and the 15 Year Review Report (1994-2009) (see *Chapter 6.3.2.2*), contain little or no mention of rural development. M&E products in general are generated in an *ad hoc*, uncoordinated manner based on hastily compiled reports. It is a challenge to determine the accuracy and reliability of the information forming part of these products that report on the performance of the departments in the LPG. The result is that the Limpopo Premier and the EXCO are handicapped by the lack of both sufficiently precise programme goals and adequate programme performance information. These Executive Authorities are greatly disadvantaged in their efforts to improve programme effectiveness, as they do not have ongoing access to consolidated reliable M&E information for policy development and enhanced decision-making.

The integrated and transversal M&E of rural development should as a prerequisite be intrinsically linked to the planning cycle of the LPG. Thus, sector departments should generate information at points in time at which this information can effectively inform decision-making within the planning cycle. M&E products must, amongst others, support the planning process and it is therefore critical that these outputs are produced on time in order to continue supporting all the phases of the planning processes. This can be achieved when the critical M&E findings are produced and used in the planning process within a reasonable time.

Through the reporting system timeous and appropriate reporting on the progress made with rural development interventions should be facilitated. Within the M&E products data needs to be translated into information relevant for decision-making. To ensure that M&E products are used in the decision-making process, the reporting system should link up with the feedback mechanism (see *Section 7.2.1.2*).

7.3.4 IT as enabler in an M&E system

IT has been substantially changing the way M&E data is gathered, managed, analysed and disseminated. M&E has benefited from these developments. The IT systems integration and management use of M&E information are relatively unsophisticated in the LPG. The M&E systems in most departments are generally underdeveloped and performed manually. Where M&E systems are supported by IT, system integration should be paramount. The provincial stakeholders on rural development, which include the Premier and EXCO, require credible information on progress made with rural development interventions to guide the development of strategies and programmes. To support this, the OtP require a web-based Internet M&E portal where provincial departments will load information and reports. The system should fundamentally focus on achieving the following:

- Present credible information on progress in the implementation of provincial departmental programmes;
- Provide information on the outcomes and impact achieved by departmental programmes; and
- Continuously improve the quality of M&E in departments.

The system should draw on existing information and utilise other systems already available to report to the Presidency on national priorities. It is required that the system should link to the M&E system in the Presidency and enable departments to upload their strategic plans and programmes. Departments should also be able to update the progress status of their programmes and projects. In addition, the OtP should be able to access progress status reports through the systems. The system should be able to raise flags to indicate whether issues are on track or not, and be available to relevant stakeholders. However, the requirements for an M&E system from an IT perspective for the LPG have not been actualised, as the GWMES as a model is not clear on the role of IT as enabler in M&E system development (see *Chapter 5.5.2.3*). Sector departments recognise the importance of M&E, but few have successfully developed clear strategies to be used to capture, store and ensure accessibility of data. Departments are at various stages of using, securing and reviewing automated integrated information systems for monitoring, reporting and evaluation purposes. However, most of the sector departments do not have any software or specialised IT systems to be used for data capturing and retrieval purposes.

The key informants acknowledged that IT could contribute to M&E. However, they were aware of potential barriers to implementation of an integrated electronic system. Resistance to change, lack of IT

knowledge and skills, and lack of infrastructure are factors that all need to be considered before implementation. Key post-implementation success factors such as security and confidentiality, data entry standards and database maintenance are also vital issues that cannot be neglected. An understanding of integrated systems is important for M&E practitioners as well as programme staff. Any M&E IT system will have to manage a substantial amount of data contained in a data warehouse. That data emanates from various sources, which could be internal or external to an organisation. The data in the data warehouse is usually fed from subsidiary or tributary information systems and databases that operate in the internal and external source environments. The integrity of the data in the data warehouse is assured in two ways: either the data is validated within the data warehouse or it is validated before it is loaded into the data warehouse. The M&E IT system should have data mining and analytical capabilities and some of these capabilities will have to be statistical as indicators are dealt with. IT skills are scarce. A bespoke system is not likely to address this purpose within a very short space of time.

Through M&E a substantial amount of data is generated that should be analysed. Initially hybrid manual and spreadsheet based systems may be adequate for a department's need. However, the scale and complexity of information dealt with in the long run may require an electronic IT solution to assist with data analysis and reporting and more sophisticated functionality such as audit trails to facilitate audits of financial information.

An electronic M&E system will enable managers to extract performance information aligned to the APP, Operational Plan and other reporting requirements. A first step is a user needs specification and an analysis of existing M&E processes to ensure that information requirements are clearly understood, reporting tools standardised and data flows institutionalised across all levels. It is therefore necessary to document the current sources of data used in the department across programmes and flows of performance information processes.

Three options to utilise IT as enabler in an M&E system were identified during the research: a Manual system, a Semi-Automated system and a Fully-Automated system. It is often best to have a functioning manual system in place before computerising because it is cheaper to experiment with changes to a manual system. Information that will be needed by staff and all stakeholders, who may at some point request specific information, should be accurately identified before the system is designed as later modifications will be costly and affect the utility of the information already in the system. The use of semi-automated electronic data gathering systems refers to a combination of Excel spread sheets,

databases and manual capturing of data at a certain level, which are then sent to a higher level to be captured on a database or in Excel. The advantages of using an automated system instead of a manual system are that the former is easy to use and increases access to data between the various spheres of government. It helps with organising and managing data and related documents saved for evidenced purposes. As the data is stored in a highly organised manner, accessing the necessary data becomes easy. In this way the automated system assists in saving time, as people are able to access data required in real time and so promote more effective and efficient decision-making. Automated systems ensure that all data generated is properly classified, categorised and stored in a repository and made available when needed by users. Within the scope of government monitoring, reporting and evaluation, automated systems can be used to ensure that data obtained from various business units, sectors and departments is stored. Data is available when needed to determine progress made towards to achievement of set policies, programmes, projects and ultimately the achievement of government outcomes and impact.

7.4 Analytical component of the M&E of rural development

The analytical consists of the elements of performance indicators, baseline data and targets, level of M&E, M&E results chain, sustaining the system and the role of evaluation.

7.4.1 Performance indicators, baseline data and targets

The development of performance indicators is problematic in the LPG. There are shortcomings in Development Indicators tracked by the Presidency for M&E at the provincial level. A limitation of using the national Development Indicators is that they are reported at a national level, which is useful when reporting on progress from strategic perspective. However, when reporting from a planning and operational perspective, it is advisable to use provincial indicators. While provincial departments would have sector specific indicators, there are certain indicators, which have crosscutting relevance for the entire province with regard to rural development. In the absence of a Provincial Compendium of Rural Development Performance Indicators, this limitation will prevail.

Baseline data in the LPG province is scarce and of uncertain quality, which impacts on the capacity of the M&E practitioners to provide accurate and reliable M&E products. The province finds itself in a situation similar to many other governments, where credible baseline data is extremely scarce. M&E systems collect baseline data on performance indicators for measuring programme outputs and outcomes for the

target population. Impact evaluations collect similar data, but from both beneficiaries and a comparison group. The lack of baseline data limits impact evaluations to determine the impact of rural development. Collection of data concerning the social and economic features of individuals, groups or societies is necessary concerning background issues such as local economic circumstances and on political and administrative aspects that might clarify differences in outcomes and impacts at diverse project sites. The challenge in relation to the determination and consolidation of baseline information for rural development also places constraints on determining meaningful targets for interventions. The development of targets is a definitive stage in the institutionalisation of M&E.

7.4.2 Level of M&E

In the LPG rural development interventions are not monitored and evaluated at relevant levels as there is an emphasis on M&E at project level, an absence of the M&E of multiprogrammes and a lack of M&E at provincial level. In provincial departments M&E of rural development occurs to a limited extent, at project and programme level, but not in an integrated and transversal manner. The implication of this is that there is a lack of information on the progress made with rural development in the LPG. In addition, the accountability in respect of and monitoring the effect of rural development expenditure is inadequate.

When attempting to determine the most appropriate level of M&E of rural development, the literature is found to be imprecise on the matter as researchers have different viewpoints (see *Chapter 3.5.3.2*). To determine the level of M&E of rural development to ensure integration, the opinions as to at which level rural development should be M&E to be able to report on provincial, national and global strategic imperatives such as the MDGs (see *Chapter 6.6*), were obtained.

M&E cannot take place on one level only. At the national level, national departments involved in setting goals and strategic objectives must include relevant outcome and impact indicators that can be measured to determine the success of rural development programmes and projects. To ensure alignment, provincial departments involved in rural development must align their Strategic Plans and APPs, inclusive of indicators, to those of the responsible national departments. Reporting should be based on the achievement of the indicators as measuring tools to ascertain whether programmes and projects are indeed implemented to achieve the set outcomes. At a project level, information pertaining to rural development projects must be monitored based on set outputs to be achieved and any deviation, achievements or risks must be reported so that the organisation concerned can re-align activities towards the achievement of

outputs. This information should be cascaded to the national level so that provincial and national departments can assess whether their set indicators are indeed achieved, based on the feedback and evidence provided per rural development programme and project.

Monitoring the effective achievement of rural development programmes and projects should be continuous and occur on various levels, using standardised or aligned indicators so that information on actuals achieved can be cascaded to higher levels. Ultimately, it will be on project level where the success in terms of rural development will be measured. However, success will be determined by, amongst others, the resources (financial and other) being made available via the various government channels. Assessment on whether these resources are applied sufficiently requires monitoring from all relevant stakeholders.

Pertaining to evaluation, the views of the key informants differed. On account of a lack of resources, a holistic view and quality researchers, it is very difficult for most institutions to conduct evaluations to determine the impact of rural development programmes and projects. It is therefore proposed that evaluation be conducted at a provincial level and then be cascaded up towards the national departments. These should take responsibility for additional research and the consolidation, analysis, interpretation and recommendations on the success of the implementation of rural development plans at various levels. This information should be made available to all stakeholders and be used during planning cycles to identify areas of particular concern and focus programmes and projects on improving on these areas. Evaluation information should be compared to the MDGs and the National Outcomes, and the objectives and outcomes set for each. An objective assessment must be made at least on a three to five-year basis to determine whether the Limpopo Province as a whole is still on track to achieve these goals.

7.4.3 M&E results chain

Results-based M&E can only occur if accountability is in place throughout the results chain of inputs, outputs, outcomes and impact. Current M&E practices in the LPG do not emphasise the linkages between the various concepts in the result chain, but focus mainly on inputs and outputs. The M&E of rural development in the LPG should endorse the results-based M&E approach through a clear distinction between inputs, activities, outputs, outcomes and impact and how they relate in a results chain, with an emphasis on achieving outcomes and impact. The M&E of rural development should not only show the chain of results for the programmes and projects, but should be aligned to the development goals and strategies of the LPG and the country, as well as to the MDGs. Key informants indicated the preference

that the outcomes and impact of the M&E of rural development should be located within the OtP, which essentially falls beyond the ambit of any one sector department. This would enable reporting on the outcomes and impact of development interventions, including early warning on possible under performance. Sector departments should then align their inputs and outputs in a way that is ultimately designed to impact upon the development goals and strategies of the province.

7.4.4 Sustaining the M&E system

The research findings on the element of sustaining the M&E system identified enablers, which are subsequently presented. Some of these enablers have already been discussed in this chapter:

- The existence of a political champion advocating for the institutionalisation and sustainability of an M&E system;
- Accountability to ensure that failure is not rewarded and problems are acknowledged and addressed;
- An environment in a state of readiness for the institutionalisation of the M&E system;
- Roles and responsibilities for collecting, analysing and reporting performance information; and
- Capacity-building programmes producing sound technical skills required in the M&E process.

Much of the reform required for the institutionalisation of an effective M&E system focuses on improving the supply of M&E findings to create credible analysis of the developmental state of the country. All these efforts and investments will, however, be pointless if the M&E findings do not influence the way the LPG perform their core business. To ensure the use of such findings, a demand for M&E should be created. Such a demand will be created if the M&E units produce work of high quality. M&E products should assist decision-makers to review outputs, outcomes and impacts. The provision of timely, relevant and insightful information from the respective M&E units will create a growing and continuous need for more information to guide decision-making. In this way the M&E unit will ensure buy-in and co-ownership from all stakeholders in the process of M&E and simultaneously contribute towards the achievement of the PGDS.

The M&E system should produce trustworthy and credible information that contributes to evidence based decision-making. The OtP will need to verify the quality of the performance data from sector

departments. This means providing training and technical assistance, but also periodically auditing at least a sample of the data collection procedures used by the sector departments.

Incentives need to be introduced that encourage the use of performance information, as having a report does not guarantee that it will be distributed, discussed or used. The crux is about changing behaviours and attitudes, not just policies and formats. Senior management support of the M&E system is indispensable as the commitment to using reflective processes and M&E products should originate from the top leadership. Creating an environment for, and culture of, M&E should receive attention. The infrastructure, human and financial resources necessary for M&E should be considered and included into budgets and capacity-building programmes.

There is a need to standardise the terminology used in M&E across departments in the LPG. M&E terminology can be confusing and this is partly due to the fact that there is not always consistency in how various government entities use and define the terms. All stakeholders should use uniform terminology on M&E. However, space should be given for local interpretations and empowerment, supportive of democratic practice.

Ideally the institutionalisation of an M&E system is to follow a gradual approach, for example piloting and testing the system when the system has been extended to the remaining departments after the M&E methodologies and procedures have been judged to be sufficiently robust. Sustaining the M&E system would require that the system be reviewed on a regular basis. The value of regularly reviewing an M&E system with the objective of assessing the functionality thereof needs to be emphasised (see *Chapter 3.5.3.4*). The development of an M&E system is an evolutionary process as the system is not static. Given constant developments in the M&E environment, the review of the M&E system is necessary, as the recommendations emanating from such review should inform the future enhanced development of the system. A periodic review of the M&E system should be conducted to ascertain whether stakeholders are using information. In addition, the review needs to determine whether the system is responding to the needs of its users.

7.4.5 Role of evaluation

In Limpopo the *ad hoc* and opportunistic approach to evaluation has not resulted in the operational and policy value of evaluation being demonstrated. Currently evaluations are not institutionalised despite the

fact that evaluations should be particularly useful in a province such as Limpopo where development needs (including rural development needs) are substantial. Before 2012, the evaluation function was almost non-existent in the LPG, as the 2005 version of the GWMES as model for M&E did not place emphases on evaluation. Evaluations of rural development interventions were not being conducted. Due to this weakness, it may be argued that the LPG was not using evidence to make decisions about programme design, implementation and programme effectiveness of rural development. The LPG is currently in the process of placing more emphases on evaluation as part of the provincial M&E system.

Evaluations are broadly classified as formative and summative assessments (see *Chapter 3.5.3.5*). For both formative and summative evaluations there are factors that contribute to the utilisation of the evaluation. The importance of an enabling policy environment is involved when evaluations are used to address policy issues and key decision-makers are willing and able to accept the political consequences of the findings. The timing of the evaluation should permit the process of the evaluation fitting into the cycle of decision-making. This would occur when the need for information from decision-makers converges with the unfolding of the evaluation findings. As evaluations are not the only information source or key influence driver for decision-making, evaluators should therefore ensure that the reports are adapted to the context and that the timing should enable the effective utilisation of the findings. Building a relationship with the client and effective communication of the evaluations are critical. A working relationship with key stakeholders should be maintained. Evaluators should listen to their needs, develop an understanding of their perceptions of the context and regularly communicate findings. As regards the aspect of who should conduct the evaluation, a combination of internal organisational and external evaluators has been found to be most effective. Internal resources understand the context and know the most crucial data sources and external resources maintain objectivity. The scope and methodology of the evaluation should be assessed. Usually multi-method approaches, using both qualitative and quantitative methods, should be adjusted to the context, the evaluation questions and priorities and the available resources. This type of evaluation will increase the reliability of the findings and broaden the framework of interpretation.

The planning cycle of the South African government allows for Strategic Plans and APPs to be developed. Strategic Plans, covering a five year period, allows for outcomes to be monitored and evaluated. APPs, covering a period of a year, allows for inputs and outputs to be monitored. With the attention on medium to long-term planning, the findings of evaluations can yield invaluable lessons for selecting the development interventions portfolio for long-term plans, such as the NDP (see *Chapter 5.2.2.4*). Increased focus on MfDR (see *Chapter on 3.3.1.2*) has moved M&E from inputs and outputs to

the attainment of outcomes and impacts. International good practice increasingly places emphases on impact evaluation. Impact evaluations in the development sector seek to determine the extent to which development initiatives have added to positive community change and improved people's quality of life. It is increasingly necessary to factor impact evaluations into the M&E of government projects and programme at all levels, an aspect, which is absent in the LPG. Impact evaluations analysis has not been institutionalised. As regards the obstacles contributing to the absence of impact evaluation in the LPG, key informants have identified a number of issues. Lack of credible monitoring information is an obstacle to impact evaluation, as well as the absence of practitioners with the relevant skills set. A common understanding of conducting impact evaluation by government officials and consultants is absent. Challenges in respect of credible data from monitoring reports, which form the basis of impact evaluations, as well as baseline data in some instances, are experienced. Generally the problem is with poor planning; if there is no proper planning then it becomes difficult, if not impossible, to perform an impact evaluation of government programmes. Ideally planning should always incorporate an M&E framework. Compounding this problem is the issue concerning the lack of proper coordination of the various programmes that have a direct link to evaluation, namely policy development, management and planning. Another obstacle is the limited financial and human resources required to complete extensive impact evaluation. The research team required for completing an impact evaluation study needs to be highly skilled and familiar with the research process. Unfortunately, the LPG does not necessarily attract this calibre of researcher as positions with higher income and benefits are available in other provinces. Also, since this is a specialised skill, few researchers are available to embark on such studies.

Conducting research also requires access to financial resources that are needed to create infrastructure for the implementation of impact evaluation studies. Financial resources are often the main barriers to conducting impact evaluations. For example, sufficient financial resources are required to build the technology infrastructure required for the research by appointing "foot soldiers" to gather the required information based on the research instrument used and to ensure sufficient resources for data analysis, interpretation and recommendations. Time may also be viewed as a barrier, linked to financial constraints. Often limited time is set aside for conducting impact evaluations. However, extensive impact evaluations often require that institutions undertake the research project for a number of months in order to obtain all relevant information. Linked to rural development is the difficulty of gaining access to respondents that can negatively impact on the time allocated to a project. Also, the fact that many respondents may be illiterate and would require the support of the data collector to provide answers pertaining to the research instrument may impact further on the time allocated for data collection. Another pertinent obstacle

relating to impact evaluation is that of ethical considerations. The success of any research study is determined by the quality, validity and reliability of the data collected. If one works with semi- or illiterate respondents, they can easily be influenced by the data collector, which may contaminate the validity of the data. Checks and balances in terms of, amongst others, an extended sample and training, must be in place to confirm the quality of the data collected.

In an effort to overcome the identified obstacles the findings underlined matters such as regularly collecting credible data that is outcome oriented in nature, documenting the guidelines on conducting impact evaluation, securing funding and technical assistance. In addition, the level of researchers produced by higher education institutions must improve. Extensive training in research methodologies must become part of the curriculum of all qualifications. From the point of view of the LPG, this issue should be discussed with the local universities in the province and other higher education institutions. More short courses in research methodology should be presented to further train researchers and officials working in the field. If one were to improve the quality of researchers and data collectors, issues pertaining to validity and reliability of data will also be minimised. In terms of financial support, more financial resources should be made available by national government for the purpose of completing impact evaluation studies. These funds should be cascaded to provinces. In collaboration with national government, provinces can identify the main impact studies that must be conducted during the electoral period and obtain additional funding, even from international partners, to ensure that these studies take place. In addition, the sustainability of rural development impact studies can be improved if different departments share resources, information and collaborate on the completion of impact evaluation studies. For example, instead of only the Department of Education conducting an impact evaluation study on the feeding schemes at schools in rural areas, the Department of Health should also become involved by simultaneously investigating the health improvement of, for example, pre-school learners on account of the feeding scheme. In this way both departments can use data collectors simultaneously, thereby reducing costs and research time and providing an integrated report.

In order to overcome the problem of lack of proper coordination of the various programmes that have direct links to evaluation, namely policy development, management and planning, mechanisms will have to be put in place to strengthen these aspects. The Presidency is taking the lead on this since planning has been centralised under the NPC, together with the DPME.

Based on the increasing emphases on participatory processes in the evaluation, including impact evaluation, of development interventions, PME is an important value in conducting evaluations, from both a content and process perspective. PME extends beyond project beneficiaries as experience from development organisations revealed that PME should encourage the involvement of key stakeholders in realising change and development. PME contributes to the appropriate identification of priority needs as it encourages stakeholder involvement in understanding the current situation at hand and identifies appropriate interventions to mitigate problems and satisfy needs. Development interventions are implemented successfully and these inspire the participation of pertinent stakeholders in assessing the strengths and weaknesses of programme or project interventions and sharing ideas on how to move forward. More importantly, it encourages participation of stakeholders in knowing what has changed and to create ownership in the whole process of development intervention. The sustainable impact of development interventions is ensured, as PME is a continuous process of learning, reflection and implementation to suit the needs of stakeholders. Furthermore, building the capacity and involvement of stakeholders in PME initiatives provides a greater opportunity of sustainability and a continuing impact.

However, PME methods are underutilised in the LPG and insufficient use are made of the results chain to establish clear linkages between programmes inputs, outputs, outcomes and impacts.

7.5 CONSOLIDATION OF RESEARCH FINDINGS TOWARDS A PROVINCIAL MODEL FOR THE INTEGRATED AND TRANSVERSAL M&E OF RURAL DEVELOPMENT

As reflected in *Chapter 1* the following research questions guided the study:

- What are the critical elements of an integrated and transversal approach to the M&E of rural development?
- How can these critical elements be incorporated in a model for the integrated and transversal M&E of rural development?

Throughout the research process answers to the research questions were sought, with the literature review (*Chapter 3*) being the starting point, followed by the completion of the rest of the phases (see *Chapter 2.3*). This provided the basis for the critical elements of a transversal and an integrated approach to the M&E of rural development to be explored and described. With regard to how these critical elements could be incorporated in a model for the integrated and transversal M&E of rural development, locating

the elements within components were studied and portrayed. These elements and components are reflected in Figure 7.1.

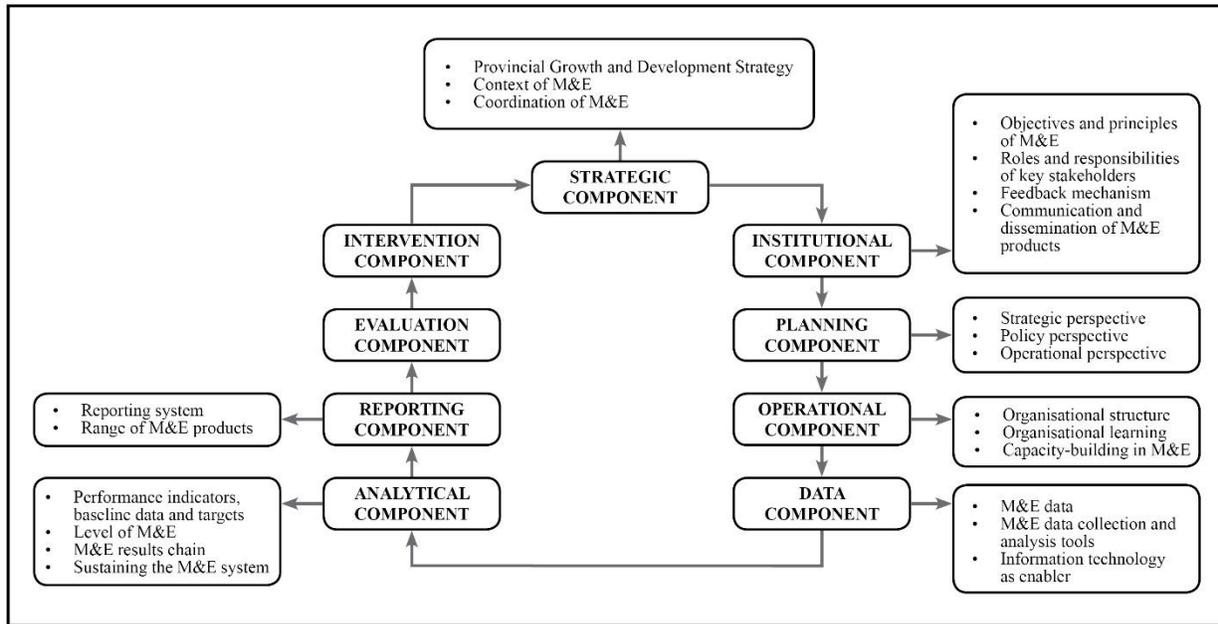


Figure 7.1: Elements of an integrated and transversal approach to the M&E of rural development placed within Strategic, Institutional, Planning, Operational, Data, Analytical, Reporting, Evaluation and Intervention Components (developed by researcher)

Circumstances have shaped the evolution of M&E models so that M&E has evolved over time from the outputs produced by development interventions to the emerging focus on the impact of development interventions. The M&E of rural development should move beyond the M&E of performance of interventions, which is only evident at the input and output level of the results chain. The M&E of rural development tends to stagnate at the output level, rarely being oriented towards determining the outcome and impact of the interventions. The results of rural development interventions are evident at the outcome and impact level. The current M&E model of the LPG focuses more on programme or project inputs, activities and outputs, and less on outcomes and impacts of rural development interventions. Outcomes are the immediate changes that result from outputs and should lead to impacts that contribute towards development priorities. The outcomes and impacts should indicate the achievements made by the LPG towards rural development. It is thus crucial that rural development is M&E throughout the results chain, but with specific emphases towards being outcome and impact orientated. It has become increasingly necessary for impact analysis to be factored into the M&E of government programmes and projects, an

aspect currently absent in the LPG. Based on the argument that results should become discernible at outcome and impact level, the M&E model of the LPG should focus on measuring outcomes and impact as these assist in obtaining the answer to the fundamental questions of what results have been achieved and whether these indicate a movement towards achieving the desired goals of rural development.

7.6 SUMMARY

Chapter 7 presented the research findings of the study. The elements of an integrated and transversal approach to the M&E of rural development identified in *Chapter 3.5* were used as the framework for an analysis of the findings conducted in order to respond to the research questions of the study.

When analysing the findings of research undertaken during the period 1988 to 2012 (see *Chapter 3.5*), critical elements of an integrated and transversal approach to the M&E of rural development were identified.

The research findings presented in *Chapter 7* indicated that, amongst others, a provincial growth and development strategy, feedback mechanism linking M&E to planning, budgeting and decision-making, and a policy perspective of M&E are additional elements to those in the theoretical framework.

With regard to how these critical elements can be incorporated in a model for the integrated and transversal M&E of rural development within the context of the Limpopo Province, the research findings indicated that the following components need to be added to the current model: strategic, planning, operational, reporting, evaluation and intervention component.

The findings enabled recommendations to be made that require consideration when the model for the integrated and transversal M&E of rural development in the Limpopo Province is developed in the next chapter, *Chapter 8*.

CHAPTER 8

MODEL FOR THE INTEGRATED AND TRANSVERSAL MONITORING AND EVALUATION OF RURAL DEVELOPMENT

8.1 INTRODUCTION

In the previous chapter (*Chapter 7*) the research findings of the study emanating from the data collected from the first five phases of the research were discussed. The chapter culminated in a brief analysis of the findings in order to respond to the research questions of the study.

Based on the above findings, recommendations are made that require consideration when the model for the integrated and transversal M&E of rural development in the Limpopo Province is developed. As stated in *Chapter 1.5*, the aim and specific objectives of the research, the focus was on the development and description of an integrated and transversal M&E of rural development in the Limpopo Province.

8.2 RECOMMENDATIONS IN RELATION TO THE MODEL FOR THE INTEGRATED AND TRANSVERSAL M&E OF RURAL DEVELOPMENT IN THE LIMPOPO PROVINCE

The recommendations are based on the research findings as discussed in *Chapter 7* and constitute the building blocks of the new model. The elements of an integrated and transversal approach to the M&E of rural development are placed within Strategic, Institutional, Planning, Operational, Data, Analytical, Reporting, Evaluation and Intervention Components.

8.2.1 Recommendations: Strategic Component

The elements forming part of the Strategic Component are the PGDS, the context of M&E and the coordination of M&E.

8.2.1.1 Growth and Development Strategy

It is recommended that the M&E of rural development in the LPG should be linked to a provincial growth and development strategy, such as the Limpopo PGDS. The PGDS is the overall strategic development blueprint for the province as a whole, which is based on a five-year timeframe. The PGDS is the

instrument to be used to align and coordinate the development interventions of the three spheres of government within the province (see *Chapter 7.2.3.1*). Rural development interventions need to be prominent within the PGDS. As a blueprint for rural development in the LPG, the PGDS should guide and coordinate multisectoral rural development interventions. The goals and strategic objectives of the PGDS should act as guides for the performance indicators and targets for rural development. The PGDS should provide parameters for the formulation of Strategic Plans, APPs and Operational Plans of sector departments, as well as the IDPs of municipalities. The strategy plays a pivotal role in guiding intergovernmental engagements as prescribed by the Intergovernmental Relations Framework Act 13 of 2005.

8.2.1.2 Context of M&E

As it is vital to consider the context wherein M&E is institutionalised, the LPG context was explored extensively (see *Chapter 6.3*). It was concluded that the political, legislative and governance context could be more favourable for the institutionalisation of M&E.

The existence of a political champion, for example the Premier of a province, is critical to the successful implementation of an M&E system at provincial level (see *Chapter 7.2.1.1*). Political will is required to act on early warnings of challenges in implementing rural development. However, political accountability should be extended to both the national and provincial departmental level, where the President and the MEC become involved in ensuring the integrated and transversal M&E of rural development is in place. In this regard it is recommended that an Intergovernmental Protocol be signed between the President and the Limpopo Premier. To support the Premier in the execution of this protocol, it is recommended that DAs be signed between the Premier and the individual MECs of the departments in the LPG. Measures should be in place to M&E the implementation of the DAs. The accountability at political level is related to the connection between personnel performance and accountability. In general, it is necessary to forge a firmer nexus between individual performance objectives and institutional performance targets. The individual performance management system should be re-oriented to greater focus and alignment of the incentives of individual managers to the results to be achieved through rural development. Ensuring that PAs at individual level are aligned to the goals and strategic objectives of the PGDS can attain this.

The Limpopo Provincial Legislature is to fulfil a more prominent role in the M&E of rural development (see *Chapter 7.2.5*). In order to strengthen the legislative context, the recommendation is that progress in

terms of rural development should be a standing item on the agenda of one of the Portfolio Committees, against the background of the role of the Legislature as a key stakeholder in the M&E process within the constitutional context of its oversight functions. Members of the Portfolio Committee should conduct oversight visits to rural development projects. M&E is not included in Schedule 4 (Part A) of the Constitution, which contains a list of functional areas of concurrent national and provincial legislative competence, or in Schedule 5 (Part A), which provides for functional areas of exclusive provincial legislative competence. National legislation must therefore be enacted, which contains a provision that empowers, or even compels, a province to develop legislation with regard to M&E. At present, national legislation and policy only provide the framework for provinces to implement M&E but no provision to enable provinces to develop their own legislative framework. M&E demands a legal mandate and a clear policy role.

However, in the absence of a national statutory framework on M&E, a provincial legislature is empowered to enact provincial legislation in accordance with section 104(4) of the Constitution. The section states that a provincial legislature may enact “Legislation with regard to a matter that is reasonably necessary for, or incidental to the effective exercise of a power concerning any matter listed in Schedule 4”; taking into account that rural development is a Schedule 4 (Part A) concurrent functional domain. It is therefore also proposed that an appropriate provincial policy that provides the framework for the institutionalisation of M&E will contribute to the integrated and transversal M&E of rural development programmes implemented by the LPG. The purpose of the provincial M&E policy and statutory framework would be to suggest a broad approach to the M&E of rural development for application in the LPG (see *Section 8.2.3*).

To strengthen the link between M&E findings on performance and the allocation of budget and resources (see *Chapter 7.2.12*), it is recommended that LPG consider the institutionalisation of a performance-based budget release system. A standing item on the agenda of the Budget Lekgotla should be the progress made with rural development as outlined in the PGDS (see *Section 8.2.1.1*) and as monitored against the performance indicators (see *Section 8.2.6.1*). Progress made by the different sectors must be indicated against the allocated resources. The M&E findings in relation to progress, inclusive of the challenges and the action plans to address them, should be investigated and considered when releasing the budget for the next financial year.

The final recommendation on the context of M&E is the recommendation that a readiness assessment (see *Chapter 7.2.1.2*) should be conducted to ascertain the readiness of the LPG to undertake the monitoring, evaluation and reporting function to ensure the integrated and transversal M&E of rural development. This assessment should cover aspects such as whether a conducive environment exists for the institutionalisation of M&E, M&E capacity and the architecture for M&E.

8.2.1.3 Coordination of M&E

Given the various stakeholders involved in the rural development agenda, it is important to set up appropriate and sustainable coordination arrangements in order to deal effectively with the multidimensional nature of rural development and associated complexities. The integrated and transversal M&E of rural development cannot happen in isolation from the coordination of rural development (see *Chapter 7.2.2.1*).

It is recommended that the responsibility for the coordination of rural development should be placed with the OtP. This will ensure that this forms part of the machinery of government (see *Chapter 6.2.3*), including the Provincial Legislature, Provincial Portfolio Committees and the Provincial Cabinet Cluster System. The coordination of rural development interventions should be vested in the OtP as the office has an organisational function by its nature. Despite the fact that rural development cuts across all sectors, the OtP should take overall responsibility for all coordinating actions. To ensure the focused and effective implementation of projects, relevant sector departments should implement the activities that fall within their mandates. The OtP must establish a coordination unit to guide the process and establish institutional arrangements that will provide for multiple stakeholder platforms to plan for rural development in the province.

The recommendation is made that the Limpopo OtP, which is statutorily and strategically responsible for championing transversal projects in the province, should coordinate the process of the institutionalisation of M&E in the LPG. The expected outcome being an M&E system with the ability to collect, analyse and disseminate data that enhances the performance management and decision-making functions in the LPG. The OtP is to provide strategic direction based on national and provincial goals and strategic objectives to the development of rural areas within Limpopo. Although M&E takes place in each of the sector departments, the OtP also has to perform the M&E function as this office coordinates all programmes within the province. Sector departments need to monitor and measure the outcome of their programmes,

whilst the OtP needs to combine all these programmes to ascertain the impact on improving the lives of the citizens of Limpopo.

The OtP has the overarching M&E role over all provincial government programmes in the province implemented by various departments according to their respective mandates. The role of the OtP would thus be one of monitoring whether the respective sector departments, which have included rural development programmes in their respective plans, are delivering on this mandate (see *Chapter 7.2.2.2*). The responsibility of the OtP should also be to ensure that all programmes are aligned to the PGDS (that is itself aligned to the binding national and provincial frameworks prescribing the structure and contents of such a strategy). The plans of respective provincial departments should therefore be evaluated for relevance and alignment to national and provincial priorities, adequately budgeted for and resourced. OtP would then M&E this to determine the impact of the PGDS and hence the related programmes. The OtP should look at the integrated programme planning of sector departments to ensure duplication is minimised and the roles and responsibilities of respective sector departments are very clear. In addition, budgets and other necessary resources need to be effectively optimised to meet the objectives of existing and future rural development strategies.

The position of M&E in the coordination and planning process is linked to the integration of M&E with other management functions (see *Chapter 7.2.3.3*). This setting of M&E in the proximity of both coordination and planning function enables proper planning and integration, which are both critical management functions of the LPG. It is crucial to be able to understand and analyse the information collected through M&E, and consider it to frame future rural development interventions through the planning process. In the LPG context, the M&E system needs to be carefully timed to correlate to the existing cycles of government, which are the three year budgeting cycle, the five year planning cycle, the annual review and assessment process and the various other periodic events that deliver and use information and analysis.

To adequately support the integrated and transversal M&E of rural development in the LPG from a coordination and integration perspective, it is recommended that the organisational unit and institutional assignment of the M&E function in the OtP should be reviewed. The M&E unit in the OtP should be able to M&E outcomes and impact as they relate to transversal rural development interventions within the Limpopo Province.

8.2.2 Recommendations: Institutional Component

The elements forming part of the Institutional Component are the objectives and principles of M&E, the roles and responsibilities of key stakeholders in the M&E process, the feedback mechanism and communication and dissemination of M&E products (see *Chapter 3.5.1* and *Chapter 7.2*).

8.2.2.1 Objectives and principles of M&E

The recommendation is made that the objectives of the M&E of rural development should evolve towards contributing to evidence-based policy development, decision-making and budgeting in relation to rural development (see *Chapter 7.2.4*).

As regards the principles of M&E, the various participatory approaches, tools and methods that could catalyse PME practice with a view to fast-tracking service delivery, while ensuring people's trust in government and ownership of rural development interventions, should be explored. PME methodologies envisage better results on quality improvement, effectiveness and sustainability of development efforts. In addition, various PME techniques would fit into the designing, planning, implementing and evaluating of rural development projects and programmes.

To attain the principle of M&E being developmentally orientated, the Provincial M&E Policy Framework (see *Section 8.2.3*) should emphasise rural development as the vehicle for combating poverty and inequality, addressing food security, and improving the quality of life of citizens of the Limpopo Province. The Provincial Compendium of Rural Development Indicators (see *Section 8.2.6.1*) should also reinforce this pro-poor orientation. Furthermore the Provincial M&E Policy Framework should also focus on the improvement of the institutional capacity of the provincial government departments that contribute to rural development. This is consistent with the service delivery and performance principles of M&E being developmentally orientated.

With regard to the principle that M&E should be utilisation oriented, M&E only serves a purpose if the insight it yields is acknowledged and utilised. Supplying M&E information alone is not sufficient in that the requisite demand must also be created. Thus more thought needs to be given to encouraging line managers to engage in M&E and with M&E findings.

At present limited focus has been placed on the ethics of M&E practice in the LPG to ensure that M&E should be practised in an ethical manner and with integrity. In addition, not much emphasis is placed on the rights-based components of M&E as a principle (see *Chapter 5.3.6.2*). This principle should be standard in the conduct for M&E practitioners and others involved in M&E in the LPG. To embrace these principles, it is recommended that the possibility should be explored where the Limpopo Province adopts a Code of Conduct for M&E practitioners as part of its Provincial M&E Policy Framework (see *Chapter 7.2.3.2*). During the development of such Code of Conduct, the ethical prescripts and values underpinning M&E should be clearly articulated, as well as the principles guiding the practice of M&E.

8.2.2.2 Roles and responsibilities of key stakeholders in the M&E process

It is recommended that a stakeholder role and responsibility matrix be developed to identify stakeholders involved in rural development and to map out their roles and responsibilities. The roles and responsibilities in respect of functions that must be fulfilled need to be determined. These include who is responsible as the driver of the defined function, who will provide additional support for it and who will use M&E information.

It is recommended that formal protocols be developed between the OtP, the Provincial Treasury, Limpopo CoGTA and Municipalities to clarify roles and responsibilities. The protocol should include:

- The division of labour in respect of financial and performance M&E;
- Assisting departments to prepare for audits of performance information;
- Implementing the FMPPI (2007); and
- Developing a joint performance assessment template for municipalities.

The protocol should also include the formation of a working group between the four parties to ensure a coordinated approach to the monitoring, evaluation and reporting of municipalities.

8.2.2.3 Feedback mechanism

It is recommended that the LPG ensure that a feedback mechanism linking M&E to the planning, budget and decision-making process is in place. Through the feedback mechanism M&E findings are expected to be shared for better planning of rural development interventions, providing feedback on the efforts and

resources committed to rural development and highlighting issues that still require interventions and to increase integrated governance efforts (see *Chapter 7.2.1.2*) Optimising the Provincial Cabinet Cluster System to function as a feedback mechanism on progress made with rural development interventions should be considered. Through the Cluster System it should be reflected on how to best utilise various streams of data and information and transform these to M&E findings useful to stakeholders in rural development. Utilising the Cluster System as feedback mechanism will enable the Premier and the Provincial EXCO to benefit from M&E as a management tool to help keep government focused on achieving results in rural development. The Premier and Provincial EXCO are able to take EXCO decisions concerning progress in respect of rural development. As an institutional arrangement, a Cluster Committee should be in place to M&E rural development interventions. Reporting on progress as regards such interventions should be a standing item on the agenda of one of the Cluster Committees (possibly the Economic Cluster). In addition, the DRDLR should attend the (Economic) Cluster Committee as full member (and not on an *ad hoc* basis). It is recommended that M&E practitioners should be attached to the Cluster Committee to monitor progress and coordinate reporting so that the contribution of stakeholders towards rural development can be correctly presented. To further strengthen the integrated and transversal M&E of rural development in the LPG, the link between the Cluster System and existing forums such as the Premier's Intergovernmental Forum (PIGF) should be explored.

8.2.2.4 Communication and dissemination of M&E products

The LPG should reiterate its commitment to transparency through the communication and dissemination of M&E products. The communication of M&E findings emanating from analysis and contained in M&E products is vital (see *Chapter 7.2.9*). It is recommended that a Provincial M&E Communication Strategy be developed to support the dissemination of M&E products to internal and external stakeholders. The strategy should be informed by the reporting system (see *Section 8.2.7*) and in collaboration with the Provincial Cabinet Cluster System (see *Section 8.2.2.3*). Matters such as the literacy level of the rural population must be considered and the recognition of the role of the Promotion of Access to Information Act 2 of 2000 (see *Chapter 7.2.9*) should form part of the strategy. The diverse information needs of the various stakeholders should also be accommodated. These stakeholders include policymakers, programme managers, beneficiaries, the public, the media and academics. M&E products that incorporate findings and highlight implications for the design of policies and programmes should be distributed to officials in sector departments as well as local government. Dissemination through the media, websites and EXCO

Outreach Imbizos should be explored. Press releases can be used to reach the media and the public. Workshops and seminars can be used to circulate results among researchers and NGOs.

Information should be loaded on the website of the LPG (www.limpopo.gov.za) as it enables access to interested audiences within and outside the province. Making M&E products available on the website will allow Limpopo citizens to see that the LPG is being held accountable for its results. At present, the annual Citizens' Report is published by the OtP and this practice should be expanded and the products broadened to include, for example, an annual leaflet on the status of the (rural) performance indicators of the PGDS, report on the levels of satisfaction with the PGDS and public hearings on PGDS programmes and projects. The main purpose of an annual brochure on the status of the (rural) performance indicators of the PGDS is to inform people and customers and promote social action concerning the goals and strategic objectives of the PGDS. Information on the current status of rural development in the Limpopo Province should be available. Communities and society at large must be the main targets of this type of information. A report on the level of satisfaction on the PGDS can be considered after conducting a survey to assess customer and people's level of satisfaction with the progress of the PGDS. The findings of such a study should be released in the format of a report and published in the local press.

It is recommended that links between the communications strategy and the participatory dimensions of M&E (see *Chapter 3.5.1.8* and *3.5.3.5*, and *Section 8.2.2*) be developed and maintained. This should include not only media monitoring, but also coordinated efforts to facilitate and increase public participation. Particular attention should be paid to communications mechanisms to illiterate people in rural areas. Public hearings on PGDS programmes and projects can be conducted on a quarterly basis and organised to increase the participation of civil society in the PGDS, while enhancing technical and political accountability at the same time.

8.2.3 Recommendations: Planning Component

The recommendations on the Planning Component are made from strategic, policy and operational perspectives.

As the development context of Limpopo shapes the PGDS (see *Chapter 7.2.3.1*), it is recommended that a policy review of the strategy is necessary to reflect the rural dimensions of the province, seen against international, national and local dimensions.

To be able to monitor and evaluate the PGDS, it is recommended that a Provincial M&E Policy Framework be developed (see *Section 8.2.3*). The policy framework should provide guidance on the institutionalisation of M&E in the LPG. A Provincial M&E Plan should be developed support this and enable sector departments to report on progress made with the development mandates as reflected in the PGDS.

8.2.4 Recommendations: Operational Component

The elements forming part of the Operational Component are the organisational structure supporting M&E, organisational learning and capacity-building in M&E.

8.2.4.1 Organisational structure supporting M&E

It is recommended that the LPG adhere to EXCO Decision 139/2006 (see *Chapter 6.3.2.1*) with regard to the M&E capacity in departments. Organisational structures should be reviewed to create such capacity to adequately support the Provincial M&E Policy Framework. The M&E function should be placed strategically near the centre of decision-making and emulate the level of M&E at national level. The trend should be that the Limpopo Province is elevating M&E to a strategic level. The organisational structure should be capacitated with M&E practitioners with the requisite skills (see *Section 8.2.4.2*). The recommendation is that the OtP should provide advisory assistance and guidelines to the provincial departments on establishing M&E units. These guidelines should be developed in consultation with the organisation's development practitioners in the departments to assist in developing the core functions and an ideal structure for an M&E unit. All the relevant stakeholders should be given an opportunity to provide inputs for the formulation of the guidelines. There is a need for planning, internal audit and service delivery improvement units to forge links in order to enhance the M&E function. It is also recommended that the provision of M&E capacity be extended to the local sphere of government in the LPG (see *Chapter 7.2.6*).

8.2.4.2 Organisational learning

It is proposed that an organisational learning culture in the LPG should be facilitated through the Provincial M&E Forum, the establishment of a Limpopo SAMEA Chapter and Learning Network on the M&E of rural development, as well as knowledge management (see *Chapter 7.2.7*). The Provincial M&E

Forum should be used as a platform to promote M&E practices and methodologies. A Limpopo SAMEA Chapter should strengthen the professional association of M&E practitioners and play a role in setting professional standards among M&E practitioners. The role of the Learning Network should be information brokerage and dissemination between stakeholders. As policy and planning are intertwined with M&E, practitioners in these fields must be included in the target audience of the Learning Network. The development of knowledge management for the M&E of rural development should focus on systematically improving this knowledge in the LPG, by, for example, creating a widely accessible depository of M&E products.

8.2.4.3 Capacity-building in M&E

Building M&E capacity is an activity that should commence from the onset of the institutionalisation of M&E and remain continuous. The field of M&E is a diverse and dynamic one, and practitioners need constant upgrading of their skills. Investment in human resource capacity-building should be a priority (see *Chapter 7.2.8*). The recommendation is made that an audit of training needs be conducted. Based on the findings of such audit, a Provincial M&E Capacity-building Strategy should be developed to ensure that all stakeholders in the M&E of rural development in the local and provincial spheres of government are fully capacitated. Capacity-building should be customised for each of the following groups: MECs, Accounting Officers, Senior Management, M&E practitioners and line managers with M&E responsibility. The strategy should detail the provision of training within the OtP M&E unit and sector departments. It is recommended that the building of M&E capacity should be in line with the organisational structure supporting M&E (see *Section 8.2.4.3*). Training and the long-term supply of expertise are a priority and need to be raised with Palama, as well as with tertiary institutions and ATCs in the province. The role of capacity-building institutions outside the public service should be clarified as any planned capacity-building interventions must be practical and the implementation thereof directed to ensure the integrated and transversal M&E of rural development in the LPG.

8.2.5 Recommendations: Data Component

The elements forming part of the Data Component are M&E data, range of M&E data collection and analysis tools and IT as enabler for the integrated and transversal M&E of rural development (see *Chapter 3.5.2 and Chapter 7.3*).

8.2.5.1 M&E data

The Planning Component of the proposed model needs to be linked to M&E data, specifically from the policy and operational perspectives. The Provincial M&E Policy Framework (see *Section 8.2.3*) ought to, amongst others, give guidance on data management and data quality. The Provincial M&E Plan (see *Section 8.2.3*) must document, amongst others, procedures for data collection and the MoVs. Determining the responsibility for analysing the data within various departments, how data is to be disaggregated by variables to get rich and meaningful data and when it needs to be analysed, would cover planning for data analysis. The provision of a central database at the provincial level for storing of M&E data for rural development can also be considered (see *Section 8.2.5.3*).

It is recommended that the model for integrated and transversal M&E of rural development in the LPG draws from the following data sources: Census and Survey Information, Registers and Administrative Data, Programme Performance Information, GIS and Evaluation.

The role of Stats SA is critical as the custodian of the data source of Census and Survey Information, Registers and Administrative Data. The recommendation is made that a Memorandum of Understanding (MoU) should be in place between Stats SA and the LPG to include identifying a minimum set of core data for rural development, integrating rural development into the NSS and contributing to the sustainability of rural development statistics through the process of statistical capacity-building.

As regards the official statistics and national statistics (see *Chapter 5.3.6.3*), departmental data should be accredited as official statistics. Stats SA should match the demand for rural development statistics directly with the production of relevant statistics. The OtP should play a strategic role in promoting the SASQAF quality dimensions that provide the criteria for the preconditions for quality statistics. Departments should be encouraged to establish statistical capacity, ideally as part of M&E units. Statistical products relevant to the M&E of rural development could be used for determining baselines, setting targets and reporting. Examples of these products are Census Reports, Living Condition Surveys (LCS) and General Household Surveys (GHSs).

Related to Programme Performance Information, the LPG should be prepared for audits of performance information. The OtP, Provincial Treasury and CoGTA should develop a coordinated, mutually consistent approach to supporting sector departments in Limpopo to prepare for audits of performance information

and communicate this regularly to departments and municipalities. This approach should be documented within a business process where performance information can be successfully collected, monitored, analysed and reported.

The use of GIS as a data source to add value to the M&E of rural development needs to be considered as rural development takes place in a geographic location (see *Chapter 7.3.1*). The potential to expand GIS applications to enhance the M&E of rural development can be explored. Spatial referencing of the PGDS could be improved by incorporating maps, aerial photographs and satellite images of Limpopo. The contribution of GIS to, amongst others, the early warning systems for food security and agricultural capability zoning system, must be incorporated as a data source for the proposed model.

Evaluation as data source is discussed in *Section 8.2.8*, including the recommendations as regards the institutionalisation of evaluation of rural development in the LPG.

8.2.5.2 Range of M&E data collection and analysis tools

The recommendation is made that the data collection and analysis tools that support the M&E of rural development be standardised across provincial sector departments (see *Chapter 7.3.2*). In addition, the tools should be tailored to the nature of rural development. In this regard the Provincial M&E Plan (see *Section 8.2.3*) should guide the process and clearly link data sources, level of M&E, frequency of data collection and the results chain with the data collection and analysis tools. The link with the results chain should be apparent, as the proposed model should comprise implementation-focused M&E as well as the M&E of results, implying that data could be collected from different sources.

8.2.5.3 IT as enabler in an M&E system

IT should be considered as an enabler to M&E (see *Chapter 7.3.4*). However, it is recommended that the decision on the extent of IT should be based on consideration of the three options to utilise IT as enabler in an M&E system: Manual system, Semi-Automated system and Fully-Automated system. The recommendation is made that an M&E System Readiness Self-Assessment Questionnaire should direct the choice and the following must be considered: user needs assessment, systems functionality and IT capacity to manage and support the system. The development of an information portal at the provincial level for storing of M&E data for rural development should be deliberated. The portal should be used to

store information relevant to the M&E of rural development. This could consist of information from both official sources, such as those of Stats SA, and administrative records from departments and municipalities. Furthermore, there are other M&E products produced at national level such as performance information managed by National Treasury, Public Management Watch of DPSA, PSC (see *Chapter 5.3.6.2*) and other that pertain to the province. These external products should be perused by M&E practitioners and integrated into the M&E products that are produced through the LPG M&E reporting system (see *Section 8.2.7*)

8.2.6 Recommendations: Analytical Component

The elements that form part of the Analytical Component are performance indicators, baselines and targets, level of M&E, M&E results chain and sustaining the system.

8.2.6.1 Performance indicators, baseline and targets

M&E takes place against performance indicators. The recommendation is made that a Provincial Compendium of Rural Development Performance Indicators should be developed. The source document of the compendium would be the (reviewed) PGDS (see *Section 8.2.1.1*). The LPG should also recognise the pivotal role of baseline data as it is an important aspect of M&E to have data for comparisons of the results of interventions. It is recommended that the Provincial M&E Framework should provide outlines for the improvement of baseline data for the LEGDP within sector departments and municipalities. Baseline Data Profiles for the province, such as demographics, gender and income breakdowns should be in place. The role of Stats SA (see *Chapter 7.3.1*) should be explored as data from Census 2011 can be used as baseline data for evaluating the results of specific projects, which had aimed to change living conditions of people in Limpopo. Census 2011 provides an opportunity to use existing data collected in small geographical areas as baselines, against which change can be measured. During Census 2011 data was collected at district and local municipal level in Limpopo. Variables were analysed at local and district municipal level and included the type of environment, such as urban, traditional or commercial farms and dwellings in which the people of Limpopo live. Age distribution, migration pattern, school attendance, highest level of education, labour market status and income of the paid employed were investigated. Clear differences emerged in the distribution of these variables by district and local municipalities, indicating that people in different parts of the Limpopo Province have clearly distinguishable living conditions. The recommendation is made that these data sets and types of data

analysis be used throughout the province to measure results of rural development interventions aimed at changing these life circumstances. Targets should be based on, and relate to, the performance indicators and baseline data.

8.2.6.2 Level of M&E

It is recommended that each level of M&E should be monitored and evaluated as each includes different dimensions to be measured. Dimensions start at the basic level of projects and are added cumulatively through programme, local sector and provincial level (see *Chapter 7.4.2*).

8.2.6.3 M&E results chain

The M&E results chain should form an integral part of the new model. It covers inputs, outputs, outcomes and impact and is underpinned by the theory of change. The results chain straddles different levels, such as project, programme, sector and provincial level, thus allowing for M&E at different levels.

8.2.6.4 Sustaining the M&E system

It is recommended that the enablers as indicated in research findings (*see Chapter 7.4.4*) be considered by the LPG to sustain the integrated and transversal M&E of rural development. The enablers are: demand, clear roles and responsibilities, credible data, accountability, capacity, incentives, culture, budget, uniform terminology, piloting and reviewing of the M&E system.

8.2.7 Recommendations: Reporting Component

The elements forming part of the Reporting Component comprise the reporting systems and range of M&E products.

It is recommended that an M&E reporting system should be established where the stakeholders responsible for reporting on rural development are identified. The Limpopo Province should undertake an exercise to document information flows to ensure that there is clarity on how information moves between the various stakeholders. In line with the recommendation that the responsibility for the M&E of rural development need to be placed with the OtP (see *Section 8.2.1.3*), stakeholders should submit the

reports to the M&E unit in the OtP. Quality assurance checks should be performed, as these are important to ensure that the correct reporting formats and standards have been adhered to and that reported information is in line with the set targets in the PGDS. Standard reporting formats can be developed for use by all reporting levels across the province. It is recommended that the reporting template be piloted to align it with government systems so that a provincial reporting template can be institutionalised. The M&E unit in the OtP could from time to time arrange visits to rural development projects and compile reports that would also serve as verification of the information contained in reports received from stakeholders.

The reporting system should include an early warning process to identify potential areas of under performance that may negatively impact on the successful achievement of rural development. The M&E Unit in the OtP, as well as M&E units within sector departments, have a key role in identifying early warnings of under performance. Through an analysis of the data, these M&E units could assess whether rural development interventions are achieved as per set targets and recommend improvements where the early warning systems indicate potential negative impacts on success.

M&E products are the reports that are produced through the M&E reporting system and should contain findings which are relevant and can be used for decision-making. It is recommended that the M&E products be tailored to the diverse needs of the different key stakeholders in the M&E process (see *Chapter 7.3.3*). M&E products should address information needs in relation to:

- Issues of political accountability, decision-making and policy development and strategic thinking;
- Programme and project implementation; and
- Beneficiaries, customer satisfaction and social participation.

The recommendation is made that, amongst others, the following M&E products should be produced through the reporting system: (a) Rural Development Annual Progress Report, (b) Rural Development Provincial Quarterly Monitoring Report, and (c) formative, mid-term and summative evaluations. The conduct of formative, mid-term and summative evaluations must be guided by the Provincial Evaluation Plan (see *Section 8.2.8*).

The Rural Development Provincial Quarterly Monitoring Report should contain a synthesis of the quarterly progress made against indicators as contained in the Provincial Compendium of Rural Development Indicators (see *Section 8.2.7*). Additionally, this report should contain a more in-depth analysis of a specific programme and thematic or crosscutting issue.

The aim of the Rural Development Annual Progress Report (see *Section 8.2.8*) should be to inform the different stakeholders on the annual progress of rural development interventions. The Report should describe what has been achieved in terms of results, the main obstacles facing rural development and corrective measures that have been introduced; highlight main achievers, programmes and departments, as well as underachievers with the poorest performance in terms of implementation. The mapping of the current rural development dimension of the Limpopo Province should form part of the report, as well as the plan for the following year in terms of achieving the different objectives.

The timeous submission of M&E products is central to the integrated and transversal M&E of rural development, and, as such, submission could be aligned to the planning cycle of the LPG. It is recommended that an M&E Cycle facilitate the timeous and aligned submission of M&E products. The M& reporting system should link to the Cluster System, as a feedback mechanism (see *Section 8.2.2.3*) and Provincial M&E Communication Strategy (see *Section 8.2.2.4*) developed to support the dissemination of M&E products.

8.2.8 Recommendations: Evaluation Component

The evaluation function should be accorded due recognition by the LPG. There should be a constant effort by the LPG to focus on achieving a positive impact of development interventions and to sustain changes over a period of time. The Provincial M&E Policy Framework (see *Section 8.2.3*) should provide guidance on how evaluations are to be conducted in the province against the PGDS, including the conduct of both formative and summative evaluations. To be able to contribute to organisational learning (see *Section 8.2.4.2*), an audit of evaluation in LPG should be carried out. The Framework should include the institutionalisation of impact evaluation within the context of a rural development M&E system, in order to determine what has changed in the lives of the citizens of Limpopo.

It is recommended that the Policy Framework should be clear on evaluation quality, which refers to all features and characteristics of an evaluation process and its products. Key quality features for evaluations

include relevance, timing and credibility of the evaluation as well as the acceptance and follow-up to evaluation lessons and recommendations by intended users. Evaluations should be timely, as late and lengthy reports tend to lose interested readers. Liaisons with stakeholders should take place regarding which questions need to be answered by an evaluation. Evaluation quality is determined by a number of interrelated quality determinants, such as the independence of evaluation, quality assurance mechanisms in place, the performance of the consultants and the level of ownership of evaluation findings, lessons and recommendations by evaluation users. Common practice dictates that individuals external to the development intervention with specialist skills perform the evaluation to ensure objectivity in the evaluation process and are not subject to any pressures to alter findings. Best practices indicate a more participatory approach involving beneficiaries of the intervention. However, as evaluations tend to be contracted out, this may result in limited organisational learning. To combat this, the matter of skills transfer to M&E practitioners should be provided for in a MoU with the evaluator. In addition, the universities and ATCs in Limpopo (see *Chapter 7.2.5*) should be included to assist in building an evaluation base in the LPG.

The recommendation is made that the feedback mechanism linking M&E to the planning, budget and decision-making process (see *Section 8.2.2.3*) be utilised to channel evaluation recommendations into management functions. Provincial sector departments are encouraged to report on evaluation recommendation follow-ups to their Executive Authorities and supervisory bodies at least every three years. Evaluation is a vital source of evidence for performance, accountability and for building knowledge and organisational learning. As such, it is recommended that evaluations be used as a form of learning in the organisational learning process (see *Section 8.2.4.2*).

The Provincial M&E Policy Framework (see *Section 8.2.3*) should be extended to outline the role of the OtP in coordinating evaluation activities across provincial sector departments and clusters. A specific recommendation in this regard is that the OtP need to conduct an audit of evaluations completed in Limpopo. In addition, the OtP should offer a central point where information on evaluations undertaken is shared. This needs to include information on evaluations conducted both internally, by provincial sector departments themselves and those outsourced. Credible evaluation findings and recommendations from the audit should be available to provincial government departments and municipalities.

The final recommendation on the role of evaluation is the development of a Provincial Evaluation Plan to support the Provincial M&E Policy Framework at the operational level.

8.2.9 Recommendations: Intervention Component

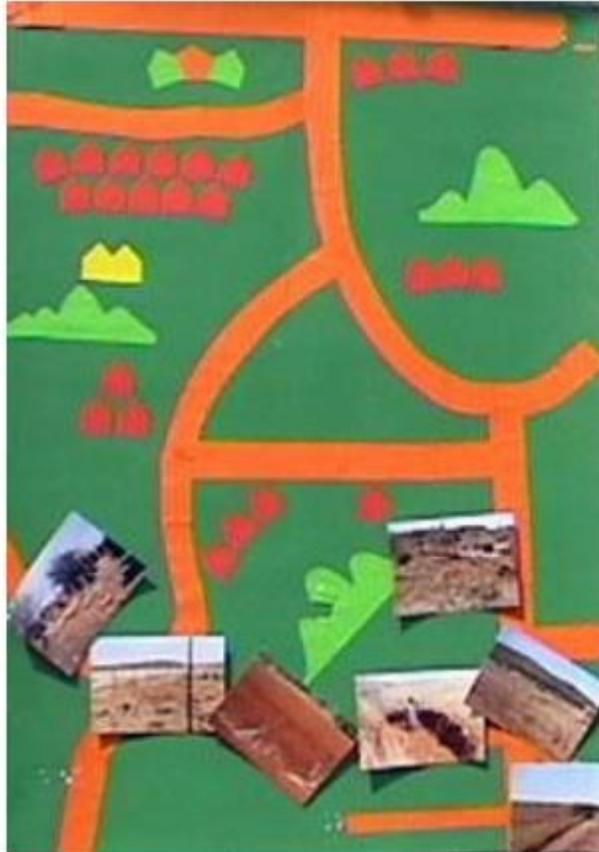
The recommendation is made that the Provincial M&E Forum should be used as platform to review progress made with rural development in the LPG. Forum members should advise on interventions to improve the implementation of government policies, projects and programmes relating to rural development. Data collected through M&E should inform interventions through the planning process (see *Section 8.2.3*). Interventions should be focused on the achievements of the strategic goals and objectives of the PGDS. The OtP should monitor and report to the Premier on a regular basis whether the proposed interventions have in actual fact been implemented.

8.3 DEVELOPMENT OF THE MODEL FOR THE INTEGRATED AND TRANSVERSAL M&E OF RURAL DEVELOPMENT

Consequently the LPG should develop a Results-based M&E model for the integrated and transversal M&E of multisectoral rural development programmes implemented. Through this model rural development interventions (being projects and programmes), should be monitored and evaluated throughout the results chain (see *Chapter 7.4.3 and Section 8.2.6.3*). Specific emphases should be placed on outcomes and impacts, as results become discernible at outcomes and impact level. The recommendation is made that the scope and application of the model are the multisectoral rural development programmes implemented by the LPG. The model should consist of interrelated components, populated with elements identified to be critical for an integrated and transversal approach to the M&E of rural development. The model should create an enabling environment where impacts can be articulated into specific outcomes. Appropriate indicators measure evidence of outcomes and impacts. Rural development interventions are proposed which are purported to be the means of achieving the outcomes and impacts. Thus the results-based M&E model provides the evidence of performance (via indicators) that interventions (programmes/projects) are achieving their outcomes (or not), and, over time, make an impact.

To assist in the implementation of the model, supporting tools were developed as well as an IT enabler to add depth to the application of the model (see *Chapter 2.3.6*).

8.3 Results-based Model for the Integrated and Transversal Monitoring and Evaluation of Multisectoral Rural Development Programmes implemented by the Limpopo Provincial Government in South Africa



Click triangle to enter model ▲

How to navigate in model ▲

Using a DoView webpage model

Using a DoView model

The screenshot shows a web browser window displaying a DoView model. The main area contains a colorful map with orange paths, green areas, and small icons. A 'Contents' pane is on the left, and a 'Page List' table is on the right. A 'Details-table' is visible at the bottom. Annotations with arrows point to various elements: 'Small triangles (page-jumps) click on them to move through the model' points to a triangle on the map; 'Show Page List click to hide' points to a button in the top right; 'Green Arrows for navigating through the model' points to green arrows on the map; 'Page Names click to view a page' points to a page name in the table; and 'Details-table information associated with objects on a page' points to the bottom section.

Small triangles (page-jumps) click on them to move through the model

Show Page List click to hide

Green Arrows for navigating through the model

Page Names click to view a page

Details-table information associated with objects on a page

Page List	
1	Page 1
2	Page 2
3	Page 3
4	Page 4
5	Page 5
6	Page 6
7	Page 7
8	Page 8
9	Page 9
10	Page 10
11	Page 11
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A. Introduction to the Model

This is the Results-based Monitoring and Evaluation (M&E) model for the integrated and transversal M&E of multisectoral rural development programmes implemented by the Limpopo Provincial Government (LPG) in South Africa. Through the model rural development interventions, being programmes and projects, are M&E throughout the results chain. Specific emphasis is placed on results being outcome and impact orientated, as results becomes evident at outcome and impact level.

The scope and application of the model are the multisectoral rural development programmes implemented by the LPG.

The model consists of components, which are interrelated. The components are populated with elements identified to be critical for an integrated and transversal approach to the M&E of rural development at provincial level.

Tools have been developed in support of the model. The tools are outputs of the research and are a combination of lessons learned from the study, customised to the context of the LPG.

* This Results-based M&E model was developed in DoView Outcomes Software (doview.com) (Version 2.0).

- For ease of reference between components, **cross-referencing** is used.

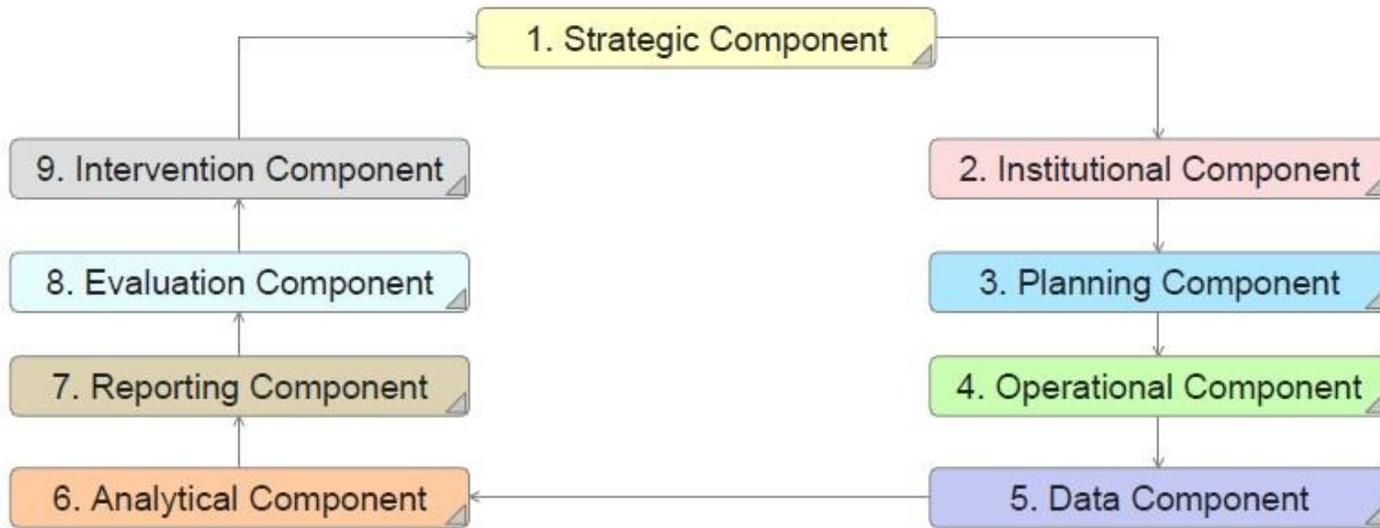
B. Application of the Results-based M&E Model in DoView

The model was developed through using specifically designed software programme. The software is DoView, which was developed by Dr Paul Duignan to build M&E models by using a visual approach. Through DoView web page models can be created for loading on, for example, departmental Intranet or the Internet.

DoView allows the creation of an interactive web page version of the model, which is potentially more visual, transparent and accessible than text-based models. These web page models include all the pages from the model from which they were created, their clickable page-jumps, and list of pages for navigation, identified as the contents list in the web page model. Once the model is loaded on the Intranet or the Internet, it can be viewed in any internet browser. The web page model output includes a full menu structure that emulates the appearance and functionality of DoView and can include a downloadable DoView or PDF file. The ability to download the DoView file, which created the web page version, means that the M&E model can be shared.

Through sharing, models can be adapted and amended based on circumstances. DoView encompasses multiple stakeholders and multisectoral programmes and contributes to knowledge management.

C. Overview of the Components of the Model



D. Overview of the Components and Elements of the Model



1. Strategic Component

1.1 Provincial Growth and Development Strategy



1.2 Context of M&E of Rural Development

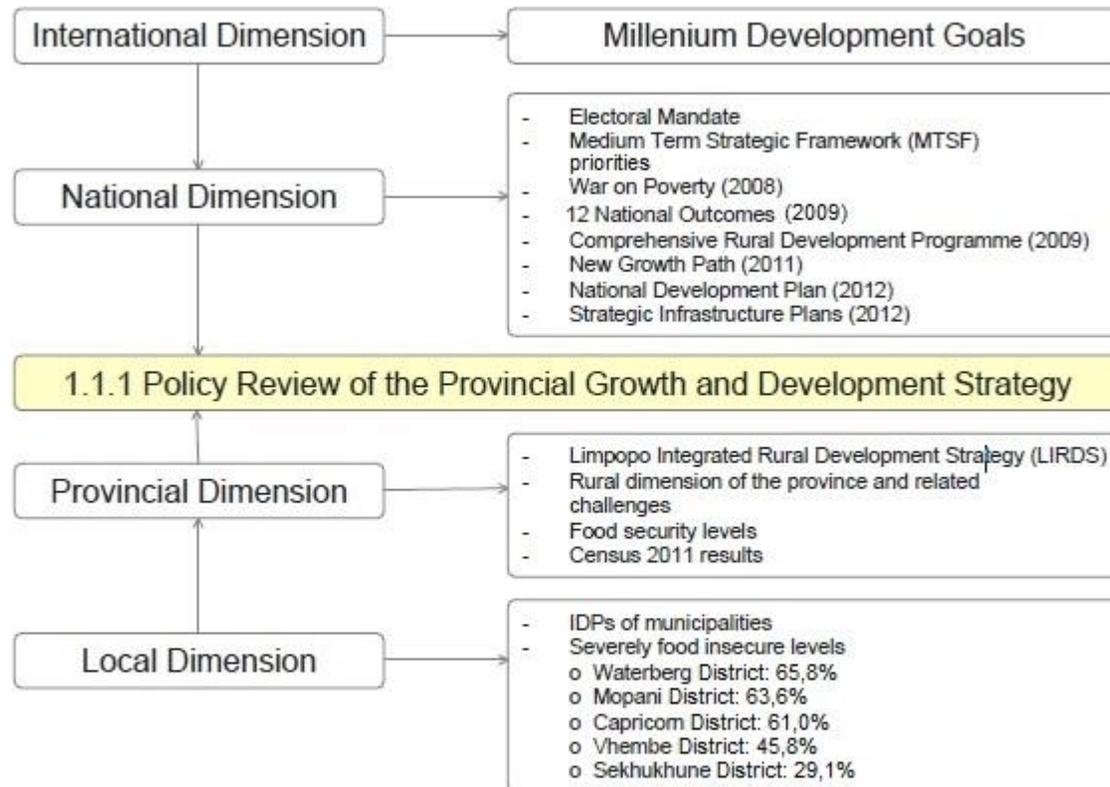


1.3 Coordination of M&E of Rural Development



1.1 Provincial Growth and Development Strategy

- Provincial Growth and Development Strategy (PGDS) is the overall strategic development framework for the Limpopo Province as a whole, based on a five year time horizon (most recent: PGDS 2009-2014)
 - PGDS is a province-wide instrument to align and coordinate the development interventions of the three spheres of government within the province
 - Rural development interventions need to be prominent within the PGDS
 - As blueprint for rural development in the LPG, the PGDS should provide guidance for, and coordinate multisectoral rural development interventions
 - The goals and strategic objectives of the PGDS should guide the performance indicators and targets for rural development
 - PGDS should provide parameters for the formulation of Strategic Plans, Annual Performance Plans and Operational Plans of sector departments, as well as the Integrated Development Plans (IDPs) of municipalities
 - PGDS plays a pivotal role in guiding intergovernmental engagements as prescribed by the Intergovernmental Relations Framework Act 13 of 2005
- > As the development context of the Limpopo Province shapes the PGDS, a policy review of the strategy needs to be conducted to reflect the rural dimensions of the Province, seen against the international, national, provincial and local dimensions (1.1.1).



1.2 Context of M&E of Rural Development

1.2.1 Political Context

- Political champion critical to the successful institutionalisation of M&E
- Political will required to act on early warnings of challenges in implementing rural development
- Political champion to be supported by the Executive Council and Provincial Legislature

1.2.2 Legislative Context

- Provincial Legislature to play a more prominent role in the M&E of rural development
- Progress made with rural development should be a standing item on the agenda of one of the Portfolio Committees
- Members of the Portfolio Committee to conduct oversight visits to rural development projects
- M&E require a legal mandate and a clear policy role
- Provincial M&E Policy Framework to provide the framework to institutionalise M&E in LPG

1.2.3 Governance Context

- Enforcement of accountability mechanisms to ensure accountability at political, administrative and individual level towards the achievement of the goals and strategic objectives of the PGDS

- Institutionalisation of a Performance-based Budget Release System

1.2.3.1 Readiness Assessment

1.2.3.1 Readiness Assessment for the institutionalisation of M&E in the LPG

Readiness Assessment to determine readiness and capacity of the LPG for the institutionalisation of integrated and transversal M&E of rural development

Enabling Environment

- Champions for building, using and sustaining an M&E system
- Motivating factors of champion/s
- Beneficiaries of the M&E system
- Non-beneficiaries of the M&E system
- Demand for the M&E system
- Incentives for the use of the information
- Expectations from an M&E system
- Reporting needs
- Information needs
- Existence of a performance culture

M&E Capacity

- Current level of M&E capacity
- Capacity required for the institutionalisation of M&E
- Training needs with regards to M&E
- Level of training needs
- Communication of M&E products
- Use of M&E information
- Existence of Evaluation and Impact Evaluation Studies
- Identification of existing M&E best practices
- Budgeting for M&E system
- Status quo on organisational learning

Architecture of M&E

- Existing Management Information Systems (MIS)
- Existing data sets
- Quality and credibility of data sets
- Existing M&E data collection tools
- M&E products to be produced
- Business requirements for M&E system
- Existing/planned M&E systems
- User requirements for M&E system
- Technology capacity and skills to support M&E system
- Outline M&E business processes
- Mapping of M&E business processes

1.3 Coordination of M&E of Rural Development

1.3.1 Coordination of Rural Development



1.3.2 Coordination of M&E of Rural Development



1.3.3 Integration of M&E into Management Functions



1.3.1 Coordination of Rural Development and 1.3.2 Coordination of M&E of Rural Development

Rural Development Coordination Unit located in the Office of the Premier

Functions of Coordination Unit

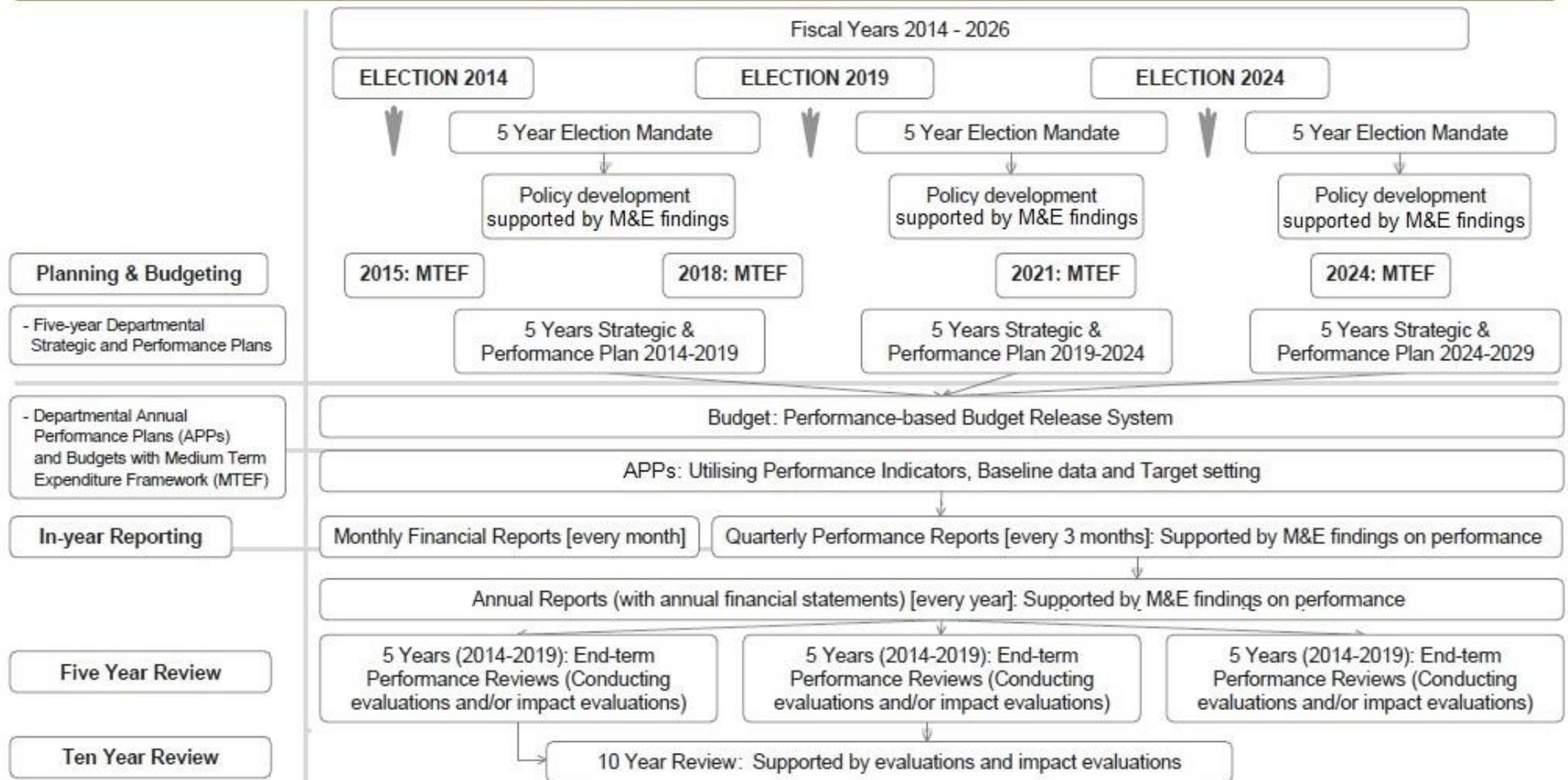
- Provide strategic direction to the province on issues pertaining to rural development and transformation of the rural areas
- Facilitate and coordinate the implementation of rural development interventions as guided by PGDS
- Build, strengthen and coordinate strategic partnerships with national, provincial and local government departments, state-owned enterprises, private sector organisations, tertiary institutions, civil society organisations and local rural communities
- Develop effective and efficient strategic and operational systems and ensure compliance with provincial, national, and international policy and regulatory frameworks
- Put in place a communication strategy that enables buy-in and active participation of all relevant sector departments and rural communities
- Design and implement a people development strategy that will ensure retention of competent talent pipeline

- Creation of an enabling environment that integrates rural development strategic plans with local, provincial, national and regional economic and social development plans
- Effective governance and alignment of all multisectoral rural development interventions
- Improved inter-sectoral planning, coordination and M&E of rural development
- Effective and efficient use of financial and human resources as well as reducing and eliminating duplication and fragmentation of programmes

Supported by the transversal M&E Unit in the Office of the Premier tasked with the coordination of M&E of rural development

Linking with the Limpopo Provincial Cabinet Cluster System as feedback mechanism (2.3.2)

1.3.3 Integration of M&E into Management Functions of Policy Development, Strategic and Operational Planning, Budgeting and Reporting



2. Institutional Component

2.1 Objectives and Principles of M&E

- Objectives of M&E of rural development should evolve towards contributing to evidence based:
 - o Policy development
 - o Decision-making
 - o Budgeting
- Develop Code of Conduct for M&E Practitioners containing principles guiding practice of M&E

2.2 Roles and Responsibilities of Key Stakeholders in the M&E Process

- Stakeholder role and responsibility matrix:
 - o Identification of stakeholders involved in rural development
 - o Map out the roles and responsibilities
- Define roles and responsibilities in respect of:
 - o Functions that must be fulfilled
 - o Who is assigned the responsibility as the driver of the defined function?
 - o Who provides additional support in respect of the function?
 - o Who are the users of M&E information?

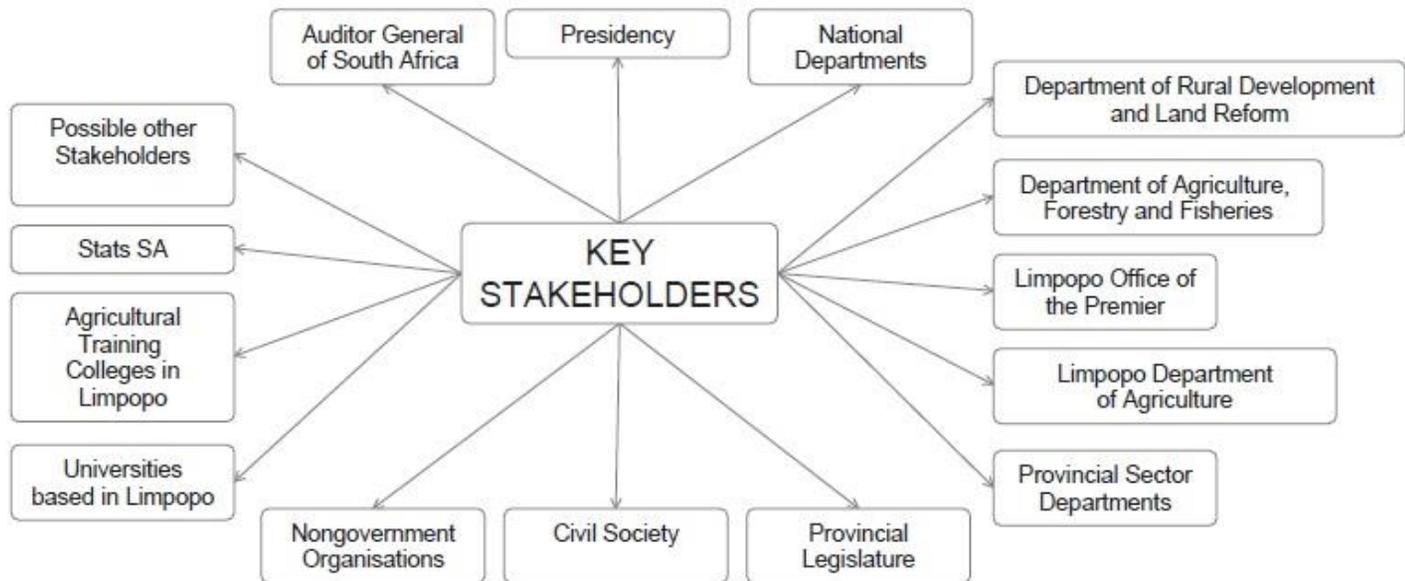
2.3 Feedback Mechanism

- Link M&E to planning and decision-making through the Provincial Cabinet Cluster System as feedback mechanism
- Attach an M&E practitioner to coordinate reporting to the Cluster Premier and Executive Council able to take EXCO decisions concerning progress made with rural development
- Progress made with rural development should be a standing item on the agenda of one of the Cluster Committees (possibly the Economic Cluster)
- Department of Rural Development and Land reform should attend the (Economic) Cluster Committee as full member and not on an ad hoc basis

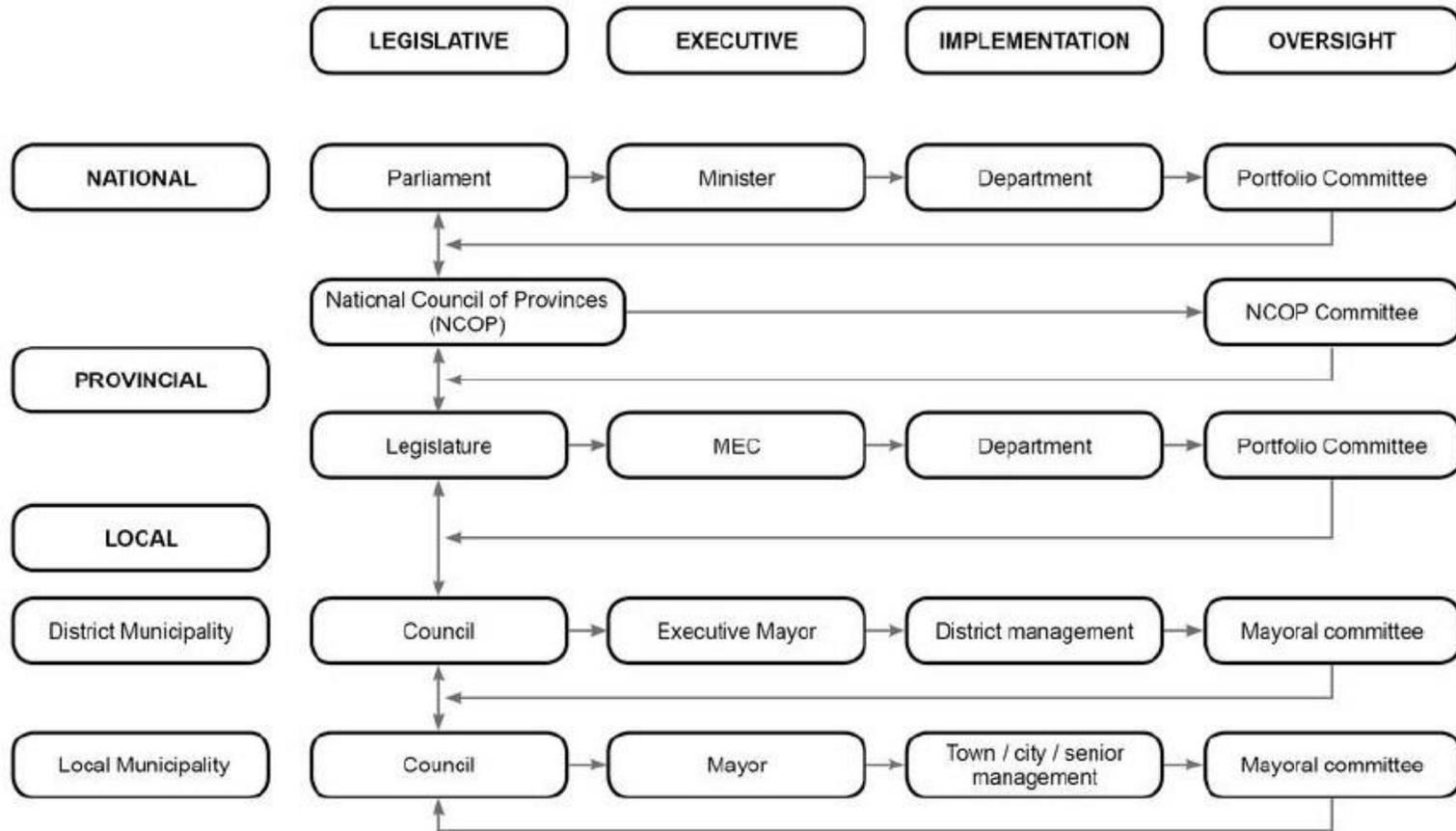
2.4 Communication and Dissemination of M&E Products

- Provincial M&E Communication Strategy to support the dissemination of M&E products (7.2) to internal and external stakeholders
- Strategy should accommodate the diverse information needs of different groups
- Strategy should be informed by the reporting system and in collaboration with the Provincial Cabinet Cluster System as feedback mechanism (2.3.2)
- Matters such as the literacy level of the rural population to be considered
- Dissemination through media, websites and EXCO Outreach Imbizos
- Consideration of promoting access to information legislation

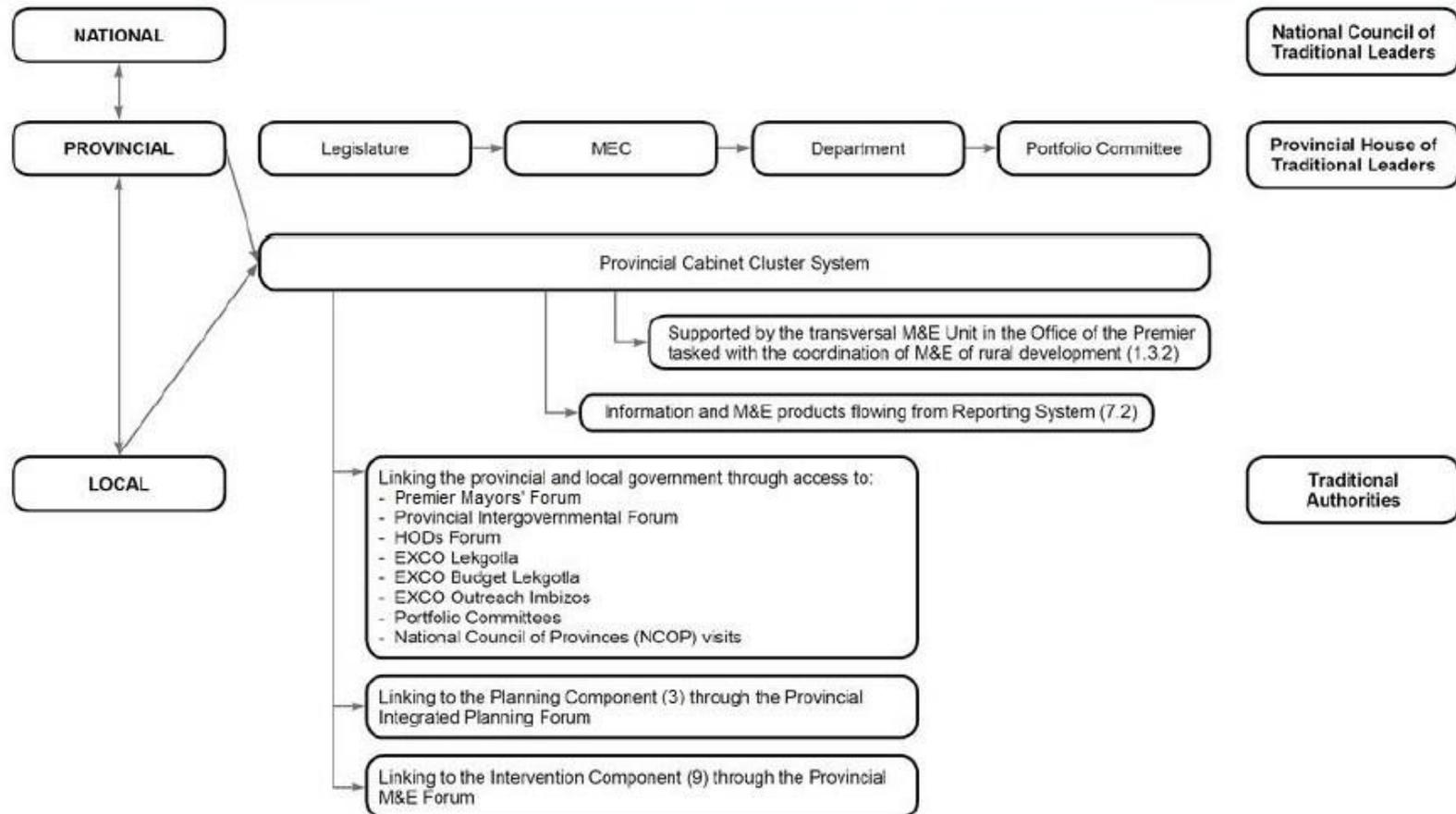
2.2 Key Stakeholders in Rural Development



2.3.1 Existing feedback mechanisms at the National, Provincial and Local Sphere of Government



2.3.2 Proposed addition at Provincial level: Provincial Cabinet Cluster System to function as feedback mechanism on progress made with rural development interventions



3. Planning Component

3.1 Strategic Perspective

- M&E to be linked to a provincial growth and development strategy
- Focus of M&E is (reviewed) PGDS
- Golden Thread*
- Alignment between PGDS and sector plans

* Golden Thread is the alignment of planning towards achieving the goals, objectives, strategies, programmes, projects, indicators and targets of the PGDS, which reflects the blueprint for rural development in the LPG

3.2 Policy Perspective

3.2.1 Provincial M&E Policy Framework

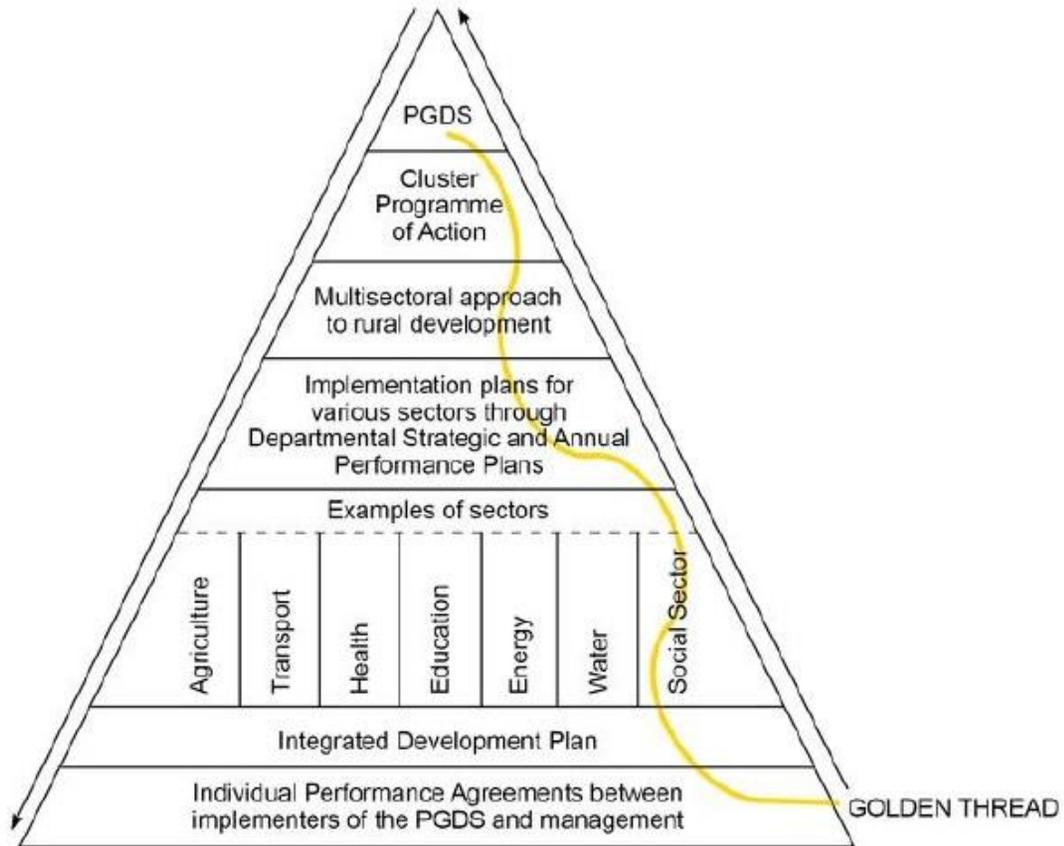


3.3 Operational Perspective

3.3.1 Provincial M&E Plan



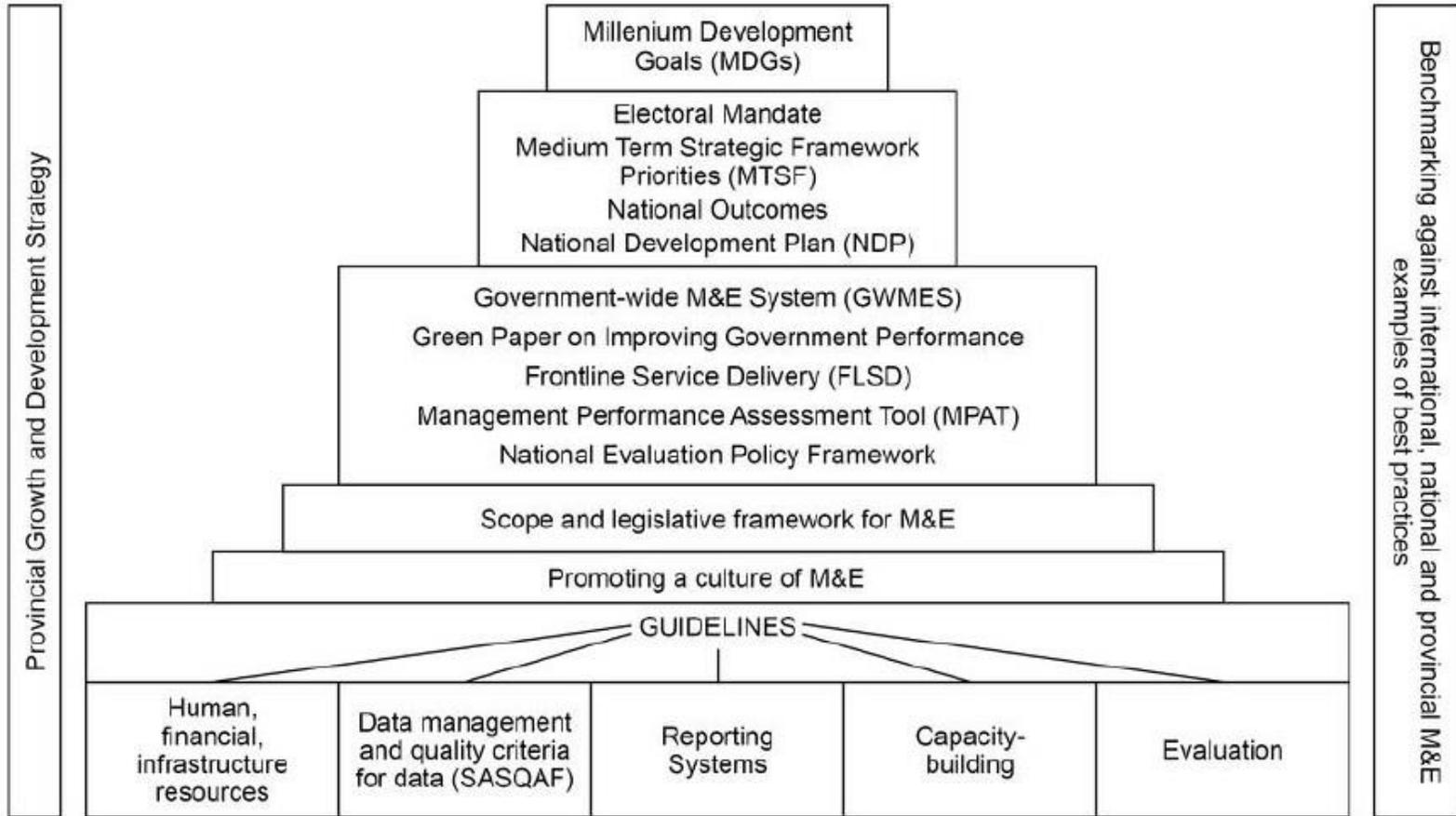
3.1.1 Strategic Perspective: Golden Thread



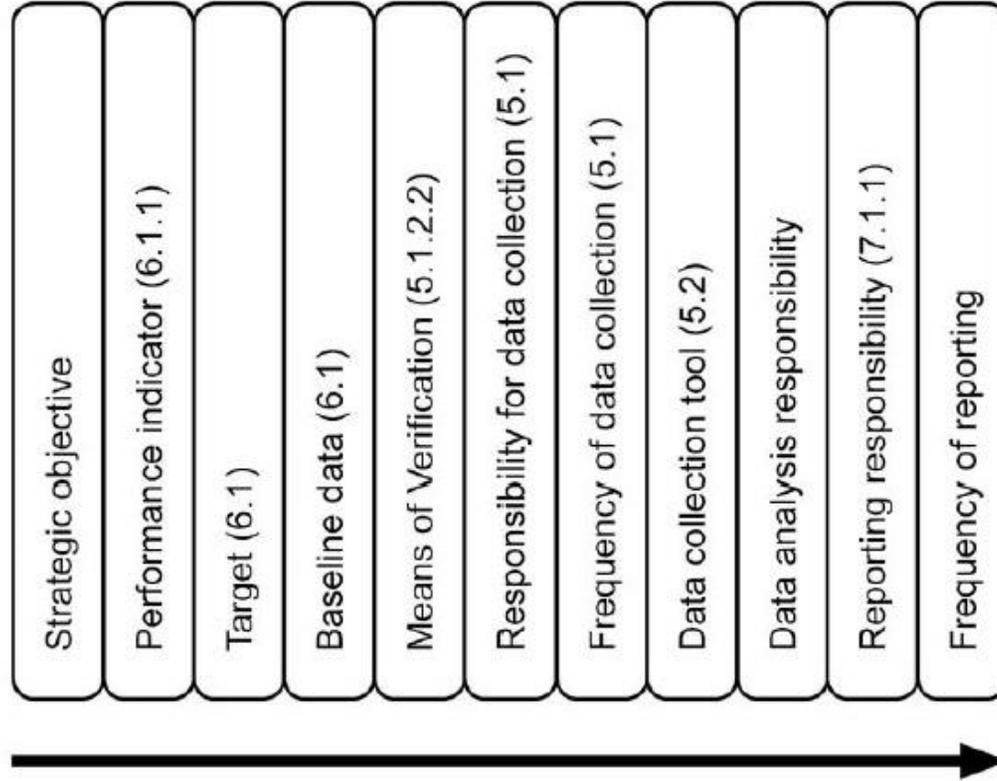
3.1.2 Strategic Perspective: Alignment between PGDS and Sector Plans



3.2.1 Provincial M&E Policy Framework



3.3.1.1 Template: Provincial M&E Plan



4. Operational Component

4.1 Organisational Structure

- Adhere to Limpopo EXCO Decision 139/2006 with regard to M&E capacity in departments
- Organisational structure to adequately support Provincial M&E Policy Framework
- M&E function strategically placed near centre of decision-making
- Provision of capacity to extend M&E to local level

4.2 Organisational Learning

- Provincial M&E Forum
- Limpopo SAMEA Chapter
- Learning Network: M&E of Rural Development
- Knowledge Management

4.3 Capacity-Building

- Conduct audit of training needs
- Develop Provincial Capacity-building Strategy
- Capacity-building to be customised for:
 - o Members of the Executive Council
 - o Accounting Officers
 - o Senior Management
 - o M&E practitioners
 - o Line managers with M&E responsibility

4.2.1 Terms of Reference: Learning Network for M&E of Rural Development

Purpose and objectives of the Learning Network			
<ul style="list-style-type: none"> Information around M&E of rural development in a SA context made accessible Learning and reflective processes to improve performance being used Learning by doing institutionalised 		<ul style="list-style-type: none"> Continuous improvement culture and cycle applied Culture that encourages taking risks and making mistakes entrenched System that supports horizontal learning and peer reviewing institutionalised 	
Outputs of the Learning Network <ul style="list-style-type: none"> Participatory, vertical learning and peer review processes in the M&E field Management processes and guidelines which incorporate reflective processes and lessons learned in programmes Models and best practices on continuous improvement Action-learning and organisational capacity-building 360 degree feedback systems 	Activities <ul style="list-style-type: none"> Gathering, packaging and dissemination of information on-line to M&E practitioners Documentation of research and case studies and regular publication Quarterly M&E seminars on selected topics and themes Production and dissemination of monthly M&E updates through an electronic newsletter Production of guidelines and support on horizontal learning and sharing Peer review of M&E proposals and any related work Develop peer review models and incorporate Provide opportunities for exposure through study tours and exchange programmes Sharing of expertise (for example through secondments and learning excursions) 	Content and learning areas <ul style="list-style-type: none"> Implementation of results-based management New trends in evaluations How to develop indicators for reporting purposes How to do sampling when conducting evaluations and reviews Reporting systems and data architectures Coordination and mainstreaming of results-based M&E Policy making, planning, programme interface Benchmarking in conducting evaluations 	Target audience: Contributors and consumers <ul style="list-style-type: none"> M&E practitioners in government, universities, NGOs Researchers Policy and planning officials Oversight institutions for example Provincial Portfolio Committees Community interest / lobby groups, especially in key rural development service delivery sectors

5. Data Component

5.1 M&E Data



5.2 Range of M&E Data Collection and Analysis Tools



5.3 Information Technology as Enabler in an M&E System



5.1 M&E Data

- Planning Component (3) should be linked with M&E data.
- Provincial M&E Policy Framework (3.2.1) should guide on data management and data quality
- Provincial M&E Plan (3.3.1) should document data management process
- Develop central database at provincial level for storing of M&E data for rural development (5.3.1)
- Data sources:
 - o Census and Survey Information, Registers and Administrative Data
 - o Programme Performance Information
 - o Geographic Information System Data
 - o Evaluations

5.1.1 Data Sources

Census and Survey Information, Registers and Administrative Data

- Role of Statistics SA (Stats SA) is critical
- Memorandum of Understanding (MoU) to be signed between Stats SA and LPG
- Statistical products relevant to the M&E of rural development should be used in the process of determining baselines, setting targets and reporting

Programme Performance Information

- The Office of the Premier, Provincial Treasury and provincial Department of Cooperative Governance and Traditional Affairs should develop an approach to support sector departments to prepare for audits of performance information
- Approach should be documented within a business process

Geographic Information System Data

- Spatial referencing of the PGDS should be improved by incorporating maps, aerial photographs and satellite images of Limpopo
- Data from GIS to be used as early warning systems, for example food security

Evaluations

5.1.1 Data Sources

5.1.1.1. Census
and Survey
Information,
Registers and
Administrative
Data

5.1.1.2
Programme
Performance
Information

5.1.1.3
Geographic
Information
System (GIS)
Data

8. Evaluations

5.1.1.1 Census and Survey Information, Registers and Administrative Data

Outline: Memorandum of Understanding (MoU) between Stats SA and LPG

Parties:

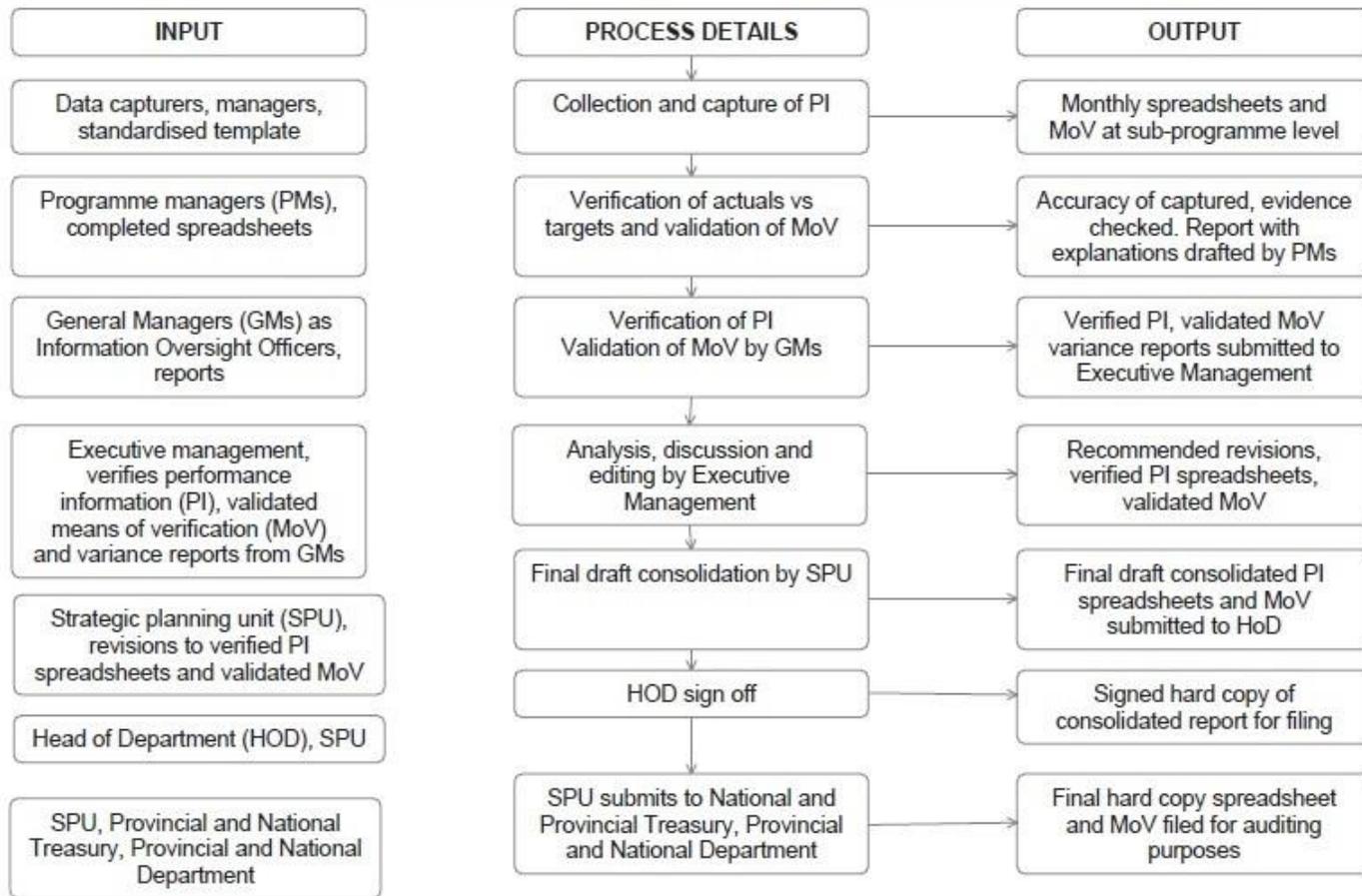
- Statistics South Africa, represented by the Statistician-General
- Limpopo Provincial Government, represented by the Director General, Office of the Premier

1. Commencement and duration
2. Proposed duties of parties
 - 2.1. Stats SA :
 - 2.1.1. Identifying a minimum set of core data for rural development
 - 2.1.2. Integrating rural development into the National Statistical System
 - 2.1.3. Contributing to the sustainability of rural development statistics through statistical capacity building
 - 2.1.4. Official statistics vs. National Statistics: Departmental data to be accredited as official statistics
 - 2.1.5. Matching demand for statistics directly with production
 - 2.2. LPG:
 - 2.2.1. Provide the necessary support for the execution of the MoU
3. Agency and Partnership
4. Financial Agreements
5. Dispute Resolution between Parties

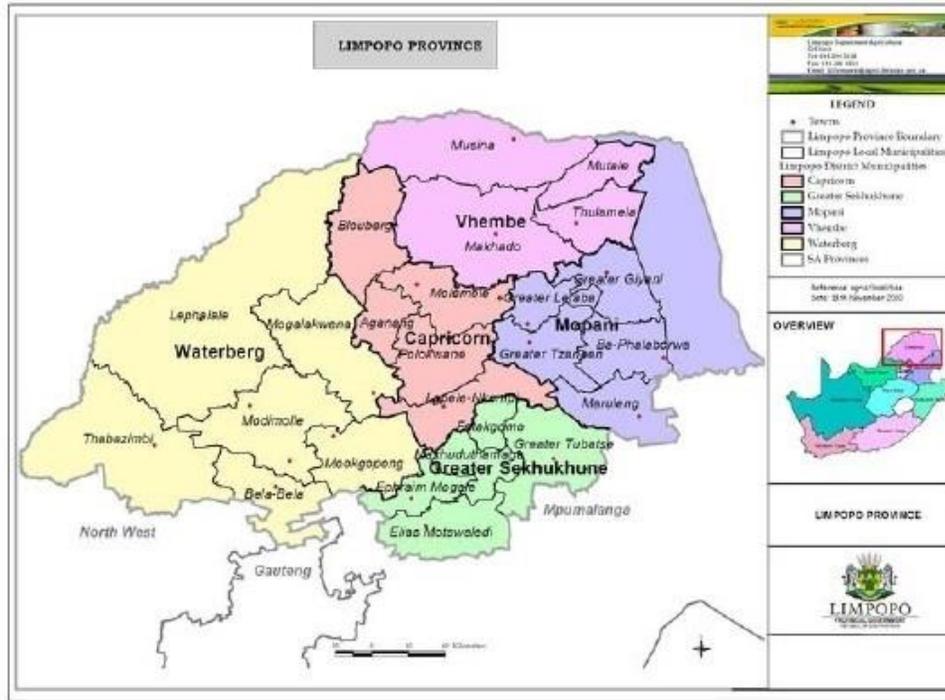
Statistical Products relevant to the M&E of rural development:

- Consumer Price Index: Rural areas and total country (conducted monthly)
- Bulletin of Statistics (published quarterly)
- General Household Survey (conducted annually)
- Large Sample Survey of Agriculture (conducted every 2-3 years)
- Living Conditions Survey (conducted 5-10 yearly)
- Population Census (conducted 5-10 yearly)
- Community Survey (conducted 5-10 yearly)

5.1.1.2 Business Process for Management of Performance Information



5.1.1.3 Geographic Information Systems Data

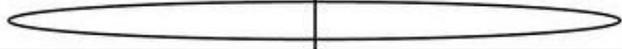
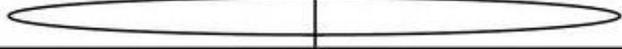
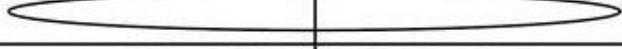
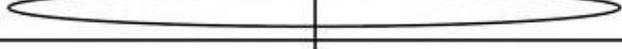
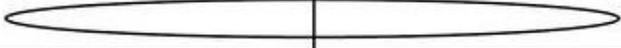
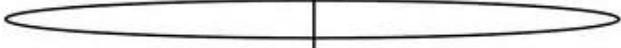
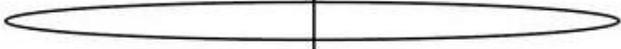


- Rural development takes place in a geographic location
- Potential to expand GIS applications to enhance M&E of rural development
- Incorporate maps, aerial photographs and satellite images of Limpopo to improve spatial referencing of the PGDS

GIS can contribute to the following aspects in relation to rural development:

1. Agricultural capability zoning system:
 - Grazing capacity
 - Crop suitability per land types
 - Soil condition mapping/assessment
2. Early warning systems for food security:
 - Drought and floods
 - Pests outbreak
3. Agricultural infrastructure inventory:
 - Irrigation schemes and infrastructure
 - Smallholder farmers' database
 - Yield estimates for smallholder farmers
4. Sustainable Natural Resource Management:
 - 4.1. Earth Observation /GIS applications for natural resources monitoring
 - Development of flood lines and vulnerability
 - Impact of veld fires on the environment
 - Grazing condition and capacity assessments mapping
 - Land cover mapping (e.g. deforestation, urbanisation, etc.) and impact on rural communities
 - 4.2. Land degradation
 - Soil erosion

5.2 Range of M&E Data Collection and Analysis Tools

Range of M&E data collection and analysis tools	Inputs (1)	Outputs (2)	Outcomes (3)	Impacts (4)
Administrative data				
Key informant interviews				
Direct observation				
Focus group discussion				
Rapid Rural Appraisal				
Living Standard Measurement Study (LSMS)				
Agricultural Survey				
Household Survey				

1. Frequency: Short term (Monthly / Quarterly / Annually)
2. Frequency: Short to medium term (Six months / Annually)

3. Frequency: Medium term (Annually / Every 2 years)
4. Frequency: Medium to long term (3 to 5 years)

5.3 Information Technology as Enabler in an M&E System

- Decision on the extent of Information Technology (IT) should be based on consideration of three options to utilise IT as an enabler in an M&E system:
- Three options:
 - o Manual System
 - o Semi-automated system
 - o Fully-automated system
- An Electronic M&E System Readiness Self-Assessment Questionnaire should guide the decision where matters such as user needs assessment, system functionality and IT capacity to manage and support the system, are considered
- The development of an information portal at the provincial level for storing of M&E data for rural development should be contemplated
- Portal should store information, from both sector departments and municipalities relevant to the M&E of rural development
- Other M&E products produced at national level such as performance information managed by National Treasury, Public Management Watch of DPSA, Public Service Commission and others that pertain to the Limpopo Province, should be stored in the portal

5.3.1 Options to utilise Information Technology as enabler in an M&E System

5.3.2 Electronic M&E System Readiness Self-Assessment Questionnaire



5.3.1 Options to utilise Information Technology as Enabler in an M&E System

Options		Conceptual Requisites	Capital Requisites
Option 1	Manual System	Common to all options : - A clear concept - Objectives in line with organisation's goals - Personnel with defined roles and responsibilities - A set of procedures - M&E tools appropriate for the system - Information management and communication mechanism - A value system that encourages participation at all levels amongs stakeholders	<ul style="list-style-type: none"> - Substantial human resources - Larger amounts of space and time - Greater need for mobility and means of transportation - Means of conventioanl communication - Writing material and stationery - Appropriate filing and referral system
Option 2	Semi-Automated System		<ul style="list-style-type: none"> - Substantial human resources - Moderate amounts of space and time - Moderate need for travel - Means of conventional as well as electronic communication - Centralised computer system or personal computers (PCs) with necessary aids - Material and stationery for writing both by hand and machines (a computer / tablet) - Moderate need for maintenance and security of both hardware and software - Greater need for power consumption
Option 3	Fully-Automated System (also referred to as a paperless system)		<ul style="list-style-type: none"> - Moderate human resources with specialisation in information technology - Moderate amounts of space and time - Moderate need for travel - Modern, fast and sophisticated means of communication such as through satellite - Computer equipment and network with facility for electronic data base or MIS - Material, stationery and computer aids and consumables - Greater need for equipment maintenance and security - Greater need for information security and protection against misuse - Greater need for uninterrupted power supply and consumption

5.3.2 Electronic M&E System Readiness Self-Assessment Questionnaire

Questionnaire to be applied and analysed in conjunction with Readiness Assessment: Architecture of M&E (1.2.3.1)

1. User needs assessment	Is GIS-linked spatially referenced M&E analysis required? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	6. Budgeting for an M&E system	The M&E system is/will be linked to the institution's IT systems master plan <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN
Can you specify the type of M&E reports which the system would need to generate, and how often the would need to be generated? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	3. Electronic Interfaces with other IT systems	Has sufficient budget been allocated to the acquisition of the system (i.e. internal development, outsourced external development, or implementation, customisation costs for a ready made system)? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	8. Human resource capacity
Are some of the reports in a format prescribed externally (e.g. National Treasury)? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Can you please list the other management and IT electronic interfaces? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Is it likely that sufficient budget will be allocated to ongoing maintenance, user support and new user training over the MTEF period and beyond? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Given high rates of personnel turnover, will regular training and capacity be institutionalised not only on how to use the IT system, but in terms of how to interpret and act upon reports? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN
If there is external reporting, are the formats for reporting likely to change in future? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Can the M&E system be a stand-alone system, or should it link with other management information systems? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	If changes are made to the system, are arrangements in place to keep user manuals and system information up to date? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	If maintenance of the system is in-house, can the institution ensure that the necessary IT skills are attracted and retained? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN
Can you estimate how many users there will be on the system in total? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	4. Acquisition modality (develop or buy)	7. IT infrastructure	9. Organisational culture and M&E information usage
Does the institution already have a manual or spreadsheet based M&E system? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	In terms of lead time, budget, conformance to user specification and potential risk, does the institution prefer to develop a system from scratch in house or acquire a ready-made system? <input type="checkbox"/> Develop <input type="checkbox"/> Buy <input type="checkbox"/> Uncertain	In order to implement the M&E system will additional software or hardware have to be acquired? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Assuming that the M&E system is in place, will measures be put in place to increase the demand for M&E information so that these insights are actually used and acted upon, rather than merely for compliance purposes? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN
Does the institution already have a Framework for performance M&E system? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	5. Maintenance and upgrade of system	If so, are these planned and budgeted for? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	
2. System functionality	Should compliance requirements change or internally-driven changes be required, are arrangements in place to do so? Either by dedicated internal IT staff or through a service-level agreement with an external service provider <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Will the access of users be acceptable in terms of availability, speed and continuity given the number and location of users with the existing IT Infrastructure configuration? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	
Does the proposed IT system comply with South African legislative requirements and sector M&E standards? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN	Are clear arrangements in place to ensure that system end-users get technical IT support when needed? <input type="checkbox"/> YES <input type="checkbox"/> NO <input type="checkbox"/> UNCERTAIN		

6. Analytical Component

6.1 Performance Indicators, Baseline Data and Targets

- M&E to take place against performance indicators
- Develop Provincial Compendium of Rural Development Performance Indicators
- Utilise Census 2011 data for baseline data
- Provide Baseline Data Sets for Limpopo
- Develop targets based on performance indicators and baseline data

6.2 Level of M&E

- Each level of M&E includes different dimensions that should be measured and studied through M&E activities
- Dimensions start at the basic level of projects
- Dimensions are added cumulatively through programme, local sector, provincial, national and global level
- Global level of the MDGs is the most comprehensive level

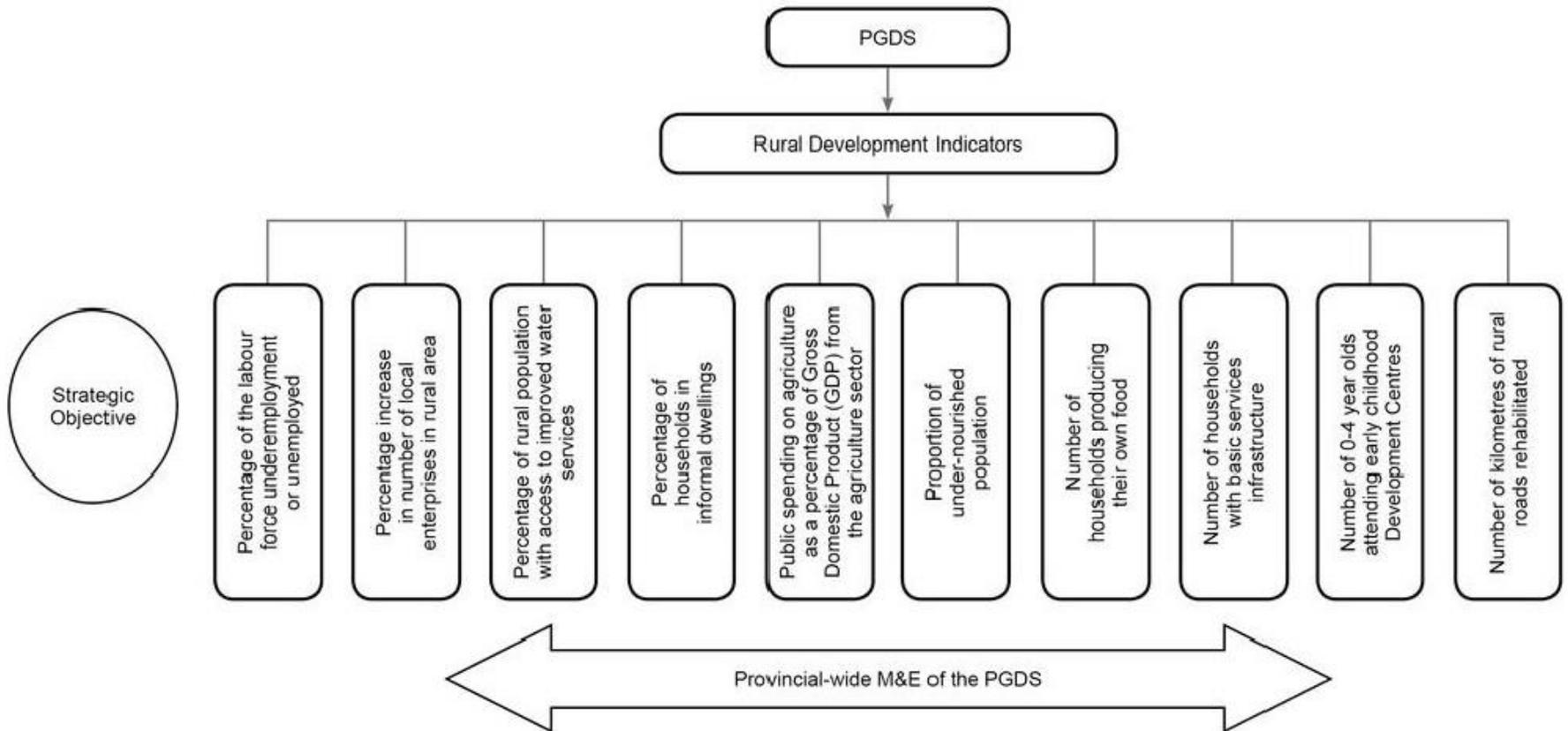
6.3 M&E Results Chain

- Results chain covers inputs, outputs, outcomes and impact
- Theory of change underpins the results chain
- Results chain straddles different levels, such as project, programme, sector and provincial level
- Thus allowing for M&E at different levels

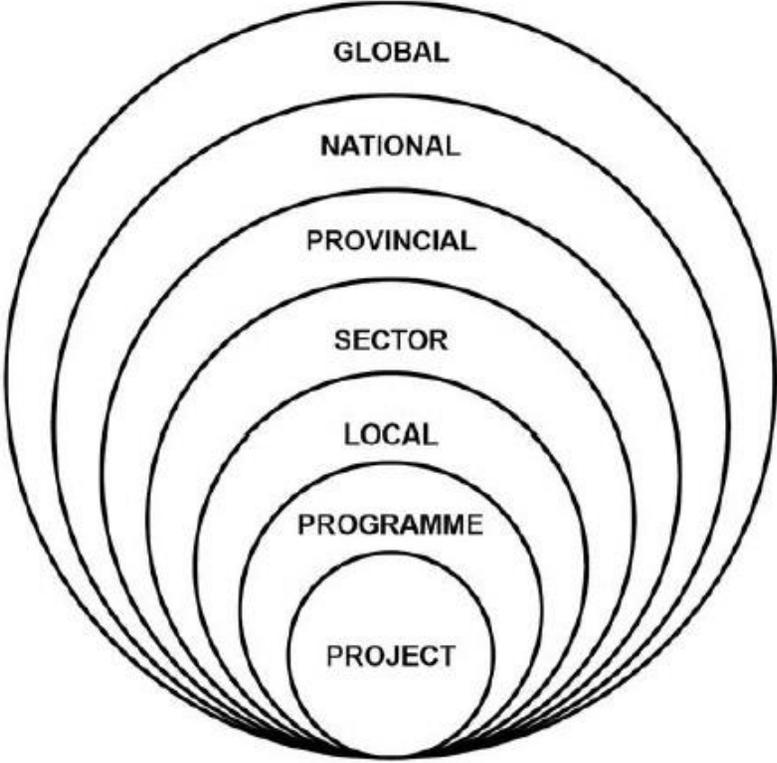
6.4 Sustaining the M&E System



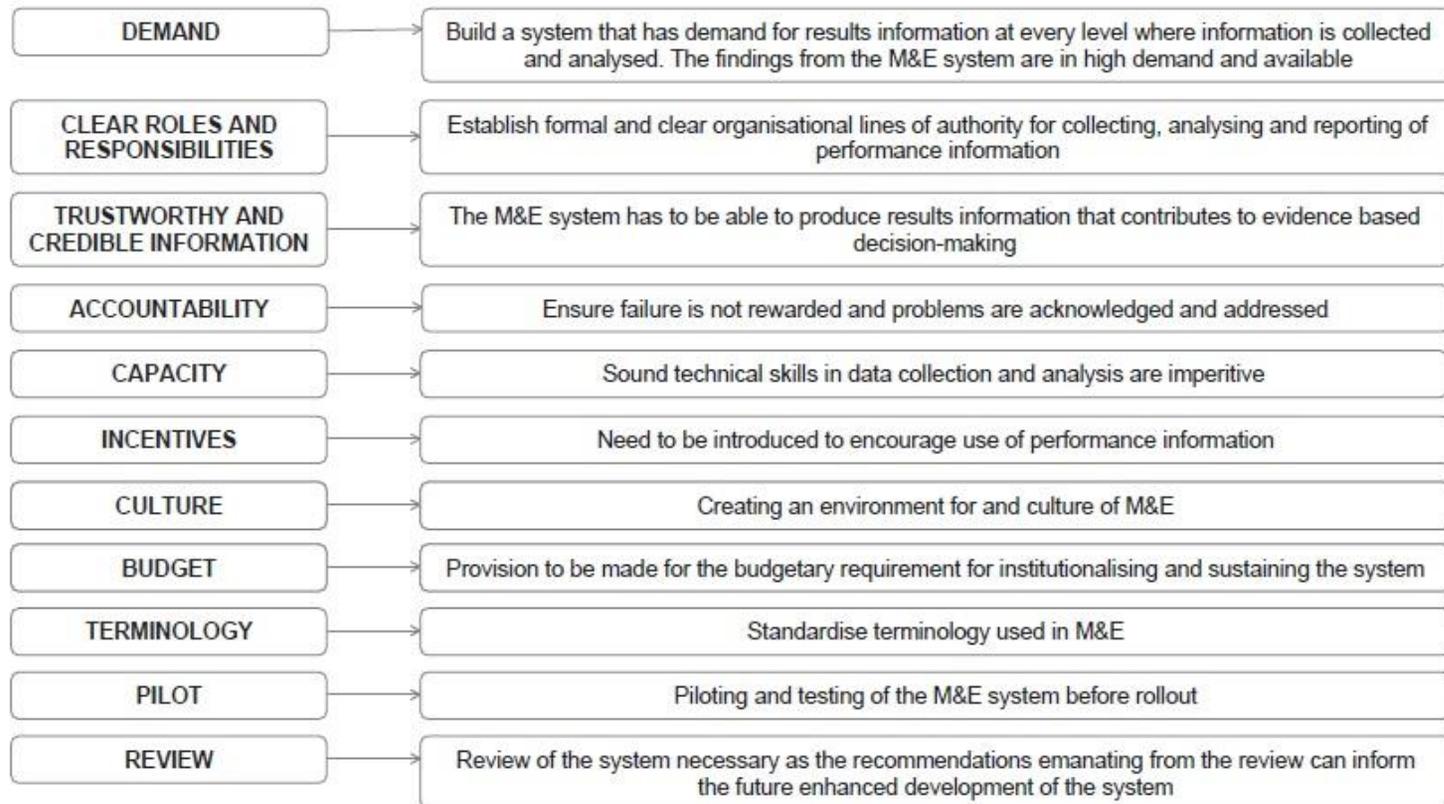
6.1.1 Examples of performance indicators: Provincial Compendium of Rural Development Performance Indicators



6.2 Level of M&E



6.4.1 Enablers for Sustaining the M&E System



7. Reporting Component

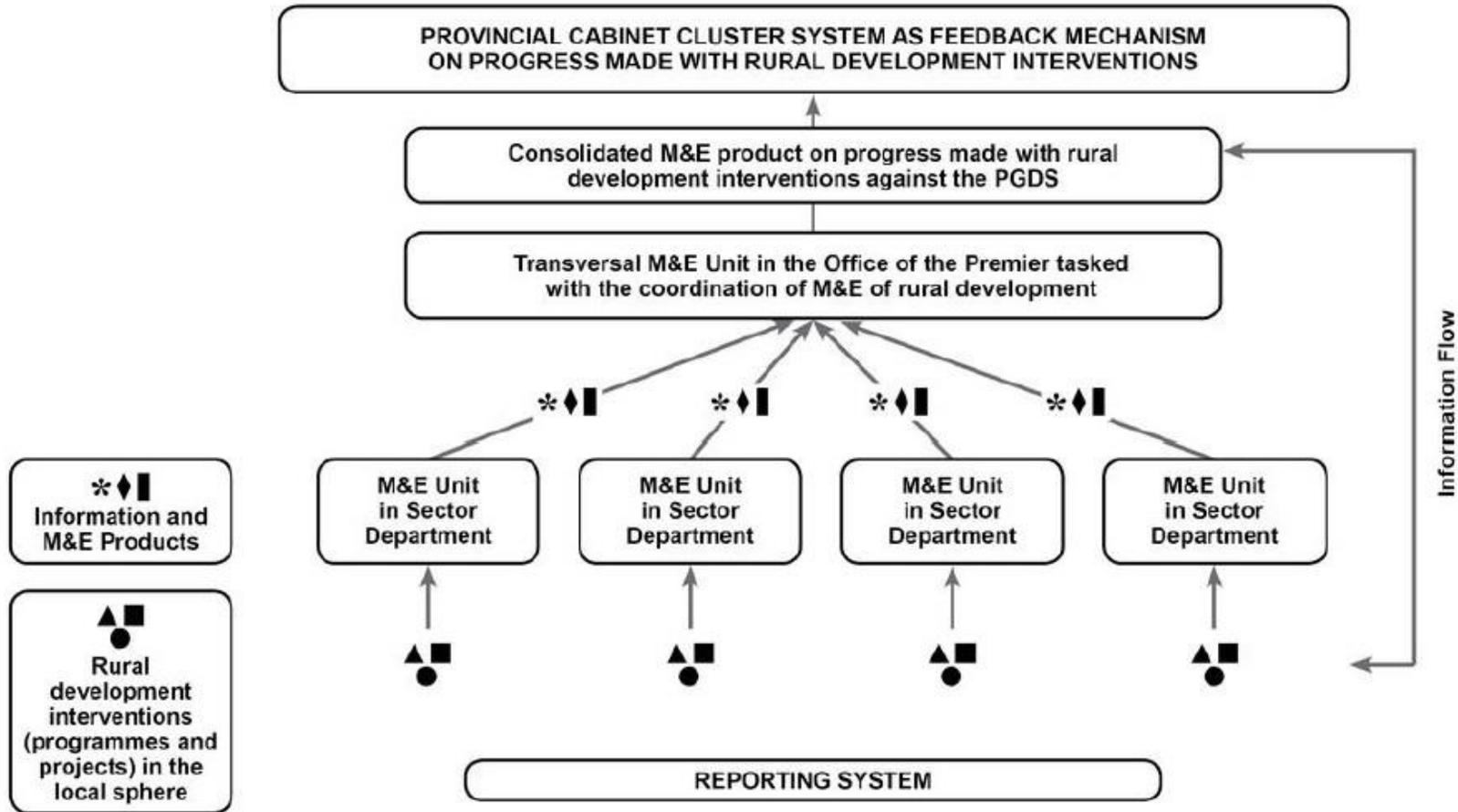
7.1 Reporting System

- A reporting system should be in place where stakeholders responsible for reporting on rural development are identified (2.2.1)
- Information flows between stakeholders should be documented
- Standard reporting formats should be developed
- Information contained in reports should be verified
- Reporting system should be inclusive of an early warning process of identifying potential areas of under performance
- Data should be analysed against indicators and targets

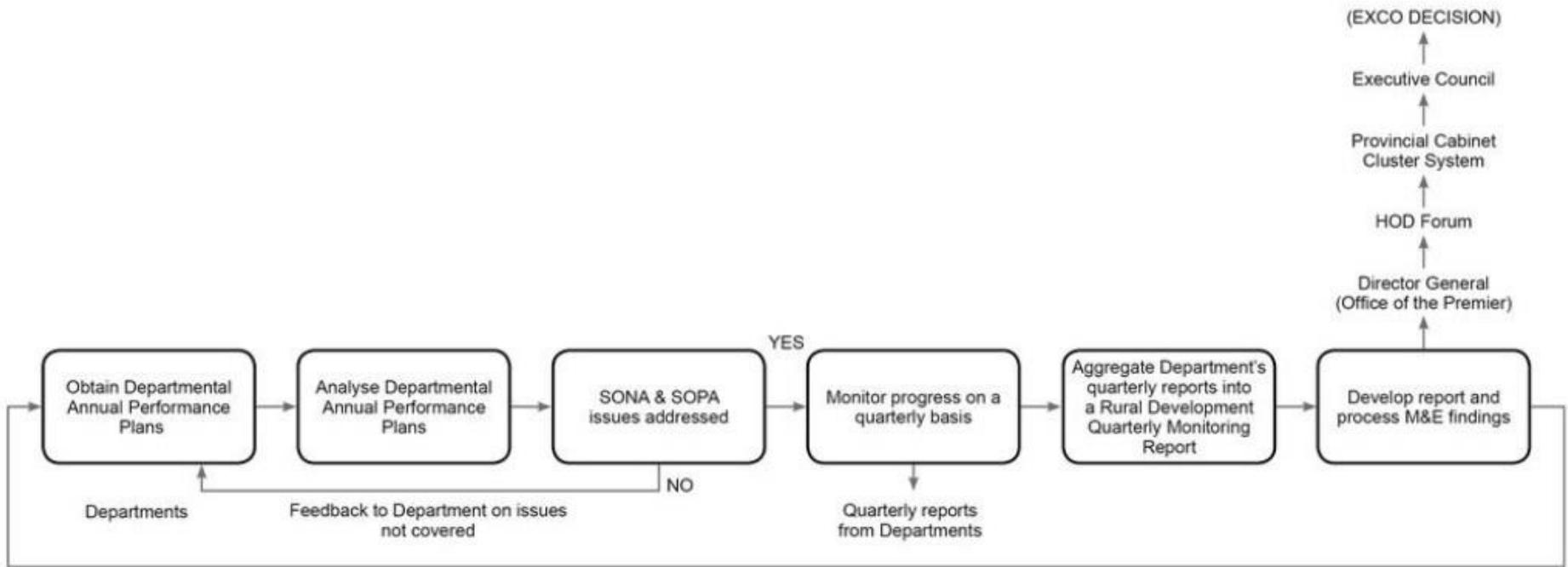
7.2 Range of M&E products

- M&E products are the reports that are produced through the M&E reporting system
- M&E products should contain findings which are relevant and useful for decision-making
- M&E products to be produced through the reporting system:
 - o Rural Development Annual Progress Reports
 - o Rural Development Provincial Quarterly Monitoring Reports (7.2.1)
 - o Formative, mid-term and summative evaluations

7.1.1 Reporting System



7.2.1 Business Process to develop M&E Product : Rural Development Provincial Quarterly Monitoring Report



8. Evaluation Component

- Formative, Mid-term and Summative Evaluations
- Provincial M&E Policy Framework to guide:
 - o Conduct of Evaluations
 - o Evaluation quality
 - o Institutionalisation of impact evaluation
- Conduct audit of evaluation in LPG to contribute to organisational learning
- Importance of Participatory M&E in evaluations
- Develop Provincial Evaluation Plan to support the Provincial M&E Policy Framework at operational level
- Develop business process to assist the institutionalisation of Impact Evaluation

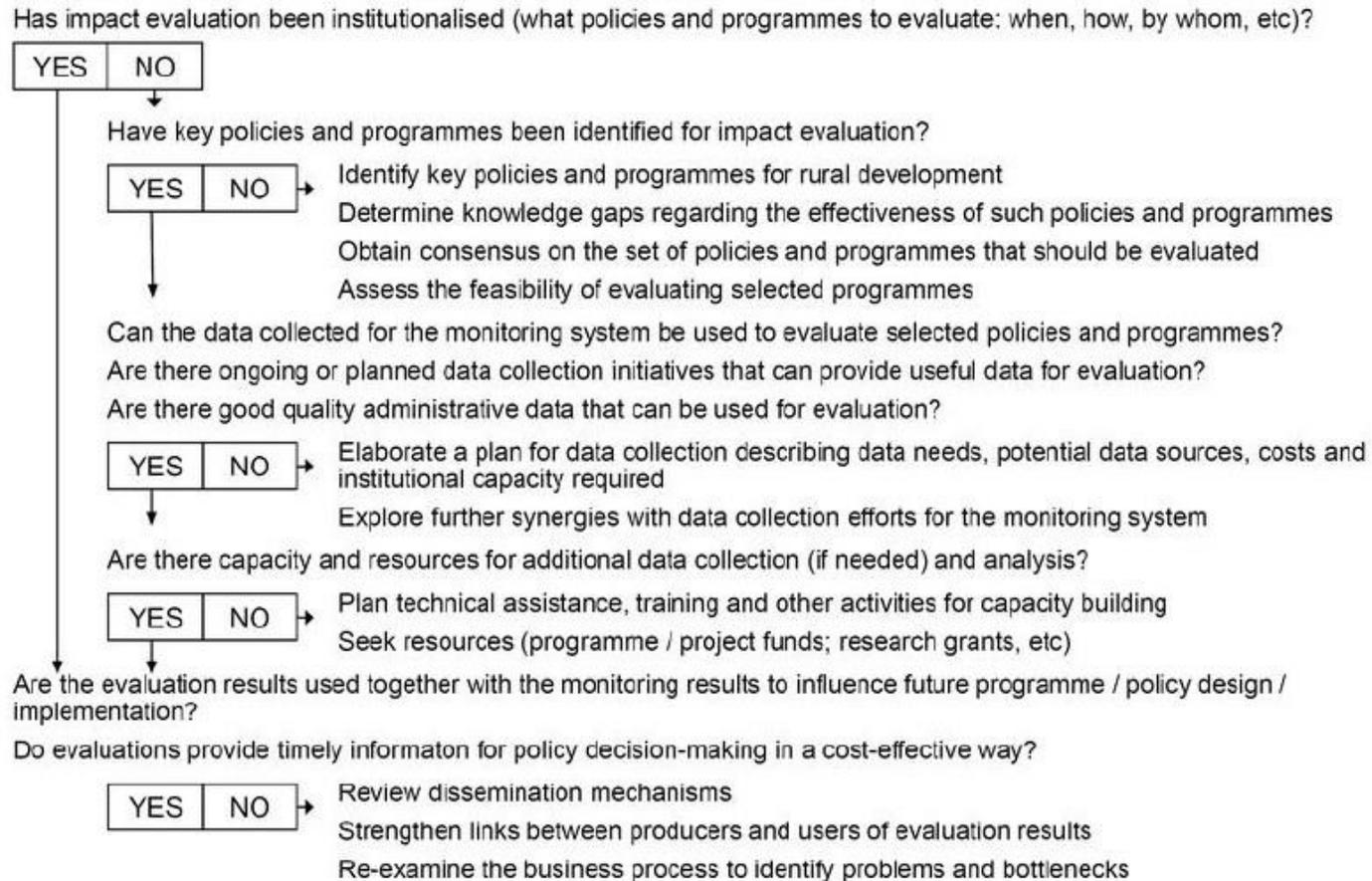
8.1 Provincial M&E Policy Framework



8.2 Provincial Evaluation Plan



8.3 Business Process to assist the institutionalisation of Impact Evaluation



9. Intervention Component

- Provincial M&E Forum (4.2) should be used as platform to review progress made with rural development in the LPG
- Forum members should advise on interventions to improve the implementation of national and provincial governments' policies and programmes on rural development
- Data collected through M&E should inform interventions through the planning process (3)
- Interventions to facilitate the achievements of the strategic goals and objectives of the PGDS



E. List of Tools developed in support of the Model

STRATEGIC COMPONENT (1)

- Readiness Assessment for the institutionalisation of M&E in the LPG (1.2.3.1)

INSTITUTIONAL COMPONENT (2)

- Feedback mechanism on progress made with rural development interventions (2.3.2)

PLANNING COMPONENT (3)

- Template: Provincial M&E Plan (3.3.1.1)

OPERATIONAL COMPONENT (4)

- Terms of Reference: Learning Network for M&E of Rural Development (4.2.1)

DATA COMPONENT (5)

- Outline: Memorandum of Understanding between Stats SA and LPG (5.1.2.1)
- Business process for management of Performance Information (5.1.2.2)
- Electronic M&E System Readiness Self-Assessment Questionnaire (5.3.2)

ANALYTICAL COMPONENT (6)

- Business process to develop M&E product: PGDS Quarterly Monitoring Report (7.2.1)
- Examples of performance indicators: Provincial Compendium of Rural Development Indicators (6.1.1)

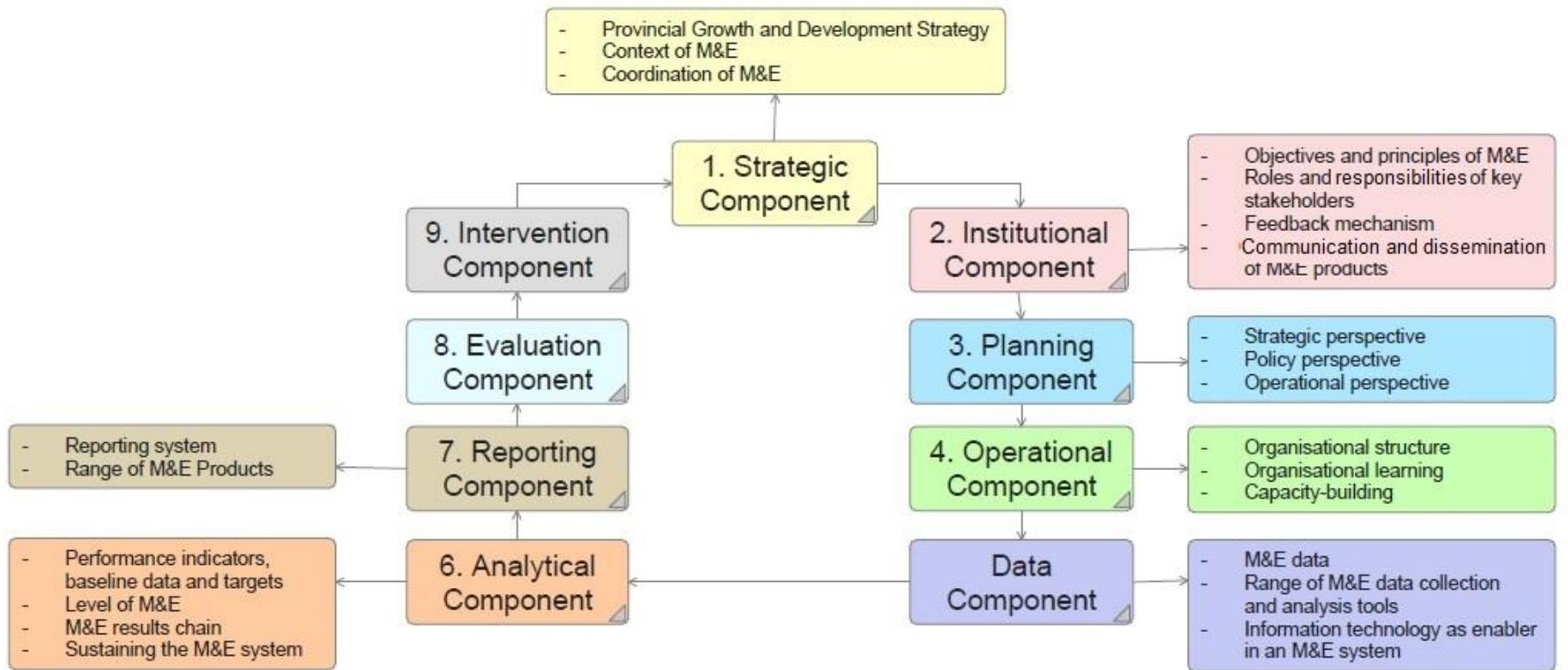
REPORTING COMPONENT (7)

- Business process to develop M&E product: Rural Development Provincial Quarterly Monitoring Report (7.2.1)

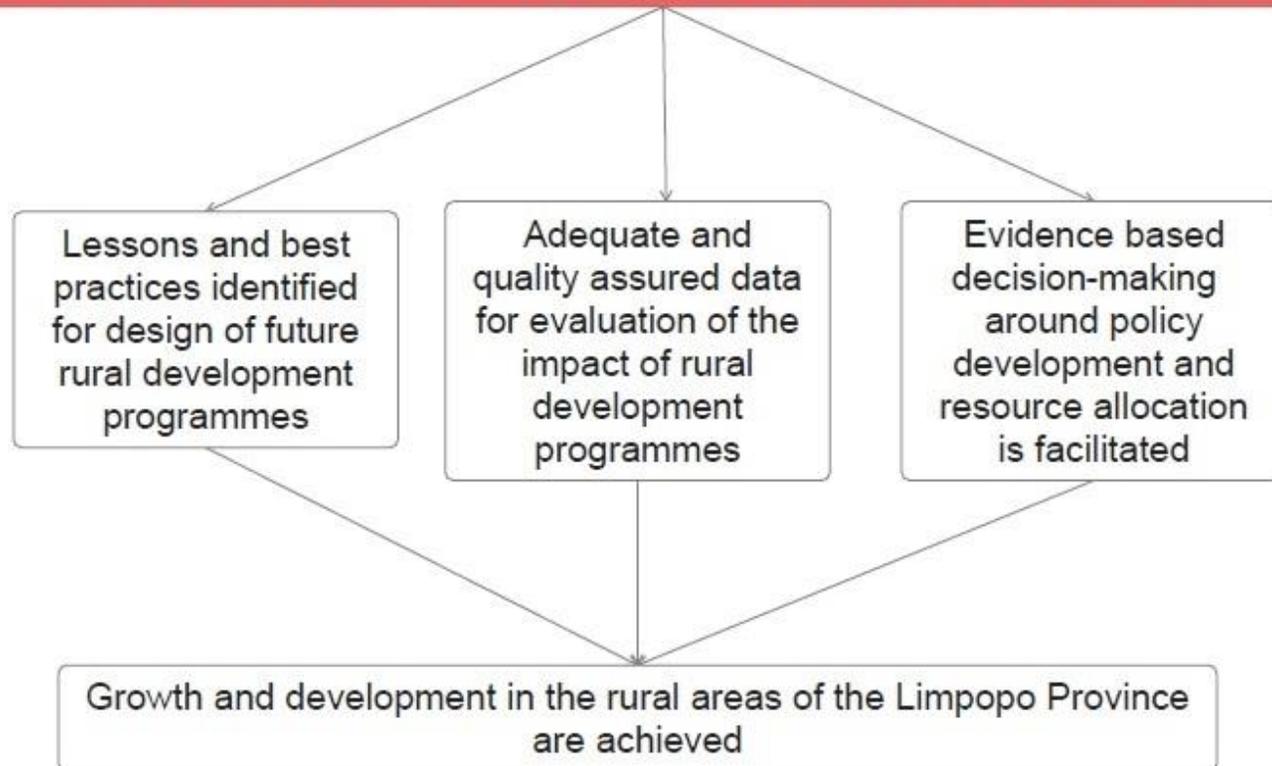
EVALUATION COMPONENT (8)

- Business process to assist in institutionalisation of Impact Evaluation (8.3)

F. Summary overview of the Results-based model for the integrated and transversal M&E of multisectoral rural development programmes implemented by the Limpopo Provincial Government in South Africa



G. Outcomes of the Results-based Model for the Integrated and Transversal M&E of multisectoral Rural Development Programmes implemented by the Limpopo Provincial Government in South Africa



8.4 SUMMARY

Chapter 8 presented the research recommendations (based on the actual research in *Chapters 4* to *6* and the research findings in *Chapter 7*) that require consideration when the model for the integrated and transversal M&E of rural development in the Limpopo Province is developed. The aim of the research was to develop a new model for the integrated and transversal M&E of rural development programmes to be implemented by government departments, and specifically within the provincial sphere of government in the Limpopo Province. A specific objective of the research was to develop the model by identifying and studying the components and concepts of the current model relating to the M&E of rural development in the Limpopo Province, determining the linkages and interrelationships between components, defining concepts and displaying the processes and flows between components.

The research was executed in the following phases:

- Phase One: Theoretical framework;
- Phase Two: Comparative case studies;
- Phase Three: Single case study of the South African national context;
- Phase Four: Single case study of the LPG;
- Phase Five: Interviews with key informants; and
- Phase Six: Development of a model for the integrated and transversal M&E of rural development at provincial level.

The new model was subsequently developed, incorporating the answers to the research questions that directed the study as regard to identifying the critical elements of an integrated and transversal approach to the M&E of rural development and how these critical elements could be incorporated in a model for the integrated and transversal M&E of rural development within the context of the Limpopo Province. To assist in the implementation of the model, supporting tools were developed. Furthermore, an IT enabler, which enhances the application of the model while the software permits the design of an interactive Web page that is possibly more user-friendly, graphic, transparent and available than text-based models, was also developed.

The next chapter, *Chapter 9*, presents the conclusions and recommendations of the study.

CHAPTER 9

CONCLUSIONS AND RECOMMENDATIONS

9.1 INTRODUCTION

In the previous chapter (*Chapter 8*) the model for the integrated and transversal M&E of rural development in the LPG was developed. *Chapter 9* concludes the study. Firstly, a brief recapitulation of the aim and objectives of the study and research questions is provided and this is followed by a summary of key findings and policy implications. Recommendations are made regarding the implementation of the research findings, the contribution of the study is discussed and further research avenues of research are suggested. All of these are intended to strengthen the integrated and transversal M&E of rural development at provincial level.

9.2 SUMMARY OF AIM AND OBJECTIVES OF THE STUDY

In *Chapter 1* the research problem stated that there is a lack of an integrated approach to the M&E of rural development as a multisectoral development intervention. The consequences of this deficiency are that policy development and analysis are not being supported, transparency and accountability for budget expenditure in respect of rural development are not being enhanced and organisational learning is not being encouraged.

In an attempt to address the identified problem, the aim of the research was to develop a new model for the integrated and transversal M&E of rural development programmes implemented by government departments in the Limpopo Province. To achieve the aim of the study, the specific objectives of the study were as follows:

- Conduct a literature review of the M&E of rural development, both from an international and a South African perspective;
- Develop an understanding of the approach to M&E and identify best practices and lessons learned by international role players involved in M&E and rural development;
- Explore the GWMES as a model for M&E in South Africa;
- Document the institutionalisation of M&E in the LPG against the GWMES model;

- Identify shortcomings with regard to the GWMES as an appropriate model for the M&E of rural development and make suggestions to the GWMES as a model and test the changes; and
- Develop a customised model by identifying and studying the components and concepts of the model relating to the M&E of rural development in the Limpopo Province, determining the linkages and interrelationships between components, defining concepts and displaying the processes and flows between components.

Directly related to the above research objectives, the following research questions guided the study:

- What are the critical elements of an integrated and transversal approach to the M&E of rural development?
- How can these critical elements be incorporated in a model for the integrated and transversal M&E of rural development within the context of the Limpopo Province?

The research methodology followed was perceived to be the best approach to achieve the research objectives as the study type was empirical and the purpose of this study was to explore and describe these objectives. The research design of the study was a case study and data was collected through the methods of document analysis, semi-structured interviews with key informants and experience surveying.

9.3 SUMMARY OF KEY FINDINGS AND POLICY IMPLICATIONS

The study was conducted in six phases to ensure that a logical process was followed towards achieving the aim and specific objectives of the study, as well as answering the research questions that guided the study. The phases were as follows:

- Phase One: Theoretical framework;
- Phase Two: Comparative case studies;
- Phase Three: Single case study of the South African national context;
- Phase Four: Single case study of the LPG;
- Phase Five: Interviews with key informants; and
- Phase Six: Development of a model for the integrated and transversal M&E of rural development at provincial level.

The theoretical framework of the study (*Chapter 3*) provided the initial answers to the research questions, which were further explored and described in *Chapters 4* to *6*. The elements of the theoretical framework, as identified in the literature review (*Chapter 3*), are depicted graphically in Figure 9.1.

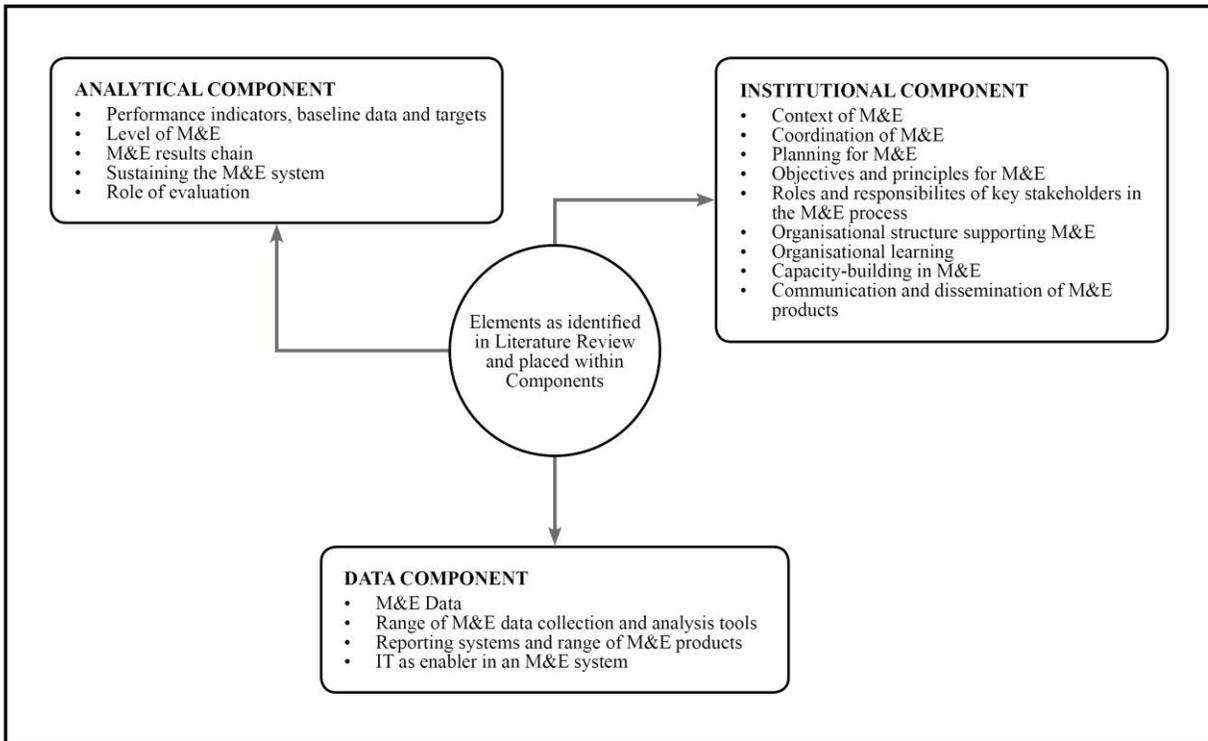


Figure 9.1: Elements of an integrated and transversal approach to the M&E of rural development as identified in the theoretical framework of the study (developed by researcher)

In *Chapter 4* comparative case studies were conducted on the M&E systems of Canada, Chile and Uganda. Using comparative case studies as empirical enquiries, evidence was collected to study the critical elements of an integrated and transversal approach to the M&E of rural development and to analyse methods of incorporating the elements in a model. The main findings of these case studies included the necessity to provide for feedback mechanisms to link M&E to decision-making, allocation of budgets and accountability for results. In addition, it was found that the institutionalisation of an M&E system should follow a learning approach and be developed incrementally to allow for review and adjustments. Spatial information, as a data source, should also be developed and incorporated in an M&E system.

In *Chapter 5* a single case study of the South African national context on the M&E of rural development was conducted. The challenges relating to the M&E of rural development in South Africa were discussed, as well as the shortcomings of the GWMES as a model for M&E. These shortcomings include the lack of a legal mandate and a clear institutional and policy role for M&E. The development of performance indicators is compromised by (a) the development of single indicators to address divergent information and reporting needs, (b) the nesting of indicators and (c) imposed indicator sets. The GWMES also places limited emphases on evaluation.

From the gaps and shortcomings identified, it became clear that there is no specific existing integrated and transversal model for the M&E of development interventions, such as rural development; in theory, the development of the GWMES should have contributed to such a model. The GWMES, as a model for M&E, has a number of shortcomings as highlighted in this chapter. M&E is approached in an *ad hoc* manner through the GWMES and there are limitations inherent in such an approach. The application of the GWMES as a model has not led to an integrated approach to M&E of the broader development impact of multi-programmes focusing on rural development.

In *Chapter 6* of the research, a single case study was conducted to document the implementation of the GWMES in the LPG as a model for the M&E of rural development. The case study approach allowed for the documentation of the specific experience of the M&E of rural development in the LPG and provided useful insights for the development of a model for the integrated and transversal M&E of rural development programmes implemented by government departments in the province. From a provincial perspective the challenges in the M&E of rural development manifest themselves in the LPG, as explored and described in the M&E of rural development in the province. The multisectoral programmes contributing to rural development and the absence of an integrated and transversal approach of the M&E of the implementation thereof, contribute to the lack of information on the progress made with rural development in the LPG.

Based on the data collected through the single case study, a number of shortcomings of the current model for the M&E of rural development in the LPG (Figure 9.2) were identified with regard to the GWMES as an appropriate model for the M&E of rural development. As indicated in *Section 6.3*, the institutionalisation of M&E in the LPG was against the GWMES as model. This institutionalisation process resulted in the current model for M&E in the LPG, which is at present being used for the M&E of rural development in the Limpopo Province (see *Section 6.4*). However, the current model has

shortcomings. Some elements identified as critical for an integrated and transversal approach to the M&E of rural development (see *Chapter 3.5*) are absent in the current model.

These shortcomings are summarised as follows:

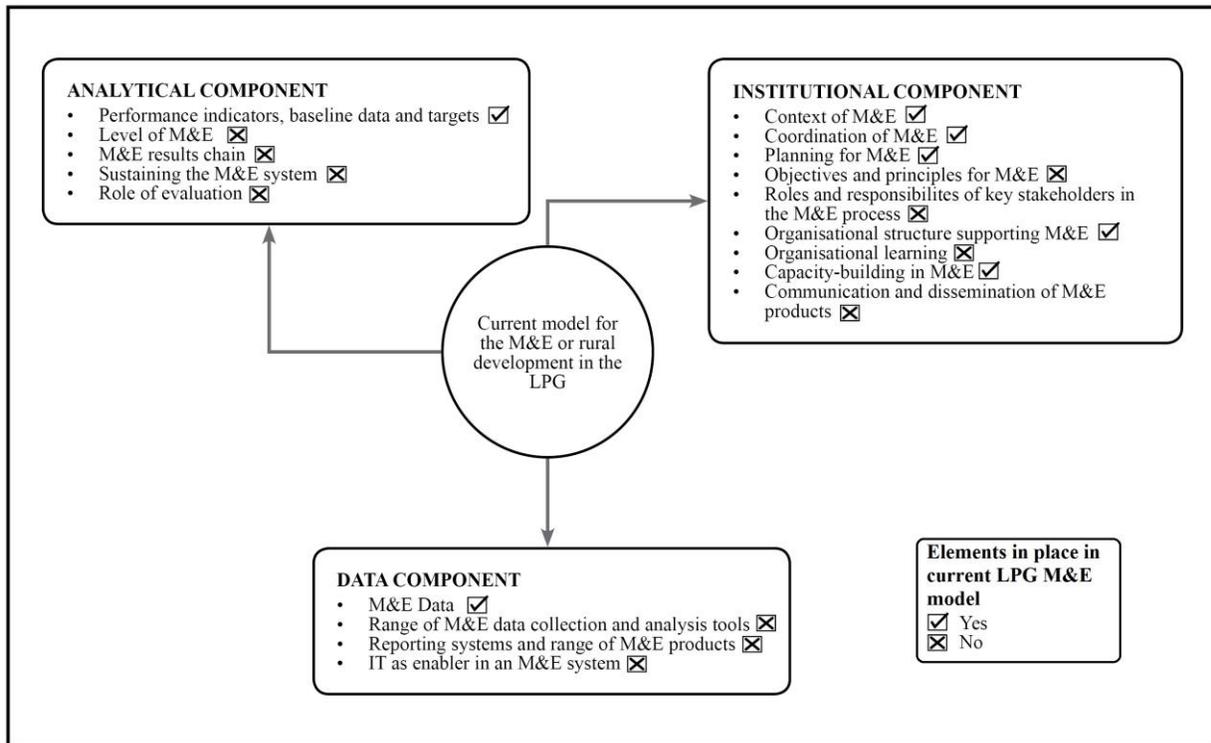


Figure 9.2: Shortcomings of the current model for the M&E of rural development in the LPG (developed by researcher)

Based on the findings of the comparative case studies, changes were suggested to the GWMES as a model relating to, amongst others, organisational learning, data sources and evaluation. These were tested through interviews with key informants as respondents. Drawing on their appropriate knowledge and experience, the key informants made valuable contributions to the study. Their inputs focused the study on, amongst others, the necessity of an integrated model having a strategic component centred on a growth and development strategy reflecting priorities to inform the planning, budgeting, implementation and M&E processes. As regards the obstacles contributing to the absence of impact evaluation in the LPG, key informants identified a number of issues. Lack of credible monitoring information was an obstacle to impact evaluation, as well as the absence of M&E practitioners with the relevant skills set.

In response to the research questions, research findings emerged from all the phases of the research and were presented in *Chapter 7*. The identified critical elements of an integrated and transversal approach to the M&E of rural development and how these elements should be incorporated in a model for the M&E of rural development within the context of the Limpopo Province are summarised in Figure 9.3.

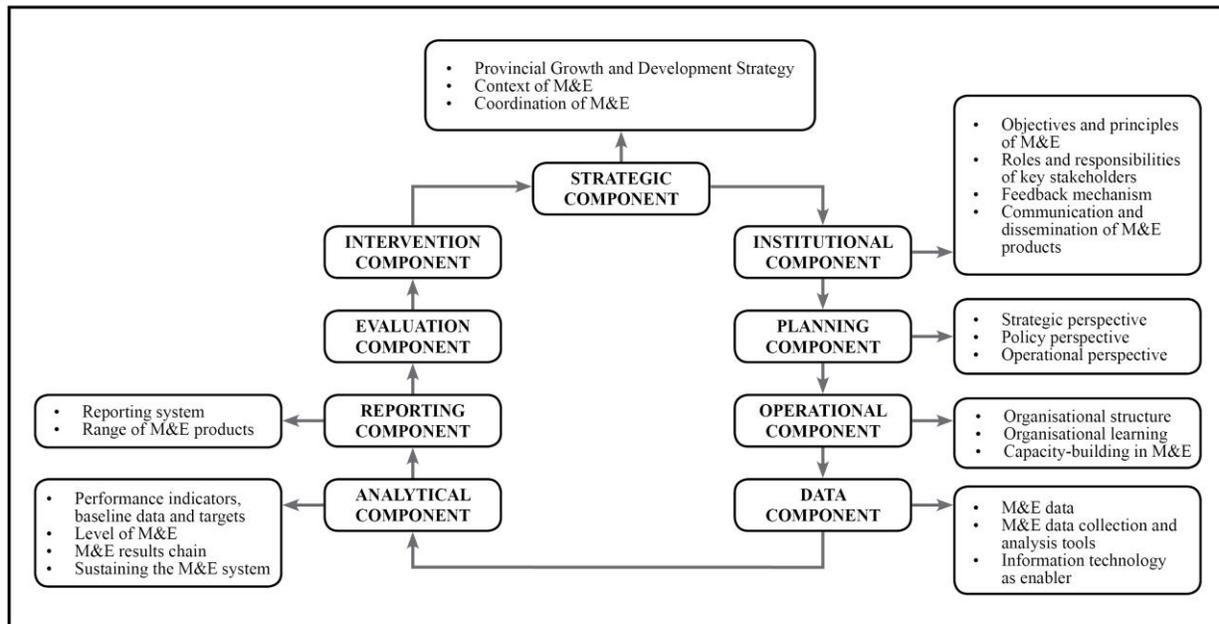


Figure 9.3: Elements of an integrated and transversal approach to the M&E of rural development placed within Strategic, Institutional, Planning, Operational, Data, Analytical, Reporting, Evaluation and Intervention Components (developed by researcher)

As a result of the research findings, recommendations were made that required consideration when the model for the integrated and transversal M&E of rural development in the Limpopo Province is developed. The outcome of the study, in line with the aim and specific objectives of the research, is the development of a results-based M&E model for the integrated and transversal M&E of rural development programmes to be implemented by the LPG (*Chapter 8*). Through the model, rural development interventions of projects and programmes can be monitored and evaluated throughout the results chain. Specific emphases is placed on the model being outcome and impact orientated, as results become discernible at outcome and impact level. The scope and application of the model, which consists of interrelated components, are the rural development interventions implemented by the LPG. These components are comprised of elements found to be critical for an integrated and transversal approach to

the M&E of rural development. Figure 9.4 presents a schematic breakdown of this model, including the tools that were developed in support of the model.

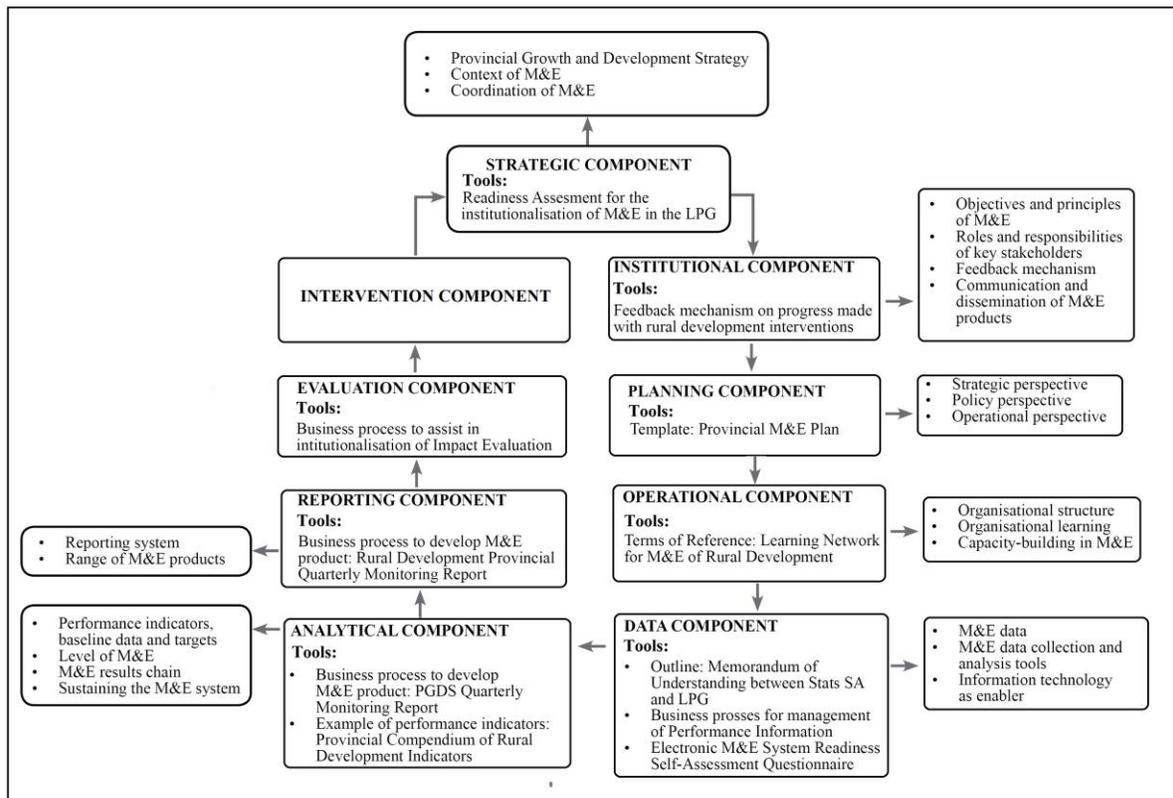


Figure 9.4: Schematic breakdown of the Results-based model for the integrated and transversal M&E of multisectoral rural development programmes implemented by the LPG in South Africa, including the tools that were developed in support of the model (developed by researcher)

The multisectoral programmes contributing to rural development, the lack of an integrated and transversal approach of the M&E and shortcomings related to the implementation, contribute to the lack of information on the progress made with rural development in the LPG.

The key findings of the study have important policy and legal implications. At present only the Constitution and national policy provide the framework for provinces to implement M&E. To be binding, enforceable and effective, M&E demands a clear policy and a legal mandate. A policy and statutory framework at provincial level should be developed to provide guidance on the institutionalisation of M&E in the LPG.

9.4 RECOMMENDATIONS

Without the integrated and transversal M&E of rural development, there is no objective and credible mechanism to track the progress and level of success of rural development interventions implemented by the LPG. In light of this, a number of recommendations are made.

Provinces are the critical spheres of implementation for many functions and it is therefore essential that provinces play a strong and effective role in M&E. There is potential for M&E to assume a significant role in the growth and development of the Limpopo Province as a potent strategic tool for improving the quality of life of the people of the province. M&E can enable them to access governance and service delivery. In addition, it can act as a mechanism for accountability in the course of the implementation of rural development programmes on their behalf, so as to ensure a review of strategy where necessary. Establishing a practical and relevant M&E approach can help track progress towards goals and objectives. Through the process of M&E the LPG can learn, capture and share lessons that improve rural programme development, demonstrate accomplishments and benefit involved stakeholders by improving strategy development and implementation processes. The M&E system will also enable the LPG to analyse its own objectives and its capacity for achieving them, through reflection on experiences and development impacts.

It therefore is critical that the LPG implements the model for the integrated and transversal M&E of rural development programmes, as developed in this study. The acceptance and execution of the model, embedded within a specific provincial policy and statutory framework, will contribute to the ability of the LPG to support policy development on rural development and analysis, enhance transparency and accountability on rural spending and encourage organisational learning. Within this context, a specific provincial policy framework and provincial legislation for the establishment and compulsory implementation of the M&E model should be drafted and approved. It is also recommended that the model be extended to the local sphere of government to also enable the M&E of rural development to be implemented at municipal level.

With regard to the dissemination of the findings and recommendations of the study, it is recommended that the following platforms be utilised:

- South African Government-wide M&E Network;

- SAMEA;
- Limpopo Chapter of SAMEA (when established);
- Limpopo Provincial M&E Forum;
- Learning Networks;
- Publications such as the LPG *Inter News*;
- Newsletters in provincial sector departments; and
- Submission of articles for publication in academic journals.

The above list is not exhaustive, as all relevant opportunities, as they arise, should be used.

9.5 CONTRIBUTION OF THE STUDY

While a considerable amount of information is available on the concept and theories of M&E and rural development, there is an absence of models guiding the transversal and integrated M&E of rural development programmes. This study addressed this challenge as defined in the problem statement, namely the lack of an integrated approach to the M&E of rural development as a multisectoral development intervention.

No comprehensive study has previously been undertaken on the institutionalisation of the M&E of rural development at provincial level in South Africa. As there is a gap in knowledge related to the development of M&E systems at provincial level, this study resulted in a more comprehensive understanding of the M&E of rural development at a provincial level in a transversal and integrated manner.

The research undertaken makes definite contributions to the area of knowledge generation and development of policy as it relates to the M&E of rural development at provincial level. The study combined theoretical analysis with empirical data on the development of M&E systems for rural development and covered all the aspects concerning the institutionalisation of M&E systems, which span multisectoral development interventions. The existing gap in the research concerning the more successful and less successful efforts and best practice approaches, especially in a context where development needs are great, was addressed. Through the research, theory was developed by means of the determination of an enhanced M&E model with its interrelated components, appropriate to the M&E of rural development initiatives in the LPG. This, in turn forms an important scholarly contribution to the existing body of

knowledge as regards the M&E of rural development at regional level. In addition, the study contributes to address current shortcomings as regards capacity-building in the emerging field of M&E.

The model developed allows for the integrated and transversal M&E of multisectoral rural development programmes implemented by the LPG in South Africa. Transversal implies that development interventions will be monitored and evaluated across the various sectors, government departments and municipalities involved in rural development in the Limpopo Province. Through the utilisation of the model, rural development interventions, being programmes and projects, are monitored and evaluated throughout the results chain. Specific emphases is placed on results being outcome and impact orientated, as results become evident at outcome and impact level. The scope and application of the proposed model are the rural development programmes implemented by the LPG. Tools have also been developed in support of the model. The tools are outputs of the research and are a combination of lessons learned from the study, customised to the context of the LPG.

Since the findings of the study will be in the public domain and disseminated through a wide range of vehicles, forums and platforms, it is foreseen that the study could have a noteworthy impact on the M&E of rural development, especially at provincial level. It is envisioned that the range of lessons and recommendations that emerged from this study will enrich the efforts of the Limpopo Province in entrenching a culture of M&E to support service delivery and programme implementation, which will lead to the growth and development of the province.

9.6 LIMITATIONS OF THE STUDY

Taking into account that case studies are not representative of entire populations, the researcher took care not to generalise beyond cases similar to those studied in this research. The research findings, from the comparative case studies and the single case study, cannot directly be used to provide conclusions that can be generalised across the board as regards all existing M&E systems.

However, the contribution made to the development of a model for the integrated and transversal M&E of rural development in the provincial government sector is useful, as findings based on the research, either from a single case study or comparative case studies, enhance the existing theory on the M&E of rural development at regional level. The findings, recommendations and related new model for the M&E of rural development are in this sense, limited to the context of the provincial government of Limpopo. In

addition, the proposed model is capable of being adopted in other provinces on condition that the adjustments required by the regional and local conditions are fully integrated into such customised provincial models.

9.7 FUTURE AVENUES OF RESEARCH

As discussed, the study identified shortcomings of the GWMES model for M&E in South Africa. As a result, the national M&E system should be reviewed and amended in line with the findings of the study. Such review should include the identification of key components relating to M&E that need to be included in both national and provincial M&E systems.

The proposed review should also incorporate the findings of further comparative research to be undertaken by scholars. This should, amongst others, include research on regulatory and institutional frameworks, as well as components of M&E systems in existence in other jurisdictions.

Research should also be conducted on the process of the implementation of the model at the provincial level, as it would contribute to sustaining the M&E system.

The adaptation and implementation of the model in the other eight provinces of South Africa should also be explored.

In line with the recommendation that the model be extended to the local sphere of government (see *Section 9.4*), the same approach should apply.

Following the institutionalisation of an M&E system in line with the *Results-based model for the integrated and transversal M&E of multisectoral rural development programmes implemented by the LPG in South Africa*, the system should be periodically reviewed to further enhance its effectiveness and sustainability. An implementation review after two years and a summative review after five years is recommended, with resulting amendments to the system.

As M&E takes place against indicators and the M&E of rural development necessitates developing and tracking performance indicators across sectors, future research is necessary to develop a model for rural development specific performance indicators. In conclusion, to further enhance the model, further

research on IT and related matters are necessary to guide M&E practitioners on how to effectively utilise such enablers in an M&E system.

ANNEXURES

Annexure A



UNIVERSITEIT VAN PRETORIA
UNIVERSITY OF PRETORIA
YUNIBESITHI YA PRETORIA

ETHICS COMMITTEE
Faculty of Natural and Agricultural Sciences

27 March 2013
Prof N Olivier
Department of Consumer Sciences
University of Pretoria
Pretoria
0002

Dear Prof Olivier

EC121106-096 Developing a model for the integrated and transversal monitoring and evaluation of rural development programmes implemented by the limpopo provincial government

The project conforms to the requirements of the Ethics Committee.

Kind regards

A handwritten signature in black ink, appearing to read 'NH Casey'.

Prof NH Casey
Chairman: Ethics Committee

Agriculture Building 10-20
University of Pretoria
Private bag X20, Hatfield 0028
Republic of South Africa

Tel: 012 420 4107
Fax: 012 420 3290

ethics.nas@up.ac.za

Annexure B

A MODEL FOR THE INTEGRATED AND TRANSVERSAL MONITORING AND EVALUATION OF RURAL DEVELOPMENT PROGRAMMES IMPLEMENTED BY THE LIMPOPO PROVINCIAL GOVERNMENT

INFORMATION SHEET FOR KEY INFORMANTS and SEMI-STRUCTURED INTERVIEW SCHEDULE

OCTOBER 2012

STUDENT DETAILS

- **Melinda Labuschagne**
- **Registered for a degree Doctor of Philosophy in Rural Development Planning**
- **Faculty of Natural and Agricultural Sciences, University of Pretoria**
- **Supervisor: Prof NJJ Olivier**

A. INFORMATION SHEET FOR KEY INFORMANTS

1. INTRODUCTION AND BACKGROUND

Melinda Labuschagne, hereafter referred to as the researcher, is a student as indicated in the Student Details above.

The aim of the research is to develop a new model for the integrated and transversal M&E of rural development programmes implemented by government departments, and specifically within the provincial sphere of government.

To enable the achievement of the aim of the research, the specific objectives are to:

- Conduct a literature review of M&E of rural development, both from an international and South African perspective;

- Develop an understanding of the approach to M&E and identify best practices and lessons learned by international role players involved in M&E and rural development;
- Explore the Government-wide M&E System (GWMES) as a model for M&E in South Africa;
- Document the institutionalization of M&E in the LPG against the GWMES model;
- Identify shortcomings and gaps with regard to the GWMES as appropriate model for the M&E of rural development, make suggestions to changes to the GWMES as a model and test the changes; and
- Develop the model by identifying and studying the components and concepts of the model relating to the M&E of rural development in the Limpopo Province, determining the linkages and interrelationships between components, defining concepts, and reflecting processes and flows between components.

The information obtained from these interviews with Key Informants will contribute to the development of the model. Research on M&E, especially at provincial and local level, is perceived as fallow land that needs further exploration. Data collected during the study can go far in developing a body of knowledge, which can contribute to critical or alternative perspectives on M&E at provincial level. The researcher is inviting your participation as a key informant because you are deemed to be knowledgeable, representative and appropriate to the subject matter being researched.

2. INTERVIEW DETAILS

The interview will be conducted against a Semi-structured Interview Schedule and will be applied either during a face to face or telephonic interview at the convenience of the key informant. The interview will last for approximately one and a half hours. If you agree to take part the Researcher will commence with questions as guided by the interview schedule. If you decline to take part, the interaction will be terminated.

The questions should please not be perceived as a test with possible right or wrong answers. The role of the researcher as an interviewer is to listen and understand your point of view without passing judgment. If you do not feel comfortable in answering any of the questions or do not have a response, please feel free not to answer the particular question/s.

You are free to withdraw anytime during the interview if you so wish.

3. CONFIDENTIALITY

The information that you provide during the interview will be kept confidential and only the Researcher will know who has been interviewed. The Researcher undertakes that all information provided by you will be used only for the purpose of the study. Your name and involvement in the study will not be revealed in any report resulting from the study. The information given by the key informants will be combined and analysed according to common themes and categories. The combined information will be written in the form of a research thesis.

4. BENEFITS AND RISKS OF PARTICIPATION

Your participation in this study is voluntary and there will be no direct benefits to anyone who participates in the interviews. Similarly there will be no direct consequences of penalties for individuals who choose not to be interviewed.

5. CONTACT DETAILS

The researcher will be happy to answer any question for clarity you have about the research. The research is being conducted within the relevant prescripts of the University of Pretoria.

Melinda Labuschagne

Cell: 084 505 0737

Email: labuschagnem@agric.limpopo.gov.za/labuschagnem1@gmail.com

B. SEMI-STRUCTURED INTERVIEW SCHEDULE

Clarification of concepts used in the Interview Schedule

To ensure common understanding of the concepts used in the Interview Schedule please take note of the following clarification/information:

***Note 1:** There are multiple levels on which M&E of rural development can be applied: Project, Programme, Sector, Organisational, Provincial, Country, Regional and Global levels .Performance*

reporting on rural development is often required at different levels - that is providing information about a particular program, a sector, a department or at provincial or national level. It is important to recognize the various audiences for performance reporting and their different needs and to tailor the level and breadth of reporting appreciated to those different levels.

Note 2: *Capacity building initiatives to build capacity for M&E and foster a culture of governance and decision-making which responds to M&E findings.*

Note 3: *A geographic information system (GIS) integrates hardware, software, and data for capturing, managing, analysing, and displaying all forms of geographically referenced information.*

Note 4: *Impact evaluation is the systematic identification of the effects – positive or negative, intended or not – on individual households, institutions, and the environment caused by a given development activity such as a programme or project.*

Note 5: *Literature studied stress the value of regularly evaluating an M&E system with the objective of assessing the functionality and sustainability thereof.*

Note 6: *Skills set such as Analytical, Statistical and Information Technology skills and being M&E Specialists/ Development Specialists.*

Note 7: *Systems such as Management Systems (planning, budgeting, reporting), Data Systems and Management Information Systems (MIS provides information that is needed to manage organisations efficiently and effectively)*

Please provide spontaneous responses to the following questions:

1. In your opinion, at what level should rural development be monitored and evaluated to be able to report on provincial, national and global strategic imperatives such as the Millennium Development Goals?
(Refer to Note 1)

2. What are your views on the existing capacity building on the M&E of rural development programmes?
(Refer to Note 2).

3. In your opinion how can Geographic Information Systems (GIS) contribute to the integrated and transversal M&E of rural development programme? (Refer to Note 3).

4a. What are the possible obstacles contributing to the absence of Impact Evaluation in the Limpopo Provincial Government? (Refer to Note 4)

b. How can the (possible) obstacles be overcome?

5. Please indicate how the M&E system of rural development programmes in the Limpopo Provincial Government can be sustained? (Refer to Note 5)

6. In your opinion what is the role and responsibilities of the following role players/stakeholders in the M&E of existing and future rural development programmes implemented by the Limpopo Provincial Government:

A. The Presidency:

B. National Departments:

B 1. Department of Agriculture, Forestry and Fisheries:

B 2. Department of Rural Development and Land Reform

B 3. Other National Departments:

C. Limpopo Office of the Premier

D. Limpopo Department of Agriculture

E. Other Sector Departments in the Limpopo Provincial Government:

G. Limpopo Legislature:

H. Civil Society:

I. Stats SA:

J. Nongovernmental Organisations involved in rural development in Limpopo:

K. Universities based in Limpopo:

L. Agricultural Training Colleges based in Limpopo:

M. Possible other role players/stakeholders and their roles and responsibilities:

7. Based on your experience in monitoring and evaluation/rural development, what can be done to promote clarity on roles and responsibility of stakeholders involved in the implementation and M&E of rural development programmes?

8. In your opinion which skills set should people responsible for the M&E of rural development have?
(Refer to Note 6)

9. In your opinion which systems should be in place to support a well-functioning M&E Unit? *(Refer to Note 7)*

10. In your opinion, where should the coordination of both the implementation and M&E of rural development be vested in the Limpopo Provincial Government?

Thank you for your contribution to building the knowledge base on the M&E of rural development interventions.

Annexure C

PO Box 11011
Bendor
0699

26 October 2012

The Head of Department
Department of Agriculture
Private Bag x 9487
Polokwane
0700

Dear Mr Mannya

REQUEST FOR PERMISSION TO USE LIMPOPO DEPARTMENT OF AGRICULTURE INFORMATION

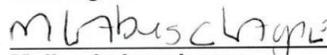
I am working towards the completion of a PhD degree in Rural Development Planning at the University of Pretoria. My research focus on the "*Development of a Model for the integrated and transversal monitoring and evaluation of Rural Development in the Limpopo Provincial Government*".

During my interview for the post that I currently hold (August 2010) I indicated in my presentation to the interview panel that I am engaging in the stated study. However, for the purposes of Ethical matters, I need to seek your permission that I can utilise information that I came across during my normal duties as employee of the Limpopo Department of Agriculture, were relevant in my studies.

I clearly understand that it excludes information that is classified as Top Secret or Confidential.

Your favourable consideration of this request would be appreciated.

Kind regards



Melina Labuschagne

Permission granted/~~Not granted~~

copy sm: Records



Mr KCM Mannya
Head of Department
Limpopo Department of Agriculture

Annexure D

**MONITORING AND EVALUATING THE
PERFORMANCE OF DEPARTMENTAL
PROGRAMMES**

**Melinda Labuschagne
Government Performance Monitoring,
Governance and Accountability Indaba
Birchwood Executive Hotel, Boksburg
18-20 April 2012**

FOCUS OF THE PRESENTATION

- Changing contexts, Changing demands
- Performance Monitoring and Evaluation System
- Programme Performance Information
Management
- Final Thought

CHANGE

“Change has a considerable psychological impact on the human mind. To the fearful it is threatening because it means that things may get worse. To the hopeful it is encouraging because things may get better. To the confident it is inspiring because the challenge exists to make things better”

King Whitney JR.

CHANGING CONTEXTS, CHANGING DEMANDS

- Democracy has resulted in transparency and accountability for government
- Citizens demand:
 - ✓ *Results over explanations*
 - ✓ *Participation over exclusion*
 - ✓ *Sustainable and integrated interventions*
- PME supports good governance:
 - ✓ *It sustains democratic principles and the democratic state*
 - ✓ *It ensures that the existence of a Department is justified by evidence of delivery*
- It forces the “so what” and “impact” questions to be asked, and demands answers

EVOLUTION OF PME

- **Pre 1994 system**
 - PME practises that emerged within the public service were rooted in providing information for state security purposes
- **1994-2004 system**
 - Concept of PME was only introduced to the South African Government post 1994, due to conditions for monitoring and evaluation not existing previously, i.e. democracy, transparency and accountability
 - 1996: Constitution of the Republic of South Africa
- **2005-2008 system**
 - During 2005 the South African Cabinet approved a process to develop a monitoring and evaluation system for use across government, termed the Government Wide Monitoring and Evaluation System (GWMES).

EVOLUTION OF PME

- **2009 system**
 - June 2009 State of the Nation Address: Announced that a Ministry in the Presidency would be established to strengthen monitoring and evaluation of service delivery and implementation of programmes by government
 - September 2009: 12 Outcomes introduced
 - January 2010: Department of Performance Monitoring and Evaluation (DPME) is functional in the Presidency
- **2011 enhanced system**
 - National Evaluation Policy Framework was published, purpose being “to promote quality evaluations which can be used for learning to improve the effectiveness and impact of government, by reflecting on what is working and what is not working and revising interventions accordingly”

MANDATES AND POLICIES

SOURCE	MANDATE/POLICY
THE CONSTITUTION OF THE RSA, ACT 108 OF 1996 Chapter 10 Section 195 (1) (f) (g)	Accountability and transparency, 'providing the public with timely, accessible and accurate information'
Constitution Section 133 (3)(b)	The members of the Executive Authority of a province must provide the Provincial Legislature with full and regular reports concerning all matters under their control. Thus the Constitution places a responsibility on the Office of the Premier to oversee and co-ordinate the development of a transversal monitoring and evaluation system in the Province.
Public Service Regulations Part III	Specifying the information system that will enable the executing authority to monitor the progress made towards achieving goals, targets and objectives (contained in the strategic plan)
Cabinet	Mandate for Provinces to develop a Province Wide Monitoring and Evaluation System (PWMES) Cabinet 2005.

MANDATES AND POLICIES

SOURCE	MANDATE/POLICY
Presidency	'Proposal and Implementation Plan for a Government-Wide Monitoring', 2005, 'Policy Framework for the Government-wide Monitoring and Evaluation System' 2007, Guide to Monitoring and Evaluation Good Practice for Premier's Offices, 2008, Green Paper on Performance Monitoring and Evaluation, Presidency 2009, National Evaluation Policy Framework 2011
National Treasury	Managing Programme Performance Information Framework, 2008
PALAMA	The PALAMA Curriculum 2009
Stats SA	Stats SA SASQAF
Provincial Government	Provincial Monitoring and Evaluation Framework Provincial Growth and Development Strategy <i>EXCO Decisions directing Provincial Departments to create PME capacity</i>

DIMENSIONS SUPPORTING THE COMPONENTS OF PME SYSTEM

DIMENSION COVERED	FOCUS
Strategic	Strategic environment in which PME is conducted
Operational	<ul style="list-style-type: none"> • Roles and responsibilities • Capacity building • Communication • Inclusion of evaluation and impact analysis
Institutional	<ul style="list-style-type: none"> • User needs assessment • Systems functionality • Electronic interfaces with other IT systems • Acquisition modality (make or buy) • Maintenance and upgrade of system • Budgeting for PME system • IT infrastructure

SWOT ANALYSIS OF PME IN DEPARTMENT BASED ON DIMENSIONS

STRENGTHS	WEAKNESS
<ul style="list-style-type: none"> ✓ MEC is the political champion on building, utilising and sustaining PME in the Department ✓ Mandates and Policies governing PME known and supported ✓ Departmental PME Framework in place 	<ul style="list-style-type: none"> ➢ Inadequate incentives for the use of PME information (e.g. budget allocation based on performance) ➢ Departmental PME capacity ➢ Limited focus on the E of PME ➢ Lack of understanding the role of PME ➢ Data quality and integrity ➢ Limited budget allocation to PME (international standard of 10%)

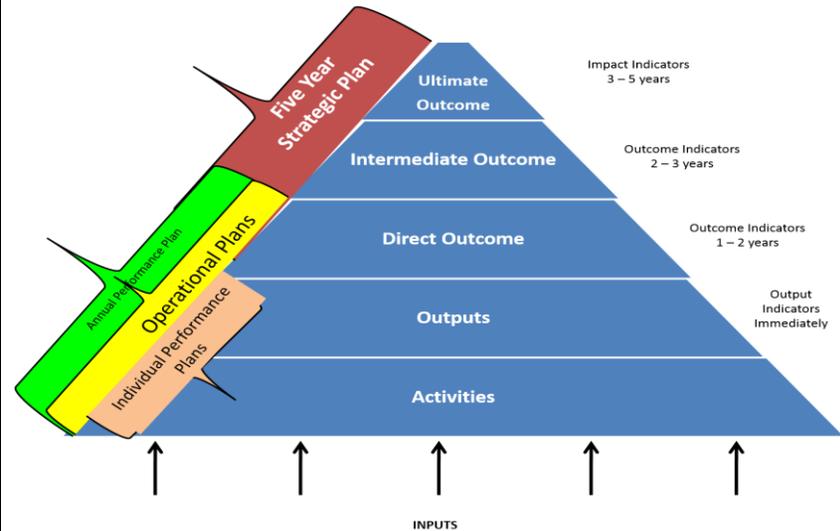
OPPORTUNITIES

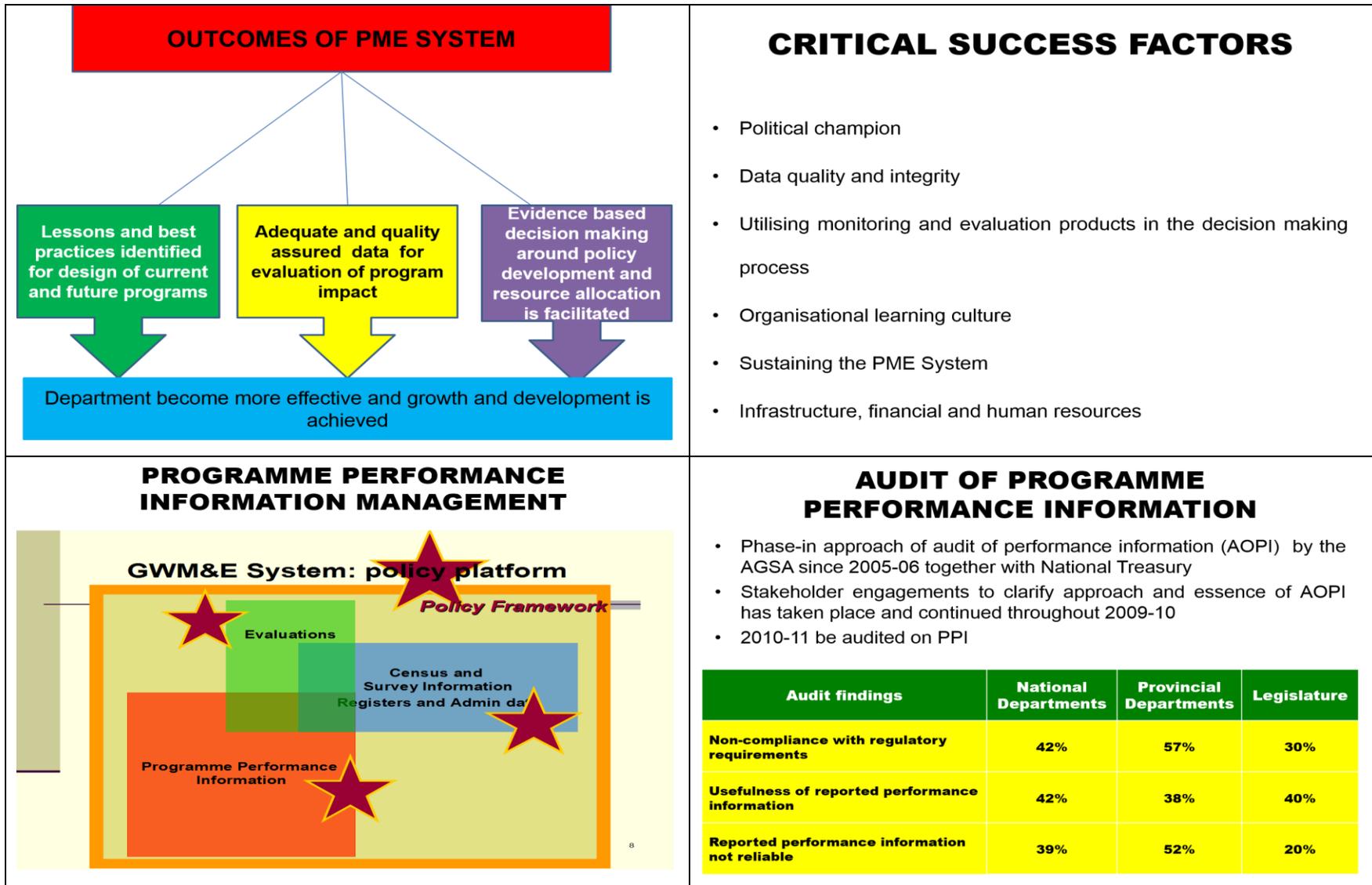
- ✓ Quality assurance of data (OtP)
- ✓ Drive to establish Knowledge Management in the Province
- ✓ National Evaluation Policy Framework
- ✓ Motivating factors to institutionalise PME (Performance agreements between President and Ministers on Outcomes, Intergovernmental Protocol between the Premier and the President, Delivery Agreement between Premier and MECs)
- ✓ Department of PME at the Presidency
- ✓ Best practises on PME
- ✓ Existing data sets
- ✓ Existing information systems
- ✓ Existing data collection instruments

THREATS

- Lack of legislation enforcing PME
- Lack of formal qualifications on PME *
- Absence of SAMEA Chapter in Province
- Limitations on indicator development from Treasury resulting in outcome and impact indicators not reflected in APPs
- Reporting fatigue
- Lack of MOU with Statistician General of Stats SA on agriculture related statistics

* Unfortunately because of lack of formal on PME qualifications there is a risk of excess staff being “dumped” in Directorate. Minister for PME in the Presidency, Collins Chabane: ‘quality of PME will be strengthened via professionalism in the form of accreditation and certification by independent bodies’. Partnerships with HE Institutions and SAMEA being developed.





DEFINITION OF PPI

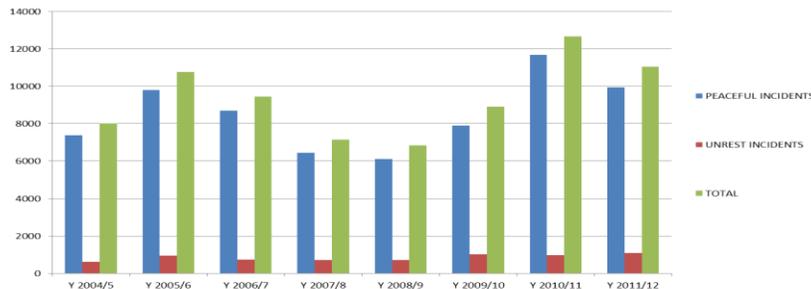
• PPI (non financial information) focuses on information that is collected by government institutions in the course of fulfilling their mandates and implementing government policies e.g. Strategic Plans, Annual Performance Plans, Quarterly Performance Reports

• **CLEAN AUDIT 2014**

CASE STUDY: AUDIT OF PERFORMANCE INFORMATION 2009/10 AND 2010/12 LIMPOPO DEPARTMENT OF AGRICULTURE

- 2009/10: Qualified audit opinion on performance information
- 2010/11: Measures put in place to manage performance information:
 - ✓ All General Managers (GMs) assume the role of Information Oversight Officers
 - ✓ Business processes are in place ensuring the coordination and submission of performance information (PI) and Means of Verification (MoV)
 - ✓ Internal control measures are in place enabling the Accounting Officer to manage and monitor the process of performance information management
 - ✓ Formation of a PI Audit Response Team
 - ✓ Process for identifying, collecting, collating, verifying and storing information
- 2010/11: Unqualified audit on performance information

CITIZENS DEMAND Social unrest in South Africa: Crowd Management Incidents



Unrest incidents hot spots: Gauteng, North West. Least incidents in Limpopo, Northern Cape

A FINAL THOUGHT

- Institutionalizing and sustaining performance monitoring and evaluation within a Department takes time and effort
- No approach is perfect, and there are many different approaches, but the journey is worth the effort and the rewards can be many

CHANGE

“*Change* has a considerable *psychological impact* on the human mind. To the *fearful* it is threatening because it means that things may get worse. To the *hopeful* it is encouraging because things may get better. To the *confident* it is inspiring because the challenge exists to make things better”

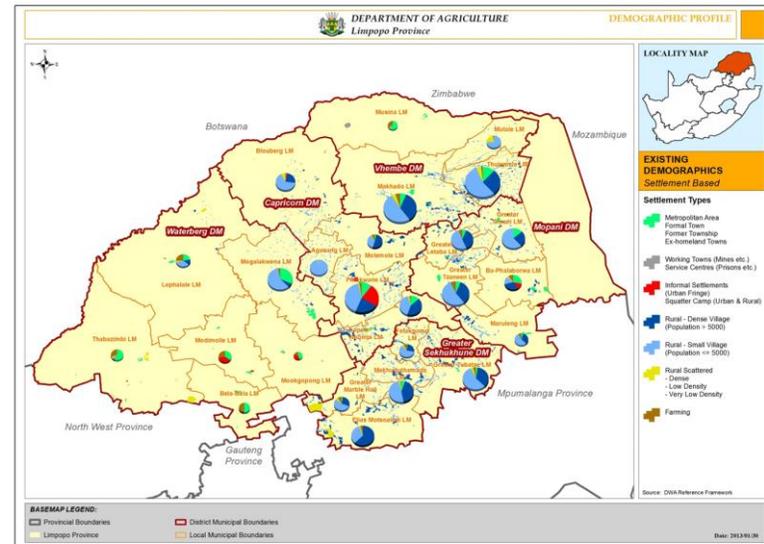
King Whitney JR.

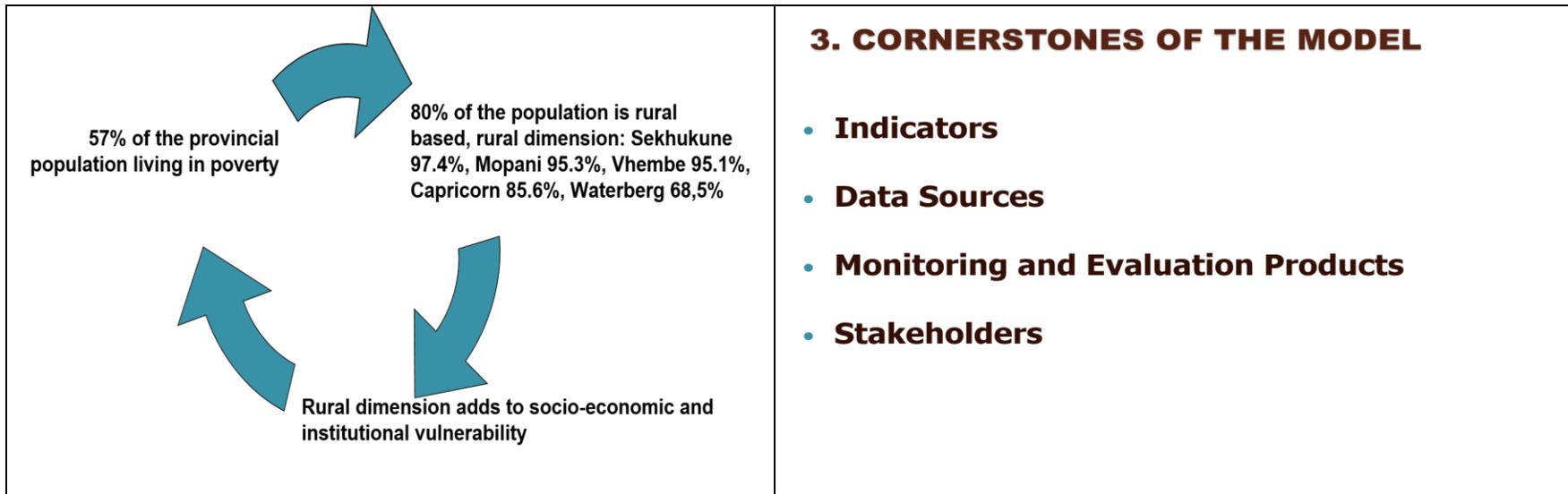
Annexure E

**MODEL FOR THE INTEGRATED AND
TRANSVERSAL MONITORING AND
EVALUATION OF RURAL
DEVELOPMENT**

**RURAL DEVELOPMENT CONFERENCE
21- 22 May 2013
Radisson Blu Hotel
Sandton
Johannesburg**

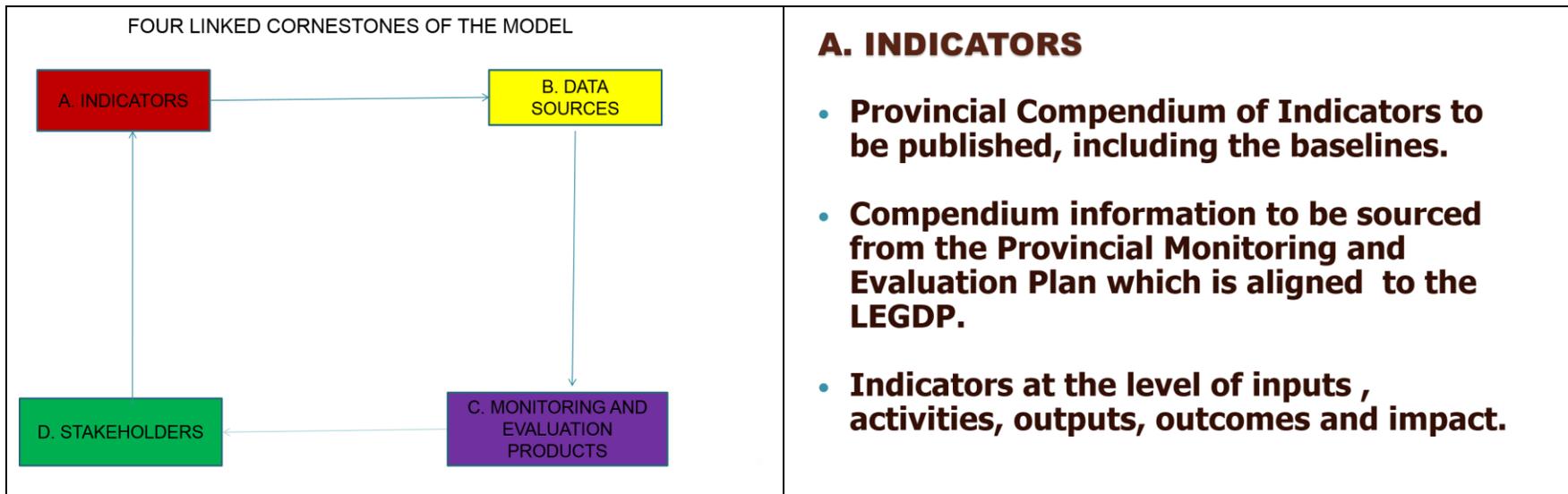
Melinda Labuschagne





3. CORNERSTONES OF THE MODEL

- **Indicators**
- **Data Sources**
- **Monitoring and Evaluation Products**
- **Stakeholders**



A. INDICATORS

- **Provincial Compendium of Indicators to be published, including the baselines.**
- **Compendium information to be sourced from the Provincial Monitoring and Evaluation Plan which is aligned to the LEGDP.**
- **Indicators at the level of inputs , activities, outputs, outcomes and impact.**

B. DATA SOURCES

- **Model incorporates data from credible and verifiable data sources:**
 - **STATS SA**
 - **Departmental databases**
 - **Surveys, etc.**
 - **Other**

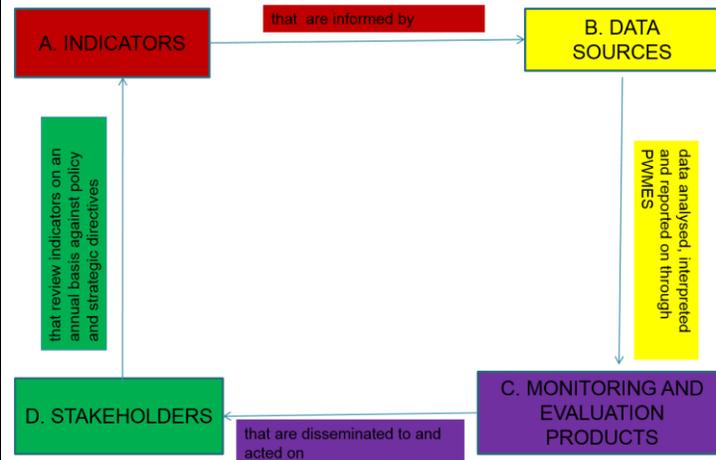
C. MONITORING AND EVALUATION PRODUCTS

- **Monitoring and evaluation products (reports) that has to be generated in relation to the stakeholders (D).**

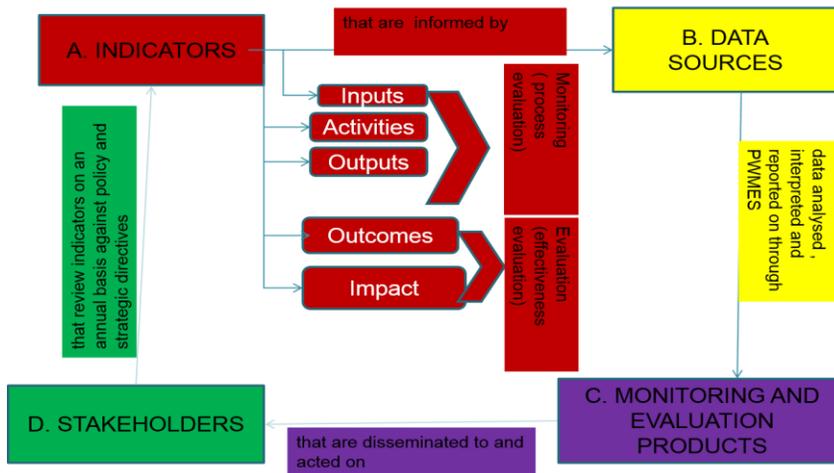
D. STAKEHOLDERS

- Monitoring and evaluation products are produced for:
 - Presidency
 - National Departments
 - Legislature
 - Premier
 - Executive Council
 - Clusters
 - Departments
 - Municipalities
 - Citizens
 - Other

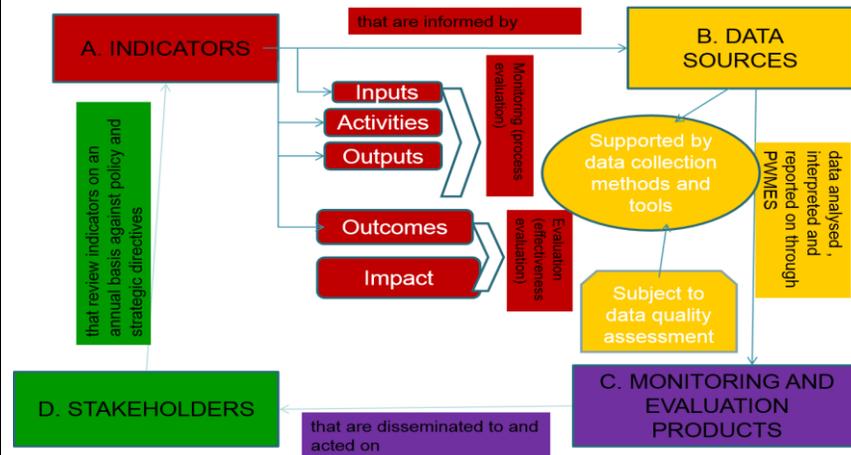
FOUR LINKED CORNESTONES OF THE MODEL

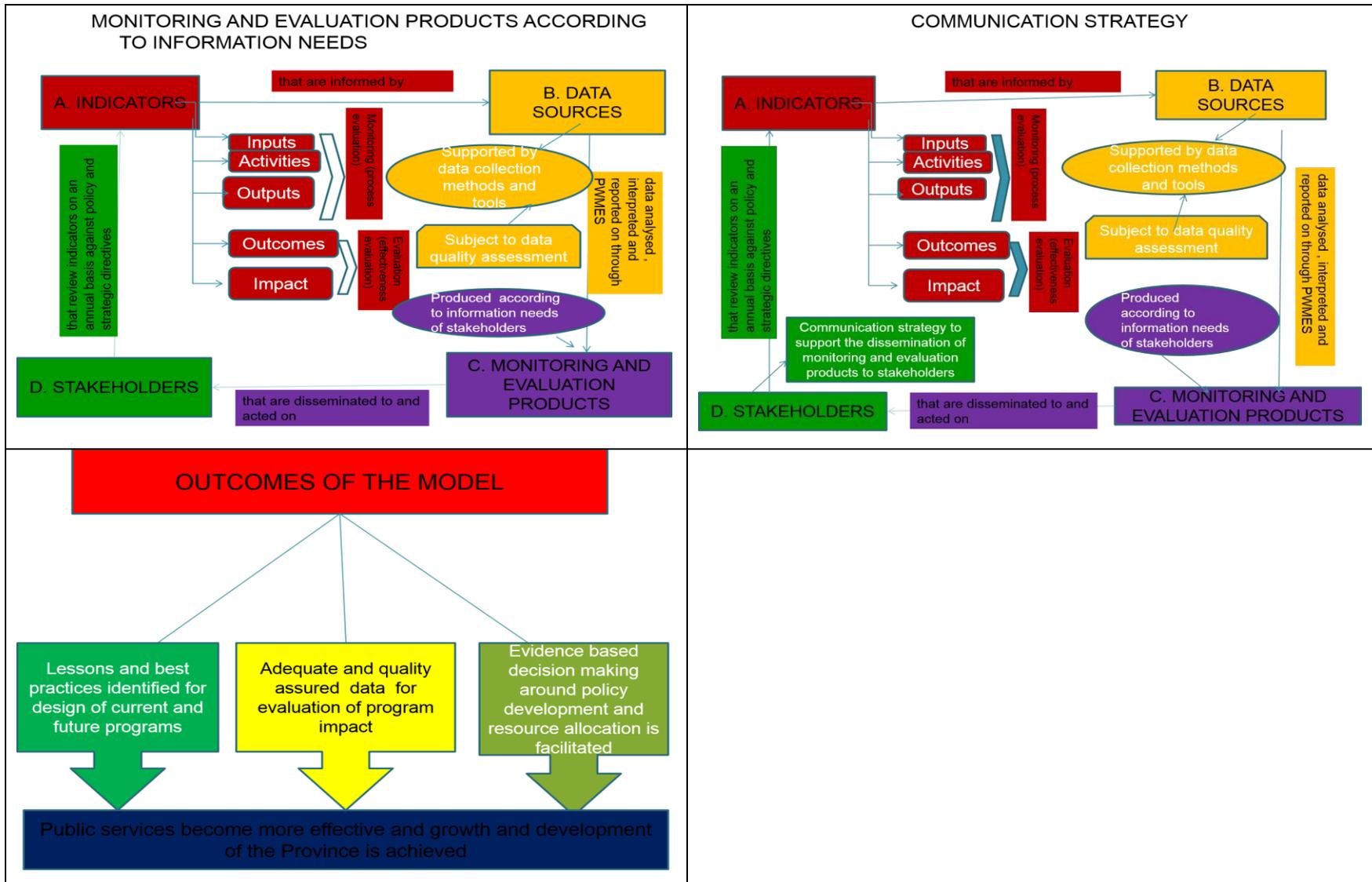


INDICATORS IN LINE WITH THE RESULTS CHAIN



QUALITY OF DATA





Annexure F

REF: MELINDA LABUSCHAGNE

ENQ. 11/10/19

DATE: 23 AUGUST 2007

TO: ALL HEADS OF DEPARTMENT
LIMPOPO PROVINCIAL GOVERNMENT

DEAR SIR/MADAM

RAPID REVIEW OF LIMPOPO PROVINCIAL GOVERNMENT'S MONITORING AND EVALUATION SYSTEMS

In response to the EXCO Decision No. 05/2006, the Office of the Premier is co-ordinating the process to “develop a comprehensive monitoring tool for all programmes”.

This development is happening against the background of monitoring and evaluation taking on increasing importance in the province as the Limpopo Provincial Government is challenged to demonstrate progress made towards meeting the Province's development needs.

As the international and national developmental goals have become more explicit, the internal and external pressure in the Limpopo Provincial Government for the development of a monitoring and evaluation approach that can provide immediate information about progress, problems, successes and impacts, has increased. There is a greater concern about correcting problems and improving performance immediately and in an ongoing way while programmes are being implemented.

The Office of the Premier is planning to hold a Provincial Monitoring and Evaluation Workshop within the next two months, where the approach on monitoring and evaluation in the Province will be discussed.

In preparation for the workshop and beyond, the Office of the Premier wishes to conduct a Review of existing government monitoring and evaluation systems in use. The findings of the Review will provide a baseline in terms of the current status quo in monitoring and evaluation in the province. These findings will be presented to stakeholders at the Provincial Monitoring and Evaluation Workshop.

Attached please find a Questionnaire asking for key information, as well as guidelines for the completion and submission of the questionnaire. Please feel free to direct any enquiries to:

Melinda Labuschagne

015 – 287 6088

084 505 0737

labuschagnem@premier.norprov.gov.za

With regard to the completion of the Questionnaire, it is requested that the HODs, through their identified monitoring and evaluation vocal persons, generate the information. Attached please also find a table indicating the monitoring and evaluation vocal persons as identified by departments. Please note which Departments failed to respond to my request dated 25 May 2007.

I would be grateful if you could submit your response to the questionnaire by the 4th of September 2007.

Your assistance and prompt response is appreciated.

Kind Regards

.....
DIRECTOR GENERAL

Annexure G

QUESTIONNAIRE: RAPID REVIEW OF LIMPOPO GOVERNMENT'S MONITORING AND EVALUATION SYSTEMS

As the international and national developmental goals have become more explicit, the internal and external pressure in the Limpopo Provincial Government for the development of a monitoring and evaluation approach that can provide immediate information about progress, problems, successes and impacts, has increased. There is a greater concern about correcting problems and improving performance immediately and in an ongoing way while programmes are being implemented. As such, monitoring and evaluation is taking on increasing importance in the province as the Limpopo Provincial Government is challenged to demonstrate progress made towards meeting the Province's development needs.

The Researcher wishes to conduct a review of existing government monitoring and evaluation systems in use. The findings of the review will provide a baseline in terms of the current status quo in monitoring and evaluation in the province.

Attached please find a Questionnaire asking for key information, as well as guidelines for the completion and submission of the questionnaire. Please feel free to direct any enquiries to:

Melinda Labuschagne
015 – 287 6088
084 505 0737
labuschagnem@premier.norprov.gov.za

With regard to the completion of the Questionnaire, it is requested that the Heads of Departments, through their identified monitoring and evaluation vocal persons, generate the information.

GUIDELINES FOR THE COMPLETION AND SUBMISSION OF THE QUESTIONNAIRE:

- This review is to be completed by the Heads of Department, through their identified monitoring and evaluation vocal persons.
- For the purposes of this review, “monitoring and evaluation systems” refers to any system that tracks or measures performance in order to promote improvements.
- Please save your responses in a new, separate MS Word document (with attachments as necessary) and email it to labuschagnem@premier.norprov.gov.za.
- Please number your responses according to the questions below.
- Enquiries should be directed to Melinda Labuschagne on 084 505 0737 or 015 287 6088.

QUESTION ONE:

- 1.1 Please describe the overall monitoring and evaluation strategy and operational approach used to assess your department's own performance and progress.
- 1.2 Please list all monitoring and evaluation products (e.g. regular reports) generated by your department and provide recent copies thereof.
- 1.3 Which of your performance indicators do you consider to be the most useful and helpful in assessing performance in your department?
- 1.4 If there is a dedicated component addressing monitoring and evaluation, please explain where it is located and how many people work in it and attach their job descriptions (or summaries). If there is no dedicated component, how is the function addressed and who is accountable?
- 1.5 Please explain what is done with monitoring and evaluation information and findings produced in your department and describe how this occurs.

To arrange for collection of hard copies of reports or document, please contact Melinda Labuschagne on 084 505 0737 or 015 287 6088.

QUESTION TWO:

- 2.1 Does your department use any software or specialized IT systems for monitoring and evaluation that need to be considered when designing the (possible) provincial system? If so, please provide a short but detailed, technical description of the system.
- 2.2 If you do have such systems in place, please identify a contact person and their telephone numbers and email address so that contact can be made with them for further information if necessary.

QUESTION THREE:

- 3.1 The Researcher would like to meet with those departments that have important monitoring and evaluation lessons to share.
- 3.2 Please provide the name and telephone numbers of a designated person that can be contacted to arrange such a meeting.

Thank you for your assistance.

Annexure H

MONITORING AND EVALUATION WORKING CYCLE 2010/2011: MONITORING, EVALUATION AND IMPACT ANALYSES

UNIT: LIMPOPO OFFICE OF THE PREMIER

SONA and SOPA	Submission of Quarterly Reports (By Departments to M and E Unit)	Provincial Quarterly Monitoring Report (By M and E Unit)	Progress Report on PGDS Targets	Meeting dates: Provincial M and E Forum (Co-ordinated by the M and E Unit)	Capacity Development on M&E	Provincial Review 2009/10	End of Year Report	Impact Study	Manual PWMES
Analyses of the SONA and SOPA: January-February 2010	15 JANUARY 2010	29 JANUARY 2010	29 JANUARY 2010	24-25 MARCH 2010	Workshop: Strategic Planning Monitoring and Evaluation of the PGDS 20-22 Jan 2010			Evaluation Strategy 2010/11 developed March 2010	Development of the Provincial Monitoring and Evaluation Plan March 2010
Quarterly Report on progress with SOPA issues: 30 April 2010	15 APRIL 2010	30 APRIL 2010	30 APRIL 2010		Training on Monitoring & Evaluation 8-12 February 2010			Process Evaluation Strategy to G&A Cluster April 2010	Review of the Provincial Monitoring and Evaluation Framework January – March 2010
Quarterly Report on progress with SOPA issues: 30 July 2010	15 JULY 2010	30 JULY 2010	30 JULY 2010	JULY 2010	Training of SASQAF March 2010			Develop and process TOR: May 2010	Baseline Study PEGDP March 2010
				SEPTEMBER 2010				Appoint consultants: June 10	Finalise reporting format for PWMES April 2010
Quarterly Report on progress with SOPA issues: 29 October 2010	15 OCTOBER 2010	29 OCTOBER 2010	29 OCTOBER 2010	DECEMBER 2010	Training on Monitoring & Evaluation October/November 2010	OCTOBER-NOVEMBER 2010	OCTOBER – NOVEMBER 2010	Commence and complete impact studies: July-March 2011	Continuous improvement of the PWMES
Quarterly Report on progress with SOPA issues: 31 January 2011	14 JANUARY 2011	31 JANUARY 2011	31 JANUARY 2011	FEBRUARY 2011					Continuous improvement of the PWMES

Annexure I

 <p>MACRO – ANALYSIS OF THE LIMPOPO PROVINCIAL GOVERNMENT</p> <p>HOD STRATEGIC PLANNING SESSION</p> <p>03 JUNE 2010</p> <p><i>The heartland of southern Africa - development is about people</i></p>	 <p>CONTENTS</p> <ol style="list-style-type: none"> 1. SCOPE OF THE PRESENTATION 2. PROFILE OF LIMPOPO 3. PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY 2004-2009 4. STATE OF THE PROVINCE ADDRESS 2009 AND 2010 5. DEPARTMENTAL PERFORMANCE 2009/10 6. MILLENIUM DEVELOPMENT GOALS 7. MOVING FORWARD BY LEARNING FROM THE PAST <p><i>The heartland of southern Africa - development is about people</i></p>
 <p>1. SCOPE OF THE PRESENTATION</p> <ul style="list-style-type: none"> • For the past sixteen years Limpopo has been on a growth path in a democratic environment . • Substantial economic growth has been registered against the backdrop of guiding policies and strategies. • However, growth will only be meaningful if it transforms the quality of life of people in the province in the areas of health, education, employment creation and poverty alleviation and ultimately eradication, to mention but a few. <p><i>The heartland of southern Africa - development is about people</i></p>	 <p>1. SCOPE OF THE PRESENTATION</p> <ul style="list-style-type: none"> • The presentation provides an indication of the progress made in the province at a macro development level in relation to the: <ul style="list-style-type: none"> ▪ Provincial Growth and Development Strategy 2004-2009 ▪ State of the Province Address 2009 and 2010 ▪ Departmental Performance 2009/10 ▪ Millennium Development Goals • The presentation concludes with issues to consider as the Province moves forward in planning for 2011/12 and the outer years <p><i>The heartland of southern Africa - development is about people</i></p>



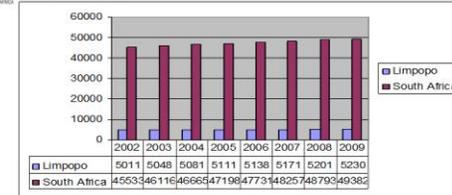
PROFILE OF LIMPOPO: Who and where are the people who's quality of life we are improving

- With 5.23 million people, Limpopo province accounts for 10.6% of the population in the Republic of South Africa which is estimated at 49,3 million.
- This makes Limpopo the fourth most populated province in the country after Gauteng, KwaZulu-Natal and the Eastern Cape respectively
- The population of Limpopo province is youthful with 35.7% (2, 5 million) being children under the age of 15 years
- Close to six out of ten people (59.6% or 3,1million) are economically active (15 – 64 years), while elderly people are in the minority making up 4.7% of the province's population
- Females constitute the majority, totaling 52.3% (2, 73 million) of the province's population

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Growth in the number of individuals in Limpopo 2002-2009



Growth in the number of households in Limpopo 2002-2009

Year	2002	2003	2004	2005	2006	2007	2008	2009
Limpopo	1081	1115	1148	1181	1216	1258	1302	1346

Data source: Stats SA General Household Survey 2002-2009

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57% of the provincial population living in poverty

80% of the population is rural based, rural dimension: Sekhukune 97.4%, Mopani 95.3%, Vhembe 95.1%, Capricorn 85.6%, Waterberg 68,5%

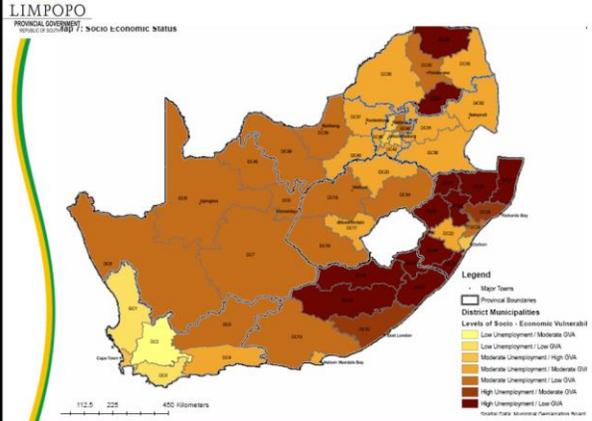
Rural dimension adds to socio-economic and institutional vulnerability

Symantec Endpoint Protection
Traffic has been blocked from this application
gchost.exe

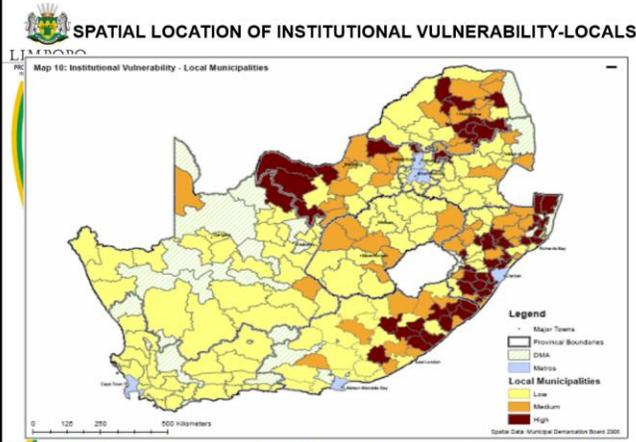
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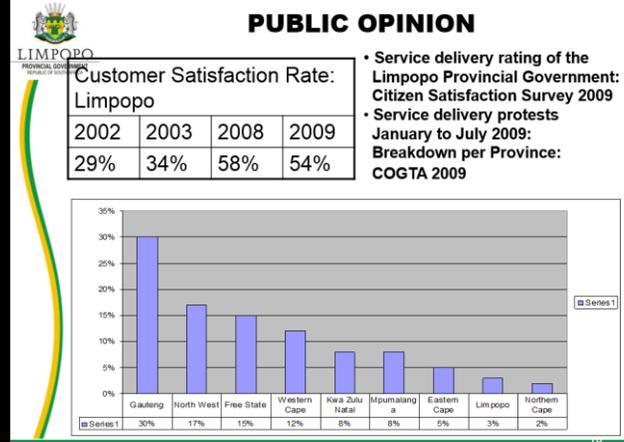
SPATIAL LOCATION OF SOCIO-ECONOMIC VULNERABILITY-DISTRICTS



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PUBLIC OPINION

- The Customer Satisfaction Survey 2009 highlights challenges identified by the public in the following areas:
 - Government programmes, services and functions are not effectively communicated.
 - Community development workers are not visible or accessible in the communities.
 - Citizens do not have confidence in the complaints management system in that their complaints will be addressed.
 - Poor access to clean water
 - Poor quality of housing and availability of houses
 - Poor availability of sports facilities
 - Poor access to economic opportunities
 - Poor municipal roads and streets
 - Lack of safety during the night
 - Poor access to disability grants

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VOTERS IN THE PROVINCE

	1999			2004			2009		
	Registered	Voted	%	Registered	Voted	%	Registered	Voted	%
Limpopo	1 847 766	1 658 694	89.8%	2 187 912	1 686 757	77.1%	4 475 217	3 574 326	79.9%
South Africa	18 177 751	15 903 743	87.5%	20 674 626	15 863 558	76.7%	23 997 997	17 919 966	77.3%

- Voters in national and provincial elections in the province
- Total population of at least 18 years of age

Source: Report on the National and Provincial Elections 1999/2004, 2006 Independent Electoral Commission (IEC)

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3. PROVINCIAL GROWTH AND DEVELOPMENT STRATEGY 2004-2009

Since 2004 the Provincial growth and Development Strategy (PGDS) guides development in the province in line with strategic objectives:

- Objective one: Improving the quality of life
- Objective two: Job creation and economic growth
- Objective three: Improving institutional efficiency
- Objective four: Cross cutting issues
- Objective five: Regional integration

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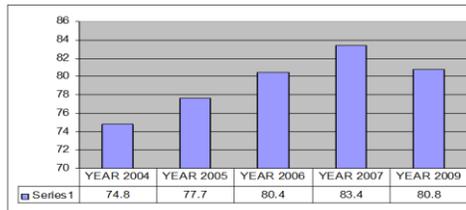
IMPROVING THE QUALITY OF LIFE

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HOUSEHOLD ACCESS TO WATER

- **Indicator:** Percentage of households with access to piped water on or within 200 meters of their dwelling
- **Trend analysis:** Decline in progress between 2007 and 2009. Concerns around the quality of water and the frequency of the supply. Key challenges are constraints on bulk water supply, shortage of skills for the operation and maintenance of water reticulation systems and the remote location of settlements
- **Data source:** Stats SA, General Household Survey, 2009

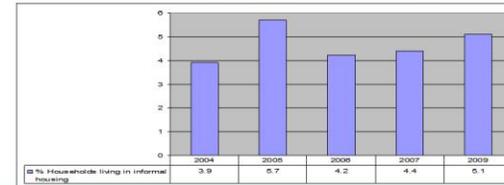


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ACCESS TO HOUSING

- **Indicator:** Percentage of Households living in Informal Housing (Shacks)
- **Trend analysis:** Even though there were some annual fluctuations, the Limpopo informal housing profile remained largely the same between 2004 and 2009. The proportion of households living in shacks in Limpopo in 2009 is considerably lower than the national proportion (13.4%).
- **Data source:** Stats SA, General Household Survey, 2009

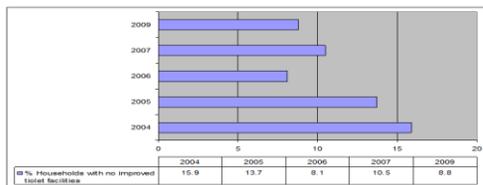


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ACCESS TO SANITATION

- Indicator:** Percentage of Households with no improved toilet facility
- Trend analysis:** Steady progress has been made, but more than 8% of households are still without improved sanitation facilities. Critical for sanitation facilities to be able to adequately support the numbers of users, as this has important health implications
- Data source:** Stats SA, General Household Survey, 2009

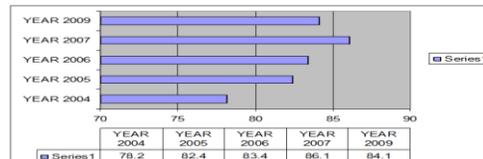


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ACCESS TO ELECTRICITY

- Indicator:** Percentage of households connected to the main electricity supply
- Trend analysis:** (National) target is to achieve universal access to electricity by 2012. Current rate of progress is encouraging.
- Data source:** Stats SA, General Household Survey, 2009



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EDUCATION

	2007	2008	2009
Illiteracy rate %	17.58	19	19.1
% of Grade 3 learners with acceptable numeracy outcomes	24	35	36
% of Grade 3 learners with acceptable literacy outcomes	29	29	37
% of Grade 6 learners with acceptable maths outcomes	*	*	28
% of Grade 6 learners with acceptable language outcomes	*	*	26
Grade 12 pass rate %	58	54.3	49
Grade 12 pass rate for mathematics %	47.6	36.9	39.3
Grade 12 pass rate for physical science %	57.8	51.2	31.8
Number of learners placed in learnerships at FET Colleges	595	657	862

SOURCES: Department of Education Performance Plan 2009-12, Annual National Analysis (ANA); Southern and Eastern Africa Consortium for Monitoring Education Quality (SACMED)
* Statistics not yet available from the National Department of Education

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TREND ANALYSIS ON EDUCATION

- Attendance of learning centers and early childhood development exposure for 0 to 4 year olds have increased year on year and is in line with the national trend
- 92.2 % of the school going population is attending school as opposed to 88.1% nationally.
- The province is falling behind nationally with regard to the attendance of higher education institutions
- 68,6% of children attending public schools are benefiting from the school nutrition programme
- Year on year the percentage of persons aged 20 years and older with no formal education have decreased (2002: 20,4% to 2009: 13,9%)

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HEALTH

	2007	2008	2009
Mortality rate children < 5	54.9/1000	53.6/1000	52.8/1000
Life expectancy at birth	2001-2006		2006-2011
	Male 51.5 Female 55.6		Male 52.6 Female 55.8
Number of malaria cases	2 200	4 500	2 500
Malaria case fatality rate	0.42	0.8	0.5

Source: Department of Health Annual Report 2009/10
Presidency Development Indicators 2009

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TREND ANALYSIS ON HEALTH

- Population is being served by an increasing number of health professionals, except in the Sekhukune district
- Clinics providing 24 hour services have increased from 74% (2008) to 78% (2009)
- The immunisation rate has increased from 84.3 (2008) to 90.7 (2009)
- Nationally tuberculosis is the most prevalent condition with the provincial cure rate at 64%
- Number of Emergency Medical Services (EMS) stations ambulances have improved, resulting in increased response time.

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SERIOUS CRIME INCIDENTS

- **Indicator:** Percentage reduction of crimes
- **Trend analysis:** Increase in murder and sexual crimes between 2003 and 2008, decline in assault, robbery and burglary at residential properties cases. Commercial crime, burglary at business premises and drug related crimes have increased
- **Data source:** SAPS Provincial Crime Statistics April 2003- March 2009

Selected crime category	2003/04	2004/05	2005/06	2006/07	2007/08	2008/09
Murder	690	733	688	747	696	751
Sexual crimes	4 491	5 070	4 671	4 780	4 528	4 685
Burglary (business premises)	5 506	4 994	4 782	4 763	5 501	6 343
Burglary (residential)	13 701	13 569	12 839	12 427	11 857	12 398
Commercial crimes	1 992	1 984	1 950	2 316	2 367	2 827

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TELECOMMUNICATIONS

- **Indicator:** Percentage of Households with access to telecommunications
- **Trend analysis:** Limpopo has shown improvements in terms of access to telephone services. Population benefited from the introduction and expanded access of mobile services over the decades. Percentage of households with a landline or mobile phone in the dwelling has risen dramatically. Cellular phone usage as the only means of telecommunication is the highest in Mpumalanga (80.8%) and Limpopo province (79.7%). Nearly a quarter of South African households (23.5%) have at least one member who uses the internet either at home, work, place of study, or internet cafes.
- **Data source:** Stats SA, General Household Survey, 2009
Provincial Treasury Socio-Economic Review 2010

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JOB CREATION AND ECONOMIC GROWTH

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LABOUR FORCE CHARACTERISTICS

	Sept. 2005	Sept. 2006	Sept. 2007	Oct-Dec. 2009	Jan-March 2010
Labour Force	1,247,000	1,143,000	1,199,000	1,245,000	1,174,000
Persons employed	871,000	777,000	868,000	910,000	859,000
Persons unemployed	375,000	365,000	331,000	335,000	315,000
Unemployment Rate: Limpopo%	30.1	32	27.6	26.9	26.8
Unemployment Rate: SA%	26.7	25.5	23	24,3	25.2

Source: Statistics SA Labour Force Surveys, 2010 First Quarter

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LABOUR FORCE CHARACTERISTICS

- Of the 315 000 unemployed people in the province, 22 700 of them are youth, translating to 88%
- The province experienced a decrease of 0,1 percentage points in the unemployment rate which translates into about 51 000 jobs
- The Expanded Public Works Programme (EPWP) plays a critical role in job creation
- Programme created 54 984 job opportunities during 2009/10
- Estimated to create 60 000 job opportunities in 2010/11
- Shortcoming of the EPWP is that the job opportunities created are temporary.

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ECONOMIC GROWTH RATE

- Limpopo real growth at 2% per annum
- GDP growth in 2009 is -1.8%, down from 4.9% (2007) and 5.4% (2006)
- Output contribution to national Gross Value Added (GVA) has decreased from 6.82% (1998) to 6.46% (2008)
- Agriculture % of GDPR: 2.7%
- Mining % of GDPR: 22.9%
- Tourism % of GDPR: 3.0%

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CAPITAL EXPENDITURE BY PROVINCIAL GOVERNMENT R'000

DEPARTMENT	2004	2005	2006	2007	2008	2009
Education	416,480	367,364	450,738	388,852	397,880	609,213
Agriculture	52,493	201,246	238,211	267,102	174,401	194,998
LEDET	-	-	36,376	5,000	3,101	500
Health	237,955	275,498	474,175	439,024	379,371	642,472
Roads & Transport	952,449	1,152,058	1,293,429	1,527,675	1,474,165	1,284,344

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CAPITAL EXPENDITURE BY PROVINCIAL GOVERNMENT R'000

DEPARTMENT	2004	2005	2006	2007	2008	2009
Public Works	48,883	97,506	72,361	80,814	52,304	61,547
Local Government & Housing	318,023	443,000	813,145	653,678	633,176	824,806
Social Development	60,915	32,147	39,388	40,000	41,353	96,810
Sports, Arts and Culture	-	-	7,826	5,941	14,987	24,368
TOTAL	2,087,198	2,568,819	3,425,649	3,417,086	3,170,729	3,728,058

•Total budget for 2009 was R34,5bn.

•Low capital expenditure: 10,9% of the budget.

Source: Limpopo Provincial Government Budget Statements 2009/2010

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CAPITAL INVESTMENT

- **Indicator:** Increase capital investment
- **Trend analysis:** Province is benefiting from the 2010 FIFA World Cup public investment infrastructure development. The drop in capital expenditure by the mining sector is balanced out by the construction of the Medupi Power Station. Capital investment has increased between 2008 and 2009, but will drop after 2014 unless new capital projects are facilitated.
- **Data source:** Glen Steyn and Associates 2010

SECTOR	2008	2009
Agriculture	100	100
Mining-mainly platinum	8,600	3,040
De Hoop Dam	1,000	660
Medupi Power Station	2,000	13,300
Peter Mokaba Stadium	420	500
Roads Agency Limpopo	1,281	1,500
Tourism	100	100
TOTAL	13,501	19,200

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LAND REDISTRIBUTION AND RESTITUTION

- **Indicator:** Number of hectares redistributed through the land reform programme
- **Trend analysis:** 114 214 hectares of land has been redistributed in the province since 2001, not achieving the target of 30%. Challenges is experienced with regard to the sustained production on the transferred farm, placing a strain on the capacity of the Department of Agriculture. Restitution claims outstanding consists of the more complex ones
- **Data source:** Land Restitution Statistics in Limpopo, Source: Report to Minister from Limpopo RLCC, 2008

Total number lodged in Limpopo	5818	6045
No of claims inherited from Mpumalanga	227	
Total after consolidation		3823
Total settled including dismissed		2939
Claims outstanding		884
Hectares restored		409,652
Land cost		R1, 820,564,853
Nr of beneficiaries		190,602

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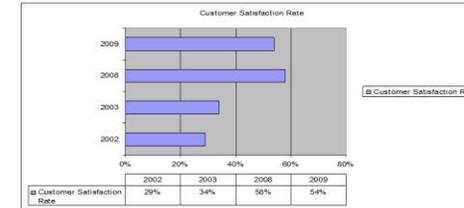
IMPROVING INSTITUTIONAL EFFICIENCY

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CUSTOMER SATISFACTION

- **Indicator:** Percentage rate of customer satisfaction
- **Trend analysis:** The customer satisfaction rating has dramatically improved since 2002 with a slight drop during 2009. Survey has indicated that residents of the Sekhukune district registers the lowest satisfaction rate
- **Data source:** Customer Satisfaction Survey 2009, Office of the Premier

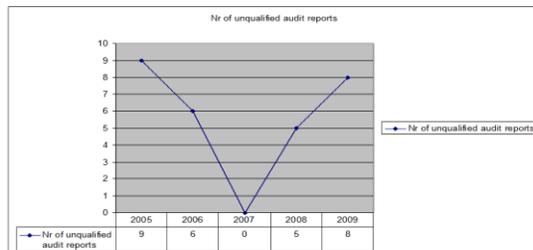


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FINANCIAL MANAGEMENT

- **Indicator:** Number of unqualified provincial department audit reports
- **Trend analysis:** During 2004/05 the number of unqualified reports were nine, decreasing to six during 2005/06. During 2006/07 none of the departments received unqualified reports. 2007/08 produced five unqualified reports and eight during 2008/09.
- **Data source:** Limpopo Provincial Treasury 2008, 2009

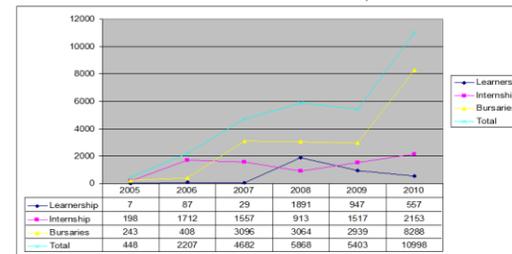


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SKILLS DEVELOPMENT

- **Indicator:** Implementation of the Provincial Human Resource Development Strategy
- **Trend analysis:** The number of bursaries has increased each year since 2005. Learnerships and internships have been increasing albeit in a fluctuating manner. Need to continue building skills, focus on skills that have been identified as scarce within the Province
- **Data source:** Office of the Premier 2008, 2010



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TREND ANALYSIS ON IMPROVING INSTITUTIONAL EFFICIENCY

- The quality of financial management and reporting in departments has improved during the past three years
- Cause for concern at the municipal level: Unqualified number of municipal audit reports stands at four
- Budget rollovers: Unspent amounts at the end of each financial year since 2004 have been reduced for the province as a whole
- At end of March 2010 5 008 vacancies existed in the Provincial Administration, added concern is the high turnover rate and the loss of institutional memory
- Monitoring and evaluation capacity: Only 4 out of 11 departments have monitoring and evaluation units
Office of the Premier (transversal, not internal); LEDET; Health and Social Development and Local Government and Housing (external, not internal)
- None of the Municipalities have monitoring and evaluation units

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CROSS CUTTING ISSUES

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POVERTY

- **Indicator:** Percentage of population living below R238 per month poverty lines (in 2008 constant rand)
- **Trend analysis:** During 2004/05 the number of unqualified reports were nine, decreasing to six during 2005/06. During 2006/07 none of the departments received unqualified reports. 2007/08 produced five unqualified reports and eight during 2008/09.
- **Data source:** Presidency Development Indicators 2009 (IES: Income and Expenditure Survey)

	2008 Mid-year population estimates	2008 IES	People living in poverty
Limpopo	5 274 836	34%	1 793 444
South Africa	48 687 323	22%	10 711 211

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POVERTY

- During 2007 an audit was conducted on the Poverty Alleviation Projects implemented by Departments in the Province since 1994 and 2006 (refer next slide)
- These project interventions were found to be generally not effective (approximately a third of these projects are dormant)
- Based on lessons learned the War Room on Poverty was launched in the province during 2008 (more comprehensive and sustainable approach)
- Comprehensive Rural Development Programme piloted in the province

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POVERTY PROJECTS IMPLEMENTED

1994-2006

	TOTAL PROJECTS	ACTIVE PROJECTS	DORMANT PROJECTS
BOHLABELA	216	161	55
CAPRICORN	194	116	78
MOPANI	163	130	33
SEKHUKHUNE	117	81	36
VHEMBE	272	216	56
WATERBERG	114	76	38
TOTAL	1076	779	296

The 1 076 total includes projects implemented under Bohlabela District which now falls under Mpumalanga Province. Thus, 860 projects fall within Limpopo Province's area of jurisdiction. Date to be updated during 2010 in conjunction with the University of Venda

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SOCIAL GRANTS

- **Indicator:** Percentage of individuals and households benefitting from social grants
- **Analysis:** The payment of social grants to eligible persons are making a significant contribution to poverty reduction in the province, particularly in the rural areas
- **Data source:** Stats SA, General Household Survey, 2009

	Grants persons	Grants households
Limpopo	34,8%	59,4%
South Africa	28,3%	45,8%

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REGIONAL INTEGRATION

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REGIONAL INTEGRATION

COUNTRY AND/OR REGION/PROVINCE	OUTCOME OF THE MEMORANDUM OF UNDERSTANDING
Zimbabwe's Matebeleland South & North	•Communicable disease control •Tourism cooperation •Trans-frontier Parks
Mozambique's Gaza Province	•Communicable disease control & case management •Agricultural cooperation •Trans-frontier Parks
India's Anhui and Punjab Region	•Economic investments •Mechanization
France's Rhone Alpes Region	•Women empowerment •Hospital twinning
Namibia	•Economic development
Finland (National agreement)	•Information society strategy development
Italy's Marche Region	•Food park
Cuba	•Training of doctors and provision of engineers and doctors.

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REFLECTION OF KEY CHALLENGING AREAS FROM PGDS 2004-2009

- Challenges that are being experienced in implementing PGDS objectives includes:
 - Skills shortages
 - Bulk infrastructure supply
 - Remote location of settlements
 - Lack of intergovernmental co-ordination
 - Crises management instead of strategic management
- The institutional architecture that was created for the management of the PGDS was not effective
- Cluster working groups were not formed
- Existing fora were not fully utilised as part of the mainstream development planning and implementation process

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4. STATE OF THE PROVINCE ADDRESS 2009

Implementation Period	No of Issues Raised	Completed	Good Progress	Unsatisfactory Progress	No Progress
5 Years	10	-	10	-	-
2009/10 Multi-Year	52	-	44	7	1
2009/10 Once-Off	23	9	12	2	-
TOTAL	85	9	66	9	1

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REFLECTION OF KEY CHALLENGING AREAS FROM SOPA 2009

- Pronouncing on programmes which are a national competence resulted in limited performance, e.g. Land redistribution.
- Progress on ICT programmes in schools (e-mails, computer literacy etc) is poor. Need to develop a comprehensive plan and set aside budget for it.
- Develop a recovery plan to deal with the current performance on the Matric pass rate.
- Set aside at least 10% of capital expenditure for maintenance (e.g. some of the state of the art schools are already in serious problems in this regard).
- Labour intensive methods of service delivery to create more jobs.
- Active participation by all in the implementation of the Municipal Turn Around Strategy by COGTA.
- Commitment in the implementation of the LEGDP to the benefit of our communities.

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SUMMARY OF 2010 SOPA PRONOUNCEMENTS

DEPARTMENT	NO OF PRONOUNCEMENTS	DEPARTMENT	NO OF PRONOUNCEMENTS
Office of the Premier	23	Safety, Security and Liaison	5
Provincial Treasury	3	Roads and Transport	7
Public Works	3	Economic Development, Environment and Tourism	10
Health and Social Development	10	Agriculture	4
Education	6	Sports, Arts and Culture	0
Local Government and Housing	14		
Total = 85			

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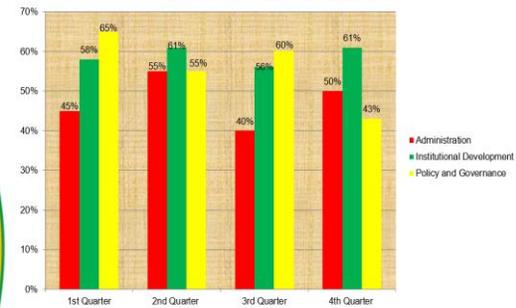
5. DEPARTMENTAL PERFORMANCE 2009/10

- Moving the Province forward, Departments were implementing programmes aligned to the PGDS.
- Departmental performance is monitored through the Provincial Quarterly Monitoring Report
- Following slides reflects the progress as per quarter made by Departments against set targets during the 2009/10 financial year.
- Source documents for the analysis are Annual Performance Plans and Quarterly Reports

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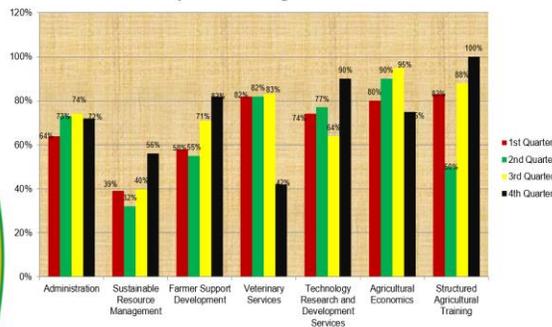
Office of the Premier : Vote 1



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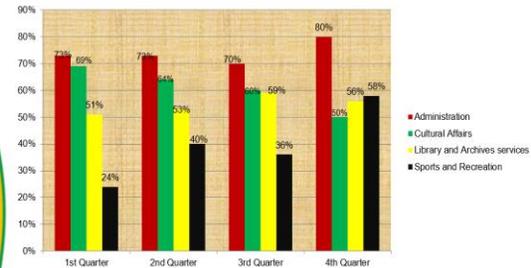
Department of Agriculture : Vote 4



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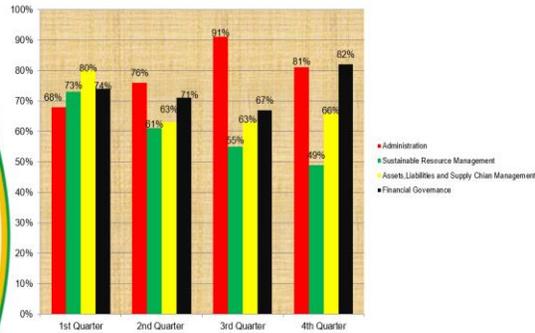
Department of Sports Arts and Culture: Vote 13



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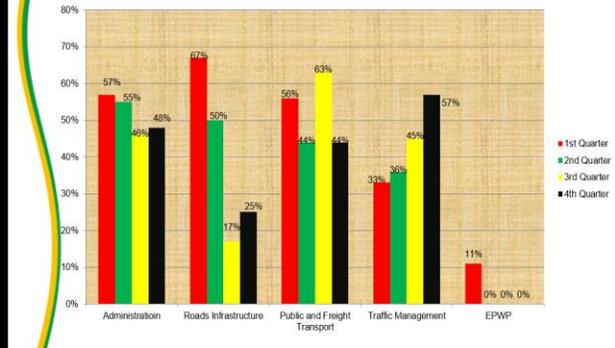
Limpopo Provincial Treasury: Vote 5



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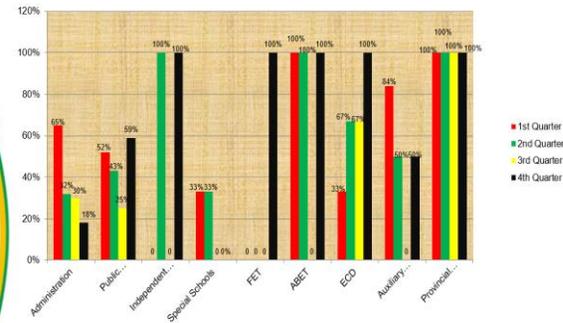
Department of Roads and Transport: Vote 8



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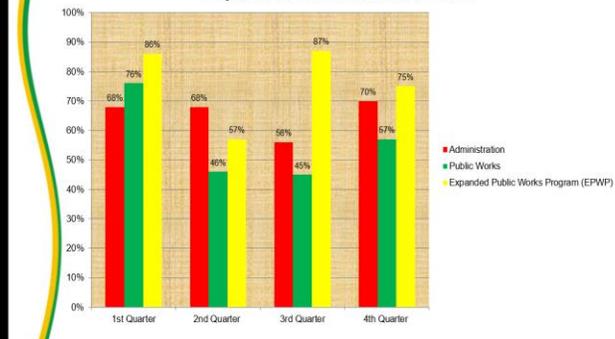
Department of Education: Vote 3



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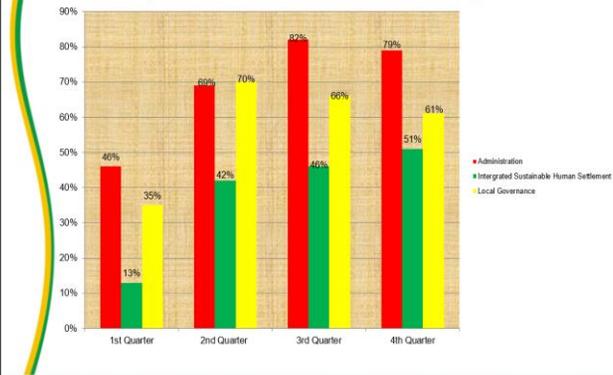
Department of Public Works: Vote 9



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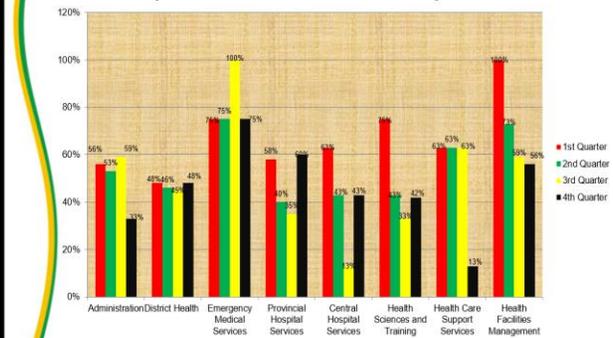
Department of Local Government and Housing: Vote 11



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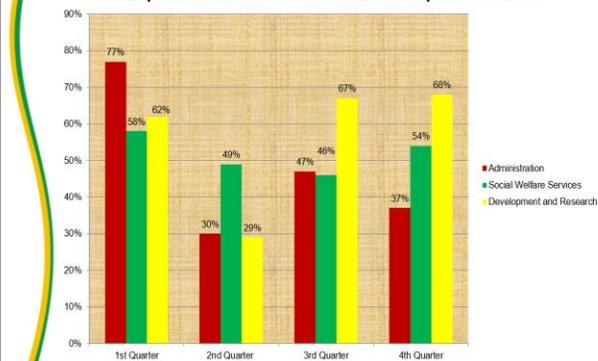
Department of Health and Social Development: Vote 7



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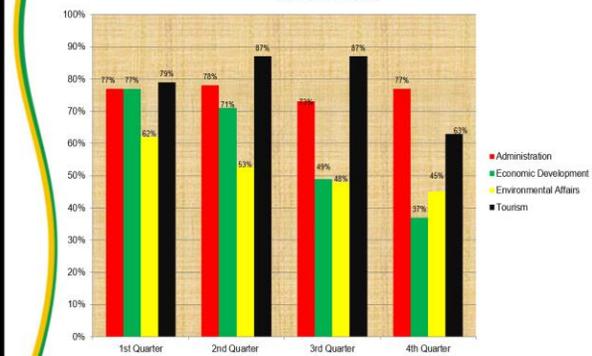
Department of Health and Social Development: Vote 12



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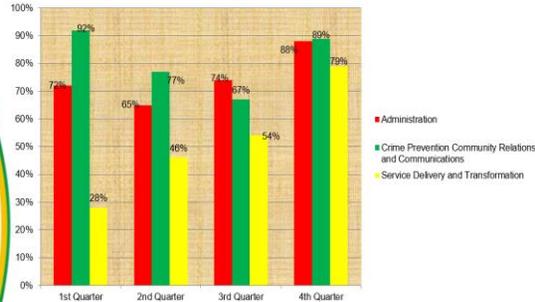
LEDET: Vote 6



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Department of Safety, Security and Liaison: Vote 11



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REFLECTION OF KEY CHALLENGING AREAS ON DEPARTMENTAL PERFORMANCE 2009/10

- Some of the challenges which cut across departments are :
 - Financial constraints which result in cutting of budgets in some programmes/ projects
 - Institutional arrangements (management issues)
 - Human capacity constraints both internally and within departments
 - The transversal nature of service delivery

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6. MILLENNIUM DEVELOPMENT GOALS

- Limpopo province in South Africa is part of the global village and as such strive towards the attainment of the millennium Development Goals (MDGS)
- The MDGs provide benchmarks for measuring global progress on key development outcomes
- As South Africa was slightly more untouched by the global recession than other countries, development efforts towards the goals remains on track

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MILLENNIUM DEVELOPMENT GOALS

GOAL	SOUTH AFRICA	LIMPOPO
Eradicate extreme poverty and hunger	20% of households have inadequate or severely inadequate access to food.	12% of households have inadequate or severely inadequate access to food.
Achieve universal primary education		
Promote gender equality, empower women	Women members of Parliament Legislatures: 43% (2009)	Women members of Provincial Legislatures: 47% (2009)
Reduce child mortality	45.7/1000	52.8/1000

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MILLENIUM DEVELOPMENT GOALS

GOAL	SOUTH AFRICA	LIMPOPO
Improve maternal health	400/100 000 live births	
Combat HIV/AIDS, malaria, other diseases	HIV/AIDS prevalence rate 29.3%	HIV/AIDS prevalence rate 21 %
Ensure environmental sustainability	Emphasis on the Green Economy	Emphasis on the Green Economy
Develop a partnership for global development	Bilateral, trilateral and multilateral agreements to advance policy priorities	MOUs implemented regionally and internationally in line with provincial growth strategy

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7. MOVING FORWARD BY LEARNING FROM THE PAST

- Limpopo has not been left unaffected by the prevailing global socio-economic conditions
- In moving forward more attention should fall on the principles of the National Spatial Development Plan of promoting economic growth through investment in growth points and improving the quality of life of people through investment in basic needs.
- More emphasis than ever is placed on integrated planning, implementation and monitoring and evaluation
- The focus is now on achieving service delivery through a sector approach, with resulting intergovernmental implications.
- The inputs and outputs from more than one department contributes to the outcomes of a development intervention.
- A case in point is rural development, where the South African Government aims to address rural development through a cross-sectoral and multi-occupational diversity of programmes

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