



UNIVERSITEIT VAN PRETORIA  
UNIVERSITY OF PRETORIA  
YUNIBESITHI YA PRETORIA

***ANALYSIS OF MONITORING AND EVALUATION  
SYSTEMS:  
A CASE STUDY OF TANZANIA'S LOCAL GOVERNMENT***

**BY**

**JOSEPHINE ROGATE KIMARO**

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UNIVERSITY OF PRETORIA**

**PROMOTERS:**

**PROF. DAVID J. FOURIE & DR. MICHEL TSHIYOYO**

**FEBRUARY 2018**

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## **ABSTRACT**

The study on analysis of monitoring and evaluation (M&E) systems in Tanzania's local government aims at unfolding institutionalisation of the same as a systematic, well-conceptualised phenomenon. The study investigated the following research objectives: establish factors contributing to or deterring institutionalisation of M&E; assess operationalisation of M&E; establish the relationship between level of institutionalisation of M&E and performance management; and ascertain prerequisites and an environment that supports effective M&E systems. This study applied the qualitative research method and the purposeful sampling technique, involving five Local Government Authorities (LGAs).

Analysis shows the state of, and operationalisation of M&E systems as not desirable for bringing about desired results. Findings indicate that LGAs acknowledge the importance of M&E; however, they lack well-established, integrated, and institutionalised systems. Weaknesses exist in M&E regulatory frameworks, institutional arrangements at all levels of government, data collection, analysis procedures, and M&E databases. Findings indicate inadequacies related to plans, thereby leading to the collection of performance information at input, activity and output levels only. LGAs produce a substantial number of repetitive and duplicated performance reports, while the LGA executive and political structure avoids referring to M&E performance information in decision-making forums. The study further noted that LGAs do not conduct performance evaluation studies.

The study proposes an ideal local government M&E framework that adopts an approach of instituting six elements of institutionalisation of M&E. The proposed local government M&E framework connects LGAs with national vision, strategies and plans; national M&E agenda and priorities and; the performance management system. The study recommends steps towards implementing the proposed framework, which include political commitment; creating demand for M&E information; increased M&E budget; capacity building of both M&E information supply and demand sides; harmonisation and development of M&E regulatory frameworks and; setting appropriate structural arrangements to support M&E.

## **DEDICATION**

This academic work is dedicated to the families of: Kimaro, Lema and Laidesoni.

To the Kimaro family, this work challenges you to pursue further education, contribute in the academic fraternity, and lead towards a positive change in Tanzania and the world.

To my husband and children: let the sky be your limit, and I am so proud of you.

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## ACRONYMS AND ABBREVIATIONS

AfrEA	African Evaluation Association
AP	Action Plan
APPs	Annual Performance Plans
BMF	Benjamin Mkapa Foundation
BRN	Big Results Now
BPR	Business Process Reengineering
CAG	Control and Auditor General
CBP	Capacity Building Plan
CBG	Capacity Building Grant
CC	City Council
CCHP	Comprehensive Council Health Plan
CCM	<i>Chama Cha Mapinduzi</i>
CDP	Capacity Development Project (CDP)
CDR	Council Development Report
CHADEMA	<i>Chama cha Demokrasia na Maendeleo</i>
CIDA	Canadian International Development Agency
CFR	Council Financial Report
CJ	City of Johannesburg
CLEAR	Regional Centres for Learning on Evaluation and Results
CMT	Council Management Team
CRT	Council Reform Team
CSC	Client Service Charter
CSRP	Civil Service Reform Programme
DC	District Council
DCC	Dar es Salaam City Council
DED	District Executive Director
DeLOG	Decentralisation and Local Governance
DPs	Development Partners
DPME	Department of Planning Monitoring and Evaluation
DPASA	Department of Public Service and Administration
ECA	Economic Commission for Africa
EMIS	Education Management Information System

ERP	Economic Recovery Programme
FGDs	Focus Group Discussions
FY	Financial Year
FYDPs	Five Year Development Plans
GPSA	Government Procurement Services Agency
GWM&E	Government Wide Monitoring and Evaluation
GWMES	Government Wide Monitoring and Evaluation System
HIV	Human Immuno-Deficiency Syndrome
HMIS	Health Management Information System
HR	Human Resources
ICT	Information and Communication Technologies
IDPs	Integrated Development Plans
IMC	Ilala Municipal Council
IS	Information Systems
KDC1	Karatu District Council
KDC2	Kasulu District Council
KRAs	Key Result Areas
LAAC	Local Authority Accounts Committee
LAN	Local Area Network
LG	Local Government
LGAs	Local Government Authorities
LGDG	Local Government Development Grant
LGMC	Local Government Management Checklist
LGMD	Local Government Monitoring Database
LGRP	Local Government Reform Programme
LGTI	Local Government Training Institute
M&E	Monitoring and Evaluation
MC	Municipal Council
MD	Municipal Director
MDAs	Ministries, Independent Departments and Executive Agencies
MDBs	Ministerial Delivery Bureaus
MDBs	Ministerial Delivery Bureau
MEC	Members of the Executive Council
MED	Monitoring and Evaluation Department



MFDP	Ministry of Finance and Development Planning
MoEVT	Ministry of Education and Vocational Training
MoF	Ministry of Finance
MOGs	Methodological and Operational Guidelines
MoHSW	Ministry of Health and Social Welfare
MPAT	Management Performance Assessment Tool
MSPNDV	Ministry of State for Planning, National Development and Vision 2030
MTEF	Medium Term Expenditure Framework
MTP	Medium Term Plan
MTSF	Medium Term Strategic Framework
MTSP	Medium Term Strategic Plan
MTSPB	Medium Term Strategic Plan and Budgeting
MTSPBM	Medium Term Strategic Plan and Budgeting Manual
NAO	National Audit Office
NBS:	National Bureau of Statistics
NDP	National Development Plan
NEPF	National Evaluation Policy Framework
NES	National Evaluation System
NMES	National Monitoring and Evaluation System
NIMES	National Integrated Monitoring and Evaluation System
NPG	New Public Governance
NPM	New Public Management
NSGRP	National Strategy for Growth and Reduction of Poverty
NT	National Treasury
NTC	Njombe Town Council
NWS	Neo-Weberian State
OC	Other Charges
O&M	Operations and Management
OECD	Organisation for Economic Cooperation and Development
OPRAS	Open Performance Review and Appraisal System
PA	Public Administration
PBH	Planning and Budgeting Handbook
PDB	Presidential Delivery Bureau
PE	Personnel Emolument

PEDP	Primary Education Development Programme
PER	Public Expenditure Review
PIM	Performance Improvement Model
PM	Performance Management
PMDS	Performance Management Development System
PMORALG	Prime Minister's Office-Regional Administration and Local Government
POPC	President's Office-Planning Commission
POPSM	President's Office-Public Service Management
POPSMGG	President's Office-Public Service Management and Good Governance
PORALG	President's Office-Regional Administration and Local Government
POSDCORB	Planning Organising Staffing Directing Coordinating Reporting Budgeting
POSH	President's Office-State House
PPPs	Public Private Partnerships
PPRA	Public Procurement Regulatory Authority
PS3	Public Sector System Strengthening
PSC	Public Service Commission
PSMEP	Public Service Management and Employment Policy
PSRs	Public Service Reforms
PSRP	Public Service Reform Programme
RBM	Results Based Management
REPOA	Research on Poverty Alleviation
RSA	Republic of South Africa
SAP	Structural Adjustment Programme
SEDP	Secondary Education Development Programme
SIDA	Swedish International Development Agency
SP	Strategic Plan
SQAF	Statistical Quality Assessment Framework
SSA	Statistics South Africa
STEP	Student-Teacher Enrichment Programme
SWOC	Strengths, Weaknesses, Opportunities, and Challenges
SWOC/T	Strengths, Weaknesses, Opportunities, and Challenges/Threats
TC	Town Council
TED	Township Executive Director

TOR	Terms of Reference
TSED	Tanzania Socio-Economic Database
UNDP	United Nations Development Programme
UBT	Ubungo Bus Terminal
URT	United Republic of Tanzania
USA	United States of America
VCT	Voluntary Counselling and Testing

## **CHAPTER ONE: RESEARCH SCOPE AND METHODOLOGICAL ORIENTATION**

### **1.1 Introduction**

This study analyses the institutionalisation of M&E and its influence on performance management in Tanzania's local government. The study focuses on M&E, a common management system in modern public administration, where governments apply the system for enhancing performance and accountability. Governments are working to deliver quality services and enforce accountability while ensuring effective use of available meagre resources and value for money. Reports indicate a dearth of knowledge about the current developing countries' efforts to build systems for M&E of their decentralisation reforms (DeLoG Secretariat 2015:10). Research on the analysis of institutionalisation of the local government M&E systems focuses on building knowledge of embedding a strategy and the results of its implementation. The level of adoption of a strategy in the public service provides a learning opportunity with regard to its design, the adequacy of adopted implementation, and the impact created after implementation. The research further describes the operating environment and pull-and-push factors for building robust M&E systems, as well as proposals for improvement of the same.

Chapter one carries the gist of this research and a roadmap for the entire academic work. The chapter starts with the introduction of performance management and institutionalisation of M&E in the context of this study. The chapter further states the research problem, as well as objectives and questions to be answered by the study. Furthermore, under the research design, the chapter presents research methodology that carries sampling criteria and data collection method. The chapter will also highlight limitations and delimitations of the study, define research key concepts, and provide the layout of the chapters.

### **1.2 Performance management and institutionalisation of M&E**

Performance management is a prerequisite to business success as it pins down organisations to a focused strategic direction, clearly stating and managing expectations and consequences for results. Current performance management

practices in public services emanate from the desire of governments to improve on service delivery, enforce accountability, and ensure effective use of resources. However, different scholars and private or public institutions define the concept of performance management differently (Fourie 2012:131; Luthuli 2007:18; Van der Waldt in Thornhill, Van Dijk & Ile 2014:246; Van Dooren & Thijs 2010:31; Stiffler 2006:4–6). The main difference stemming from various definitions of performance management comes from the context and environment in which they are operating, where countries or governments customise based on the above (Ammons & Roenigk 2015:514). Notwithstanding, definitions stated by the above-mentioned authors converge on two categories of performance management, namely individual and institutional performance. In summary, authors mentioned above as well as Ammons and Roenigk (2015:515–516) summarise key emphasis of the performance management to include the following processes:

- Aligning strategic objectives, plans and budgets of institutional departments;
- Measuring performance;
- Reporting institutional performance highlighting current performance gaps;
- Proposing solutions for increasing performance of institutions; and
- Recognising, rewarding and sanctioning based on achievement.

Bouckaert and Halligan (2008), cited in Rhodes, Biondi, Gomes, Melo and Ohemeng et al (2012:239), and Bouckaert and Halligan (2008:69) present four performance management regimes that institutions can use for benchmarking purposes. The regimes referred in this study are Performance Administration (PA), Management of Performance (MP), Performance Management (PM), and Performance Governance (PG) (arranged hierarchically from the least to the most effective in performance management). Each regime comprises particular features outlining the efforts of public service institutions in managing performance. Considine (2001), cited in Osborne (2010:257), mentions four model governance frameworks that relate to the above-mentioned performance management regime. Chapter four of this study provides detail of the regimes and governance models.

Monitoring and evaluation is an important tool in performance management that measures performance, informs decision-making, determines resource allocation,

guides human resources management, and recognises performance (Mngomezulu & Reddy 2013:96). M&E links with all aspects of performance management, and develops a base for all other tools related to it, such as planning, performance indicators, and reporting. Strategic planning, implementation, reviewing, reporting, use of performance information, rewarding and sanctioning depend heavily on M&E and information generated from the system. Elements of performance management relate to M&E and are not achievable in the absence of a well-designed M&E system, embedded within public service institutions. Objectively, M&E systems contribute to generation of evidence-based performance information. The systems facilitate acknowledgement of performance results, provision of rewards or sanctions based on performance, and availability of evidence-based plans or goals (Luthuli 2007:18; Van der Waldt in Thornhill, Van Dijk & Ile 2014:246; Van Dooren & Thijs 2010:31; Stiffler 2006:4–6). Furthermore, they foster commitment to an organisational course by the executive and political members (Ammons & Roenigk 2015:515).

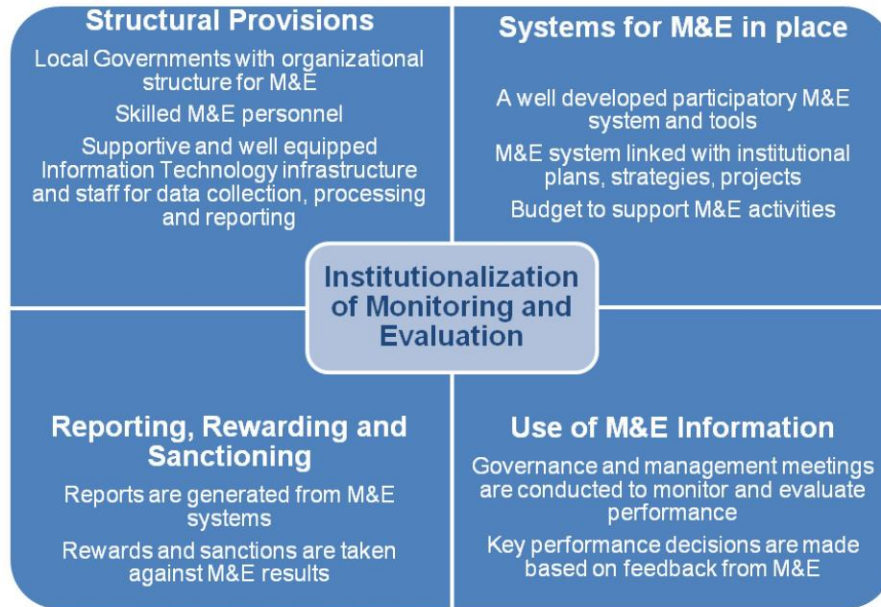
Different authors present varied features of an ideal M&E in public institutions, particularly on the key aspects of institutionalisation (Mackay 2007:23–24; Mngomezulu & Reddy 2013:96). Institutionalisation of M&E ranges from one or more elements related to organisational planning, implementation, data collection and processing, reporting or use of performance information. The level of institutionalisation of M&E in an organisation has a profound effect on the effectiveness of performance management in public institutions (Yetano 2013:80–81; Mngomezulu & Reddy 2013:96). The above-mentioned scenario highlights the importance of embracing and embedding M&E with the performance management regime of an organisation in order to contribute to a desired outcome. DeLoG Secretariat (2015:22) presents the dimensions for analysing local government M&E systems as policy, performance indicators and data, institutionalisation and coordination, capacity and funding, involvement of non-governmental actors, and use of M&E products.

Regarding “institutionalisation”, the concept means embedding a practice and cascading a system in an institution for purposes of implementing a policy or strategy. Hill and Lynn Jr (2008:51) define the term using phrases such as an *infused system, orderly, stable, integrating pattern*. Mackay (2007:23) describes a successful

institutionalisation of M&E as one that involves creation of a sustainable, well-functioning M&E system within a government where good quality M&E information is used intensively. Therefore, when linking institutionalisation of M&E with the performance management cycle, the embedding process covers all stages in the cycle (planning, implementation, monitoring, review, and sanctioning/rewarding). In this study, institutionalisation refers to a process of embedding something (for example, a concept, role, value or mode of behaviour) within an institution such as Tanzania's local government. An ideal institutionalisation of M&E includes characteristics and features presented in Figure 1.1.

Ammons and Roenigk (2015:516) insist that the PM elements are not "*a la carte*" items available for selection as desired, but rather mutually supportive items intended for use as a package. Institutionalisation of M&E has such benefits as ownership of results, shared commitment, sustainability, quality M&E information, and facilitation of the utilisation of M&E information (POPSM 2014:34; Mackay 2007:23–24; Mngomezulu & Reddy 2013:93). Other benefits are cost effectiveness, increasing human resources and institutional capacity relating to M&E, and facilitation of reporting of government performance. The Economic Commission for Africa (ECA) highlights the use of the performance information in managing organisations and programmes, suggesting provision of feedback to key stakeholders in order to improve performance (ECA, 2003:42).

**Figure 1.1: An ideal institutionalisation of a M&E model**



**Source:** Adapted from: MFDP 2017:196–197; Ammons & Roenigk 2015:515–516; Mngomezulu & Reddy 2013:91; Rhodes et al 2012:239; Van Dooren & Thijs 2010:177,182; Kusek & Rist 2004:21–22; Mackay 2007:23–24; POPSM 2014:34.

The ultimate goal of institutionalisation of M&E in public administration is realisation of a performance management regime that supports the provision of quality services through increased accountability, transparency, effectiveness and efficiency. Van Dooren and Thijs (2010:177) observe that there are performance management initiatives, such as budgeting, that are difficult to institutionalise because they are not integrated into decision-making processes. Van Dooren and Thijs (2010:182) reiterate that integration, coordination, formalisation, consistency, coherence, routine-building, and alignment are some of the most common key words for fixing performance management.

### **1.3 Research design**

Kumar (2011:94) describes a research design as a procedural plan adopted by a researcher to answer questions validly, objectively, accurately and economically. Maxwell (2005) describes a research design in qualitative studies as the actual



structure of a research, a guide that arranges tasks involved in planning or conducting of a research in an optimal manner. Flick (2009:121) describes it as a roadmap for collecting and analysing evidence in order to answer research questions. Creswell (2009:5) refers research design to the philosophy, strategies of inquiry and corresponding methods. Flick (2014:111) summarises contents of the research design as planning, setting up data collection, analysis, sampling of materials, case studies, and interviews. Under research design, therefore, a presentation of research problem (or goals), objectives, questions and methodology is adopted (Flick 2014:111). This study research design is comprised of statements of the problem, research questions, research objectives, and methodology (which include the type of research method, sampling, and the data collection method).

### **1.3.1 Statement of the problem**

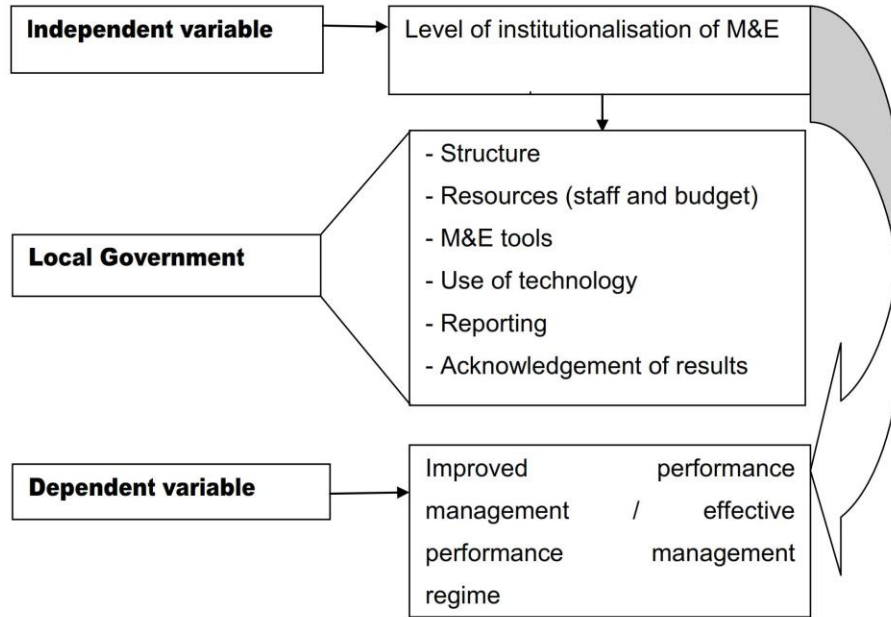
It is an indisputable fact that the public service is expected to deliver quality services; hence the need for having effective and efficient management and monitoring institutions. When assessing effectiveness of M&E, more emphasis is on aspects such as building of the M&E systems and their components; quality and utilisation of M&E information; sustainability; statistics; information technology systems; evaluation projects; and performance-driven culture (Mackay 2007:23–24). When building the M&E systems, institutions mainly focus on fashioning outcomes, goals, indicators, statistical data systems, and training of staff. In the case of Tanzania, the public service focuses mostly on hardware, software, and proliferation of systems and processes that are not interrelated, integrated and focused (POPSM 2014:xix).

Literature sources described in section 1.2 above state the importance of institutionalisation of M&E in order to realise the desired performance management regime. However, institutionalisation of M&E as a well-conceptualised phenomenon and strategy tends to be low on the list of agendas in public service institutions. Literature shows a theoretical knowledge gap on the contribution and effectiveness of “*wholesale institutionalisation*” of M&E in managing the performance of public service institutions. However, appropriate approaches for institutionalisation of M&E, its components, processes, and linkage to effectiveness in local government performance management are yet to be fully explored.

The M&E Framework adopted in 2014 by Tanzania's public service, including the local government, is a tool for accountability. The framework presents a high-level desire for establishing M&E systems in the public service. However, the extent to which existing M&E regulatory frameworks contribute to institutionalisation of M&E is yet to be established. Analysis of M&E systems and how they are embedded in the local government management practices, and contribution to performance management of local governments, are not well established. The Local Government Development Grant (LGDG) assessment of 2012 indicates a negative trend of 74 percent of Local Government Authorities (LGAs) showing a lack of seriousness on the part of their management teams (PMORALG 2012:34).

A good M&E system requires well-linked and coordinated departments within an institution, the absence of which leads to inaccurate information, untimely reporting, and lack of use of M&E data and/or reports, thereby failing to manage performance and improve service delivery. It is worthwhile investigating the extent to which M&E is explicitly and formally integrated into the day-to-day business of the local government, ranging from organisational structure; management or decision-making structures; staffing; work practices; use of technology; reporting; and use of performance information. All these elements comprise a particular type of performance regime, as presented in Figure 1.2 below.

**Figure 1.2: Assumptions of linkage between M&E and performance management**



**Source:** Author (2017).

This study carries four assumptions. First, the majority of local government internal stakeholders (staff and management) generally perceive the M&E system positively. Second, the M&E culture is emerging in the public management system in Tanzania. Third, there has not been a full institutionalisation of M&E in the local government; it is implemented only on an ad hoc basis. Fourth, M&E does not form a key part of local government performance management and measurement processes. This study seeks to identify formally, acknowledge and establish the linkage between current analyses, and establish M&E systems in the lens of levels of institutionalisation, in order to create linkages with types of performance regimes in Tanzania's local government.

### **1.3.2 Research questions**

#### **General question**

To what extent can M&E be institutionalised for an effective performance management of Tanzania's local government?

### **Specific questions**

The guiding questions for this study derived from the specific objectives presented above were as follows:

- a) What are the factors contributing to or deterring institutionalisation of M&E in Tanzania's local government?
- b) How do Tanzania's local government operationalise M&E?
- c) What is the relationship between the extent of institutionalisation of M&E and performance management in Tanzania's local governments?
- d) What are the prerequisites, environment and necessary elements of institutionalisation of M&E necessary for improving performance management of local government in Tanzania?

### **1.3.3 Research objectives**

#### **General objective**

The study analyses the Tanzanian local government M&E system, and investigates the level of institutionalisation of the same, and its linkage to the performance management regime. The research aims at filling the knowledge gap of the state of Tanzania local government M&E system, thereby contributing to efforts geared towards improving public service performance management. As such, the study works to propose an ideal local government M&E system model, and its complementary features.

#### **Specific objectives**

This study carries four specific objectives, namely:

- a) To establish the factors contributing to or deterring institutionalisation of M&E in Tanzania's local government;
- b) To assess the operationalisation of M&E of Tanzania's local government;
- c) To establish the relationship between the level of institutionalisation of M&E and the performance management regimes in Tanzania's local government;  
and
- d) To establish prerequisites, environment and necessary elements of institutionalisation of M&E systems in Tanzania's local government

performance management as a means for facilitating service delivery improvements.

#### **1.3.4 Research methodology**

Hesse-Biber and Leavy (2011:38) define research methodology as a bridge between philosophical standpoint (ontology and epistemology) and methods. Research is a scientific inquiry providing evidence of specific phenomena. Kumar (2011:5) defines research as a habit of questioning what you do, and finding answers of a professional nature. Kumar adds that research is undertaken within a framework of a set of philosophies, using valid and reliable procedures, methods and techniques designed to be unbiased and objective. Research means a systematic examination of observed information to find answers, with a view to instituting appropriate changes for a more effective professional inquiry. It is from Kumar's observation that one can advocate for the public service to put research at the top of its agenda through investments and making use of research information. For public managers, research is an effective tool for understanding challenges, behaviour and practices in order to make informed policy choices, strategies, and proper management of resources. Botes (1995), cited in Tshiyoyo (2012:32), mentions importance of research in public administration, describing it as a tool for explaining and predicting phenomena pertaining to behaviours, techniques and processes.

Bwengye (2015:29), Hesse-Biber and Leavy (2011:10-11) and Kumar (2011:10–11) identify types of research studies. **Descriptive** research describes situations or events through asking questions such as who, what, when, where, and how many. Hesse-Biber and Leavy (2011:11) add that descriptive studies focus on experiences, situation or a condition. **Explanatory** research explains events or changes answering questions of why and how. New areas of which little is known are studied in **Exploratory** research in order to develop initial understanding. Hesse-Biber and Leavy (2011:10) adds on purpose for to be future research studies. This research is exploratory research. It aims at developing an understanding of institutionalisation of M&E in Tanzania's local government, and its linkage with a particular performance management regime.

Literature documents qualitative and quantitative research methodologies, as well as a mixed method that combines both qualitative and quantitative. According to Tshiyoyo (2012:34), a qualitative research design examines patterns of meaning that emerge from data gathered, presented in the researcher's own words, and transformed into text by recording and transcribing. It involves meanings, concepts, definitions, characteristics, metaphors, symbols and descriptions that cannot be meaningfully expressed using numbers (Berg 2001:3). Berg further states that qualitative procedures provide a means of assessing "unquantifiable facts" about a phenomenon, which Tshiyoyo (2012:34) describes as non-experimentally examined, or measured in terms of quantity, amount, and intensity of frequency. Generally, qualitative research reports on multiple perspectives, identifying the many factors involved in a situation and generally sketching the larger picture that emerges (Creswell 2013:47).

This study adopted the qualitative research method. Qualitative research involves various ways of conducting research, such as Ethnography, Grounded Theory, Case Studies, Phenomenological Research and Narrative Research (Creswell, 2009:13-14). A qualitative research carries the following prominent characteristics, linked to this research as follows:

- a) Occurs in a natural setting where M&E systems are being studied (Creswell 2009:175);
- b) The study requires application of complex reasoning, building of patterns, establishment of relationships (Schoeman 2008:7; Bwengye 2015:30) between levels of institutionalisation of M&E with performance management regimes that cannot be done using quantitative method;
- c) The researcher was the key instrument in collecting information onsite and examining documents (this is recommended by Creswell 2013:45 and Creswell 2009:175);
- d) The study required use of more than one type of data (for example reports, meeting minutes, M&E regulatory framework) in order to make meaningful analysis and conclusion, therefore calling for qualitative methods of data triangulation as advocated by Bryman (2012:392) and Creswell (2009:175-176);

- e) Applies inductive data analysis through building of patterns, categories and related to the local government M&E system (Creswell (2009:175-176) and this study is by its design interpretive;
- f) Provide a holistic account of the phenomenon, through development of a complex picture that relates to the establishment and operationalisation of M&E systems. This qualitative study aims to give multiple perspectives, describe many pull, and push factors for having a robust local government M&E system.

#### **1.3.4.1 Sampling: the population**

This study focused on service provision at the local government level as mandated by the Constitution of the United Republic of Tanzania. Tanzania's local government is divided into four categories, with each established or upgraded to a higher level according to the criteria established in the Local Government Authorities Act of 2002 (PMORALG 2014:1). The categories develop hierarchy from District Councils, Town Councils, Municipal Councils and City Councils. The criteria used for categorising the types of LGs include population size, land size and geographical location, as well as the type and quality of social and economic services provided. Other criteria are financial capacity or a ration of internally generated finances relative to those disbursed by the central government. Table 1.1 presents selected criteria for categorising LGs in Tanzania.

**Table 1.1: Selected criteria for categorising local government in Tanzania**

<b>City Council (CC)</b>	<b>Municipal Council (MC)</b>	<b>Town Council (TC)</b>	<b>District Council (DC)</b>
Ability to fund 50% from its own revenue sources	Ability to fund 50% from its own revenue sources	Ability to fund 30% from its own revenue sources	Ability to fund 20% from its own revenue sources
Population of 500,000 with 50% not depending on agriculture sector for survival	Population of 300,000 with 50% not depending on agriculture sector for survival	Population of 150,000 with 30% not depending on agriculture sector for survival	Population of 250,000 with 80% depending on agriculture sector for survival
Presence of a City Master plan	Presence of a Municipal Master Plan	Presence of a Town Master Plan	75% of villages included in the Proper Use of Land Plans
75% of its land surveyed	75% of its land surveyed	75% of its land surveyed	Have 5,000 km <sup>2</sup> piece of land
1 university and a referral hospital	1 municipal hospital, 1 university or higher learning institution	Town hospital, health centre, education and technical / vocational institutions	1 district hospital, technical college
An airport, supermarkets and 3-star hotels	75% of population connected to water, sewage infrastructure	50% of population connected to water, sewage infrastructure	Markets, banks, telecommunication facilities
Large, medium and small-scale industries	1 large scale and 50 medium and small-scale industries	Total of 50 retail and wholesale shops	Medium- and small-scale industries, 60 retail shops
Have at least 100 streets	Have at least 15 wards and 75 streets	Have at least 12 wards and 60 streets	Have at least 20 wards and 75 villages

**Source:** PMORALG (2014a:6–12).



At the design of this study, Tanzania mainland local government comprised of 171 Local Government Authorities (LGAs), categorised as: 5 City Councils, 18 Municipal Councils, 17 Town Councils and 131 District Councils.<sup>1</sup> The number of LGAs jumped to a total of 187, after the local government reorganisation was done at the end of 2015, which happened after the study proposal (and sampling criteria) had already been approved. Currently, the composition of LGAs stands at a total of 187: 5 City Councils, 20 Municipal Councils, 23 Town Councils and 139 District Councils (NAO, 2017:4–5). The major differences among local governments were their types, which formed the sampling criteria as presented in Table 1.1 above. City Councils, Town Councils and Municipal Councils are urban local governments, while District Councils are rural local governments. Regardless of type, local governments have both executive and political leadership, as will be presented in chapter five of this study.

#### **1.3.4.2 Sampling technique**

This study adopted a purposive sampling technique, which involves sites or individuals selected to enable the researcher to understand the problem and acquire answers to a study phenomenon. Creswell (2013:156) advocates purposive sampling in qualitative studies, where a researcher selects individuals or sites because they can purposefully inform an understanding of the research problem. According to Daniel (2012:87–88), purposive sampling is a non-probability sampling procedure in which elements are selected from the target population on the basis of their fit with the purposes of the study and specific inclusion and exclusion criteria. Hesse-Biber and Leavy (2011:45) argue that qualitative researchers are often interested in selecting a “purposive” or “judgement” sampling method on consideration of a particular research question as well as resources (financial and time) available to them.

#### **1.3.4.3 Sample size**

The sample size in qualitative research is usually small. Creswell (2013:137) presents a general guideline for such a sample not only to include a few sites or

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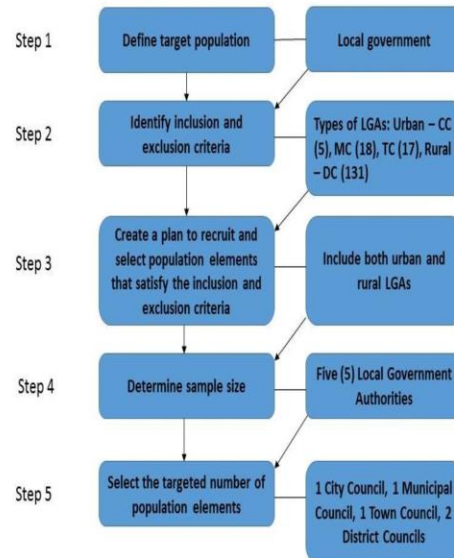
<sup>1</sup> <http://www.aadb.pmoralg.go.tz/regions.php> accessed on 14 April 2015 1537h.

individuals but also to enable the researcher to collect extensive data about each site or individual studied. Ritchie and Elam cited in Ritchie and Lewis (2003:83) provide a justification for why a qualitative research needs to have small samples:

- a) When data is properly analysed as in qualitative research, there will come a point where very little new evidence is obtained from each additional fieldwork unit;
- b) Statements about incidences or prevalence are not the concern of qualitative research. Therefore, there is no requirement to ensure the sample is of sufficient scale to provide estimates or to determine statistically significant discriminatory variables; and
- c) The type of information that qualitative studies yield is rich in detail; hence the need to keep sample sizes small, in order to enable researchers to process this detailed information thoroughly.

There is extensive literature on the ideal qualitative sample sizes. Hesse-Biber and Leavy (2011:45) argue that the logic of qualitative research is concerned with in-depth understanding, usually working with small samples. On the other hand, Daniel (2012:88) argues that the proportion of population at the different levels of diversity is typically not the focus of the qualitative study. To summarise, literature recommends a researcher not to dwell too much on larger samples in qualitative studies, unlike in quantitative studies. This study adapted five steps in selecting a purposive sample and sample size, as suggested by Daniel (2012:88) and presented in Figure 1.3 below.

**Figure 1.3: Sample size**



**Source:** Author 2017 [developed by using the model from Daniel (2012:88) and information from NAO (2017:4–5)].

Figure 1.3 above indicates that this study included all four categories of Tanzania’s local government with different geographical coverage, scope and magnitude of policy implementation interventions. The diversity among LGAs may have implications for M&E, performance management, and service delivery. From the sample size, three out of five urban categories were selected because they were fewer than the rural ones (district councils). It was considered logical to have more DCs sampled for the study as they represent a larger proportion of the Tanzanian local government. However, because of resource limitations and arguments relating to sample size as presented in this section, only two DCs were selected despite their being the category with a far higher population than the other LGAs. The categories selected for the study were as presented below:

- One (1) City Council (urban and top category among LGAs);
- One (1) Municipal Council (urban and second category among LGAs);
- One (1) Town Council (urban and third category among LGAs); and
- Two (2) District Councils (rural and smallest category among LGAs).

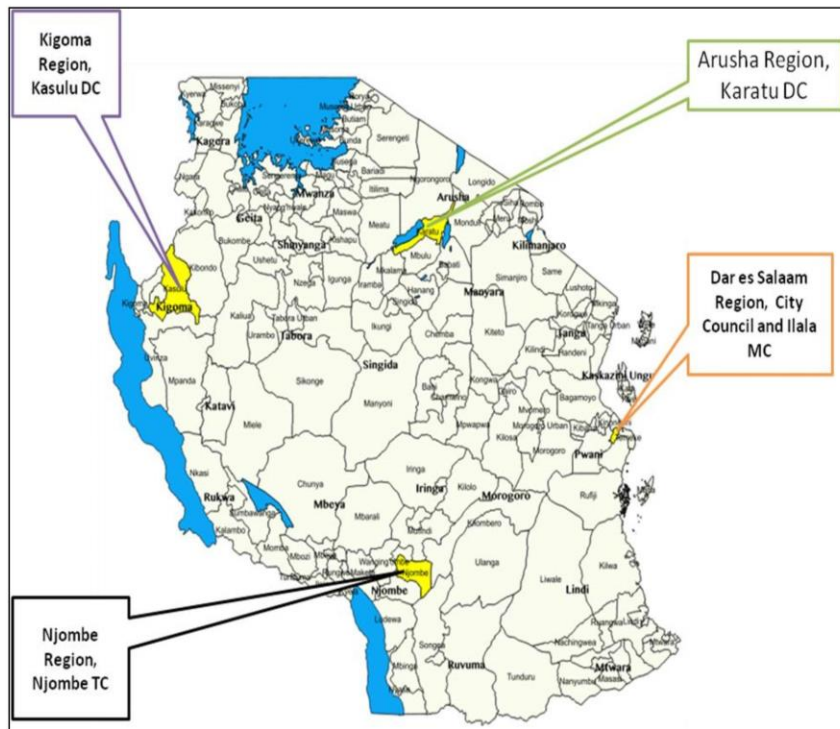
This study adopted a case study design, which is part of qualitative research. Creswell (2007:73) defines a case study as one of methodologies under the qualitative research type of inquiry. Tshiyoyo (2012:60) argues for use of case studies to substantiate arguments presented in the research problem. Creswell (2007:73) argues that application of case studies indicates different perspectives on the phenomena investigated, especially when replication procedures are used. The study assesses the dynamics for establishing and instituting M&E at both levels of government (national/central and local government). This assessment helps in answering research questions on how M&E is practised, including the factors contributing to or deterring institutionalisation of M&E in the local government.

The study select three countries, the Republic of South Africa (RSA), Kenya and Rwanda as bound cases for drawing inferences for the study. RSA's monitoring and evaluation system illustrate institutionalisation of M&E systems in the public service. RSA, unlike Tanzania, jumped straight into designing and implementing public service reforms after independence in 1994. Two decades after kick-starting reform measures, RSA has made progress in the use of performance management, particularly M&E. Lahey (2015:3) ranks the country at level four with a growing M&E system, just one stage from having a mature national M&E system. The analysis facilitates learning from the Republic of South Africa, Kenya and Rwanda on the general environment required for having an effective M&E and performance management system. The inferences made from the analysis form a benchmark for comparison in chapters five and six, which present the analysis of Tanzania's local government M&E system.

### 1.3.4.4 Local government profiles

The section above presented categories of local government authorities sampled for the study. This part presents a short profile of the LGAs, which includes location and socio-economic characteristics. Figure 1.4 below presents a map of the regions in the United Republic of Tanzania where the LGAs are located, showing how these are scattered across the country.

**Figure 1.4: Location of the five LGAs selected for the study**



**Source:** Adapted from: [www.mapsofworld.com/tanzania/](http://www.mapsofworld.com/tanzania/) and customised by Author (2017) to suit the study needs.

The LGAs selected for this study come from four (4) regions. The LGAs are Dar es Salaam City Council (DCC); Ilala Municipal Council (IMC); Njombe Town Council (NTC); Karatu District Council (KDC1); and Kasulu District Council (KDC2). This

section presents the sampled LGAs' profiles, that is, key characteristics that depict similarities and differences among them.

### ***Dar es Salaam City Council***

The Dar es Salaam City Council covers the whole region of Dar es Salaam. At the design of this study, the region had three districts, namely Ilala, Kinondoni and Temeke. However, after the October 2015 general elections, the fifth-phase government divided the region into five (5) districts. The Ubungo and Kigamboni districts were added to the list, breaking away from the Kinondoni and Temeke districts respectively. Politically, from 2015, the Dar es Salaam region carries six local government structures, namely the Dar es Salaam City Council, Ilala Municipal Council, Temeke Municipal Council, Ubungo Municipal Council and Kinondoni Municipal Council. The Dar es Salaam City Council is the oldest and largest among existing City Councils in Tanzania. The City Council is the apex of all three of the municipal councils in the region.

The 2012 Population Census found the Dar es Salaam region with a population of 4.36 million, accounting for 10 percent of the total Tanzania mainland population (NBS 2013:1). The 2002 Population Census found the region with a total population of 2,487,288; there has therefore been a dramatic increase of approximately 75.5 percent in ten years (NBS 2013:2). The region boasts of productive sectors that include agriculture, livestock, fisheries, forestry, cooperatives, tourism, mining and industries. Political analysis maps the region as one of the most politically competitive areas since the introduction of multiparty politics. Since the 2015 general elections, the opposition political parties have held the majority of seats and now lead the Dar es Salaam City Council. The political structural arrangement directs the composition of DCC to include all councillors selected in various wards of the Dar es Salaam region. The DCC seating further include members of parliament selected in all constituencies and ministers whose place of residence is within the region.

### ***Ilala Municipal Council profile***

The Ilala Municipal Council (IMC) borders with the Indian Ocean on its Eastern part, running on a distance of about ten (10) kilometres. On the southern part, it borders with Temeke Municipality, whereas on its western part, it borders with Kisarawe District and Kinondoni Municipal Council in the north. The above-mentioned DCC profile describes part of the characteristics of the IMC. According to the 2012 census, the population of Ilala district stands at 1,775,049 people, where males numbered 595,928 and females 624,683. The average household size was 4.0 (NBS 2013:74). Among the Municipal Councils in Dar es Salaam City Council, it is noted that the population growth in Ilala MC rose from 93.7 percent in 2002 to 100 percent in 2012 (NBS 2014:26). Comparison between 2002 and 2012 results show that the status of literacy rate increased quite substantially from 91 percent to the current 96 percent; again, literacy rates for males and females have also increased, from 94 percent to 98 percent for males, and from 87 percent to 95 percent for females (NBS 2014:37).

The Ilala Municipal Council has three political constituencies, namely Ilala, Segerea and Ukonga. The constituencies give representatives to the Council's political structures in the form of Members of Parliament and Councillors from all wards under the said constituencies. The IMC possesses a peculiar achievement compared to other Councils, for hosting most of the City's commercial activities, offices, and architectural heritage points. The Council hosts the Dar es Salaam City Council office, residential areas, and manufacturing industries (heavy and light industries). The Council hosts the government buildings and most of the national administrative offices (the central bank, ministries, the state house, the High Court and the Court of Appeal, private banks, and conference centres, to mention but a few). Furthermore, IMC engages in several economic activities, namely fishing, tourism, hotels, livestock keeping, import and export businesses, transportation, and banking.

#### ***Njombe Town Council profile***

The Njombe Town Council (NTC) operates under the Njombe Urban District Council. The Council is one among the four districts of the recently formed Njombe region. Other districts in the region are Njombe Rural, Makete and Ludewa.

Njombe Town Council was established on 1 July 2007 – see Government Notices 118 and 119. The NTC resulted from the division of Njombe District council into two councils. The district is bordered by Ludewa and Ruvuma regions to the south, Morogoro region in the south-east, Njombe rural district to the north and north-east, as well as Makete district to the west. The council covers 3,312 km<sup>2</sup> (321 200 ha) where 1,927 km<sup>2</sup> (60 percent) is used for agriculture and livestock grazing, while 1,285 km<sup>2</sup> are for other land uses, including forestry (Kaduvage & Timbula 2011:51). Administratively, the NTC holds two (2) divisions, 13 wards, 26 streets (*mitaa*), 44 villages, and 232 hamlets. Kaduvage and Timbula (2011:52) add that agriculture and livestock keeping form two main economic activities of rural areas of the district, employing about 78 percent of the population. Other economic activities of the NTC are forestry, beekeeping, mining, commerce, and industrial activities. Agriculture is the primary growth potential area in terms of employment, food security, income generation, and agro-processing.

#### ***Karatu District Council profile***

The Karatu District Council (herewith abbreviated as KDC1) forms part of the seven councils in Arusha region. It became an administrative council in 1997. The council headquarter lies in Karatu town, which is about 150 km from the city of Arusha. The council is located on a highway to Mwanza and Musoma regions, which makes it an active business spot. The Karatu DC borders Mbulu District to the south, Iramba and Meatu Districts to the north-west, Ngorongoro to the north and Monduli District and Babati District to the south-east (KDC1, nd:2). According to the 2012 Population Census results, Karatu District Council population stood at 230,166 (117,769 males and 112,397 females). The Census report establishes the council birth rate at 3.1 percent and the average population density is 73.4 persons/km<sup>2</sup>, with low densities in the western zone along Lake Eyasi (7 to 10 person/km<sup>2</sup>) and higher densities (100 persons /km<sup>2</sup>) in Karatu and Mbulu divisions. The main economic activities carried on in Karatu are agriculture and livestock keeping. The council has no industries; however, there is ongoing petty trading.

#### ***Kasulu District Council profile***



The Kasulu District Council (herewith abbreviated as KDC2) was established with effect from 1984 [see a Certificate of Establishment in the terms of the provisions of Sections 8 and 9 of the Local Government (District Authorities) Act of 1982]. It borders Burundi in the North, Kibondo District in the east, while Uvinza and Kigoma Districts are on the south and west respectively. In the north-west, the Kasulu DC borders the Buhigwe District. Kasulu DC is among the seven (7) Local Government Authorities of the Kigoma Region. Other LGAs are: Kigoma District Council, Kigoma/Ujiji Municipal Council, Kibondo District Council, Kakonko District Council, Uvinza District Council and Buhigwe District Council (KDC2 2011:8). Five (5) Divisions, 28 wards and 62 villages make up the Kasulu DC (KDC2 2011:9). The population estimates for the council stands at a total of 306,789, with 327,249 and 634,038 being the figures for male and females respectively (NBS 2013:146). The main economic activities for Kasulu are agriculture, beekeeping, livestock-keeping and petty trading, with 85 percent of district income being generated from agriculture. The Kasulu DC is far behind in terms of literacy and education as a whole, with a very low school passing rate. The District Council ranked at the bottom when schoolchildren were tested in three (3) subjects in year 2012.<sup>2</sup> The geographical features of the council and inadequate health staff pose a challenge to health service delivery.

#### **1.3.4.5 Data collection method**

The study employed the triangulation research technique, referred to as a combination of more than one research method. However, Flick (2014:183) and Bryman (2012:1142) refer to the triangulation method as the use of a combination of more than one approach or method, more than one study group, or different theoretical perspectives to investigate a phenomenon. Flick (2014:183, 2009:121) describes three types of triangulation: combining qualitative and quantitative methods; strengthening the quality of qualitative research; and designing and conducting qualitative research in an appropriate way. Triangulation applies within one research method, that is, either the qualitative or the quantitative research method. This study applies data triangulation by collecting more than one type of

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<sup>2</sup> Are Our Children Learning? Retrieved 07 November 2016 from Uwezo Tanzania: [http://www.uwezo.net/wp-content/uploads/2012/08/TZ\\_Uwezo2012ALARReport.pdf](http://www.uwezo.net/wp-content/uploads/2012/08/TZ_Uwezo2012ALARReport.pdf).

information (presented in Table 1.2 below) in order to make evidence-based analyses and conclusions. It was also for the advantages of applying triangulation (increasing validity and reliability) that the study selects different types of local government, case studies for data collection and analysis. Triangulation increases the chances of confirming a theory and increases data validity, as expected from this study.

The qualitative research method applies particular data collection approaches such as participant observation, focus group discussions (FGDs), interviews, historical analysis (historiography), and document or textual analysis (Berg 2001:3; Flick 2014:197–199). This study employed document or textual analysis in order to extract information related to the study's research questions. Both individuals and institutions produce and document information used as official reference. Wolff (2004) cited in Flick (2009:255) define documents as, I quote “...*standardised artefacts, in so far as they typically occur in particular formats as notes, case reports, contracts, drafts, death certificates, judgements, letters or expert opinion*”. In this study, the qualitative data from some of the above-mentioned documents will be collected for analysis and answering of the research questions.

The documents planned for the study review in each LGA were: the current Medium Term Strategic Plan (MTSP); the current Medium Term Expenditure Framework (MTEF); the current annual plan and two from previous years; the organisation structure (organogram and functions); the current M&E framework/system document; the M&E plan; and M&E data collection tools. Other documents are three-year outcome and mid-term evaluation reports and annual performance reports for the previous three years (2014/15, 2013/14, 2012/13). In addition, data collection included performance reports produced by the local government such as quarterly reports, records of past proceedings (or meeting minutes of political or executive arms), and other documents found to be relevant to the study. Table 1.2 presents types of analysis applied to the above-mentioned documents.

### ***Documentary review***

The data collection encountered some challenges where some documents were not available within LGAs as it will be presented in chapter five and six of this study. However, the study reviewed various reports that facilitated analysis of level of institutionalisation of M&E and performance regimes of the local government. The reports under review were planning frameworks, current medium-term strategic plans, M&E frameworks presented within the MTSPs, various performance reports, Medium Term Expenditure Frameworks, annual plans, organisational structure and functions, minutes of political and executive meetings, and the M&E data collection tool. Other relevant documents collected and analysed include regulatory frameworks and guidelines, as well as sectoral and non-sectoral local government programme/projects related to M&E. The documents were interlinked to achieve what Flick (2009) describes as intertextuality. This study involved a linkage of different processes, frameworks, tools and reports from planning, implementation, monitoring, and use of performance information. The review of documents therefore helped ascertain the practices, the level of institutionalisation of M&E, and the existing performance management regime of LGs.

**Table 1.2: Items for documentary review**

Type of document	Type of analysis
Medium Term Strategic Plan (MTSP)	Correlation between MTSP and M&E framework/plan; Development/review of the strategic plans based on M&E information; Availability of performance indicators measuring various levels of implementation; Presence of projects/programmes implemented by LG outside MTSP.
Medium Term Expenditure Framework (MTEF)	Correlation between MTSP and MTEF; Allocation of budget for M&E interventions (% of the budget separate or cumulative for M&E); Establish influence of budget/finances on M&E institutionalisation.
Annual plan	Correlation between MTSP, M&E framework/plan and Annual plan.
LG organisation structure/Scheme of Service / Job list	Institutional alignment towards M&E (national and local government); Role of M&E department/unit in planning, budgeting, reporting functions; Support from other institutions or contracting out of M&E functions.
M&E Framework /System and /or M&E Plan (if available) M&E data collection tools	M&E framework and/or plan linked to MTSP, MTEF and action plan; Existence of M&E policies and procedures to facilitate routine M&E; Linkage of projects/programmes implemented by LG outside MTSP with M&E framework, if any; Existence of data collection tools and linkage to M&E framework; Proof of M&E reports generated from M&E Framework/system; Proof of M&E reports distributed widely within and outside LG.
Periodic performance reports	Linkage between performance reports and M&E framework/plan and its generated reports.
Record of LG political and technical meetings proceedings (or meetings minutes)	Establish whether discussions centre around provisions in the M&E framework/system, such as performance indicators; Presentation of and reference made to M&E reports in the meetings; Extent of decisions made based on M&E performance information (planning, budgeting, sanctions, and rewards based on performance information); Availability of incentives for using M&E; Establish influence of politics on M&E institutionalisation.

**Source:** Author (2017).

#### 1.4 Research validity and reliability

Validity is a process to ensure that a research applies correct and appropriate procedures to find correct answers to a question; while reliability means quality of a measurement procedure that provides repeatable, predictable, and accurate results (Kumar 2011:177–179; Babbie 2014:430). In social studies, researchers ought to ensure that research findings are correct and lead to credible conclusions

that add value to the academic and professional world. Trochim and Donnelly (2007:149), cited in Kumar (2011:185), describe the benefits of validity and reliability in qualitative research as **Credibility** (establishing that the results are credible and believable); **Transferability** (the degree to which results can be generalised or transferred to other contexts or settings); **Dependability** (whether the same results can be obtained if something is observed twice); and **Confirmability** (the degree to which results can be confirmed or corroborated by others).

In order to address validity and reliability issues for this study, the researcher undertook the following:

- Used appropriate measurement instrument or analysis protocol designed to measure all aspects of the research problem, objectives and questions. Use of different types of local government M&E-related documents (as described in Table 1.2) contributed to avoidance of subjectivity and researcher bias, and facilitated the making of correct and precise conclusions;
- Used a case study and examples from other countries in the region to make inferences and validate theory, avoiding validity threats, and thereby increasing reliability; and
- Applied appropriate sampling criteria that included all of the four categories of the local government with diverse characteristics. The sampling criteria contributed to reducing the likelihood of making biased conclusions, therefore achieving more research validity and reliability.

## **1.5 Research motivation**

The study analyses the monitoring and evaluation system by investigating the level of institutionalisation in Tanzania's local government, and its influence on the performance management. M&E forms an effective tool in performance management as it ensures effective use of resources and enhances accountability. Local government in Tanzania, as in other countries, forms an important point for service delivery to the public. Therefore, the study focused on

an indispensable phenomenon and the level of government with regard to public service delivery. Its recommendations facilitate development or review of policies and strategies necessary for enhancing the use of M&E and performance management in local government. Ultimately, the study findings can contribute towards a knowledge base of the importance of M&E in performance management and service delivery improvement.

## **1.6 Ethical considerations**

This study observed research ethics at all stages as recommended by Flick (2014:49) and highlighted in Creswell (2009:89-91; 2007:44) and Babbie (2014:20). The authors mention ethical considerations relevant to this study as design of protocols or instruments of data collection, entry to the field, data collection phases, and also data management and analysis. Ethical considerations vary across professions and institutions; therefore, the study applied scientific methods of investigation to ensure validity and reliability. The University of Pretoria has set a quality assurance system for research work conducted in the University. This study underwent scrutiny at department and faculty level Ethics and Research Committees for ethical consideration and quality assurance. The United Republic of Tanzania authorities timeously issued a research clearance, which facilitated accessing of study documents. The researcher used the information collected in this study solely for academic purposes.

## **1.7 Clarification of terms and concepts**

### **1.7.1 Local government**

Public administration can be organised by purpose, process, clientele or areas served (local governments). Governments are organised according to levels such as central and local, the former cascading to the latter functions, control, and information, organised based on areas of jurisdiction. Bratton (2012:517) defines local government as a set of formal institutions legally established to deliver a range of specified services in a specific area of jurisdiction. Local governments are organised to perform key functions of service delivery, matched as closely as possible to local tastes and preferences. Local governments are set as municipals,

counties, provinces, regional or district levels, or metropolitan cities, depending on the government set-up of a particular country. The strength of local government entities depends on the degree of independence and the mandate it obtains from the central government, which includes management and decisions on tax or revenue collection, policy implementation, and accountability. In Tanzania, local governments are established with functions of, among others, delivery of services to people in their areas of jurisdiction (URT 1977:130).

Bratton (2012:517) describes disparities that exist among local government entities in African countries. At one extreme, the Republic of South Africa has long-standing, well-established types of local government; while at the other extreme, the recently established local government entities of Malawi, Namibia, Mozambique and Mali have institutional fragility and gaps. Chaligha, Henjewe, Kessy and Mwambe (2007), cited in Bratton (2012:517), argue that local government entities in Africa have attained few powers, have limited technical competencies, and have often been subordinated politically and fiscally to the central government.

### **1.7.2 Service delivery**

The sole purpose of governments in power is to provide services to their citizens in exchange for loyalty and legitimacy. Over the years, the public service has been subjected to pressure for improved service delivery at both national and international levels. International institutions such as the World Bank or OECD have created a criterion for measuring governments' effectiveness that can be used by countries to measure and benchmark realities on the ground. At national levels, there have been forces for government effectiveness from political actors, civil society, the private sector and the citizenry. Service delivery has become the centre of attention to most public service institutions as people become more informed of their rights, with increasing expectations and freedom of expression. This has obliged governments in both developing and developed worlds to place service delivery at the top of their agendas.

Pollitt and Bouckaert (2004, 2011) define service delivery as results expected at levels of operation, process, capacity, or a desired and ideal state, while Alford

and O'Flynn (2012:8) view it as production of outputs that include provision of services to government agencies as well as their clients. Service delivery is closely tied to performance (Pollitt & Bouckaert 2011) and is expected to improve quantitatively through improved processes and increased outputs against decreased inputs, and qualitatively through increased capacity and resilience of the public service. Qualitative aspects of service delivery include increased accessibility, courtesy, service availability, equity in service provision, and meeting people's expectations. In order to meet expectations, service standards are set and citizens are made aware of them so that they put forward quality demands and later measure services through satisfaction levels and trust.

### **1.7.3 Performance management (PM)**

Fourie (2012:131) argues that performance management is not an easy term to define as it has different connotations in different countries, depending on the level of centralisation in the overall governmental system. A summarised definition of the term means processes, systems or sets of tools designed to position and assist public institutions in achieving desired results, which are expected by people they serve. Luthuli (2007:18) equates performance management to the means of measuring performance against objectives, using appropriate performance measures and information generated for direction and resource allocation. Van der Waldt, in Thornhill, Van Dijk and Ile (2014:246), state the purpose of performance management as ensuring public institutions work and deliver in accordance with their established mandate. Rogers (1999:3) describes four principles of performance management as: management by objective; management by accountability; management by number; and management by reward and sanctions. The four principles put forward by Rogers summarise key emphasis, purpose, and expected results attained by establishing a performance management system in an institution. The principles relate and integrate with each other, thereby making a purposeful and meaningful interaction of elements of the performance management system.

Various authors have identified key components of performance management as those related to planning or setting of goals, monitoring and evaluating



implementation, rewarding and sanctioning according to performance levels, and utilising monitoring information (Fourie 2012:131; Rhodes et al 2012:239; Van Dooren & Thijs 2010:30–31; Ammons & Roenigk 2015:515). Other authors such as Van Dooren and Thijs (2010:177) define performance management by emphasising the use of performance information in decision-making through integrating it with policy and budget processes. The Government of Tanzania defined the scope of its performance management to include four integrated stages related to planning, implementation, monitoring, and review. The four stages of the performance management process are applicable to both public service institutions and employees.

#### **1.7.4 Monitoring and evaluation**

Monitoring and evaluation has recently gained popularity among governments (Kusek & Rist 2004:1), and is defined depending on context, background and purpose for its establishment. Countries and international institutions such as UNDP, OECD, World Bank and others have developed definitions for M&E and concepts related to it for mainstreaming in their institutions and projects they manage. In some cases, monitoring and evaluation are synonymously referred to as one term because they complement each another in efforts to make institutions understand their performance, increase accountability, and control results. It is an undisputed fact that M&E links to performance. Monitoring and evaluation manage, measure, record, and report institutional performance in a continuous manner. However, despite their complementary and distinct nature, the two carry different meanings. Kusek and Rist (2004:13) comment that evaluation complements monitoring when a monitoring system sends signals that the efforts are going off track by providing evaluative information that clarifies realities and trends noted with the use of the monitoring system.

Monitoring is defined as a continuous function that uses systematic collection of data on specified indicators showing the extent of progress or achievement of an institution, project or programme (Kusek & Rist 2004:12–13; Mngomezulu & Reddy 2013:94; POPSM 2014:v). On the other hand, evaluation is a systematic process, a periodic assessment to see if intended results are being achieved,

particularly with regard to relevance, efficiency, effectiveness, impact, and sustainability of an activity or intervention (World Bank 2009; Mackay 2007:12; Mngomezulu & Reddy 2013:96). Evaluation aims at determining relevance, fulfilment of objectives, efficiency, effectiveness, impact, and sustainability, and important information in the decision-making processes and reporting of performance results (POPSM 2014:iv; Mackay 2007:12; Kusek & Rist 2004:12). Evaluations can take the form of feasibility studies, project or programme evaluation, thematic evaluations, performance audits, and outcome or impact evaluations (Lopez-Acevedo, Krause & Mackay 2012:124-125; Kusek & Rist 2004:121, POPSM 2007:57-59). Kusek and Rist (2009:367) add economic evaluation or cost-benefit analysis to the above list of types of evaluation.

#### **1.7.5 M&E Systems and M&E Framework**

M&E is mistakenly been equated to its models or approaches. Jacobs, Barnett and Ponsford (2010:36) mention two dominant approaches to monitoring, which are Logframes and Participant Monitoring and Evaluation. Some practitioners equate M&E systems with M&E framework, M&E Plan, Results Framework, or use them interchangeably altogether to mean save the same purpose. Literature establishes the existence of differences between a M&E system and a M&E framework. Gorgens and Kusek (2009:2) define M&E system as a management tool to measure and evaluate outcomes, providing information for governance and decision-making. Lopez-Acevedo et al (2012:3-4) argue that a M&E system presents an overview of cross-sectoral integration, institutional roles and links to the wider national or a particular level of government.

On the other hand, a M&E framework concentrate on outlines of a theory, reasoning and assumptions on how and why programme strategies will work to produce intended results (Markiewicz & Patrick, 2016:71). While the M&E framework is limited to certain duration or programme (Markiewicz & Patrick, 2016:2), the M&E system carries a wider scope, wholesale vision and operationalisation roadmap. Countries refer to the National Monitoring and Evaluation System (NMES) when describing the national or institutional M&E functionality. RSA defines its NMES and the Government Wide Monitoring and

Evaluation System (GWMES). The Presidency defines the M&E system as “...a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other institutions to discharge their M&E functions effectively” (DPME 2007:4). In the context of this study, M&E system refers to those long-term visionary arrangements for measuring and use of performance results across government spheres.

#### **1.7.6 Monitoring and evaluation plan**

In some instances, practitioners equate monitoring plan with an evaluation plan. Both plans operationalise the M&E systems. They consist of people and processes that work together to achieve goals of the M&E system (Gorgens & Kusek 2009:146-148). The M&E plan stipulate roles and responsibilities of different actors, while Markiewicz and Patrick (2016:20) add an aspect of linkage with evaluation questions. An ideal monitoring plan carries indicators, baseline data, data collection methods, data collection frequency, responsibilities and timeframes. In some cases, the monitoring plan present costs related to performance objectives (Gorgens & Kusek, 2009:147). On the other hand, evaluation plan provide an overall evaluation approach, questions, methods, responsibilities and timeframes (Markiewicz & Patrick, 2016:21). A good M&E system contains both monitoring and evaluation plans. Ideally, both plans complement one another in a logical sequential flow. Results emanating from both provide an input into the overall systems feedback for various uses of performance information.

#### **1.7.7 Reforms**

Reforms are widely popular, embraced because of challenges facing public service and promises that come with them as governments face external and internal demands and pressures for improvements and reforms in public management (Kusek & Rist 2007:1). Pollitt and Bouckaert (2011:2; 2004:16) remark that management reforms are deliberate changes informed by sets of ideas or ideologies to the structures or processes of public-sector institutions with

the objective of getting them to perform better. Reforms are thus the means to an end, perhaps multiple ends, and not an end in themselves (Pollitt & Bouckaert 2004:6). In an ideal situation, reforms carry intermediate outcomes of efficiency, effectiveness and accountability. POSH (2013a:2) identify types of reforms as the efforts targeting the building and strengthening of the infrastructure (roads, hospitals, schools) for provision of public services or those focusing on addressing institutional bottlenecks (systems, tools, processes) in the machinery of government that may otherwise constrain the efficient and effective provision of public services. Lufunyo (2013:3) describes the second catalyst for reform to be concerns on cost effectiveness, efficiency, accountability, focus on results, contestability of advice and services, better performance management, and service delivery.

Carstens and Thornhill (2000:180) describe reform modalities attached to reforms as a  *motive*  to reform; legitimate  *institution*  to design a strategy and oversee implementation;  *process*  dimension that produces interventions to change imperfections; and a  *human resource element* , which refers to the attitudes of officials and politicians through which all governing, managerial and administrative actions pass. Public service reforms may lead to short-term, intermediate and long-term results. Results of public service reforms may not be visible until after some years. Therefore, it is important to design attainment of short-, intermediate and long-term impact of reforms for accountability and sustainability purposes. Rugumyamheto (2004:439) highlights political support coming from short-term and intermediate results as one of the key factors for successful implementation of reforms. Reforms, however, may not lead to achievement of all their objectives, in some cases leading to worsening the state of administration, one objective of reform negatively affecting the other (Pollitt & Bouckaert 2004:7). An ideology influences the type and scope of the public service reforms of a particular country. An ideology analyses government weaknesses and service delivery shortcomings, also influences possible actions and expected results. The success of reforms is based on a set of ideologies that are likely to change given the influence of state, political or market actors (Pollitt & Bouckaert 2004:16).

## **1.8 Research benefits, limitations and delimitations**

This study has various benefits arising from recommendations on service delivery improvement through performance management and institutionalisation of M&E. The importance of service delivery by local governments cannot be overemphasised, hence the need for a proposal of enhancing service delivery in the field of public administration. Enormous amounts of literature on service delivery, performance management, monitoring and evaluation exist. However, this study cannot exhaust all due to time and resource limitations. Despite the fact that there is voluminous literature on public administration, the theoretical part of chapter two highlights what public administration is, and its linkage to efficiency, service delivery, and performance management. Performance management regimes guide and establish linkages between them and the level of institutionalisation of M&E.

Tanzania's local governments are many in number, but owing to resource and time constraints, this study was not able to cover a large sample. However, the sampling procedure applied in this study facilitated data collection and analysis relating to various types of Local Government Authorities. Furthermore, during data collection, the Local Government Authorities hesitated to provide all the qualitative information required for analysis of M&E systems. One LGA, the Dar es Salaam City Council, did not provide both executive and political meeting minutes. Creswell (2009:180) mentions willingness to provide government documents as one of limitation of a qualitative study. By design, the study conducted an analysis of several other available information collected from the Council and other LGAs selected for this study. For example, the other four (out of five) LGAs provided minutes of executive and political meetings.

Flick (2009:259) cautions on clarity and purpose of using documents as they are mostly used to record and legitimise institutional routines. The analysis of the documents is based on various aspects of M&E systems such as linkages across M&E components, processes, and political will, to mention but a few. The documents collected gave input to the analysis of the local government M&E systems as is presented in chapters five and six of this study. Merriam (1998) and

Creswell (2007) as cited in Creswell (2009:179-180) state advantages of using documents as a source of information as they represent the language of institutions and do not need transcribing. The study covered an adequate sample of LGAs and referred to other countries, which facilitated an understanding of the M&E system and performance management of Tanzania's local government.

## **1.9 Chapter outline**

This study focused on analysis of a M&E system, with a particular focus on its institutionalisation and how that determines a particular performance management regime. The study comprises seven chapters with their contents presented below.

### **Chapter One: Research scope and methodological orientation**

Chapter one presents introduction of the research, and also the research design. The research design carries sub-topics such as the problem statement, research objectives, research questions, and research methodology. The research methodology part presented in the chapter showcases sampling criteria, the data collection method, and data analysis techniques, all being part of this qualitative research approach. The sampled LGAs covered all types of local government in Tanzania, which are city councils, municipal councils, town councils, and district councils. The selected LGAs included the Dar es Salaam City Council, the Ilala Municipal Council, the Njombe Town Council, the Karatu District Council, and the Kasulu District Council. Chapter one presents the sampled LGAs' profiles for the purpose of understanding existing similarities and diversities among them. Chapter one also presents the meaning of institutionalisation of M&E and its components, research ethical considerations, study benefits, limitations, and delimitations. The chapter ends by providing clarification of key terminology referred to in this study, thesis layout, and conclusion.

### **Chapter two: Research conceptual underpinnings**

Chapter two presents the public administration theories as a science and activity. The chapter explains how the above-mentioned theories lay foundation for understanding service delivery, performance management, and M&E in the public

service. The chapter portrays how key concepts of this study connects with the public administration discourse by looking at selected approaches to the study of public administration and how these relate to the institutionalisation of M&E and its components, as well as performance management. The chapter presents differences between public administration and public management, and discusses the evolution of public management. It also highlights the dynamics of management, as well as similarities and differences between the public and private sectors. Formalised and coordinated M&E systems came with the introduction of the New Public Management and New Public Governance. The two paradigms emphasise results and accountability, which are directly linked with M&E. The chapter describes key elements of the role of managers as: Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB), and shows how these fit into the public administration discourse. The chapter further presents the operating environment that affect and influence operations and dynamics within and across public administration institutions..

### **Chapter three: M&E systems and performance management regimes**

After touching on public administration and the theoretical foundations of M&E and performance management in chapter two, chapter three presents details of the institutionalisation of M&E, including its elements. The chapter went into depth with regard to research-related concepts by offering a distinction between performance-related concepts, which are performance measurement, performance management, and M&E. The chapter distinguishes the above-mentioned concepts while creating linkages with M&E, showing the added advantage of the latter towards measuring organisational performance. The chapter further describes the performance management regimes (Performance Administration, Management of Performance, Performance Management, and Performance Governance. Chapter six of this study refers to the above-mentioned regimes.

### **Chapter four: A snapshot of South Africa and other regional M&E systems**

Chapter four gives a snapshot of M&E systems at continental and regional levels (Africa and East Africa respectively). It gives background to the onset and

roadmap for M&E in Africa. The chapter expounds the six elements of institutionalisation of M&E through analysing the current practice and institutionalisation of M&E in the context of the M&E elements. Furthermore, chapter four present conditions supporting M&E systems, thereafter using the same to analyse three countries' M&E systems (Rwanda, Kenya, and also the Republic of South Africa). The Republic of South Africa (RSA) has advanced M&E systems in Africa. RSA analysis carries a greater level of details of its M&E and performance management regulatory frameworks, and practices and institutionalisation of M&E are highlighted and analysed. The chapter assesses the RSA's M&E practices in respect of factors that contribute towards institutionalisation of M&E in local government, prerequisites, and environment and necessary elements of the institutionalisation of M&E.

#### **Chapter five: Genesis and growth of Tanzania's M&E system**

This chapter presents the structure of Tanzania's public service, with a particular emphasis on the evolution and development of local government since independence. It gives the background into recent service delivery initiatives brought about by the public service reform programmes implemented at central and local levels. The chapter presents the current regulatory frameworks and other catalysts for M&E systems and performance management in Tanzania's local government. The chapter presents local government M&E environment that includes strategies, projects and databases for or related to establishment of M&E system(s). Furthermore, it analyses the above-mentioned environment in the context of elements of institutionalisation of M&E in local government. The chapter analyses the adequacy and strengths or weaknesses of the current frameworks and institutional arrangements at both national and local government levels.

#### **Chapter six: The state of the local government M&E system**

Chapter six continues from chapter five's presentation of Tanzania's local government M&E system. The chapter unveils the influence of the environment as presented in chapter two (global/international, social, economic, political, and technological) to local government operations, particularly M&E. The chapter



analyses the strengths, weaknesses, opportunities and challenges (SWOT/C) of economic, political, social, global, and technological factors influencing the local government M&E systems and practices. It evaluates the actual situation and practice for all elements of institutionalisation of M&E in the five LGAs, also identifies gaps in comparison to the ideal situation presented in chapters one and three. Furthermore, the chapter looks at the gist of this study, and how the level of institutionalisation of M&E determines a particular performance management regime of local government that is presented in Chapter three of this study.

### **Chapter seven: Summary of findings, recommendations, and conclusions**

Chapter seven summarises the key findings presented according to the research questions identified in chapter one. After an analysis of M&E systems in chapters five and six, chapter seven proposes a model suitable for Tanzania's local government setting. The model considers the importance of local government entities in service delivery and the environment within which they are operating. The proposed framework builds on the public administration propositions presented in this chapter in relation to the ideas in chapter two. The chapter describes the relationship between different government levels with regard to the institutionalisation of M&E in local government. It presents conditions necessary for supporting efficient and effective M&E in the local government. The chapter further reveals the value additions of the proposed M&E framework. The chapter presents recommendations on interventions necessary for spearheading establishment and strengthening of M&E systems in the most sustainable manner. It delivers concluding remarks on public policy for monitoring, evaluation, and performance management.

#### **1.10 Conclusion**

Chapter one presented a research design that examined and analysed M&E systems, with a particular focus on the institutionalisation and linkages with the performance management regime of Tanzania's local government. Chapter one also presented the main objective of the study as an assessment of institutionalisation of M&E in Tanzania's local government and to establish its relationship to the performance management regime of the institution. The results

of this study are expected to fill the knowledge gap and contribute to the efforts to improve public service performance management. The study adopts a qualitative research method. This chapter presented the research design that comprised sub-topics such as the problem statement, the research objectives, research questions, and research methodology. The research methodology part included sampling criteria, the data collection method, and analysis techniques, all being part of this research's qualitative approach. The study adopted a purposive sampling method and selected five LGAs that covered all four types of Tanzania's local government. The chapter presented the sampled LGAs' profile as an introduction to areas where data is collected. Furthermore, the chapter elaborated on the meaning and elements of institutionalisation of M&E and other terminology related to the study. It described the ethical considerations observed in this study, as well as its benefits, limitations and delimitations.

## **CHAPTER TWO: RESEARCH CONCEPTUAL UNDERPINNINGS**

### **2.1 Introduction**

This chapter presents a conceptual framework for the study, particularly how the topic is grounded in the Public Administration theories, and the practice of public administration, especially as related to M&E. The chapter does not intend to present and analyse all theories related to Public Administration, but only key concepts relevant to this study. Thornhill and Van Dijk (2010:103) argue that there is no single perfect and self-sufficient school of thought, paradigm, movement or approach in explaining a phenomenon. Therefore, Public Administration scholars ought to realign relevant theories to suit the requirements of the discipline. This chapter explains how the Public Administration discipline laid a foundation for understanding service delivery, efficiency, performance management, and M&E in the public service. DeLoG Secretariat (2015:14) argues that building of M&E systems does not start from scratch, but there are already existing elements on which to build. This assertion offers a valid argument that in public administration there has been a steady acknowledgement and concern for M&E, built over time. This chapter presents various elements of M&E in public administration approaches and management practices.

### **2.2 Public Administration defined**

There is no single unified definition of Public Administration. Public Administration as a discipline has been and will continue to change over time as debates among academics and practitioners continue on scientific recognition and a more accurate definition. There are also debates on better applicability of the field to rapid changes in modern life. Thornhill (2014) in Thornhill, Van Dijk and Ile (2014:4), and also Rutgers (2010:3), differentiates between Public Administration (upper case) and public administration (lower case). Thornhill (2014) in Thornhill, Van Dijk and Ile (2014:4); Rutgers (2010:3-4) and Hughes (2003:3) define public administration (lower case) as activities of public officials that involve serving the public. It is concerned with procedures translating policies into action and office management. Thornhill, on the other hand, defines Public Administration (upper case) as a discipline that studies specific phenomena in the public sector. Public

administration as a practice is as old as mankind, every society having its own way of organising people in the pursuit of public interest. The study of Public Administration as a discipline is, however, not old. Public Administration theorists have proposed systems, structures, processes, procedures and psychological aspects, just to mention a few, or integration of the above, for what Waldo (1955), cited in Rutgers (2010:11), states to be achieving government purpose.

As stated in the above paragraph, the literature suggests that a key distinction exists between Public Administration (the discipline) and public administration (the practice). This chapter is built on the premise that first, Public Administration is the foundation that Public Administration and public administration are dependent of each other, with each contribution to the evolution and growth of the other. 'Ideas' as suggested by Public Administration theorists further proposes ideal practices in public administration. Second, evolution of Public Administration is the foundation of public administration and change of the latter is determined by propositions made by the former. This premise aligns with observations made by Waldo (1968), cited in Rutgers (2010:4):

*"Discussions of public administration are plagued by a serious problem because differing meanings may be given to or understood by the phrase. Sometimes in seeking to be clear and precise, I have used upper case to refer to the self-conscious enterprise of study, and the like, and lower case to refer to the practices or processes which are [the] object of our attention."*

For the purpose of this research, the difference between Public Administration and public administration exists, but cannot be separated when explaining phenomena in the discipline or practice. In this case, the research proposes the context for describing phenomena in a social sciences academic study. The study proposes a combination of both Public Administration (to describe the theory and origin of a phenomenon) and practice (how practitioners translate theories into practices, processes and actions). In monitoring and evaluation, this chapter presents its connection with theories, as well as how it is practised through management

practices. Rutgers (2010:4) argues that theories and practice appear intricately intertwined, with the latter describing the Public Administration discipline.

There have been debates on categorisation of the Public Administration discipline as a science or art. Riccucci (2010:15–18) summarises three arguments as to whether Public Administration is a science or art by making three distinct stands:

- a) Public Administration can and must be scientific. This group argues that administrative theory must be deductive and based on value-free, rationally derived, testable hypothesis;
- b) Public Administration is historically an art. Members of this group argue that metaphysical concerns have a prominent place in administrative research and theory building. These leave room for reasoning and research that can be descriptive or empirically prescriptive and normative. To this group, the chief source of knowledge is reason; and
- c) Public Administration is both an art and science. Given variations that exist in the Public Administration, this group proposes to strive for an appropriate methodology. An understanding of this field requires perspective, experience, judgement, and capacity to imagine. Understanding Public Administration requires not only analytical skills but also philosophy, language, art and reason.

### **2.3 Public Administration (PA): unification theory**

The theory provides knowledge to explain, increases understanding of a phenomenon, predicts a specific outcome, and explains how human beings act or react under specific conditions. Theory refers to generalisations and common denominators; that is, a *universum* of phenomena should enhance explanations and contribute to predictions regarding the human factor (Thornhill & Van Dijk 2010:97). A theory, to be *universal*, should thus be able to describe the phenomenon or activity; to explain why a particular activity has taken place or has been unsuccessful; and to predict what could happen if a particular condition applies concerning the phenomenon under scrutiny (Thornhill & Van Dijk 2010:97). Hanekom and Thornhill (1983:65), cited in Thornhill and Van Dijk (2010:96), propose reference areas when discussing the development of theory for scientific

study as a synonym for thoughts, conjectures or ideas. Other areas are an abstracted generalisation or a kind of shorthand used in lieu of facts, or a summary statement providing an explanation of a phenomenon or range of phenomena that co-vary under specific conditions.

There is no universally agreed-upon theory of PA, but various paradigms, movements, and approaches all developed as a solution to rising challenges and problems that arise from time to time. PA has a multidisciplinary nature originating from economics, engineering, sociology, law, and political science, but is also interdisciplinary within the field itself. Denhardt (2004:13) describes PA theories as lacking coherence, but that notwithstanding, the focus should be on what available perspectives can contribute to providing solutions to day-to-day challenges in the PA field. The arguments that PA theory is dependent on changes in the structure and functions of governments suggest that the theories of the 19th and 20th centuries may not augur well and apply in the conditions that exist in the 21st century public administration. Examples of this are difficulties in application of bureaucratic hierarchical structures, control, strict procedures in a market, and public service led by private-sector principles, as is well described by the Neo Weberian approach (discussed briefly later).

Van der Waldt (2015:6) defines a unified or unifying theory as a deep-lying, structural, coherent, philosophical underpinning of a particular discipline that integrates all micro- or lower-level theories into a comprehensive conceptual framework. The possibility of a comprehensive and integrated theory of PA is prevented by views of public administration as a profession, as well as the possibility that theory can fully match the interests and concerns of practitioners (Denhardt 2004:13). Pollitt (2010), cited in Van der Waldt (2015:14), argues that scholars of PA are generally uncertain of the direction they need to pursue because of a lack of focus. He adds that the only existing focus among PA scholars is their focus on the “state”, the public sector, and the public realm, but not on the aims, theories or methods.

Discussion exists on challenges of discipline identity, and if these create an opportunity to understand the PA field. Therefore, arguments exist for a need to

look for an identity, paradigm, discipline, and unifying ideas or practices in PA. Raadschelders (1999:289) argues that various academic fields and professions study governments on particular aspects of human behaviour. He adds that scholars in PA seek to link findings in these various approaches in order to arrive at a more complete understanding of a government. The above-mentioned arguments show lack of disciplinary focus caused by, among other factors, diversities or the type of scholars in the field. Some scholars are committed to finding solutions to discipline challenges, while others are involved in pragmatic, prescriptive work, contracted to conduct research or consultancies, and to develop solutions to governance challenges.

#### **2.4 Approaches to the study of Public Administration**

In the Public Administration discipline, terminology is used such as *school of thought*, *movement*, *paradigm* and *approach* when explaining a particular phenomenon. A theory has universal applicability as opposed to a school of thought, movement, paradigm and approach (Thornhill & Van Dijk 2010: 97). A paradigm is defined by Thornhill (2014) in Thornhill, Van Dijk and Ile (2014:3) as a set of assumptions, concepts, values, and practices constituting a way of considering a discipline and serving as a framework of study. A paradigm can be accepted by the scientific community as constituting a different way to look at a phenomenon. Denhardt (2004:73), on the other hand, defines a Public Administration “approach” as presenting real life, transmitting knowledge even though it may not represent an ideal form of an organisation or type of administration.

The sections below focus on selected approaches in PA that expound and develop a set of beliefs on service delivery, performance and efficiency. The approaches lay a foundation for understanding M&E, as well as its attributes, as presented in Figure 1.1. It is not the intention of this study to present all what the approaches stand for but rather to select pieces dealing with conceptual standpoints relevant to M&E. The presentation of the approaches will assist in the understanding of how this study fits into the Public Administration discipline and will assist during data analysis in subsequent chapters.

#### **2.4.1 Scientific management approach**

Frederick Taylor, a father of scientific management, contributed to the understanding of time, productivity and efficiency (Denhardt 2004:52). His approach developed the first concept of management and its functions, which are technical, commercial, financial, security, accounting, and managerial (Shafritz, Russel & Borick 2013:223; Baker 1972:23–24). Taylor's definition of management is about knowing exactly what one wants people to do and then seeing that they do it in the best and cheapest way possible (Goel 2008:265). On the management functions, according to the scientific management approach, there is control coordination, organisation, foresight, planning, and command of people (Goel 2008:262; Shafritz et al 2013:222–223; Baker 1972:24). The approach also introduced the concept of incentives in the discipline, in that where there is efficiency, there is an increase in worker's wages.

#### **2.4.2 Classical approach**

Some of the known authors of the classical approach are Henri Fayol, Chester Barnard and Max Weber. The contribution of the classical approach to public administration is the introduction of clear thinking on authority, administration, responsibility, delegation, lines of command, and subdivision of functions. Its basic tenets were rooted in the industrial revolution of the 1700s and the professions of mechanical engineering, industrial engineering, and economics (Shafritz et al 2013:10). The approach asserts that there is one best way of doing things and that it is possible to devise a set of principles of management for application in any type of organisation (Fox, Schwella & Wissink 2004:9). The approach contributed to the onset of organisational purpose or mandate, the anatomy or structure of an organisation, efficiency, and systematic organisational processes. The approach emphasises that every organisation pursues a particular purpose and must accomplish production and economic goals. It is from this foundation where later developments of management, performance management and efficiency originated.

Apart from those functions, the approach laid a foundation for key elements of administration, later improved in approaches that followed. The command and



control element means watching, monitoring, checking, auditing, and obtaining feedback, simply put in current times as monitoring and evaluation. Henri Fayol suggests that forecasting for institutions should be long term, with plans developed for a period of 10 years or more. Employees' performance monitoring using a stopwatch created a foundation of appreciating performance management systems. However, Baker (1972:24) argues that in the level of supervision and management, especially for larger enterprises, the more individuals are occupied with the administrative function, the less they will concentrate on other operational functions. From this argument, much as it is important for leadership to play a leading strategic role in an organisation, this may not happen due to other administration duties.

### **2.4.3 Rational approach**

According to Denhardt, 2004:73 and Spicer (2014) in Morgan and Cook (2014:68), the rational approach acquired its earliest and most forceful presentation in Herbert Simon's work *Administrative Behaviour*. In this work, Simon undertakes a layout of a comprehensive theory of administrative organisation based on a positivist view of knowledge acquisition and an instrumental interpretation of organisational life. The rational approach proposes that a scientist should carefully assess facts and objectively make conclusions from those facts. Related to this study would be using performance information in planning and decision-making. To behave in a rational manner is to behave in such a way that one contributes to the accomplishment of the organisational objectives (Denhardt 2004:75). A rational being ought to be consistent in beliefs and actions as argued by Spicer (2014) in Morgan and Cook (2014:68). As such, debates exist on application of consistency and implication to the public administration.

The principles of monitoring and evaluation have been understood since the rational comprehensive model became dominant in urban planning practice (and theory) in the 1950s and 1960s (Seasons 2003:431). From the rational approach stance, M&E increases efficiency, facilitates merit-based decision-making, and produces performance information. Conditions for an effective application of the rational approach include the availability of information, time for analysis and

decision-making, financial resources, and human resources capacity. Strategy institutionalisation (*such as for monitoring and evaluation* – emphasis added) can be efficient only by acting according to the design of the system, where rationality is equated to compliance (Denhardt 2004:77). An organisation must support the strategy or framework of customs and routines within which a range of choices can be limited and controlled (Baker 1972:50). The structure of an organisation is a framework from which information and value systems are transmitted (Baker 1972:50). Organisational structure plays a vital role in institutionalisation of M&E.

Regarding efficiency, Hebert Simon defines “good” and “bad” things in an organisation, where good things are those that enhance an organisation’s capacity to attain its goals. Whatever increases efficiency is therefore good, while whatever does not is bad (Denhardt 2004:74). Simon adds that one can be rational only by being efficient. Decision-making processes consist of intelligence, design and choice, where intelligence means scanning the environment; design means finding and developing alternative courses of action; and choice means selecting the alternative with the best chance of success (Denhardt 2004:78).

#### **2.4.4 Systems approach**

Lynn Jr and Hill (2008:232) present the systems approach as a complex set of dynamically intertwined and interconnected elements, including inputs, processes, outputs, feedback loops, and the environment in which it operates and with which it continuously interacts. The approach assumes that there are inputs and outputs, where inputs are demands that are processed to produce outputs in the form of goods and services made available from institutions. Fox et al (2004, 31) argue that the systems approach pays attention to environmental factors that affect public institutions, such as the decision-making processes. According to Denhardt (2004:83), an organisation cannot be fully knowledgeable about all variables that may influence it; nor can it predict them or control their influence. The systems approach turns away from the closed system to an open one, which assumes that an institution is made of interdependent parts that place demands or expectations on it. The approach rejects the assumption that there is one best way of doing things, applicable to all management situations (Fox et al 2004:10).

Denhardt (2004:84) describes decision-making under this approach as being practised while considering the environment that surrounds an institution. Greene (2005:130) describes the environment as including such things as pressure groups, political parties, and non-governmental organisations. The approach suggests that an executive should develop an effective relationship with those in the environment. The executive needs to create a balance between external and internal environmental demands when making strategic decisions in order to optimise mobilisation and use of resources, and ensure efficiency and organisational existence (Fox et al 2004:13). Related to this study are sentiments that facts or performance information are not the only attributes pointing towards policy choices and used in determining levels of implementation, but environmental factors are also relevant. Chapters five and six will present the influence of external factors on local government institutionalisation of M&E.

#### **2.4.5 Human relations approach**

Elton Mayo is considered “*the father*” of the “*human relations*” approach to organisational management, being the founder of the approach and instrumental in studies of industrial psychology. Mayo conducted the Hawthorne experiments, which tested employees’ reaction to various working conditions. His results described key elements of the human relations approach. He conducted the experiments in a plant the management of which failed to achieve maximum productivity despite the application of scientific management principles. The experiment results were as follows:

- a) Employees appreciate participatory approaches as these create a sense of ownership, build teamwork, and motivate them when they realise that their feelings are appreciated and challenges acknowledged;
- b) Within an organisation, there are informal groups of employees whose mission may influence efficiency regardless of incentives provided; and
- c) Incentive-driven growth is not realistic as proposed by the scientific management approach, as human beings can behave in the same way and maintain organisational growth levels regardless of change of incentives and physical work environment.

Chakrabarty and Chand (2012:75) observe that the scientific management approach overlooked key elements of an organisation: organisations should be viewed as a social system; employees are human beings with human attributes; informal elements play an important role in the overall organisational output; and organisations have social ethics, instead of individual ethics. Greene (2005:135) asserts that the human relations approach provides an insight into the core of organisational life, focusing on the need of individuals rather than on an abstract political system or mechanistic diagrams. Denhardt (2004:91) argues that a manager's important roles are accomplishing organisational goals and balancing employee satisfaction and cooperation. There should therefore be integration between individual and organisational objectives.

The centre of the human relations approach is employees, suggesting a balance between employees' interests and those of the organisation. However, this principle applies mostly to public institutions, as they are not as strongly profit-orientated, and balancing of individual and organisational objectives can be fairly accommodated. For this study, human relations link to issues related to the human resources role in encouraging efficiency. Rewards and sanctions play an important role in the institutionalisation of M&E. Therefore, it is of great importance to understand how these aspects link with performance and how M&E is practised in Tanzania's local government. Participation of employees as advocated by the systems approach necessitates an investigation into the practices employed in local government planning, monitoring, evaluation, and reporting in Tanzania.

## **2.5 Public administration in Africa**

A wrong assumption exists that pre-colonial Africa did not have organised administration and governance systems. African societies were organised into clans, chiefdoms with their members giving loyalty to the leaders, who offered protection and other administrative services. Basheka (2012:31) highlights pre-colonial African administrative systems that were fragmented or highly decentralised, with a few centralised polities such as the Songhai Empire, the Ashanti Kingdom, the City of Benin in West Africa, or the Buganda Kingdom in East Africa. Ancient Egyptians contributed to techniques of management by

deferring the organisation of administrative systems and functions to societies. However, they ranged from all or some of these: planning; execution of wars; distribution of resources; management of various societal events or projects; negotiations; and judicial functions.

Some colonialists (not all) preferred to use the traditional administration systems alongside theirs for the purpose of legitimacy and control. Governments of post-independence African countries inherited most of the colonial systems, they began building capacity, and recruiting their citizens into various government positions in what is known as the “*Africanisation*” of public services. Another development in Africa was the alignment of states during the 1950s and 1960s in either socialist or capitalist ideologies, which also influenced the nature and characteristics of public administration. Batley and Larbi (2004:2) argue that the idea of state-led development in Africa was attractive as it offered a way of satisfying popular expectations and demonstrating a concern with social justice and development. There was reorientation of the service delivery function of the public administration from interests of the colonial countries to those of the new states, which translated to a more rapid expansion of the provision of services in agriculture, the social sector, and infrastructure than was the case during the preceding decades of colonial rule (Basheka 2012:53).

However, the “statist” approach was criticised with the rise of the “neo-liberal” approach in the 1980s. The critique of the statist approach was based on the question as to whether states’ and developing countries’ public administration was structurally and technically capable of acting as the agent of development (Batley & Larbi 2004:3). The critics of African bureaucracies challenged them for being biased towards stability, anti-developmental, and suppressors of entrepreneurial interests; while others in sub-Saharan Africa lacked legitimacy and capacity to enforce policy (Batley & Larbi 2004:3). During the late 1970s and 1980s, African countries faced a sharp decline in their economies and vehement questioning of the role of government and the status of service delivery by their public administrations arose. Soon after political freedom, heightened expectations of better life became elusive, as governments failed to deliver as a result of problems

such as poor political governance, military interventions, rank abuse of rule of law, and massive corruption (Ababio in Vyas-Doorgapersad, Lukamba-Muhiya & Ababio 2013:154).

Since the 1980s, economic liberalisation and free market economy ideologies have been adopted across the African continent. The economic and political reforms redefined the role of public administration in development. The changed role of the public service came in the style of systematic and organised public service reforms. The public service reforms, particularly in Tanzania's public service, have been presented in chapter one. The extent to which public service reforms have influenced quality service delivery is still debated and is an opportunity on which to ponder with regard to public administration discipline.

## **2.6 Public administration versus public management**

The terms public administration and public management, although used interchangeably, are not synonymous. The key words here are "administration" and "management". In the context of the public service, Lynn Jr (2006:4) defines administration and management as "*methodical efforts to accomplish the goals of sovereign authority*". Hughes (2003:3) argues that the essential difference between the two is between "administration-to-serve" and "management-to-control or gain results". Writers in the first half of the 20th century defined public management as "*the study and practice of design and operation of arrangements for the provision of public services and executive government*" (Ferlie, Lynn Jr & Pollitt 2007:8). According to Haynes (2003:6), the word management came into English in the 16th century from the Italian word "*maneggiare*", meaning to train or ride a horse with skill, and later the word was used for the conduct of wars and other public affairs. Management is therefore a method of governing an institution, which includes administrative processes. Haynes further defines public management as a system of government administration that seeks to deal proactively with criticisms of rational leadership and strategic management of policy on the one hand, and the inability to create economic and efficient policy outputs on the other.

Traditional public administration theories started and were practised from the late 19th century to the last quarter of the 20th century. Public administration was characterised with hierarchical structures, with permanent employees motivated by public interest and not contributing to policies (Hughes 2003:17). The onset of managerial approaches responded to shortcomings of the traditional public administration in ensuring efficiency and accountability of office bearers. The summary of the key differences between public administration and public management is as presented in Table 2.1 below.

**Table 2.1: Differences between public administration and public management**

S/n	Principle	Public administration	Public management
1	Bureaucracy	Government should organise themselves according to structure and hierarchies	Bureaucracy doesn't work well in all circumstances and has some negative consequences
2	Working procedures	There is one best way of working and procedures set out in manuals for administrators to follow	One best way of working is not possible. There must be flexibility
3	Service delivery	Government is a direct provider of goods and services	There are other ways of service delivery such as regulation, contracting out of services
4	Politics	Separation of politics from administration	Bureaucracy shouldn't work separately from politics
5	Employees	Employed on permanent basis, motivated to work for public interest	Uphold other employment options such as contracts. Public servants are not necessarily pure and selfless
6	Accountability	Public servants carry out administrative tasks without personal responsibility for results	There should be accountability and responsibility attached to results

**Source:** Adapted from Hughes (2003:1–2); Hughes (2012:2); Lynn Jr (2006:1–10).

Henry (2010:27), cited in Basheka (2012:34) and Hood, cited in Ferlie et al (2007:9–11), and, present a chronology of the use of terminology (public administration and public management or management and administration) as follows:

- a) The word management was used in the 18th century to refer to “political manipulation”;
- b) In the 19th century, the word administration (from the Latin “*ministrare*” – to serve) became commonly used in the English-speaking countries to denote operational work of the executive government;
- c) In the late 19th century, “public administration” became the most common term for the academic study of the executive government, while “management” was widely used to connote conduct of public affairs;
- d) The late 1930s saw the coining of the terminology hybrid “administrative management”, meaning the design and operation of the executive government;
- e) The second half of the 20th century saw emphasis on the use of the word “management”: management of public enterprises, public administration as management, and the introduction of public management into academic curricula; and
- f) In the 1960s and 1970s, the public management movement distinguished itself from schools of public administration. In the 1980s, the term “public management” became established to denote both an activity and field of study.

### ***New Public Management paradigm***

New Public Management (NPM) is an attempt to implement management ideas from business and private sectors into the public service in order to make it more business-like and address shortcomings of the traditional public administration. The paradigm assumes that private-sector management principles, which emphasise efficiency, enhanced accountability, strategy-focused planning, and productivity, can be applied in the public sector. The NPM paradigm is based on belief in the primacy of economics, the usefulness of private management



methods, and a desire to reduce bureaucracy (Haynes 2003:9-10). Others are the desire for a results-orientated approach, an efficiency-based outcome, consumer preferences, and satisfaction (Naidoo 2011:19). Fourie (2012:130) describes the centrality of the NPM paradigm as efficiency and effectiveness, or performance at individual and organisational levels, attached to incentives. The paradigm brought about extensive use of management in the study of public administration, with terminology such as planning, M&E, and motivation (Thornhill 2014 in Thornhill, Van Dijk & Ile 2014:19). Under the NPM paradigm, individual citizens are “customers” or “clients” rather than citizens who own governments from a democratic point of view. This has, however, been criticised as inappropriate borrowing from the private sector model with no firm position in public administration standing (Basheka 2012:55).

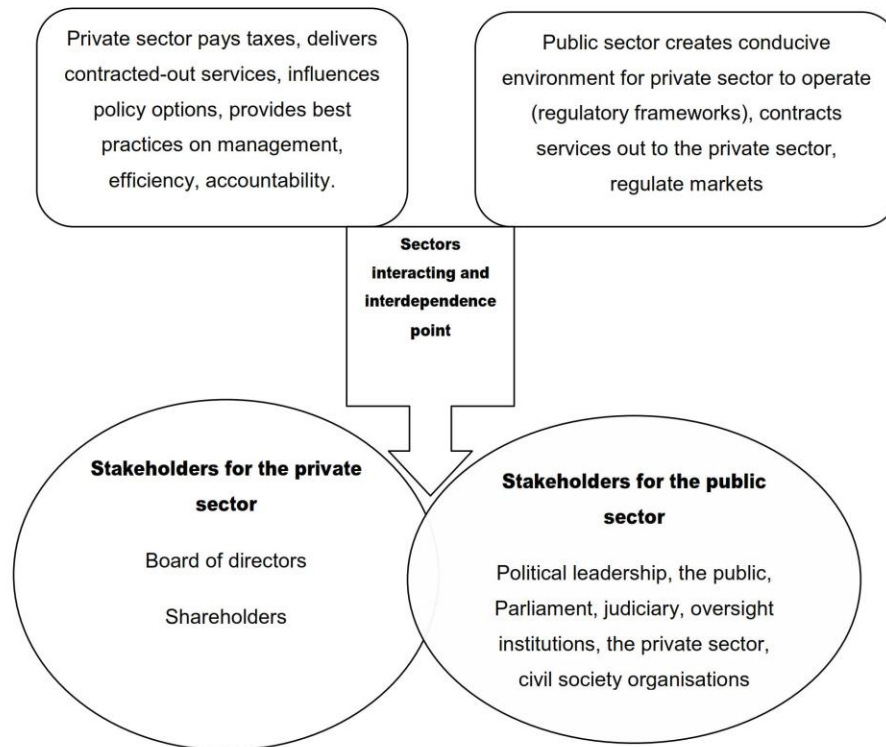
#### ***Adoption of private sector approaches to public administration***

The private sector management approaches influence public management theories. The rise of the NPM paradigm is a result of the economic crises of the 1980s, prompting governments to re-assess their role in societal management. There were opinions that the adoption of private sector and market principles into the public administration would result in more responsive, accountable, and efficient-quality service delivery. This part presents the nature and operations of modern public administration, stating differences in how private and public sectors operate. This will shed light on the possibility for adoption of such suggestions into the public administration system in Tanzania.

Chakrabarty and Chand (2012:5–6), and Lynn Jr and Hill (2008:25) argue that the prime purpose of public administration is serving the public, while that of the private sector is profit making. They add that while public administration provides non-profitable services for the public interest, the private sector aims at cutting down costs and maximising profit for shareholders or owners of a private entity. A pending question is on the necessity for borrowing private sector approaches into the public administration while there are these diverse basic differences. Arguments supporting the adoption of private-sector approaches to public administration are because poor service delivery and inefficiency are a result of

institutions lacking correct management and business approaches similar to those in the private sector. For example, there are suggestions to contract services out to the private sector in order to curb poor service delivery, assuming that the private sector will work better (faster and more efficiently) than the public sector. Hughes (2012:8) presents another dimension of measuring results, and ensures accountability by having concise outputs and deliverables. Because of this pressure for the adoption of private-sector practices into the public administration, there is currently a fusion of the two and more interdependence towards each other, as illustrated in Figure 2.1.

**Figure 2.1: Public- and private-sector interface**



**Source:** Author 2017 (influenced by Hughes 2012:144; Van der Wal, De Graaf & Lasthuizen 2008:472–475).

Figure 2.1 above indicates that the public administration works with the private sector in providing services that it formerly solely offered, as there is more influence exerted by the private sector in respect of policy processes. The interdependence between the two has grown to the position where the private sector depends on public administration for its working environment through developing of regulatory frameworks and an environment conducive to assisting the private sector to prosper. This is what Fourie (2008:563) refers to as new development in the private and public administration, where the latter attempts to change both management and financial control of aspects of service delivery to the private sector, for example, through Public Private Partnerships (PPPs).

Despite the close relationship between public administration and private sector, the two have diverse differences. Therefore, one can question theories advocating for wholesale adoption of the private sector management practices by the public administration. A key difference between the two is on the profit-making orientation. Motivation for creating the two differs as presented above, and thus there is no similarity in decisions, practice and focus. While the private sector may have little or no incentive to address issues related to fair distribution of income and wealth, the justification for having public institutions sets in, to produce public goods.

A survey conducted in the Netherlands with private- and public-sector executives on institutional values revealed that a key value is profitability and accountability for the private and public sector respectively (Van der Wal et al 2008:472). The study further found that regarding the values for their institutions, profitability had never featured in the public sector, nor had honesty and innovativeness. The private sector values excluded incorruptibility, lawfulness, transparency and serviceability. The study results are similar to those of a study conducted in the United States of America in the 1990s on goals of business firms where no executive from government-owned and government-funded institutions mentioned profitability as a goal (Rainey & Chun in Ferlie et al 2007:80). According to Fourie (2012:126), the public-sector institutions are often criticised for being inefficient

because they lack business orientation. As the market dynamics and profitability differences between the sectors are obvious, there have been attempts to research the implications of the differences in efficiency, effectiveness, incentives for performance, and control of public management (Rainey & Chun as cited in Ferlie et al 2007:80–81).

This section offered differences between private and public sectors. The distinction that exists between the two affects public administration and management systems related to responsiveness, accountability, and service delivery in general. Given the above-mentioned differences, a pertinent question here would be in relation to how far public administration should go in terms of adopting private-sector management and performance management approaches. Related to this study is a question about whether public administration is limited to apply private-sector management, and if yes, extent to which these affect adoption and institutionalisation of M&E in the public service. The private sector makes careful choices on decisions based on risks, products, prices, level of investment, while the public sector may not consider those in pursuit of the common good and the interests of the public, or because of influence from its stakeholders. A strong correlation exists between accountability and need for performance information; as such, lack of the former affects demand for M&E systems. Hughes (2012:8) argues that the set-up of accountability sources and mechanisms between the public and private is different. The private sector has defined narrow accountability structures composed of the board of directors and/or shareholders, while the public administration accountability points are many, with diverse interests. This creates less flexible options on policy direction and implementation. A pertinent question arises on the extent to which the public service can institutionalise effective M&E systems, which track service delivery and accountability to the public.

The above assertion creates a lot of difference in terms of the adoption of private-sector flexible and focused management approaches. In the private sector, a manager can be flexible in changing direction and taking a profitable route. On the contrary, Chakrabarty and Chand (2012:5–6) remark for public administration, that

discretion is limited by law and procedures. Public institutions monopolise some services such as policing, prisons, and other non-profitable areas. Unlike in the private sector, sources of policy, funding mechanisms, and accountability mechanisms have an impact on how a public manager manages public institutions. Another difference between the two is in the measuring of performance. The public sector lacks something analogous to profit, as it exists in the private sector, which makes measurement and evaluation less meaningful.

This research ought to document the existing accountability and responsiveness systems introduced in the Tanzanian local government. The regulatory frameworks guide the public service and determine extent of flexibility in decision-making, accountability structures, and avenues that support the M&E system. Chapters five and six will present regulatory framework and institutional arrangements that support the Tanzanian local government M&E system. The study probes the effectiveness of M&E as an accountability mechanism in the absence of the non-profit-making aim that exists in public service institutions.

## **2.7 Neo-Weberian State (NWS) and New Public Governance (NPG)**

There has been criticism of the New Public Management paradigm that its application has not resulted in sustainable and applicable solutions to the public service. Manning (2001:298) agrees that the NPM paradigm has broadened the menu of managerial choice. However, Manning claims the paradigm's contribution to responsiveness and efficiency has been slight at best, and it has possibly been positively harmful in some settings. The analysis of the practical shift of public administration to the NPM paradigm in Africa has raised questions for debate and rethinking of its relevance in the continent. Vyas-Doorgapersad (2011:241) questioned whether the NPM paradigm is the only way to improve and modernise public services in Africa, or if the paradigm has any cultural foundation based on the beliefs and values of the African people.

Randma-Liiv (2008:4-11) observes that the discussion on the NPM paradigm against the NWS is based on fundamental choices available for governments. These are: a minimal or a strong state, flexibility or stability, deregulation or regulation, marketisation or not, fragmentation or unity, and democratic or

technocratic rules. De Vries (2010:3) adds that the NWS aims at restoring the legitimacy of the state by placing more emphasis on non-economic values and societal problems. De Vries further argues that the NWS tries to combine the state, civil society and the market. It suggests the shift from internal orientation to external; modernisation of relevant laws to encourage achievement of results; and upholding professionalisation of the public service. It also has the Weberian elements of affirming the traditional role of the state, and the upholding of administrative law and public service status, culture, terms and conditions.

The dynamics of NPM have shifted to a conceptual tool referred to as New Public Governance (NPG). The NPG focuses on taking a collaborative approach in provision of services through working with partners within and across public, non-profit and private sectors. Morgan and Cook (2014:3) argue that NPM lacked a common denominator to serve as a basis for building trust and legitimacy among citizens. They further argue that NPM efficiency, effectiveness and responsiveness to citizens (customers) are not the only legitimacy possibilities for consideration. Osborne (2010:6–7) presents five (5) NPG strands as: socio-political governance; public policy governance; administrative governance; contract governance; and network governance. He further argues that NPG has emanated from public administration and NPM to become a distinct regime in its own right.

At the centre of the New Public Governance paradigm lies a desire for the public service to operate and realise *values* agreed with other non-public partners, in order to win *trust* and receive *legitimacy*. According to NPG, customer satisfaction advanced by the NPM is limited in realising the prescribed values, trust and legitimacy. Moore (1995) and Heyman (2004), as cited in Morgan and Cook (2014:41), provide universal dimensions that build trust into values, legitimacy, support, and operational capacity. Furthermore, the collaborative approaches apply to the implementation, monitoring, evaluation and reporting stages. A striking feature of the NPG in performance management stands at the development of indicators the impact of which will have a spill over effect to the citizens, thereby influencing values, trust, and legitimacy towards government in a positive or negative manner. Morgan and Cook (2014:23), Osborne (2010:6–10)

and Denhardt and Denhardt (2015:2) summarise the NPG stand as prioritisation of the public interest or common good over administrative processes with efficiency and effectiveness.

The NPG proponents advocate for building performance management that connects the public service with the non-public service actors and networks in the governance process through prescribed avenues (Osborne 2010:9; Denhardt & Denhardt 2015:1). The NWS and NPG add value and public interest aspects, pivotal to institutionalisation of M&E systems in public administration. The emphasis on public interest, for instance, links to all six elements of institutionalisation. Both NWS and NPG propositions stimulate generation and use of M&E performance information. The addition of linkages between civil society and society/citizenry creates demand for M&E systems, as presented in chapter three of this study.

## **2.8 The manager's role: "POSDCORB"**

Various authors such as Luther Gullick and Lyndall Urwick built on the public management principles, and referred to Henri Fayol's work on key management principles applicable to both the public and private sectors. The key management principles described by Gullick are Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB). These management functions are important in this research as they comprise some of the elements of institutionalisation of M&E presented in Figure 1.3. Both the executive and political leadership are set for interviews as described under the methodology part; therefore, these management roles will assist and guide an assessment of these key M&E elements. Goel (2008:281), Shafritz et al (2013:225) and Tshiyoyo (2012:90-95) present the above-mentioned management functions as summarised hereunder, with additions from other authors.

- a) *Planning*** entails working out a broad outline of things that need to be done and methods for doing them. Planning is a key management function that is intellectually demanding to determine the best course of action with regard to how an organisation reaches its objectives. Planning guides public administration in all other management functions of organising,

directing, staffing, coordination, reporting, and budgeting. This, however, is the ideal scenario, and institutions may not necessarily refer to their plans. Fox et al (2004:46) add that planning in the public sector follows policy processes, implementing a particular policy objective. McKinney and Howard (1998:195) describe the planning process as conceiving a range of meaningful goals and developing alternatives for action to achieve these goals. In the context of the governments, there are long-term, intermediate and short-term plans. The national plans are in many cases long-term plans presented as visions or strategies used as a reference for all policy processes, as well as sectoral, ministerial, local government and other public institution plans. The national plans are concerned with goals and impact, while the institutions' strategic plans focus on specifics (objectives) and a course of action to be taken in the immediate future.

There are various schools of thought and approaches guiding development of institutional plans. At institutional level, plans are presented as strategic plans, which are defined by McKinney and Howard (1998:201) as a means for carrying out a policy. The strategic plan is usually composed of an institution's vision, mission, core values, goals, objectives, implementation actions to be taken, and sometimes an M&E plan and/or a resource plan. Strategic plans consider the environment in which an institution is operating and the inclusion of stakeholders' expectations, which calls for their participation in the development processes. In organisations where M&E is institutionalised, a strategic plan and an action or annual plan are extracted from the main plan. As strategic plans are a prerequisite for the proper functioning of M&E, it is expected that implementation strategies, target groups, and a resource plan will be developed with reference to those plans. In an ideal situation, the public service institutions to generate performance information from the M&E system that will be used to feed the planning processes. However, Fox et al (2004:46) caution about constraints facing public institutions' planning processes, which must include the highly politicised and turbulent environment.



- b) *Organising*** connotes selecting a formal structure of authority through which work subdivisions are arranged, defined and coordinated. Ideally, organising follows planning, where plans are matched with activities in order to achieve predetermined objectives. Hanekom, Rowland and Bain (1993:208) add to this function as comprising of all those activities by which a formal network of intra-relations (formal internal relations) of an authority is created, adapted, and maintained. This management function involves setting roles played by all players and how they relate to each other in pursuit of a specific defined goal (Fox et al 2004:69). Public service institutions' structures are organised in terms of clients served, the processes and purposes, or the area served. This study focuses on structure organised by the area served (local government), and will analyse how these can be organised structure-wise to institutionalise M&E.
- c) *Staffing***, currently known as human resource management, is a function dealing with acquiring or selecting and training of staff who are provided with proper working conditions. It involves organising and placing staff with adequate skills necessary to implement institutional plans. Also related to staffing is their suggestion of limiting the span of control of managers. Staffing is directly related to the organisational structure, which should, ideally, be linked to and support the institution's strategic plan. Institutionalisation of M&E goes hand in hand with having in place adequate qualified staff to undertake M&E functions. M&E practitioners are scarce in most African countries, but the challenge lies more on availability of evaluators in the labour market.
- d) *Directing*** entails making decisions and issuance of specific orders or instructions. Directing is an act of guiding towards desired goals in a timely manner. Denhardt (1991:300) describes this function as leading, motivating, changing the course of action when necessary, and providing direction. Under this function, the manager applies leadership skills to supervise teams through instructions, coaching and mentoring. A well-

informed manager ensures effective execution of plans, while guaranteeing employee satisfaction.

- e) **Coordinating** involves inter-relating various parts of the organisation. Coordination in governments involves creating interlinkages within and between institutions and the removal of blockages, which hinder achievement of goals. On coordination, Denhardt (1991:300) puts it as “*ensuring all pieces fall into place at the right time and problem-solving*”. Relating to the institutionalisation of M&E, coordination may suggest the setting up of a national M&E system and an institution to coordinate M&E interventions. At institutional level, the management and unit attached to the M&E functions have the role of coordinating and supporting M&E initiatives, from planning to implementation, and reporting and using performance information. Coordination at institutional level goes as far as aligning all projects and programmes implemented by the institution to its strategic plan and M&E system.
  
- f) **Reporting** is a function dealing with preparing reports on the progress of various planned activities. Reporting in a public service institution is twofold: internal and external. The internal reporting function facilitates controlling of results, forward planning, development or review of the institution’s structures, and resources allocation and distribution. Unlike in private sector, the public service reports to a range of external stakeholders which includes taxpayers or other citizens, political institutions, and sometimes development partners. In an ideal case, agreed plans and the M&E framework generate institutions’ performance reports used as reference for learning, decision-making, and provide feedback for further improvements.
  
- g) **Budgeting** is a function dealing with fiscal planning against institutions’ plans, and also accounting and control over expenditure. Stillman (2010:343) defines budgets as contracts entered into annually between the executive and legislative branches that allow public institutions to raise and spend public funds in a specified way. From Stillman’s point of view,

budgets are legal, binding contracts between politically elected representatives of the people and the executive, which are also used as accountability tools. A manager undertakes a budgeting role as an internal process for identifying priorities and determining implementation of the institution's strategic plan. Budgeting is therefore a process of allocating resources to an institution's plans, facilitating implementation, and determining future courses of action. The internal and external environment influence the amount of resources allocated. McKinney and Howard (1998:361) describing budgets as planning, political, legal, social, and economic instruments. In an organisation where M&E is institutionalised, budgets and budgeting processes are aligned with the strategic plan, and also take into consideration data collection, processing, and reporting. An ideal institution would set aside financial resources to facilitate carrying out the M&E activities.

## **2.9 A summary of theories supporting M&E and concepts**

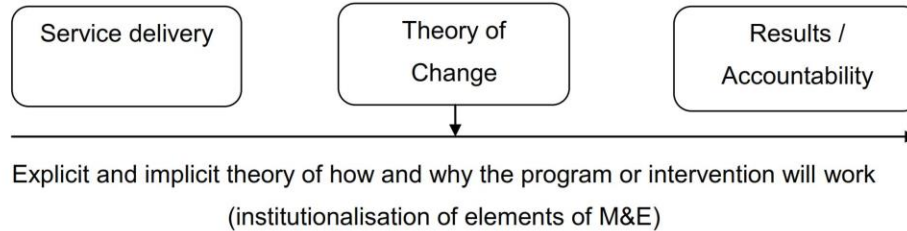
Discussions continue on existence of M&E theories. Basheka and Byamugisha (2015) wrote on the state of Monitoring and Evaluation (M&E) as a discipline in Africa. The authors sets a good ground for understanding of evolution and growth of M&E in the continent and whether the same can be considered as a discipline. Basheka and Byamugisha argue about M&E that, I quote "*while the field has methodological challenges as well as utilisation challenges and has not yet developed its own theories, its multi-disciplinary approach has seen different disciplines injecting the needed theories*". Literature do not mention of specific M&E theories. However, its evolution and growth connects to various disciplines and theories as is presented in previous sections of this chapter.

The theories presented above appreciate the growth of M&E from the time of philosophers such as Plato and Aristotle. Plato argues that the interest and merit of the strongest need to be judged over time (Scruton,2007:525). The statement by Plato introduces the monitoring and evaluation aspects of governments. On the other hand, Aristotle question the interest of those in power, and if that interest is just (Scruton, 2007:38). The 'just' part refers to the public goods, which links to

the existing governance principles. The key concepts of M&E are results and accountability. The two are inter-dependent and contribute towards a meaningful M&E system. The M&E systems facilitate provision of answers to two basic questions: which results and why?

Weiss (1995) as cited in Steen and Valters (2012:3) describe Theory of Change (ToC) as one explaining how and why an initiative works. The theory, commonly referred to in development projects shows a roadmap and connection between activities and results of an intervention. Steen and Valters (2012) describe ToC components to be: analysis of how change happens in relation to a specific thematic area; an articulation of an organisation or program pathway in relation to the above and; an impact assessment framework designed to test both the pathway and the assumptions made about how change happens. On the other hand, Connell and Kubisch (1998:3) argue for good ToC that is plausible, doable and testable. This study suggests that ToC contribute to effective M&E systems in the public service. Evolution and growth of M&E in the public service across the world has been steady. This trend suggests for a comprehensive plan to facilitate its growth and effectiveness in contributing to results and accountability. Figure 2.2 below explains ToC and that fits into the M&E.

**Figure 2.2: Theory of Change and institutionalisation of M&E**



**Source:** Author (2017).

Figure 2.2 above connects service delivery with results and accountability. Chapter one presented importance of institutionalisation of M&E. The figure suggests connecting service delivery with results and accountability with institutionalisation of M&E. The study assumes that results and accountability happens in an environment where all six elements of institutionalisation of M&E are operational. In the above presented environment, institutions take deliberate measure to institute and ensure functioning of elements of the M&E system. This figure, if applied, addresses the challenge of having sporadic, fragmented and disjointed M&E efforts and performance information. It is worthwhile investigating further on application of the ToC in the public administration discipline and practice.

### **2.10 Public administration institutions' business operating environment**

The ecological approach of public administration presents bureaucracy as a social institution, which is continuously interacting with economic, political, global and social factors. Fox et al (2004:5) describe two components of public management environment to be general (as in areas mentioned above) and specific components comprising suppliers, regulators, competitors and consumers. The general components are standard in the way that they exist regardless of the type of public institution or level of government, while specific components vary depending on an institution's mandate, level of operation, and so forth.

Environmental factors shape the way public administration makes policies, implements them, and reports on results. There have been various approaches to planning adopted in the public administration, such as the Balanced Scorecard, the European Framework for Quality Management model, and Total Quality Management, which were all attempts to scan institutions' operating environment. The results of this assessment become an input into the planning processes, setting of goals or objectives, and choice of implementation strategies. Chakrabarty and Chand (2012:12) and Greene (2005:17) remark that bureaucracy and environment influence and affect each other.

In order to understand the real nature, operations and behaviour of a particular public administration system, one should identify and understand various environmental factors affecting it. The operating environment is therefore important for understanding the dynamics of decision-making, the institutionalisation of M&E, and performance management at both central and local government levels. In this study, the environmental factors presented that affect public administration behaviour are global, political, economic, technological, and social. The systems approach presented in previous sections has further details related to the operating environment of public service institutions. Chapter six will present information related to the local government M&E operating environment and its effect on the same.

### **2.10.1 Globalisation influence on public administration**

Globalisation, sometimes equated to modernisation, internationalisation, or liberalisation, is defined differently according to prescriptions of management gurus, countries or states, academicians, politicians, economists, or organisations. The term continues to be a buzzword with proclamations of its negative and positive effects depending on who defines it and context of its definition. Globalisation comes with a particular order of economic, political and governance trends that affect all actors across the world. For example, developing countries have been lamenting the negative effects, mostly due to the failure to position themselves and accrue the benefits associated with globalisation. The same countries remain at disadvantaged position due to its level of development and

capacity to tap from opportunities brought forward by the globalisation. The global environment has had a significant impact on the purpose, role and function of the state (Fourie 2012:125). Fourie adds that the term is used to explain and analyse international developments – policy shifts, economic interventions, investment, and commitment of a nation's state resources. Hirst, Thompson and Iromley (2015:2) reiterate that the influence of globalisation on markets and political processes of many countries has paralysed radical national reform strategies, rendering them unfeasible in the face of the judgement and sanction of global markets.

Public administration institutions operate in an environment where there are interactions and influences of global trends. Affected by these trends are multilateral and international institutions, regional blocs, the use of ICTs, and the influence of networks on public administration ideologies, policy options and direction of developing countries. These institutions also establish acceptable standards of governance as to which countries one can refer for benchmarking purposes, leading to their acceptance or rejection in a “global village” setting. The public-sector reforms, for example, are a result of established practices against which public service institutions are measured. This is what Hirst et al (2015:9–11) present as a growing interdependence and integration of many variables among countries in the world without involving considerations of distance, space and borders.

Schoeman (2008:63) observes that governments, especially in developing countries, need to find rules and institutions for stronger governance at local, national, regional and international levels in order to ensure that globalisation is beneficial. An example attesting to this assertion is on how countries can benefit or lose from Public Private Partnerships (PPP). It is the government's responsibility to develop regulatory frameworks to facilitate and regulate partnerships and opportunities, which accompany globalisation. Countries such as Tanzania are not immune to global influences over their public administration systems. As such, global agendas on increasing accountability and improved M&E systems have resulted in public service reforms, as described in chapter four of this study.

### 2.10.2 Political environment and influence of politics in administration

*“The public sector is the area within which politics is practised to its fullest extent”*  
(Thornhill 2012:1).

Chakrabarty and Chand (2012:7) argue that public administration is subject to political direction and control, ideally implementing policies made by the legislature and political executive, supporting the assertion made by Thornhill above. Greene (2005:17) remarks that political conditions such as the type of political structure and interest groups have a significant role in shaping and formulating of public policies and entire decision-making processes in the public administration. Rainey and Chun (2010), cited in Walker, Boyne and Brewer (2010:39–40), agree on the influence of politics, adding that political officials attempt to influence decisions through legislation and presidential directives. Rainey and Chun presented empirical evidence, as shown in Figure 2.3 below. In relation to performance, Van Dooren and Thijs (2010:47) argue that all performance movements, whether with their agendas hidden or open, are political, as they have power dimensions.

#### **Figure 2.3: Case study on political interaction with public administration**

*An empirical study was conducted to measure the effect of public agencies’ “political salience” to the political actors on goals and priority setting in the United States of America. This study was conducted through a review of archival sources. A total of six indicators in three salient measure were combined to form an overall salient measure. The study analysed the relations between the three salient indicators and overall salience and the goal ambiguity measures. According to the study results, agencies with more political salience were subjected to more influence attempts, and had higher evaluative goal ambiguity. Their goal statements and performance measures were more orientated to subjective measures and input indicators than to objective measures and indicators of actual results. A higher level of political salience leads to a higher number of un-prioritised goals and performance indicators.*

**Source:** Adapted from Rainey & Chun (2010), cited in Walker et al (2010:39–40).

Greene (2005:8–9) and Thornhill (2012:57) assert that politics in public administration is practised regardless of level of government, size, or type of decentralisation system, evolving around decision-making, the struggle for



resource allocation, and implementation. The politics focus on power and power relationships among various actors, all of the above fitting into the context of Harold Lasswell's definition of politics as "*who gets what, when and how*". Thornhill (2012:58) argues that the influence of politics on public administration depends on the type of society, groups, political history and type of government. Categories of groups based on religion, tribes, political history, race, gender, or any combination of them contributes to complex political demands and influences on public administration. The level of interaction between public administration and the political environment predominantly depends on level of democratic processes and institutions.

Looking at the influence of politics in public administration presented in Figure 2.2, and further back to the American public administration's "*Spoils System*", one may ask whether it is necessary for politics to be part of public administration governance systems. The public administration definitions locate politics squarely in the discipline. However, Woodrow Wilson in his work *The Study of Administration* of 1887 emphasises the separation of policy processes from administration. He argues that policy should be limited to politicians or elected officials while administration implements policies. According to Wilson, political influence may lead to corruption and irrational decision-making, and prevents administration from becoming efficient.

Mafunisa (2003:87–89) summarised five types of interface between politics and administration (which will be referred to in coming chapters) as follows:

- a) **Dichotomy Model/Depoliticised bureaucracy:** This is traced back to Woodrow Wilson and Frank Goodnow, where the public administration must be neutral and the public service is neutral to policy and political process;
- b) **Politicised Bureaucracy Model:** Elected office bearers can control the public service, and there is no distinction between politics and administration or party and state. Party structures impose administrative decisions and rewards, and appointments are made on the basis of blind allegiance to the ruling party;

- c) **Complementarity Model:** Politics and administration complement each other, each with distinctive roles but pursuing the same course – public interest. The model appreciates professional standards and respect for political supremacy. Both parties respect their boundaries;
- d) **The British Permanent Model:** Civil service is neutral and permanent, serving any political party in power. Appointments are independent of politicians, and high-level civil officials endorse removal from office after receiving suggestions from politicians. Public servants advise politicians on policy issues and implement them, while politicians control their influence on official political duties; and
- e) **The American Hybrid Model:** There are permanent and contract public servants. The political office bearers confirm appointments of public servants. It combines elements of the merit and spoils system, where the President appoints a few staff who later resign at the end of his/her term in office. Appointments by the President ensure committed support for policies and style of the incumbent.

Fox et al (2004:19) present institutions such as the United Nations, the European Union and the African Union as having political influence, transcending national borders to all levels of public administration systems of other countries. Another type of influence is from political parties, interest or pressure groups, the private sector, or civil society organisations, where the influence is practised in formal or informal established mechanisms. Managers at local government have to consider these political influences in the management functions. Discussions on the intergovernmental relationship between central and local government has recently gained popularity in the academic world as operational problems and challenges of central and local government increase. Decentralisation-by-devolution intends to give autonomy to local governments with a minimal level of control from the centre; however, this has not been the practice in many cases.

Hughes (2003:32) argues that strict separation of politics and administration was never realistic in America, a reform movement that aimed at working against the spoils system failing to separate policy and administration or politicians and

administration. Years later, Hughes (2012:33) adds that attempts to be non-political meant reluctance to recognise the policy and political significance of public service work. Hughes is of the opinion that the work of public servants is fundamentally political, although not necessarily party political. The rational incremental method of decision-making involves all competing parties to a policy, therefore considered as more appropriate for public administration.

There are basic questions that one needs to ask when effects of existing political-administration interface with M&E systems of the local government. The first question relates to the influence of politics towards level of institutionalisation of M&E. The second is on protection of public service employees' positions in the occurrence of executive-political accidents, that is, serious differing of positions or decisions with political actors. Security of employment has an effect on public administrators' objectivity when designing M&E systems and reporting M&E performance information. The third question is on how public administration involves groups with competing interests in the institutionalisation of M&E elements that relate to planning, reporting, and use of performance information. It is of interest to assess how far these groups are taking into consideration existing facts derived from institutions' M&E system or upholding of professional standards. Kusek & Rist (2004:20) emphasise the role of political leadership in implementing a results-based M&E system by advocating for a strong and consistent political leadership to champion and institute the system.

### **2.10.3 Technological influence on public administration**

Information technology is crucial for development, a key management and governance tool. Jreisat (2012:17) presents the application of information technology in governments as a resulting factor for shortened distances, saved time, and increased outputs, overcoming cultural, political and institutional barriers. In other words, the public service has technology at its disposal to facilitate service delivery and policy processes. The pressure for the public administration to deliver comes with forces to apply technology in service delivery, collection, and dissemination of information. Information communication technologies (ICTs) have a big influence on public administration in both a positive and a negative way

(Greene 2005:14–15; Van der Waldt & Du Toit 1999:117). The public can access government services and get information through the Internet. The use of television and electronic media has popularised public administration institutions, as they use this avenue to present their mandates, successes and challenges. On the other hand, the same avenues are used to tarnish these institutions in the case of scandals or failure to perform. They have also made the public more aware of what governments do, thereby increasing demands for accountability, performance information, and quality services.

Coordination and institutionalisation of information systems compel public institutions to confront challenges on choosing appropriate and relevant technologies; management of quality and relevance of data gathered and transmitted; and ensuring connectivity across a particular country or interconnectivity between institutions (Jreisat 2012:18). As ICTs have a big influence on the operations of public administration and service delivery, a key question related to this study is on how M&E practices apply technology in data collection, processing, dissemination and decision making in Tanzania's local government. Analysis of technological impact to public administration needs to consider the nature of technology, applied trends in technological development, and the social impact of the uses of technology (Fox et al 2004:20).

#### **2.10.4 Social environment influence on public administration**

Van der Walt and Du Toit (1999:112) describe the social environment as class structure and mobility, social roles and development of social institutions. They argue for existence of connection between social environment and administrative processes through government actions. Social dynamics affecting public administration vary from one country to another and the level of government (central or local). Social factors may be a result of forces within the community or country or influences from the political or global environment. Social conditions of a community or country can create negative opinion and sentiments towards the government, thereby affecting political support or legitimacy (Greene 2005:17). At the international level, various actors influence the priority setting of countries, such as adoption and implementation of Millennium Development Goals, the

urgency of reduction of maternal and infant mortality rates, or reduction of HIV infection.

At the national level, social factors such as health issues, human development, demography, urbanisation, gender relationships and culture determine policy options and direct implementation at both national and local government levels (Fox et al 2004:20). Bratton (2012:519) adds poverty and place of residence as additional factors that describe social characteristics. Mithin and Satterwaite (2004) and Lambright (2007), as cited in Bratton (2012:519), put forward an argument that citizens (particularly in the African countries) learn about citizenship and mobilise themselves for collective action through religious and secular associations. The public policy implementation choices are made by the public administration as a result of the social environment. M&E systems are built by, among other things, performance indicators that determine data collection, and analysis while connecting society/citizenry with the public service institutions. The global emphasis on addressing social dynamics-related challenges may create a skewed alignment of public service institutions performance indicators towards social issues. Furthermore, social dynamics determine the type, level of detail, and effectiveness of M&E systems.

#### **2.10.5 Economic environment influence on public administration**

Economic conditions of a community, country or trends around the globe have a direct effect on the way public administration behaves, and the policies adopted and implemented (Van der Waldt & Du Toit 1999:116). Economic ideas, philosophy and ideology provide the basis for developing international and national economic structures and processes (Fox et al (2004:19). At global level, economic depression forces governments to cut down spending and results in failure to provide necessary goods and services in the quality and quantities expected. Van der Waldt and Du Toit (1999:116) advise governments to get acquainted with economic realities and to relate them to decisions and choices. At the national level, economic factors for consideration include the exchange rate, economic ideology(ies), economic patterns, and inflation trends, to mention a few.

Economic environment determines policy choices, and the political actors involved. For example, an industrialised economy is expected to have many private-sector and market-interest groups lobbying in the corridors of power for decisions in favour of their businesses. The M&E systems in the environment described above will consist of inclusion of society or the private sector in the design of M&E systems (setting plans, reporting, and use of performance information). Furthermore, economic choices and ideologies shape the public administration values, operations and public expectations, thereby affecting the M&E systems. Economic situations determine effectiveness through choices of budget setting for the M&E systems, as will be further presented in chapter three of this study.

## **2.11 Conclusion**

This chapter presented the relationship between the public administration approaches to the key concepts of institutionalisation. Relevant to the study, public administration approaches presented were the classical, scientific management, rational, systems, and human relations approaches. In presenting the approaches, the origin and linkage with this study was presented, thus showing how it fits into the discipline. The chapter gave an overview of public administration in Africa during the pre- and post-colonial eras and challenges that led to the adoption of the public service reforms in the public service as defined and presented in chapter one. The chapter presented the interlinkages and divergence between the public and private sectors. The chapter also presented and compared public administration and public management concepts to give a picture of their key principles. The chapter stipulated that the public service is influenced by both internal and external environment, where external influences include globalisation, and political, social, economic, and technological factors. The chapter presented the key management roles of managers as summarised by Gullick and applicable in both public and private sectors – Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB). It also highlighted key issues for investigation in relation to this study and some possible areas for further study in public administration, that are not covered by this study.

## **CHAPTER THREE: M&E SYSTEMS AND PERFORMANCE MANAGEMENT REGIMES**

### **3.1 Introduction**

Chapter three presents issues related to the practice of monitoring and evaluation and the performance management regimes. Both the public administration academics and practitioners have used various forms of jargon to refer to performance. The chapter presents similarities and differences of key concepts related to this study, namely performance measurement, performance management and monitoring and evaluation. The institutionalisation of M&E has its own key features that are presented and analysed in this chapter. Just like other public management systems, successful institutionalisation of M&E is dependent upon factors internal and external to a particular institution. This chapter, therefore, presents prerequisites for successful institutionalisation of M&E, along with some best practices of the process. “Performance management regimes” are not an area which is well documented, but the topic has been well presented by Bouckaert and Halligan (2008). The four performance management regimes that are used as a reference in this study are presented in this chapter, that is, Performance Administration, Management of Performances, Performance Management, and Performance Governance. The performance management regimes are presented to guide an understanding towards their linkage, if any, with institutionalisation of M&E in the public service institutions.

### **3.2 Performance-related terminology**

In this study, the key concepts used are monitoring and evaluation and performance management, in addition to other terminology that was clarified in chapter one. In the academic and professional world as well as in governments, performance-related concepts such as performance measurement, performance management, or monitoring and evaluation have been used interchangeably. However, the expressions do not mean the same in terms of scope.

### **3.2.1 Performance in the public service**

Performance is a seductive word, a buzzword in current times, with comparable terms such as “accomplishment”, “achievement”, “realisation” or “fulfilment”. The economic and public management literature defines it as the objective effect of public actions (Schiavo-Campo & McFerson 2008:295) or public values (Van Dooren & Thijs 2010:16). The public values referred to here by Van Dooren and Thijs include keeping government lean and purposive; fair and honest; robust and resilient. De Lancer (2009:26) looks at performance as a multidimensional concept, which includes efficiency, effectiveness, quality, equity, fiscal stability, and conformance with government policy and standards.

Mackay (2007:141) remarks that performance must be approached in the context of what was planned to happen, that is, an institution or individual working in accordance to specific criteria, standards and guidelines stated beforehand. It is important to note that the definition and conceptualisation of this concept differ depending on sector (public or private), culture, type of government, and so on. In the private sector, performance may mean profit making, while in the public sector, maximisation of profit is not all that is termed required results. The quest for performance by governments is attributed to various factors, ranging from budgets allocated, situations on the ground, and regime promises to pressurise in order to deliver quality services. Other factors are subjected to pressure to perform, from international institutions to developing countries, or unwillingness to pay taxes in the OECD countries (Rugumyamheto 2004:437; Curristine 2005:128). These factors and others mentioned in chapter one contributed to many countries joining the public service reforms bandwagon and working towards service delivery improvements.

Schiavo-Campo and McFerson (2008:295) argue that administrative culture is critical in shaping and analysing performance in the public service. The authors present categories of performance against types of administrative culture as follows:

- a) Sticking to the letter of the rules in a system of where compliance with rules is the dominant goal;



- b) Accounting for every cent of the public funds in a system where fastidiousness is the ultimate virtue;
- c) Obeying superiors without questioning in a strictly hierarchical system;
- d) Competing vigorously for individual influence and resources in a system where such competition is viewed positively; and
- e) Cooperating harmoniously for group cohesion in a system where conflict is discouraged.

The relativity and culture specific performance analysis dimension presented above by Schiavo-Campo and McFerson introduces an argument as to whether the public service or any particular public service institution can have, and uphold, one type of performance and performance values. This argument brings an important dimension into the analysis of performance management, that is, a possibility of development of a comprehensive harmonised performance values across the public service of a particular country. The cultural aspects presented by Schiavo-Campo and McFerson are established over time, influenced by internal or external environments, although not necessarily documented as policy frameworks or guidelines. The typology part of performance, ideal total number for a given public service institution, dynamics of having more than one type, and how this affects the public operations, is an important area for the public administrators, management schools and practitioners to ponder.

### **3.2.2 The performance “trio”**

The performance trio referred to in this section involves performance measurement, performance management, and M&E. Performance management and M&E have been defined in chapter one. It is therefore not the intention of this section to describe the concepts again, but rather to offer a clear distinction between performance measurement, performance management, and M&E in order to understand analysis dimensions in the coming chapters. Performance measurement has in some cases been used interchangeably with “performance management” or combined “performance measurement and management”. Performance measurement has also been equated to “evaluation” (Van Dooren & Thijs 2010:10) or “monitoring and evaluation” (M&E). OECD (1997) as cited in

Bovaird and Loffler (2009:151) asserts that the New Public Management emphasises on the significance of performance measurement as a management tool in government.

The concepts of performance measurement, performance management and M&E acquired more emphasis in public administration practices with the onset of government's performance agenda through NPM in the 1980s and 1990s. The government's managers now more than ever needed adequate information as evidence to respond to current demands for achieving and showing results. However, this did not mean that performance measurement had never existed previously. According to Bovaird and Loffler (2009:152), organised performance measurement in the United States of America can be traced back to the 1940s, with the first Hoover Commission. The Commission aimed at shifting the attention of the budget from inputs towards functions, activity costs, and accomplishments. The existence of governments comes with the provision of public goods to citizens; therefore, some degree of performance is expected in executing its mandate. The demand and requirement for performance has existed since time immemorial, that is, it is as old as public administration itself (Pollitt & Bouckaert 2011:106), with changes in the factors leading to demand for performance or the type of performance demanded from governments. Before going further on distinctions, it is sensible to expound on a few examples of this overlapping of the above-mentioned concepts.

**Table 3.1: Similarities among three key performance concepts**

<b>ITEM</b>	<b>Performance measurement</b>	<b>M&amp;E</b>	<b>Performance management</b>
<b>Planning</b>	Involves institutional planning	Uses institutional plans or frameworks	Involves institutional planning
<b>Indicators</b>	Involves the use of different levels of indicators	Uses/makes reference to different levels of indicators	Involves the use of different levels of indicators
<b>Performance information</b>	Produces performance information	Produces performance information	Produces and uses performance information
<b>Reporting</b>	Involves reporting	Produces reports	Involves reporting
<b>Budgeting</b>	Informs budgeting processes	Produce inputs to inform budget processes	Informs budgeting processes
<b>Levels of measurement</b>	Measures from inputs, activities, outputs, outcomes	Provides mechanisms to measure inputs, activities, outputs, outcomes and impact	Measures from inputs, activities, outputs, outcomes
<b>Incentive/sanction system</b>	Does not carry but contributes to the incentive/sanction system	Produces inputs to inform incentive/sanction processes	Carries the incentive/sanction system attached to performance

**Source:** Author, 2017 as influenced by: Van Dooren & Thijs 2010:54–71; Bovaird & Loffler 2009:153–157; De Lancer 2009:7–9.

Table 3.1 above indicate similarities in the areas for analysis and emphasis given by the three performance concepts. Literature suggests that all the three contribute to development or refer to institutional strategic plans. They also contribute to and refer to all types of indicators, which are input, output, intermediate outcome, outcome and impact indicators. The intermingling of these concepts goes further, to the benefits coming along with the trio, as presented by various authors such as Schiavo-Campo and McFerson (2008:315–316), De Lancer (2009:15), and Van Dooren and Thijs (2010:97–98). The trio brings benefits of enforcing accountability; promoting institutional learning; facilitating budget processes; individual performance appraisal; control of behaviour;

celebrating accomplishments; and motivating internal and external stakeholders to participate in contributing to institutional performance, just to mention a few.

### **3.2.3 Distinction between the performance-related concepts**

The concepts of performance measurement, performance management and M&E are performance related, although they do not all mean the same. The main distinction between performance measurement and performance management is on the range of what the two cover, where the former ends at reporting on performance, while the latter continues to use performance information. Performance management entails setting performance objectives and targets; managing the movement towards those targets; actually measuring and reporting performance; and feeding performance information into decisions about funding, designing, operating, and rewarding or reprimanding (OECD 1995, cited in Curristine 2005:131; Fryer, Anthony & Ogden 2009:481).

Boyne in Walker et al (2010:209) divides performance management into three distinct elements linked to each other conceptually and practically: selecting indicators, setting targets, and taking action to influence scores on the indicators and the extent of target achievement. He further states that the first element of performance management is performance measurement, and the use of indicators in institutional decisions is the “*use of performance information*” that converts performance measurement into performance management (emphasis added). According to Van Dooren and Thijs (2010:76) and Schiavo-Campo and McFerson (2008:316), measuring performance is necessary but not sufficient to manage performance, where in order to manage, performance information becomes central to the management processes, enforcing accountability and improving future performance.

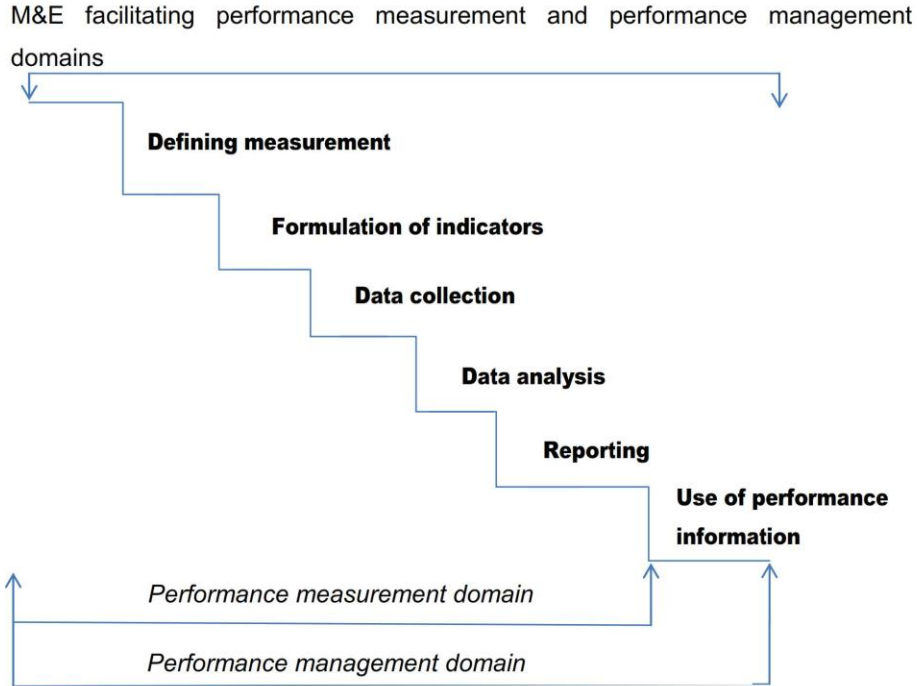
Performance measurement becomes valuable and justified only when followed by management action. Therefore, Bovaird and Loffler (2009:156) agree with Boyne above that performance management is “*acting upon performance information*”. In an institution, performance measurement needs to be carried out at sub-system levels and not at system level, according to Halachmi (2011:25), as is the case with performance management. Sub-system performance measurement can be

controlled, unlike in systems. the results of which are influenced by multifaceted factors (planned or unplanned). Bouckaert and Halligan (2008:32) add to the correlation between the two that performance management includes both measurement and management of information and action.

On the other hand, M&E is a key tool used in all stages of performance measurement and performance management, going as far as reporting performance results to stakeholders (Mngomezulu & Reddy 2013:94) and checking on mechanisms for and practice in the use of performance information by the performance management regime. In other words, a successful performance management regime cannot exist without a well-institutionalised M&E system. The OECD has placed priority on the use of information generated from the M&E system to be an input into policy development, budgeting, management performance, and accountability (Mackay, cited in Lopez-Acevedo et al 2012:12). All of the above-described uses emphasise the correlation and relationship that exists between performance management and M&E. Figure 3.1 below presents the relationship and distinction between performance measurement, performance management, and M&E.

Figure 3.1 show existing relationship between performance measurement, performance management, and M&E. The figure describes existing correlation and relationship between performance management and M&E. M&E exists to ensure that the former is effective and produces the required results. Robinson (2014:35) further adds to the trio that performance management is a subset of the broader M&E system.

**Figure 3.1: Relationship and distinction between the performance "trio"**



**Source:** Author 2017 (as influenced by Van Dooren & Thijs 2010:55,76; Schiavo-Campo & McFerson 2008:316; De Lancer 2009:15; Bouckaert & Halligan 2008:32).

### 3.3 Institutionalisation of M&E

There are scores of definitions of monitoring and evaluation. For the purpose of this study, M&E is defined as an assessment or measurement of progress and achievements of pre-determined performance levels of a given institution project or programme. M&E can be conducted at institutional level or on a particular sector, project or programme implemented within an institution. The institutionalisation of M&E needs to be analysed in the context of performance measurement and performance management, and the relationship that exists between the elements of the performance "trio". The institutionalisation of M&E happens when it is mainstreamed in an institution to facilitate assessment and

analysis of pre-determined levels of performance, reporting progress, facilitating, and tracking the adoption of performance information. M&E then covers all performance measurement steps and facilitates the realisation of what performance management entails in its totality.

According to Van Dooren and Thijs (2010:55), performance measurement has five distinct elements observed in an institution. Performance management, on the other hand, includes the use of performance information, added to the performance measurement elements to make six features visible in an institution with institutionalised M&E. The elements of institutionalisation of M&E linked to those presented under Figure 1.1 are as follows:

- a) Defining measurement object;
- b) Formulation of indicators;
- c) Data collection;
- d) Data analysis;
- e) Reporting; and
- f) Use of performance information.

#### **Element 1: Defining measurement object**

Under this element, an institution is expected to have clear strategic or business plans, setting out the focus and direction forward. Various schools of thought exist to provide structural and contextual characteristics of strategic or business plans. However, the key elements identified in these documents are vision, mission statements, core values, objectives (sometimes called goals, thematic areas or key result areas), strategies and targets (Van Dooren & Thijs 2010:82).

The setting of institutional measurement objects in the form of strategic plans can amount to development or review of the institutional structure to ensure that it conforms to the direction that the institution intends to take. There are two common influences that structure has on performance management, coming from the structure itself (functional) and from the employees placed to work under that structure (specialisation and formalisation). The degree to which the structure is centralised or decentralised influences effectiveness in M&E through decision-

making, resource allocation, and use of performance information (Andrews in Walker et al 2010:92).

On the employees' influence, the placement of M&E functions within a particular unit or department, job functions and skilled manpower lies within the institution's structure. Lahey's (2015:5) assessment on the employees for M&E in five (5) countries revealed that where M&E units exist, key capacity challenges of adequate trained staff, lack of clarity regarding roles and responsibilities, lack of enough officials trained in M&E, high job turnover, and lack of evaluation expertise affects effective M&E systems. Furthermore, Talbot (2010:190–1) describes the negative influence that employees have on performance management as setting of minimum performance standards that are easily reached; output distortion or data manipulation; concentration on easily reached targets; and excessive focus on short-term performance targets at the expense of long-term ones.

#### **Element 2: Formulation of indicators**

Indicators are quantitative or qualitative factors or variables that provide a simple and reliable means to measure achievement, reflect changes connected to an intervention. or help assess performance (Mackay 2007:140). Under this element, indicators are set to measure achievements of what is stated under the first element. Simply put, indicators show *what to measure* (Van Dooren & Thijs 2010:60) at the level of inputs, activities, outputs, outcomes, and impacts of government activities (Mackay 2007:7; Van Dooren & Thijs 2010:68–9; Bouckaert & Halligan 2008:21). Discussions on whether an organisation gains when adopting performance indicators to increase performance are often contended; there are arguments that indicators do not directly contribute to increased performance. However, literature recommends the use of performance indicators as a basis for measuring and tracking of current and subsequent achievements (Walker et al 2010:210). It is unrealistic to expect indicators to measure absolute performance; rather, they apply a sampling approach or a selective or proxy approach, measuring small activities or a subset of actual activities in a desired category to estimate the actual level of overall activity (Talbot 2010:39).



Various schools of thought, governments and institutions have identified types of indicators used to monitor performance. The most common ones are input, activities, output, outcome (intermediate and/or end result) and impact indicators (Bovaird & Loffler 2009:155; Shaffer 2012:33; Haynes 2003:90). Arguments exist that in Tanzania, outcome and impact indicators stated in the poverty reduction strategies are not helpful in producing progress reports on an annual basis (Bedi 2006 cited in Shaffer 2012:38); therefore, indicators must be matched with envisaged demand or use of M&E information. Another type, called “composite indicators”, is described as those which organise and simplify performance data into hierarchy sets that compare and rank a country’s performance in social and economic variables (Talbot 2010:43, 179). The composite indicators are used by governments to summarise complex, multidimensional realities for policy-makers, but can be misused to make simplistic conclusions and misinterpretations (Talbot 2010:43). Composite indicators may give little indication or interpretation of facts; the OECD therefore suggests accompanying the individual variables with composite indicators that aggregate different components in order to provide a more strategic snapshot of the situation (OECD 2009:32).

In the public sector, output indicators are more preferred because of less complexity in locating them and achieving them, unlike the situation when using outcomes. Bouckaert and Halligan (2008:16) advise that in the public sector, an output indicator is not an end in itself and propose that those measuring intermediate effect or outcomes are preferable. The basis for the Bouckaert and Halligan’s argument on output indicators base on the fact that intermediate and outcome measures effect of government actions to the public.

Despite the above-mentioned facts, there are public service institutions including ministries, departments and local government monitoring and reporting performance based on activities and even output indicators. The underlying factors for this trend emanate from, among other things, inadequate capacity and resources to develop, monitoring and reporting by using outcome indicators.

Bouckaert and Halligan (2008:17) further present the causes of the complexities of outcome indicators as absence of market mechanisms, over- or under-grading

of outcomes by politicians, and citizens' reactions that inhibit their full attainment. Nevertheless, despite the fact that outcome indicators are seductive, they cannot, however, remove the demand for government to control spending or selecting modes of production (OECD 2009:25), which suggests use of both input and output indicators.

The most common determination for setting indicators is the type of institution (national or local government, ministry, or department within a ministry) or scope of intervention (national, sectoral, project, or departmental). The management of indicators in the public service institutions does not go without challenges – from formulation, to monitoring, to reporting stages. In the public service, there are routine clerical or procedural functions that despite being the institution's major function are difficult to measure in quantitative terms. Institutions have resorted to developing a few qualitative performance indicators that are not directly corresponding to allocated resources. This challenge will persist, given the nature of services provided by the public service institutions.

Miller and Fox (2007:12) observe that in public administration practice, it is now more important to show you have done your job than actually to do your job. Talbot (2010:42) and Van Dooren, Bouckaert and Halligan (2015:160) remark that there are occasions where policy-makers, managers, users and the public face information overload to the extent that they cannot make sense from mountains of data or *performance information* generated (emphasis added). The desire and pressure to show results and the lack of internal capacity have prompted institutions to develop an unrealistic number of relevant performance indicators. As Mackay (2007:7) adds, this leads to poor quality of data. This is what is referred to by Van Dooren and Thijs (2010:160) as “mushrooming” of indicators that negatively affect users of performance information, who can no longer see the wood for the trees.

An interesting dimension related to the similarity between performance measurement and M&E is determining the scope of accountability and combining of output and outcome indicators. These are presented in Van Dooren and Thijs (2010:27–29) and Schiavo-Campo and McFerson (2008:315) as the analysis of

the type of indicators for performance measurement and M&E respectively. The types of institutions described by these authors present challenges and dynamics in indicator formulation which are dependent on diversities that exist in public service institutions. Table 3.2 below presents four types of public service institutions, which require different mechanisms to measure or monitor performance.

**Table 3.2: Type of institution against measurement/monitoring indicator**

Type of institution	Measurability		Examples
	Output indicator	Outcome indicator	
Production	Observable	Observable	Mail services, tax agencies
Procedural	Observable	Outcomes less well defined	Counselling services
Craft	Not visible, difficult to observe processes	Observable	Park rangers, health institutions e.g. number of people getting better don't reveal the processes leading to their improvement
Coping	Difficult to observe	Difficult to observe	Diplomatic services

**Source:** Wilson (1989), cited in Van Dooren & Thijs 2010:27–29; Schiavo-Campo & McFerson 2008:315.

### **Element 3: Data collection**

The data collection processes follow the selection of indicators for monitoring progress towards targets. A data collection mechanism – processes, tools and frequency – is determined in advance during development of an M&E system. Data collection can be done internally and/or externally, depending on the type of information required and the cost factor. The importance of developing a comprehensive M&E system comes at the stage where approaches to be used and budget for data collection should be planned in advance and ideally mainstreamed into the plans of an institution. Data sources can be internal processes such as registrations, surveys, self-assessments, technical

measurement, external observers, service recipients, or statistical, international, and research institutions (Van Dooren & Thijs 2010:63). As governments are faced with continuous resource challenges, indicators can be set in such a way that data sources from internal processes or paired with institutions' interventions are used for monitoring performance.

#### **Element 4: Data analysis**

Data collected needs some kind of analysis and interpretation in order to draw meaningful conclusions. In data analysis, data collected is interpreted and presented into meaningful information that can be used to make decisions on performance. Data can be analysed for a single indicator or multiple indicators combined. Data analysts “confirm” or “reject” the fact that a particular result has been influenced by an intervention(s). A prominent challenge in data analysis lies in unethical conduct of M&E practitioners who may decide to “doctor” information in order to omit negative findings, hide under-performance, exaggerate success over failures, or favour a particular group of institutions or society (Van Dooren et al 2015:197; Gorgens & Kusek 2009:374–375; Ile, Eresia-Eke & Allen-Ile 2012:13–14).

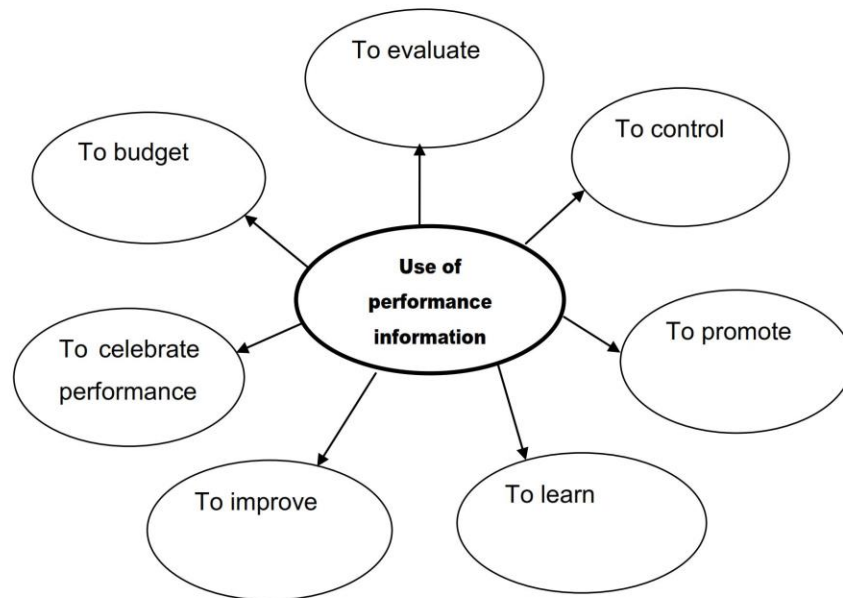
#### **Element 5: Reporting**

The public service is under external scrutiny and pressure to show results; it is therefore obliged to produce performance information to stakeholders for accountability on the use of public funds, budget allocation justification, building trust, and justification for holding public office. ECA (2003:42) advocates the use of performance information in managing institutions and programmes, also for providing feedback to key stakeholders on improved performance. An institutionalised M&E system continuously produces performance information that is customised for specific groups within the institution or external stakeholders. Internally, the public-sector managers use performance information to track progress, chart out performance bottlenecks, and in decision-making processes. However, the generated performance reports require customisation of formats in accordance with the targeted type of stakeholder(s).

**Element 6: Use of performance information**

Lahey (2015:2) argues that the goal of creating M&E systems is to facilitate the use of performance information to improve public-sector management and governance. Therefore, governments need capacity to generate performance information (supply) as well as use it in decision making. In an institution where M&E is institutionalised, there should be timely and accurate internal and external reports which are solely generated from the M&E system. Furthermore, as Figure 3.2 below indicates, performance information should be integrated into the decision-making process of the institution, a step which converts performance measurement into performance management (Boyne as cited in Walker et al 2010:215).

**Figure 3.2: Use of performance information**



**Source:** Author (2017).

Figure 3.2 above presents some of the applications of performance information in the public service institutions. In an ideal situation, the management and

governance meetings refer to information generated from the M&E system in order to track progress towards targets. Discussions and deliberations of meetings will therefore be around institutional plans and performance indicators. Performance information contribute to decisions related to initiating, scaling up, or eliminating programs, also resource allocation or budgeting processes (Lopez-Acevedo et al 2012:6; Pollitt & Bouckaert 2011:170; Boyne in Walker et al, 2010:209; Kusek & Rist, 2004:19. Performance information is used to boost or cut revenue or budget to institution's units, sectors, and projects based on the level of achievement (Boyne in Walker et al 2010:215). The review of institutional plans, comprising the objectives or goals, strategies, targets and corresponding performance indicators, need to be informed by performance information, which will include what is working or not, and why.

In countries where there is successful institutionalisation of M&E and performance management regimes there is an execution of sanctions and rewards to individuals, managers, units or entire institutions based on performance results. Merit-based decisions such as promotion of staff are made using feedback received from institutional performance assessments. Nonetheless, Bouckaert and Halligan (2008:28) caution on the possibility of inadequate capacity in institutions to put in place instruments (tools and techniques for generating and anchoring data, as well as processing information to procedures or documents). Seasons (2003:434) also cautions that lack of use of M&E information in decision-making processes leads to some institutions becoming wary of M&E processes themselves, perceiving them as lengthy and complicated.

### **3.4 An ideal institutionalisation of M&E features**

The extent of institutionalisation of M&E varies from one public service institution to another. When making an assessment on the extent to which M&E is institutionalised, a number of features are necessary for identification in each of the six performance management elements presented above. Table 3.3 below presents a checklist of those features against each performance management element.

**Table 3.3: A checklist of institutionalised M&E features**

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

**Source:** Author 2017 (as influenced by MFDP 2017:196–197; Bouckaert & Halligan 2008:21; Lahey 2015:1–5; Ammons & Roenigk 2015:515–516; Mngomezulu & Reddy 2013:91; Rhodes et al 2012:239; Van Dooren & Thijs 2010:177, 182; Kusek & Rist 2004:21–22, 151; Mackay 2007:23–24; World Bank 2000:ii–iii, 16).

### **3.5 Environment for successful institutionalisation of M&E**

The institutionalisation of M&E in governments is done at national, sectoral, provincial, and institutional levels or within departments under an institution. The type and vigour of M&E systems at higher levels of government such as that of a nation or sector have an impact on the lower levels. The positioning of the higher levels and the mandate to enforce accountability, responsiveness and resource allocation affects the lower levels as well. The national systems affect the demand and supply side for performance information, thereby contributing, or not, to the effectiveness of the M&E systems at lower levels. According to Lahey (2015:1), the development of National Monitoring and Evaluation Systems (NMESs) rests on four building blocks – vision of the leadership, an enabling environment, capacity to supply and analyse M&E information, and the capacity to demand and use M&E information. Therefore, it is important to research the set-up of the national systems in order to understand the lower levels.

While each country is unique in how far and how fast it may roll out a national M&E capability (and, indeed, how that may be institutionalised), countries do share the broad goal of developing an effective and sustainable NMES (Lahey 2015:4). Lopez-Acevedo et al (2012:5) argue that a successful M&E system is one where good-quality performance information and evaluation findings are produced, and are used intensively at one or more stages of the policy cycle – this is what defines a well-utilised M&E system. This part lists key contributing factors leading to successful institutionalisation of M&E.

#### **3.5.1 Creating demand for M&E**

The integration of M&E with other institutional and/or national planning and M&E frameworks is of vital importance as it facilitates harmonisation and coordination, and facilitates reference and use of performance information. The demand levels for M&E performance information for decision-making purposes and the culture of managers seeking data from it has an impact on the drive for M&E practices in the public-sector systems (Byamugisha & Asingwire in Cloete, Rabie & De Coning 2014:406). A study by the World Bank and the African Development Bank identified a key constraint towards the institutionalisation of M&E as lack of demand (Kusek & Rist 2004:32).



Demand for M&E information emanates mostly from external actors such as civil society organisations, development partners, coordinating ministries such as the Ministry of Finance, and citizens. Kusek and Rist (2004:152) emphasises the need for the development of structural requirements for reporting of results in the form of legislation and regulations that help in leading towards a sustained, consistent demand for M&E. The structural requirements contribute towards countries' and governmental institutions' compliance, and harmonisation and coordination of M&E efforts.

In an ideal situation, NMESs reflect countries' overall plans and strategies, which are cascaded to all levels of the government institutions. In Rwanda, for example, M&E activities are designed to support political priorities and national strategies in order to ensure that relevant information is produced and used, as well as to strengthen ownership and sustainability of the M&E system (Hwang 2014:23). In Tanzania, Shaffer (2012:39) observes that initial poverty-reduction monitoring processes acted as parallel systems, and do not link with plans and budgets. In Uganda, it was suggested that the M&E system should create linkages with public finances and development management through provision of a more evidence-based foundation for policy, budgeting and operational management (World Bank 2004:2). As the strategies became national documents, the absence of linkages with plans and budgets jeopardised the validity of the information, thereby leading to a lack of demand for M&E information. However, the linkages were later created with strategic plans, MTEF and reporting (Shaffer 2012:40).

### **3.5.2 Ownership of the M&E system and political will**

Ownership of the M&E system is considered important for sustainability purposes (Lahey 2015:4; Lopez-Acevedo et al 2012:7). Lahey (2015:5) argues that often, when the vision for using M&E information is narrow in scope and is there to satisfy accountability and reporting requirements of international agencies, this may result in valuable use which is nevertheless insufficient to support the broad needs of good governance. Politicians and the public often appear uninterested in performance information that is provided until something goes wrong, as they are often not involved in defining performance indicators (Bovaird & Loffler 2009:161). Employees and managers of the public service, tempted to portray a good image of their

institutions, decide to set easily attainable targets, use low indicators, or manipulate data to suit a particular purpose. All of the above-mentioned bottlenecks show lack of ownership and commitment on both political and executive sides, thereby impeding the institutionalisation of M&E.

There is a need for identifying national champions for M&E to ensure commitment and sustainability. In Ghana, it was suggested that the senior Minister, Vice President or President should issue a statement and directives on M&E (World Bank 2000:11), thereby becoming a champion of the system. Use of performance information in making decisions related to incentives, sanctions, resource allocation, promotion, and contracting requires political commitment. The institutionalisation of M&E processes can take up to a decade of resource allocation to M&E, continuous capacity building, and learning processes (through trial and error), all of which need political commitment in order to ensure sustainability, coordination and continuity of the processes. Lahey (2015:4) proposes that the M&E system should be linked to the national vision, accountability, and good governance.

Boyle (1989), quoted in Bouckaert and Halligan (2008:12), notes that political conditions influence commitment towards measuring performance, which means that political leadership needs to inculcate a performance measurement and management culture in the public service. Evidence suggests that political commitment towards M&E plays a critical role in successful institutionalisation of the same (Hwang 2014:22; World Bank 2000:11). The above-mentioned authors state that one of the reasons for successful institutionalisation of M&E in Uganda and Rwanda is the top leadership commitment. In Rwanda, for example, the President and Prime Minister led the top-down process of building M&E capacity. Hwang (2014:22) remarks that Rwanda's top leadership involvement contributed towards the use by levels of government of M&E information, the reinforcement of the importance of M&E activities, and the embedding of the culture of performance.

Regarding ownership, the government M&E system in Australia that was built in 1987–1997 was considered successful and produced high-quality performance (Lopez-Acevedo et al 2012:7). This was, however, dismantled when a new government came into power in 1996, an action that undermined key roles and functions of institutions at the forefront of spearheading M&E in the government

system. This is a typical example of lack of political commitment by a subsequent government. The political commitment is expected to trickle down from national institutions to the lower levels of government structures or from governance structures (for example, a board of directors, or councillors) to lower levels of specific institutions (management, departments, or units).

### **3.5.3 Establishment of clear roles and responsibility for M&E**

Research on M&E as well guidelines and toolboxes for practitioners in Africa have increasingly focused on the importance of institutional arrangements with necessary capacity in building M&E systems (MFDP 2017:196; De Coning & Rabie 2014 as cited in Cloete et al 2014:252). The country policy frameworks can support M&E, but responsibility for it needs to be attached to appropriate institutions with a fully-fledged mandate to ensure institutionalisation of M&E across government. Oversight agencies perform oversight functions on audit, control, and the fight against corruption only, which is a shortfall and can negatively influence the perception of M&E and performance management (Lahey 2015:6). The oversight institutions are not necessarily auditing in accordance with and in relation to the M&E frameworks developed, and their audit reports may distort and water down M&E information generated at national or institutional levels. These institutions will also coordinate all performance information produced for the government and monitor its adoption in the policy processes.

It is widely accepted that public service institutions need to have appropriate structures and functions that support monitoring and evaluation (World Bank 2004:11). De Coning and Rabie (quoted in Cloete et al 2014:265) give options on institutional arrangements for M&E. First, they suggest an option for establishing an autonomous and centralised unit at national level. Second, they propose a corporate support unit. Third, they suggest decentralising M&E officials in each line department who report to the head of line department and the M&E manager. In Uganda, it was suggested that the national institutions should reside in a high-level office such as the Office of the President or the Prime Minister (World Bank 2004:1).

M&E systems anchored on sustainability perimeters can withstand tests facing public service institutions and progressively improve. Sustainability factors referred to here

are adequate staff with M&E expertise, staff with capacity to monitor, while Lopez-Acevedo et al (2012:26) adds on contribution made by the use of performance information. The departments or units should have adequate staff with required expertise, whose job descriptions clearly stipulate the M&E implementation and coordination functions. Gorgens and Kusek (2009:63) propose that institutions should have a defined career path for M&E professionals and incentives for individuals to be involved in M&E. Ideally, annual or action plans should comprise key activities associated with M&E, attaching them to various role players or departments within an institution.

#### **3.5.4 Incentives and sanctions attached to use of M&E**

Botswana identified absence of comprehensive incentives as a key factor for failure to institutionalise the National M&E framework specified in the National Development Plan Version 10 (MFDP 2017:196–197). Mackay (2007:61) describes the environment in which public service institutions operate as hostile, where there are various factors which force managers not to focus on performance management but rather on day-to-day operations. Public service institutions have sometimes resorted to creating fewer performance measurements which are easily achievable but do not create a reasonable impact internally and externally. Having faced enormous challenges in using M&E systems, Lopez-Acevedo et al (2012:5) note that experience with M&E systems shows powerful incentives as important on the demand side for achieving a high level of utilisation of the information they provide.

Talbot (2010:190) concurs with the argument that public-sector employees may respond to pressures for improved performance by responding to well-designed incentives. The incentives attached to the use of performance information is a significant contributing factor for effective utilisation of M&E systems as it answers the questions “so what?” and “what next?”. Incentives and sanctions include “carrots” or positive encouragement and rewards for using M&E (rewards), “sticks” (deterrents), financial penalties for ministries that fail to implement evaluation recommendations, and “sermons” (statements of support) or high-level, ministerial statements of support for M&E (Mackay 2007:63–4). Botswana, however, is cautious about using M&E as a compliance tool, but would rather use it as a performance

management tool (MFDP 2017:196), thereby instituting a performance management culture.

### **3.5.5 Continuous capacity building on M&E**

Capacity building and M&E relationship relate to the “*egg-and-chicken*” scenario, in that it may be a challenge to establish which comes before the other. Is M&E building capacity of public service institutions (for governance purposes), or does M&E need capacity building in order to flourish and become an effective management tool? In Uganda, lessons learnt from implementing poverty-reduction strategies indicate that M&E works well if used for capacity building of public service institutions rather than becoming a demanding, unproductive data collection system (World Bank 2004:1). It is acknowledged that in Africa, M&E capacity development is vital towards establishment of a more extensive initiative for good governance and effective utilisation of public resources (Basheka & Byamugisha 2015:80). Botswana acknowledges inadequate capacity as a challenge for institutionalisation of M&E (MFDP 2017:196–197).

There is a high demand for skilled professionals in monitoring and evaluation (Gorgens & Kusek 2009:6), and more so in evaluation than in monitoring. Wong (2013:9) identifies staff capacity constraints as one of the major factors behind slow change in performance management and M&E culture, as it affects reversing from input-output mentality to results. Lahey (2015:4) argues the importance of recognising that a country with a weak basis for an NMES (as determined through an M&E diagnosis) likely needs a capacity-building strategy somewhat different from that of a country with a much stronger NMES capacity, that is, a country further along the continuum. Capacity building for M&E is two-sided, covering both the supply side (those generating M&E information) and the demand side (users utilising M&E information). The supply- and demand-side role players require adequate capacity for effective production of quality information, its interpretation, and its translation into actions. Institutions and employees’ capacity to design, implement and refine the M&E system is vital for effective institutionalisation of M&E.

Schiavo-Campo and McFerson (2008:317) back external evaluation of performance in African developing countries; however, this is unachievable if government

employees lack the capacity to engage and coordinate evaluation projects. Lahey (2015:4) goes for a more comprehensive and country-specific strategy for NMES development than a generic strategy that focuses primarily on training country officials, in the absence of institutional changes and infrastructure development. At institutional level, throughout implementation of the M&E system, institutions need to establish the level of capacity available, identify gaps, and develop a capacity-building mechanism. It is therefore important to reflect and strategise on institutions' capacity gaps when developing M&E systems by identifying specific needs, including those of external stakeholders related to the institution, such as other government institutions, ministries, citizens, media, and the public. African countries need to establish evaluation designs and methodology training programmes for M&E practitioners, and also establish databases of M&E professionals (Basheka & Byamugisha 2015:80).

### **3.5.6 Setting adequate budget for M&E**

For a long time, people have considered monitoring and evaluation as rarely unattainable because of cost, time, interpretive capacity, and data management problems (Seasons 2003:431). Limited budgets for M&E activities hinder effective institutionalisation and functioning of the system such that in some cases, institutions are forced to focus on monitoring activities rather than evaluation, which is resource intensive (dependent on labour and budget). In Kenya, a limited budget is set for M&E. Out of planned USD3.8 million, the Monitoring and Evaluation Department (MED) received USD1.3 million only (Andersson et al 2014:21) and the department spent USD 400,000 for M&E activities while it spent the rest on other operational costs. In Canada, while planners express support for M&E processes, they identify resource constraints as an obstacle for carrying out proper, timeous and detailed M&E functions (Seasons 2003:433). Heavy reliance on donor support for M&E activities raises concerns when it comes to ownership of the initiatives by political structures World Bank 2004:2). Reliance of support to development partners for operationalising M&E systems and lack of coordination led to Uganda having 524 active projects from 825 separate agreements with different M&E systems (World Bank 2004:2). The above-mentioned scenario creates more challenges in M&E

system(s) management in most African countries that are not investing in only one NMES.

### **3.6 Performance management regimes**

According to Bouckaert and Halligan (2008:35), most literature on performance management falls into the classification of general public management. On this, scholars provide a brief definition of performance, narrowly defining performance measurement as a public management function or studies based on a single country. Bouckaert and Halligan (2008:2) present the categories of performance management adoption and operationalisation, led by countries with high commitment to it in framing its systems and learning how to handle resulting limitations. They further present countries that balance performance management with other features and find out how that plays out in practice; while the last category are those selectively drawing on performance management techniques while operating within another type of system. The four (4) performance management regimes bear similarities to governance models as presented by Osborne (2010:264).

This section presents the four categories of performance management referred to in this study for analysis and benchmarking of performance management practices of countries or institutions. The regimes are arranged in a logical sequence to show differences and development on the following:

- a) Collecting and processing performance data into information;
- b) Integrating (a) above into documents, procedures and stakeholders' discourses; and
- c) Using (a) and (b) above in a strategy of improving decision-making, results and accountability.

The performance management regimes presented in this section are extracted from a book by Bouckaert and Halligan (2008) entitled *Managing Performance: International Comparisons*. The researcher acknowledges the use of this reference. Table 3.4 below presents the four ideal types of managing performance, starting with a traditional or pre-performance era that is essentially a pre-modern management or pre-Weberian public administration, characterised by non-definition of performance goals.

**Table 3.4: Four (4) ideal types for performance management regimes**

S/n	Type of PM	Measuring	Incorporating	Using	Limitations
1	Traditional/pre-performance	Intuitive, subjective	None	None	Functional awareness
2	Performance Administration	Administrative data registration, objective, mostly input and process	Some	Limited: reporting, internal, single loop	Ad hoc, selective, rule based
3	Managements of Performances	Specialised performance measurement systems	Within different systems for specific management functions	Disconnected	Incoherence
4	Performance management	Hierarchical performance measurement systems	Systemically internal integration	Coherent, comprehensive, consistent	Complex, perhaps not sustainable as a stable system
5	Performance governance	Consolidated performance measurement system	Systemically internal and external integration	Societal use	Uncontrollable, unmanageable

**Source:** Extracted from Bouckaert & Halligan (2008:37).

### 3.6.1 Performance administration regime

According to Bouckaert and Halligan (2008), the performance administration regime carries intuition and a generalised concern for performance that is registered and administered. In the regime, performance measurement is an administrative procedure as part of an administrative or legal setting, but not in a managerial or policy context. Authors argue that performance measurement generates information, disconnected from performance improvement strategies. The regime uses sophisticated rules for registering and administering performance that are not developed to generate information that affects managerial functions or elements of a policy cycle. The regime produces performance information used for internal



reporting purposes only, and ambition to reach the standards of the operating procedures is encouraged.

A classical rule-based Weberian bureaucracy fits into this performance management regime. This is similar to what Osborne (2010:264) describes as procedural governance. Under this regime, systems tend to be input driven and law based, focusing on procedure, due process, and implicit interest in performance. Performance data are not readily available and if available, they have non-significant value and are not integrated or used. Osborne further describes this regime as having low citizen sensitivity and a low level of risks (Osborne 2010:264).

### **3.6.2 Management of performances regimes**

This is the second performance management regime, an improvement on performance administration. According to Bouckaert and Halligan (2008), the regime links management with performance; however, connections between them are underdeveloped and limited. The regime carries concurrent systems of performance and management such as personnel management, financial management (budgets, accounting systems and audits), strategic and operational management, customer management, and communication management. Under this regime, there are differing performance criteria for different purposes, and not linked in a hierarchical and logical way. Performance information produced feeds into a disconnected set of management functions. The regime carries some degree of sophistication and development, up to driving an improvement and reform process in other functions.

The authors argue that the asymmetrical development of management functions based on performance measurement makes them not very consistent, comprehensive, or integrated. It is important to note that in this regime, there may be a high level of sophistication and development of some functions, to the extent of driving an improvement and reform process in other functions, such as, for example, financial issues influencing personnel management, or vice versa. Osborne (2010:264) describes a governance model similar to this, called corporate governance. Osborne adds that the model carries a low to medium citizen sensitivity, high to medium market competition, and moderate level of risk. The regime as described by Bouckaert and Halligan (2008) also Osborne (2010), connotes the

beginning of formalised and organised performance management systems in public service institutions.

### **3.6.3 Performance management regime**

This is the third regime described by Bouckaert and Halligan (2008). The performance management regime carries a solid performance measurement system beyond administration and proliferation. Distinctive features of coherence, integration, consistency, convergence, and comprehensiveness identify this regime. Performance information goes beyond connectedness to its coherent use and integration. The regime is characterised by a framework with system properties that connects hierarchically to satisfy criteria of performance management as an ideal type. The authors advocate for an explicit policy on measurement for managing different functions and their performance in support of the regime.

Osborne (2010:264) presents a similar model to this regime, known as market governance. He adds that the model operates within medium-high citizen sensitivity, medium to low market competition, and high level of risk. Bouckaert and Halligan (2008), on the other hand, argue that the performance management regime brings a technically sound, functional and legitimate measurement system that spans across the entire system, from input through output to outcome. The depth of measurement covers macro-, meso- and micro levels. The regime supports a degree of measurement flexibility matching supply and demand of performance information for different purposes and stakeholders. The performance management regime uses performance information in policy and management cycles, internal and external (political) reporting, and in comparing performance, learning for improvement, budgeting, control, monitoring, and evaluation. Furthermore, the regime is standardised, systematised, and integrated by models used such as the International Organisation for Standardisation (ISO), the Balanced Scorecard, the EFQM Excellence model, and other country-specific models.

### **3.6.4 Performance governance regime**

Governance, in this case, is two sided, where the first side has the scope of governments with responsible decision makers on public policy more responsive to external preferences, while the second side is one of incorporating interactions with

citizens and civil society. This is the highest level of performance regime, which very few countries can claim to have achieved despite existing aspirations. At this level, organisational relationships exist both within and beyond the public sector, covering a range of collaborations governed by performance mechanisms. Performance is integrated across several levels, and citizens are engaged in all stages of performance management. Performance-controlled implementation and service delivery have an impact on society.

Under the performance governance regime, the flow of activities takes place both within and outside the government, unlike the other three regimes, where there is a horizontal flow of activities. Citizen-centric approaches and bottom-up conceptions exist, and are applied to counter conventional central government directive styles. Governmental, departmental or programme scope and societal levels conceptualise the level and type of performance. Performance is conceived at outcome level, and linked with specific indicators to macro-endeavours and objectives. The regime resembles the New Public Governance paradigm, where the organisation considers internal and external environment and dynamics in negotiation of values and results (Osborne 2010:10). Osborne further describes the network governance model as highly sensitive to citizens and considers risks of non-compliance to be high (Osborne 2010:264).

### **3.6.5 Performance management regimes and institutionalisation of M&E**

The relationship between the institutionalisation of M&E and the performance management regime brings to the surface the *“egg-and-chicken”* causality dilemma. Arguments are put forward that even before the modern conceptualisation of performance and performance management in the last two decades, there were theories and some degree of practice of M&E in public administration. This study takes the position that M&E influences the other aspect as it has been described in chapter one. Therefore, this study intends, among other things, to establish the extent to which a particular level of institutionalisation of M&E influences an institution to become one among the four above-mentioned performance regimes. The performance management regimes described above give an indication of the adoption by institutions of monitoring and evaluation. Table 3.5 presents the M&E features for each performance management regime.

**Table 3.5: M&E features in the performance management regimes**

S/n	Institutionalisation of M&E element	Performance administration	Managements of performances	Performance management	Performance governance
1	Planning/Plans	No concrete plans/strategic plans	Some form of plans available, various plans based on management functions	A more sophisticated plan/strategic plans	Comprehensive integrated strategic plans, action plans
2	Organisational structure	No department/unit responsible for M&E function Limited staff with M&E capacity	M&E functions are undertaken but not well coordinated Scant M&E staff capacity No skills on evaluation	The structure has clear M&E functions Staff have reasonable M&E capacity Skills on evaluation is limited	There is coherent, well-integrated internal and external structure with M&E functions. Adequate staff with both M&E skills
3	Indicators	No indicator selection	Indicators are scattered according to management functions Indicators mostly ranging from inputs to outputs	Coordinated indicators according linked to strategic plans, ranging to outcome levels	Advanced level of indicators, measures internal and external effect of interventions Indicators include those measuring "trust", and there are composite indicators
4	Data collection/Analysis	Administrative data collected only	Data collected according to management functions or various M&E systems. No coordinated collection and analysis Mild application of information technology	Harmonisation and coherence in data collection and analysis. Reference is made to indicators Uses IT systems in data collection and analysis	Comprehensive and complicated data collection and analysis Data collected internally and externally Application of sophisticated IT software
5	Reporting	No report generated from M&E	Reports are generated from various M&E systems. Reporting is according to management functions	Coordinated reporting, reports generated from M&E system or indicators	Reports generated timeously from the M&E system Complex reporting system to internal and external stakeholders
6	Stakeholders inclusion	Not included in M&E or reporting functions	Scant consultation and reference to M&E done with external and internal stakeholders	Consult stakeholders in some M&E functions like planning or monitoring	Stakeholders are fully involved in both monitoring and evaluation
7	Use of performance information	M&E information not used in decision-making processes	M&E information is not adequately used in decision making	Use significant piece of M&E information but not necessarily to all indicators results	Decisions are made according to M&E information

**Source:** Analysed by Author (2017), and informed by Bouckaert & Halligan (2008) and Osborne (2010:9–10, 264).

Table 3.5 above indicates that an institution hardly considers or refers to M&E under the performance administration regime; it focuses instead on observation of rules and procedures. Under this regime, monitoring may be given preference over evaluation in cases where there are limited M&E interventions. Existence of more than one M&E system for the management functions contributes to multiple managements of performances regimes. M&E of the performance management regime is preferably one system that is coordinated and integrated. Indicators developed under this regime cover all levels up to outcome. Under this regime, the M&E system produces information fairly used in the public service institution. A comprehensive M&E system relates to the performance governance regime where M&E is well-institutionalised, coordinating and organising internal and external stakeholders. In this regime, evaluation receives high prominence to establish societal impact of public service institutions.

Chapter six of this study presents levels of institutionalisation of M&E in local government. The chapter will use the current M&E practices to determine an appropriate M&E regime for the Tanzanian local government. The analysis will provide a better understanding of linkages between M&E systems and performance management in public administration.

### **3.7 Conclusion**

Chapter three presented an overview of M&E practices and the performance management regimes. The chapter presented similarities and differences between the performance trio, that is, performance measurement, performance management, and M&E. The three concepts are sometimes used interchangeably, but carry different meanings, especially in terms of the scope they cover in the performance world. Performance measurement is a subset of performance management, which covers levels up to the use of performance information generated from performance measurement systems. Literature reveals that performance management is a subset of monitoring and evaluation. Institutionalisation of M&E has its own key features, which as presented and analysed in this chapter. Just like other public management systems, a successful M&E institutionalisation is dependent on factors internal and external to a particular institution. This chapter has presented the key determining factors for successful institutionalisation of M&E, along with some best practices of

the same in the East African region. Bouckaert and Halligan (2008) describe well the performance management regimes unlike other authors, who are yet to categorise them clearly into groups and their characteristics. The four performance management regimes that are used as reference in this study are presented as Performance Administration, Management of Performance, Performance Management, and Performance Governance. The performance management regimes act as guide towards understanding of its possible linkage with institutionalisation of M&E in the local government.

## **CHAPTER FOUR: A SNAPSHOT OF SOUTH AFRICA AND OTHER REGIONAL M&E SYSTEMS**

### **4.1 Introduction**

The public service around the world is guided by rules and regulations that set the practices, operations and determine the nature and results of its institutions' systems. The public service systems operate within some prescribed institutional structures and arrangements. The chapter presents onset of M&E in Africa. It further gives attention adoption and institutionalisation of the same in selected East African countries, namely, Rwanda and Kenya. A snapshot of two East African Countries' M&E strengths and challenges, also level of institutionalisation is presented in this chapter.

Chapter five presents the South African public service M&E and performance management regulatory frameworks. The chapter analyses in detail the adequacy and strengths or weaknesses of the current national regulatory frameworks and institutional arrangements for monitoring and evaluation of the Republic of South Africa (RSA). Chapter four showcases efforts to institutionalise M&E in the South African public institutions. It specifically presents M&E practices, including institutions to coordinate and oversee the operationalisation of M&E in the country. It also highlights the existing challenges that hamper the efforts to institutionalise M&E in South Africa. South Africa, unlike other countries, has literatures related to M&E system in the form of articles and public service reports. In this part, most of the references come from the Departments of Monitoring and Evaluation, an institution in charge of the M&E framework and system of South Africa.

### **4.2 Institutionalisation of M&E in the African public service**

In Africa, governments acknowledge the need for M&E as there is a growing demand for the systems and desire to align institutions with evidence-based decision-making processes. Basheka and Byamugisha (2015:77) argue that M&E in Africa growth connects with NPM, where worthiness of policies, projects, programmes and interventions are measured. African countries have varied levels of institutionalisation of M&E. The World Bank assesses the M&E readiness in Ghana in preparation for supporting the public-sector reforms (World Bank 2000:ii), where

reforms are also aligned with NPM. The institutionalisation of M&E in governments cannot be looked collectively continental-wise, as adoption of monitoring and evaluation differ in most of the African governments.

Basheka and Byamugisha documented a history of M&E in Africa, as stimulated by the 1998 conference on M&E that involved officials from 12 countries and 21 international development assistance agencies. During this meeting, it was agreed that:

- M&E capacity development forms an integral part of a more extensive initiative for good governance;
- A need exists for Africa continental institutional support on M&E;
- A need exists for capacity building on M&E;
- A need to create the M&E professional forums and databases. This resulted into establishment of Africa Evaluation Association – AfrEA in 1999 as a growing appeal for advocacy, information sharing and advanced capacity building in evaluation<sup>3</sup>)
- Develop mechanisms for documenting best practices for learning and benchmarking purposes (Basheka and Byamugisha 2015:80).

More conferences and forums followed one of 1998. A series of forums led to more growth and development of M&E as a discipline and profession in public administration. Literatures suggests that the onset of M&E in Africa relates to establishments of national development plans and/or poverty reduction strategies (Shaffer 2012:38; MFDP 2009:404; MFDP: 2017:193; World Bank 2004:1–4;). The national development strategies and/or poverty reduction strategies linkage with robust M&E systems are somehow flawed. It takes a long time for governments to develop NMES despite commitments stated on M&E and its contribution to national development. An illustration of this comes from countries such as Ghana, for example, where needs and discussions on M&E have been under way since the late 1990s (World Bank 2000:ii-iii), while a fully-fledged M&E ministry was established only in 2017. In Botswana, NDP Version 10 established an M&E framework and recommended regulatory frameworks, and institutions to support the same (MFDP

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<sup>3</sup> Information obtained from: [www.afrea.org/about-us](http://www.afrea.org/about-us) accessed on 31 August 2017 at 1537h.



2009:404–5). However, the NDP Version 11 mention of challenges and gaps in establishing M&E systems was released eight years after the country's commitment to do so (MFDP: 2017:196–197).

Picciotto (2009) cited in Porter and Goldman (2013:1), argues about the existence of more demand for monitoring data than for evaluation, suggesting that monitoring is taking over from evaluation and is becoming what he calls “monitoring masquerading as evaluation”. In 2014, CLEAR and the University of Witwatersrand conducted a study on the demand and supply of evaluation in Rwanda, Zambia, Malawi, and Ethiopia. The study revealed that political economy conditions policy processes within which evaluation supply and demand interact (CLEAR 2014:13). The study further found that patrimonial developmental countries (Rwanda and Ethiopia) are less open to debate but have strong technocratic central ministries to oversee planning, budgeting and M&E systems, unlike neo-patrimonial countries (such as Zambia, Ghana and Malawi). In another study covering nine countries from sub-Saharan Africa, the findings indicate that Kenya, Uganda and South Africa have developed evaluation policies, with the last-named being the only one of the three having theirs approved by relevant authorities (CLEAR 2013:9).

Porter and Goldman (2013:5) report that countries such as Kenya, Senegal and Ghana have not developed a clear evaluation plan, unlike Benin, Uganda and South Africa, whose plans have been in existence for five years or more. Lahey (2015:3) describes the levels of institutionalisation of some selected countries as presented in Table 4.1 below. According to Lahey's criteria for levels of institutionalisation, countries under the level of growing M&E systems and mature state levels are those that recognise, give priority to, and use evaluation results. It is important to understand the dynamics of monitoring overriding evaluation or reasons explaining side-lining of evaluation by African governments. Table 4.1 presents the levels of institutionalisation of M&E in selected African countries.

**Table 4.1: Levels of institutionalisation of M&E in selected African countries**

<b>Level 1: No/low M&amp;E (Mauritania)</b>	<b>Level 2: Early initiatives (Senegal)</b>	<b>Level 3: Committed Development (Benin, Ethiopia, Botswana)</b>	<b>Level 4: Growing M&amp;E System (South Africa)</b>	<b>Level 5: Mature state</b>
Little/no commitment to M&E – not a priority	Apparent political will, but no resource commitment	Apparent political will to build results-orientated national M&E system	Political will and commitment to M&E and performance management	Political will translates into commitment to funding M&E to needed levels
Minimal M&E capacity and experience	Some (limited) initiatives by country to develop M&E structures	Increased commitment to country ownership and use of M&E beyond international accountability	Funding and detailed plan to develop country owned NMES	Country-owned NMES providing needed results. Measurement and reporting
Any existing M&E focused on accountability to donors	M&E focused largely on monitoring implementation rather than measuring results	Institutional structures being established	Institutional structures, policies, and operational guidelines in place	Credible, reliable, and timeous information generated from country systems, including at subnational level
Little/no training or M&E capacity building	Little/no evaluation	Limited evaluation	Capacity-building strategy for human resources and data development	Evaluation a key part of the NMES
	Some, but limited, M&E training and capacity building	Some M&E capacity building, but continued capacity gaps, particularly in implementation and use	Evaluation recognised as important part of M&E system, but still underutilised	Self-sustaining
			Capacity gaps in implementation and use, but plan in place to deal with these	M&E part of the policy, planning, and budgetary cycle
				Focus on accountability, good governance, and transparency

**Source:** Adapted from Lahey (2015:3).

African governments show commitment to M&E through regulatory frameworks, with some starting in the Constitution. In some countries, Constitutions acknowledge the requirement for performance and the result of M&E. Governments in Africa have taken a step further in developing policies, regulations, procedures and guidelines

that facilitate institutionalisation of M&E. Countries such as Benin and Rwanda race with moved faster than others and have established linkages between national development vision and country strategies such as those related to poverty reduction with the overall M&E system. This level of harmonisation limits the sending of different M&E messages within the public service and promotes easy coordination. It also leads to misuse of resources on some non-focused M&E initiatives. Porter and Goldman (2013:5) observe that countries such as Kenya, Benin, Ghana, Senegal and South Africa lack a shared vision across key central agencies of the role of M&E. A number of African countries such as Tanzania are yet to develop a concise performance management policy or a specific M&E policy with its corresponding laws, regulations and procedures.

The selected African governments established institutions with a mandate to coordinate monitoring and evaluation, where they mostly lie in the Presidency, the Prime Minister's Office, or Ministries responsible for Finance or Planning (Porter & Goldman 2013:3). However, there are institutional challenges in some countries such as Kenya, Benin and Ghana (Cloete et al 2014:388–397), where there is dual institutional mandate, or performance reports are submitted to different institutions, using different formats. Another challenge posed to M&E comes when institutions in charge of M&E are not in control of budgets or budgeting processes. In such cases, institutional arrangements do not allow coherence and harmonisation of plans, performance and financial resources.

#### **4.3 A snapshot of M&E systems in East Africa: Kenya and Rwanda**

Five states forms The East Africa Community namely, Tanzania, Kenya, Uganda, Rwanda and Burundi. Three of these countries are Anglophone and the rest are Francophone. The Francophone countries (Rwanda and Burundi) experienced genocide in the early 1990s, which largely affected operations in their public service institutions. During this time, other East African countries had started or continued to embrace public service reforms, which included performance management and M&E initiatives. Chapter five and six presents institutionalisation of M&E in Tanzania. This section give an overview of how two East African countries embraced monitoring and evaluation, stating gaps and challenges they encountered in the process. Rwanda

represents Francophone and former war-torn countries, while Kenya represents an Anglophone with well-established public service reform initiatives.

#### **4.3.1 The Republic of Kenya**

The government of Kenya has developed Vision 2030, which focuses on raising the GDP growth to 10 percent and sustain it at that level up to and beyond the calendar year 2030 (MSPNDV 2011:2). The government is developing Medium Term Plans (MTP) carrying priority policies and investments required to achieve the objectives and ensure realisation of Vision 2030.

##### ***Institutionalisation of M&E in Kenya***

The government of Kenya designed a Monitoring and Evaluation system in 2004, aligned with and tracking implementation of the MTPs which implement the Vision 2030 objectives, called the National Integrated Monitoring and Evaluation System (NIMES). The purpose of NIMES is to provide feedback on the effectiveness of the implementation of policies and programmes set out in the first MTP of Vision 2030 the implementation of which involve a wide range of stakeholders. The following steps were taken in order to institutionalise the national M&E system:

- M&E directorate established within MSPNDV;
- Creation of National Steering Committee for M&E;
- Defined a national institutional structure for M&E; that is, a central structure composed of ministries, other bodies and all stakeholders; and devolved structure based on the key public and non-governmental players at the local (district) level;
- Developed methodological and operation guidelines for M&E for the purpose of harmonising, defining key concepts and establishing key roles and responsibilities of various stakeholders.

**Source:** Information extracted from: MSPNDV (2011); Andersson, Jensen, Naitore & Christoplos (2014)

The government of Kenya has succeeded in addressing key challenges facing national M&E systems and adopted an ideal approach for institutionalisation of M&E in the public service. The national M&E system addresses issues of ownership and political commitment as it is linked to the national planning frameworks and cascaded to lower levels of local government. The Methodological and Operational Guidelines (MOGs) provide a framework for institutionalisation of M&E from planning stage to use of performance information. MOGs clearly define the scope of implementation to include reporting on performance through progress reports, report cards and evaluations (external and internal). The guidelines provide a framework for use of performance information such as change of strategy, resource/budget adjustment, and review of programme/activity (MSPNDV 2011:7). All of the above augur well with regard to *performance management* requirements. The government has also developed a national reporting framework for indicators aligned to Vision 2030, MTP and NIMES for use at both the national and the local government levels (MSPNDV 2009:1–2).

A capacity building report reveals bottlenecks in Kenya's efforts towards institutionalisation of M&E to be inadequate resources and capacities for performance tracking and weak M&E culture. Other challenges are weak linkages with other reform programmes, lack of timeous and reliable data, lack of nationwide capacity building strategy, and late adoption of key documents such as the M&E policy and M&E framework (Monitoring and Evaluation Framework for Kenya, cited in Andersson et al 2014:11).

#### **4.3.2 Rwanda**

Rwanda developed Vision 2020 immediately after the civil war in order to be a self-sustainable country with a high level of savings and private investment (Murray-Zmijewski & Gasana 2010:3). Monitoring and evaluation in Rwanda started immediately in the post-war period (from the late 1990s). The World Bank and other development partners advocated M&E practice while offering support to rebuild of a once war-torn country. The M&E system aimed to facilitate decision making on resource allocation, meeting the development partners' reporting requirements and economic interventions. Rwanda continues to merge the governments' planning, budgeting and measurement processes. Currently all budget resources are prioritised

using the MTEF approach and this has allowed for national plans, sector-strategic plans and district development plans to be aligned with the medium-term outlook and the national development strategy (CLEAR 2014:13).

In the established *Imihigo* system, Mayors are rated for their performance in achieving key development objectives related to the National Development Plan. The performance rankings are released in the national press, and poorly performing Mayors can expect public reprimand if targets are not being met. The *Imihigo* system is perceived to have contributed to a high turnover in Mayors (75%) during the initial implementation (Scher 2010, as cited in CLEAR 2014:14). There is a more regular data collection system for the indicators, a strict reporting timetable, and additional incentives for timeous reporting, all of which have contributed to the increasing use of M&E information (Murray-Zmijewski & Gasana 2010:29). The above-mentioned actions show positive developments towards institutionalisation of M&E in Rwanda by going to the level of using performance information in budgeting, reward, sanction, and learning.

#### ***Institutionalisation of M&E in Rwanda***

The government of Rwanda undertook various measures for instituting M&E in the country, such as developments to support M&E, as listed below:

- National Information and Communication Infrastructure Policy of 2001 that touched, among others, on data management systems, including those related to M&E;
- Decentralisation Policy of 2002 states role and responsibilities of line ministries, provinces and districts on policy, planning, resource allocation and M&E; and
- National Strategy for Development of Statistics was launched for 2009–2014 to improve the national data production system on a government-wide basis.

Since 2006, the government has engaged in performance contracting between the President and district mayors, popularly known as *Imihigo*.

From 2010, the M&E processes in Rwanda were harmonised to rely primarily on statistics gathered by the National Institute of Statistics of Rwanda (NISR). NISR conducts surveys and collect routine data to facilitate government evidence-based decisions.

**Source:** CLEAR, 2013:33–34; CLEAR, 2014:13–14

## **Lessons from Kenya and Rwanda**

An overview of the M&E systems of Kenya and Rwanda depict a level of institutionalisation, strengths and challenges that can be referred to in Tanzania and other developing countries. The literature above suggests that both countries have made efforts to garner their M&E systems with achievements stated in the National Vision or Development Strategies. It is undisputable fact that M&E systems need investment, both financial and human resources. The meagre financial resources and strained budgets of developing countries will not result in an effective national M&E system. Despite a few setbacks mentioned in sections above, both countries show political commitment through developing regulatory frameworks and building institutions for M&E. This study delineates the fact that a robust M&E system carries all six elements of institutionalisation of M&E. Both Kenya and Rwanda have made strides towards establishing the M&E elements, with some given more emphasis than others. Key lessons from the two countries can be drawn from the interdependence and connectedness of the elements, for example, with regard to efforts to create linkages between planning, data management and M&E systems. Furthermore, the countries confirm the environment needed for M&E systems to operate effectively, such as the political commitment, adequate resource allocation, and institutional arrangements, to mention but a few.

### **4.4 M&E practices in the Republic of South Africa**

Between 1910 and 1996, South Africa has had five Constitutions resulting from an evolutionary change of power (Craythorne 2006:1). The history and development of local government in the country centres around provisions provided within the five Constitutions. The provisions in the said Constitutions have provided for their establishment, abolition of or restructuring and development of relationships between spheres and levels of government in pursuit of government interests of the time. Chapter 3 of the Constitution of the Republic of South Africa, 1996 describes cooperative government, which constitutes national, provincial and local spheres which are distinctive, interdependent, and interrelated. According to Malan in Thornhill, Van Dijk and Ile (2014:62), the principles of cooperative government and intergovernmental relations recognise the interdependence of the three spheres of government in South Africa. Section 151 of the Constitution, also as described in

Mavuvha (2010:119), give powers to the local government and restrict interference from the national and provincial spheres of government. Section 151(4) clearly states that neither the national nor the provincial government may “*compromise*” or “*impede*” a municipality’s “*ability*” or right to exercise its powers or perform its functions (emphasis added).

The three spheres of government stated by the Constitution are national government, provincial government, and local government. Section 104 of the Constitution of the Republic of South Africa state nine Provinces: Eastern Cape, Free State, Gauteng, KwaZulu-Natal, Limpopo, Mpumalanga, Northern Cape, North West, and Western Cape. There is a total of 8 Metropolitan, 226 Local and 44 District municipalities.<sup>4</sup> Section 155(1) in Chapter 7 of the Constitution describes categories of the local government municipalities to be:

- Category A, called Metropolitan – a municipality that has exclusive and legislative authority;
- Category B, called Local – a municipality that shares municipal executive and legislative authority in its area with a category C municipality within whose area it falls; and
- Category C, called District – a municipality that has municipal executive and legislative authority in an area that includes more than one municipality.

Section 152(1) states objectives of local government to be: to provide democratic and accountable government for local communities; to ensure provision of services to communities in a sustainable manner; to promote social and economic development; to promote a safe and healthy environment; and to encourage the involvement of communities and community organisations in matters of local government.

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<sup>4</sup> [http://www.clgf.org.uk/default/assets/File/Country\\_profiles/South\\_Africa.pdf](http://www.clgf.org.uk/default/assets/File/Country_profiles/South_Africa.pdf) accessed on 24 August 2017 at 1523h.



## **4.5 Frameworks governing M&E in South Africa**

### **4.5.1 Constitution of the Republic of South Africa, 1996**

The foundation for the M&E initiatives in South Africa lies in the 1996 Constitution which states in its chapters and sections directions for a development-orientated public service, accountability within and outside government, effective use of resources, and performance in general. This section highlights selected areas, which are a basis for what is seen today as the established M&E system across spheres of government. The 1996 Constitution describes obligations of the state and accountability requirements of the developmental, effective, transparent and accountable executive (CLEAR 2013:36). Section 92 of the Constitution tasks the cabinet members with being accountable collectively and individually to Parliament for the exercise of their powers and the performance of their functions. The same section obliges the Cabinet members to provide Parliament with full and regular reports concerning matters under their control.

The provincial legislature demands accountability from Members of the Executive Council (MECs) of a province through Section 133 of the Constitution. Chapter 10 of the Constitution describes the basic values and principles governing the South African public administration, some of which centre around efficiency, effective use of resources, accountability, responsiveness, and transparency, to mention a few (De Wet 2014 in Thornhill, Van Dijk & Ile 2014:37). The underlying assumption for ensuring upholding of the above-mentioned public service values is to set up a public administration system in support of values such as a robust M&E system. Sections 195 and 196 of the Constitution give a mandate to the Public Service Commission (PSC) to monitor and evaluate performance of the public service institutions and its programmes. The PSC monitors and evaluates achievements or gaps related to all public institutions' programmes. It is from this mandate that the PSC develops and promotes measures that will contribute to ensuring the existence of an effective and efficient performance within the public service, such as developing of guidelines and procedures. The buzz words for the PSC as derived from the Constitution mandate are: professionalism; efficiency; effectiveness; development-orientated public service; impartiality; equity; participation; accountability; transparency; and representation.

#### **4.5.2 White Paper on Public Service Delivery or Batho Pele of 1995**

The principles of *Batho Pele* are linked to the Constitution with regard to the right of citizens to quality services. *Batho Pele* directs how the public service ought to conduct itself in pursuit of service excellence. The principles which are related to M&E are consultation, service standards, information, openness, and transparency. The *Batho Pele* principles are linked to the country's Constitution and areas in which the Public Service Commission monitors and evaluates public service institutions. Subsequent policies, laws, frameworks, guidelines and tools for M&E are built on the *Batho Pele* principles.

#### **4.5.3 Government-Wide Monitoring and Evaluation System of 2007**

The purpose of establishing the Government-Wide Monitoring and Evaluation System (GWM&ES) is traced in the Constitution of the Republic of South Africa, 1996 (Motingoe & Van der Waldt 2013:1). The GWM&E system draws a roadmap on M&E practices in the public service through establishing a philosophy for adopting M&E and benefits accrued from operationalising the system. The Framework provides an understanding of M&E, instituting M&E, implementing the GWM&E System (GWMES), and the actual government-wide M&E system.

#### **4.5.4 Three M&E frameworks developed from the GWM&ES**

The Government-Wide Monitoring and Evaluation System (GWM&ES) gives policy context to the Framework for Managing Programme Performance Information developed by the National Treasury, the South African Statistics Quality Assurance Framework of 2010 of Statistics South Africa, and the National Evaluation Policy Framework (NEPF) (DPME 2007:1; DPME 2014b:vi). The Framework for Managing Programme Performance Information developed in year 2007 provides guidance to the public institutions on how to generate, record and use performance information in the public service. The Framework stresses importance of performance information in management; links the framework with GWM&ES; state the role of performance information in planning, budgeting and reporting; defines good performance indicators and an approach for developing them; defines the capacity required to manage and use performance information; states roles of key government institutions in performance information management and provide guides on the publication of

performance information (DPME 2007:1; Phillips, Goldman, Gasa, Akhalwaya & Leon 2014:393).

The Statistics South Africa established the Statistical Quality Assessment Framework (SQAF) in recognition of importance of data generation, dissemination and use in M&E. The Framework serves as a guide for data producers and assessors in determining quality of statistics they produce (SSA 2010:1). The Framework mentions eight dimensions of data quality to be relevance, accuracy, timeliness, accessibility, interoperability, coherence, methodological soundness and integrity (SSA 2010:3). All of the eight dimensions are key in determining soundness of the M&E system and relate to working towards institutionalisation.

The National Evaluation Policy Framework (NEPF), approved in November 2011 sets out the approach in establishing a National Evaluation System (NES) for South Africa, evaluation studies mentioned being: diagnosis evaluation; design evaluation; implementation evaluation; impact evaluation; economic evaluation; and evaluation synthesis (DPME 2014c:2). The policy sets pace and guides public institutions in conducting evaluation through defining purpose, approaches, guiding principles, uses evaluation and how to institutionalise the same in the public service. The evaluation policy takes note of the linkages between planning and use of evaluation information to be that of the latter informing the former. Clear linkages are stated, and importance emphasised of performance information with budgeting and reporting of performance (DMPE 2011:3), which is critical in ensuring institutionalisation of M&E in the public service. It is from this policy where DMPE developed eighteen (18) guidelines to establish the basis for minimal standards of evaluation, competences required by government staff and evaluators and evaluation short courses for building capacity of the public service on evaluation.

#### **4.5.5 Local Government: Municipal Systems Act 32 of 2000**

In the local government sphere, there is the Local Government: Municipal Systems Act 32 of 2000. The Act sets the pace for establishing and institutionalising M&E in local government. Craythorne (2006:13) submits that the Act focuses, among other things, on integrated development, planning, and performance management. Chapter 5 of the Act instructs municipalities to develop strategic plans, which is a good step

towards establishing an effective M&E system. The strategic plans content include: vision for the long-term development; assessment of existing level of development; objectives for the planning period; operational strategies; financial plan or budget projection for at least three years; key performance indicators; and performance targets. Gorgens and Kusek (2009:4) state that step two for building a M&E system agrees on outcomes to monitor and evaluate through indicators, something that is also stated in the Act to be part of the local government plans.

Section 38 of Chapter 6 of the Act directs municipalities to establish a Performance Management System (PMS) that is commensurate with its resources, best suited to its circumstances, and in line with the priorities, objectives, indicators and targets contained in its integrated development plan. Section 40 of the Act states that a municipality must establish mechanisms to “monitor” and review its performance management system, which ideally consists of an M&E system. This chapter of the Act emphasises the importance of instituting a performance management culture in political structures, office bearers, and administration. The chapter further insists that South African local government is to administer its affairs in an economical, efficient, and accountable manner.

#### **4.5.6 Public Audit Act 25 of 2004**

The Auditor-General of South Africa is charged with auditing finances and performance in terms of Section 20(1) of the Public Audit Act 25 of 2004 (CLEAR 2013:39). The Auditor-General's jurisdiction covers all government spheres and levels, according to Section 4(1) of the Act. This indicates commitment towards monitoring government performance through questioning of public institutions' accounts and expenditure (CLEAR 2013:39).

#### **4.5.7 Public Service Act of 1994**

The South African government enacted a Public Service Act of 1994 giving a mandate to the Department of Public Service and Administration (DPSA) to act as the custodian of public management frameworks, performance, and service delivery improvement (CLEAR 2013:39). This department established the Public Management Watch System to assess public service performance. The performance of heads of public service institutions is monitored through the Performance

Management and Development System (PMDS). However, the system is not particularly outcome-orientated as it hardly measures performance at the level of outcomes, also rewarding based on activities or output achievements (CLEAR 2012b:145). This mismatch of ideal *vis-à-vis* current performance monitoring criteria in relation to heads of institutions jeopardises institutionalisation of the outcome-monitoring approach as it is being emphasised by the South African government.

#### **4.5.8 Public Finance Management Act 1 of 1999 and the Public Audit Act 25 of 2004**

Nkhotla (2007:160) argues that government institutions lack adequate capacity to define goals, measure results, also relate them to spending therefore posing serious challenge in terms of measuring performance. The Public Finance Management Act (1 of 1999) establishes a requirement to monitor and report on institutional performance by the Chief Executive Officers (CEOs). The Act aims to regulate financial management in the national government and provincial governments and ensure that all revenue, expenditure, assets and liabilities of those governments are managed efficiently and effectively. The financial management aspects go as far as monitoring whether expenditure is in accordance to the predetermined plans. The Act is addressing the above-mentioned challenges by giving mandate to the National Treasury to monitor government performance through finances allocated to pursue a particular course. As a result of the Act, the National Treasury has been releasing the local government revenue and expenditure as part of the In-year Management, Monitoring and Reporting System for Local Government (NT 2015:1).

The South African Auditor-General is represented to the municipal level government unlike in Tanzania which has an overall Auditor-General (CLEAR 2013:39). The Auditor-General is charged with auditing department financial statements and statements of program performance following section 20(1) of the Public Audit Act 25 of 2004 (CLEAR 2013:39). This indicates efforts towards monitoring government performance through auditing of government accounts (CLEAR 2013:39).

#### **4.5.9 Green Paper: National Strategic Planning**

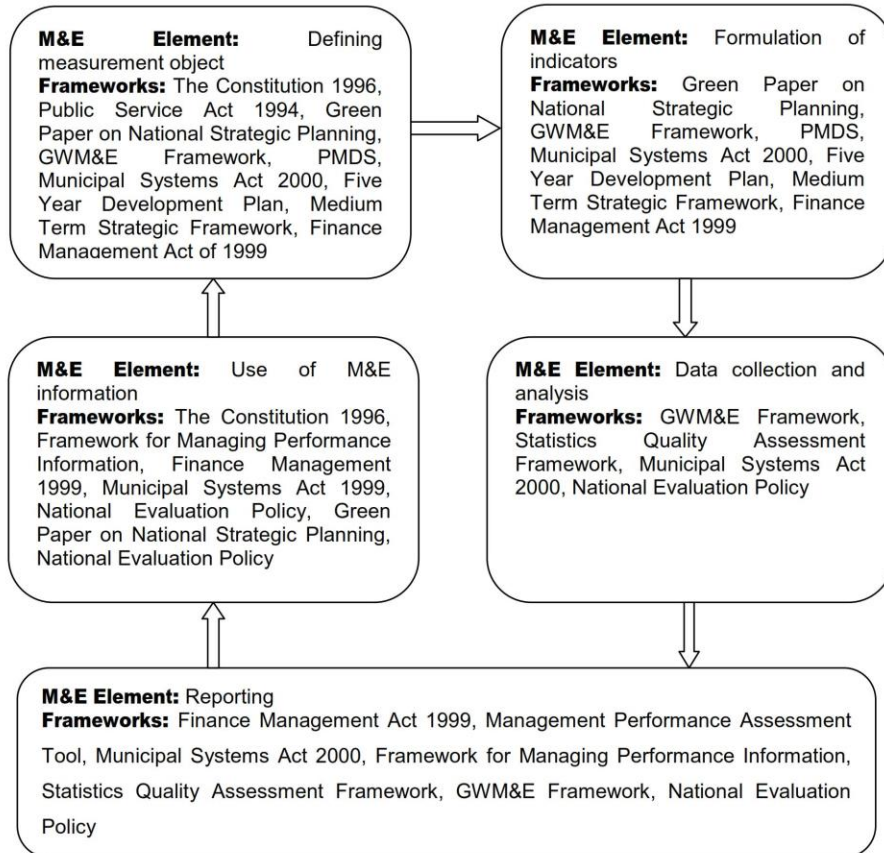
*“Performance monitoring and evaluation will assess progress, identify constraints, weakness and failures in implementation, and identify mechanisms of correction or enhancement” (The Presidency 2009:28).*

The Green Paper on National Strategic Planning (2009) forms part of key documents that emphasise production and use of M&E information. The document acknowledges that meaningful planning is composed of long-term objectives and milestones, which are part of the monitoring processes. Furthermore, it highlights the linkage that exists between planning and M&E through stressing for processes and results of the latter to be used to inform the former. The paper sets the ground for use of performance information in South Africa by stating relationships that exist between the management systems (planning and M&E) and the importance of integrating them in order to bring about meaningful results.

#### **4.6 M&E institutionalisation philosophy of South Africa**

Section 4.5 described key regulatory frameworks governing monitoring and evaluation practices in South Africa. The regulatory frameworks establish an environment conducive to institutionalisation and guide M&E practices in the public service. In chapter three, elements of institutionalisation of M&E were described to be: defining measurement object, formulation of indicators; data collection and analysis; reporting; and use of M&E information. The regulatory frameworks for M&E in South Africa have covered all elements of institutionalisation of M&E as presented in Figure 4.1 below. The public service institutions' actions are guided on what, when, how and why, as far as M&E purpose and practice are concerned. Furthermore, in terms of M&E practices, the frameworks guide the public service institutions in upholding of the *Batho Pele* principles in the pursuit of service excellence by the public service.

**Figure 4.1: M&E regulatory frameworks and M&E elements**



**Source:** Composed by Author 2017 (as influenced by: Lahey 2015:1–5; Ammons & Roenigk 2015:515–516; Mngomezulu & Reddy 2013:91; Rhodes et al 2012:239; Van Dooren & Thijs 2010:177, 182; Kusek & Rist 2004:21–22, 151; Mackay 2007:23–24; DPME 2007:6, 17–19; DPME 2014c:1, 3–4; DPME 2014b:1–6).

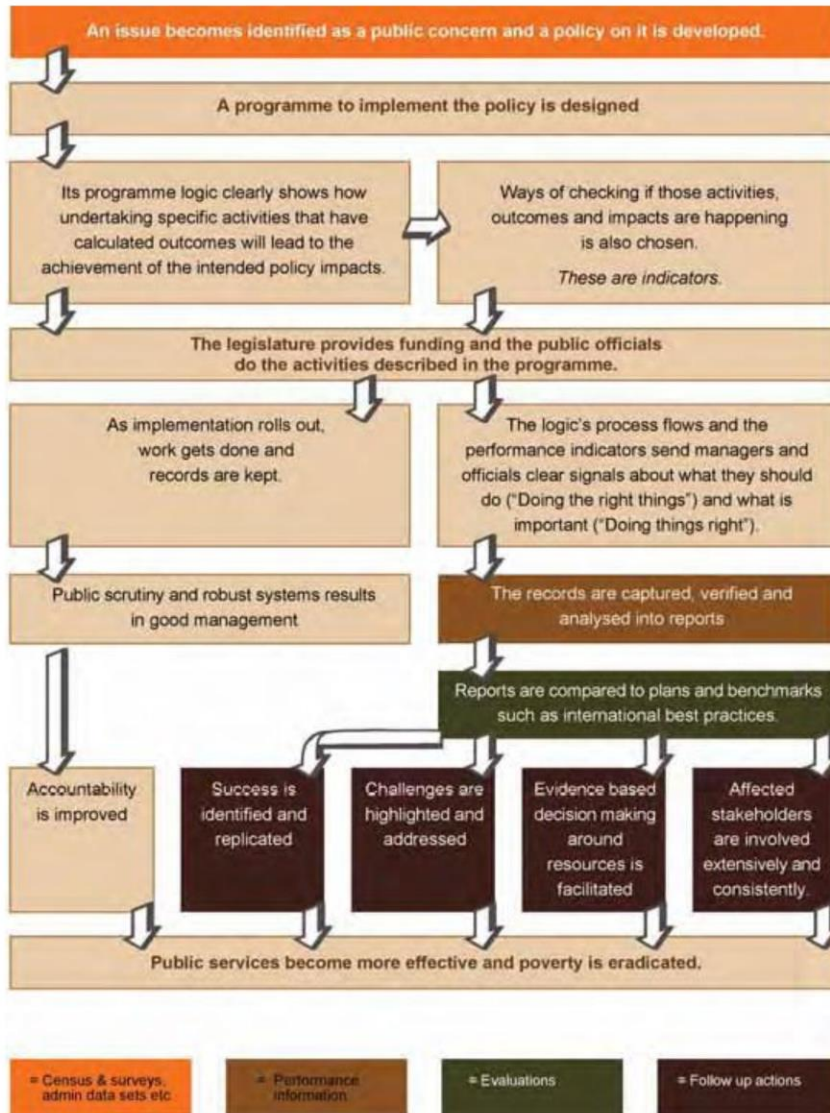
The GWM&E Framework seeks to ensure institutionalisation of M&E in the South African public service institutions through integration with other management systems that facilitate integration and operability at national level or within the institution (DPME 2007:4). The framework creates synergies between M&E, as it provides directions for use of data and information generated from the system for refining plans and implementation processes. The framework is set to cover all public service institutions regardless of spheres and levels of government (Malan 2014, cited in

Thornhill, Van Dijk & Ile 2014:62). The Framework states that it is a statutory requirement for the accounting officer of a department or municipality, or a chief executive officer of a public entity, to establish an M&E system for the institution. Furthermore, on institutionalisation, the Framework provides directions for the use of performance information for identifying and replication of success, highlighting challenges, making evidence-based decisions, resource allocation, and reporting to various stakeholders to development.

The Framework provides for a basis for setting the elements of institutionalisation of M&E described in chapter three. The elements which (if available in the institution) describe institutionalisation of M&E include defining measuring object; formulation of indicators; data collection; data analysis; reporting; and use of performance information. All of these elements are stated and summarised in the GWM&E Framework in Figure 4.2 below.



**Figure 4.2: Elements of institutionalisation of M&E in South Africa**



**Source:** DPME (2007:6).

Various developed and developing countries' efforts to improve performance management show that challenges exist on production of timeous, adequate and accurate performance information. Furthermore, the performance information, in

whichever form that may be, is scantily used, resulting in hardly any meaningful impact. The GWM&E Framework states on types of to-be-produced performance information and responsible coordinating institutions (DPME 2007:8), thereby showing commitment towards ensuring institutionalisation and strengthening the performance management systems of the country. The provincial and local governments collect and generate output and outcome performance information, while the national government works on the outcome and impact on performance information. Provision of responsibilities for collecting M&E information aims to clarify commitment on M&E, also enable various levels and spheres of government to focus while developing their plans. The institutionalisation of M&E as described by the GWM&E Framework is described in the quote below:

*“The GWM&E Framework seeks to embed a management system within public sector organisations which articulates with other internal management systems (such as planning, budgeting and reporting systems)” (DPME 2007:4).*

Section 41 of the Local Government: Municipal Systems Act 32 of 2000 describes the PMS components comprising of outcome and impact indicators aligned to objectives, measurable performance targets aligned to objectives and measuring performance. Furthermore, the Act adds other components, which are taking steps to improve performance (or using performance information) and regular reporting, both of which are important milestones in institutionalisation of M&E. The Act describes the structure of the municipality’s annual reports, which encourages learning from past planning-period performance. The regulations empower the Minister in charge of local government to make regulations that facilitate enforcement and operationalisation of the PMS, for example, through offering incentives. The above presentation of this Act corresponds to the institutionalisation of the M&E ideal model presented in Figure 1.1.

#### **4.7 Institutional arrangements for M&E**

Malan 2014 in Thornhill, Van Dijk and Ile (2014:67–68) argues that one sphere of government monitors another by requesting information on key performance indicators, where inquiries range from less intrusive (monitoring and support) to more

intrusive interventions made within constitutionally prescribed limits. The Constitution provides for the supervisory role of the provincial government over the municipal councils. The GWM&E Framework, on the other hand, describes arrangements for managing M&E in public institutions, suggesting either centralised, specialised M&E units or decentralisation of M&E functions across departments of a particular institution (Ile 2014 in Thornhill, Van Dijk & Ile 2014:187; DPME 2007:12). Table 4.2 below present various actors and roles played in M&E.

The government of South Africa sets an environment for conducting evaluation studies through mandating some government institutions to oversee, contribute, conduct evaluation, or implement evaluation results. Establishment of the Ministry for Performance Monitoring and Evaluation in 2009 and later the Department for Performance Monitoring and Evaluation (DPME) in 2010 laid the foundation for institutionalisation of M&E in the country (DPME 2015:1). DPME plays a key role in providing a secretariat for each evaluation, partially funding the evaluation, or seeking external funding in order to encourage evaluations (DPME 2014c:3). The Departments are custodians of evaluation, implement findings, and partially fund evaluations, while the Treasury participates in all evaluation steering committees, commenting on the evaluation of the Terms of Reference (ToR) and final reports.

The linkage between Departments and the Treasury is of paramount importance as it aims at providing support in the implementation and monitoring of evaluation results through department plans and budgets. The relationship comes from the mandate of the Treasury on monitoring performance of government institutions and holders of government coffers vested to it through the Public Finance Management Act of 1999. The Treasury began to guide on responsibilities and approaches for monitoring, starting with a system of strategic plans (SPs) and annual performance plans (APPs), with a quarterly performance monitoring system developed for provinces and later for the national departments (Phillips et al 2014:393). The Cabinet, too, plays an important role in evaluation through approval of NEPs, monitoring start-up, implementation and deciding on closure of evaluation studies.

**Table 4.2: South African public service M&E institutional arrangements**

S/n	Name of the institution	Roles on M&E
1	The Presidency/ DPME The Cabinet	Champion M&E in the government; develop M&E framework; coordinate, monitor, evaluate and communicate on government performance. The Cabinet approves the National Evaluation Plans (NEPs)
2	DPSA/PSC	Co-chair the Governance and Administration Cluster and the GWM&E Working Group; develop systems and frameworks to facilitate operationalisation of M&E; monitor and evaluate public service performance
3	Provincial and Local governments	Collect and collate M&E information; develop and operationalise M&E system; report on and use performance information; develop policies and systems of M&E that are aligned with national priorities
4	Government departments/public institutions	Develop M&E systems; collect, process M&E information; report on performance to internal and external stakeholders
5	DPLG	Develop policies and legislation regarding M&E for the provinces and local government; monitor and evaluate LG performance; provide technical assistance to LG on M&E
6	Treasury	Lead institution on management of performance information; develop derivative M&E information; ensure alignment of plans, budgets, management, accountability; implementation with information on inputs, outputs, outcomes and impact
7	Statistics South Africa	Collect statistics through surveys, census; validate, authenticate and qualify statistics collected by other government and non-government institutions
8	Auditor-General	Monitor public institutions' expenditure against objectives or plans

**Source:** Adapted from Constitution 1996; DPME 2007:17–19; DPME (2014c:1–5); DPME (2014b:3–5).

There are stakeholders contributing to operationalisation of M&E from within and outside the public service. However, the GWM&E Framework does not acknowledge non-state actors as key stakeholders. The non-state actors monitor and produce

M&E information, which may influence policy processes. The citizenry, on the other hand, carry a role in the collection and use of performance information, which are key elements for an effective M&E system.

#### **4.8 Taking stock of the South African M&E systems: status and challenges**

*“Departments are responsible to incorporate evaluation into their management functions as a way to continuously improve their performance” (DPME 2011:viii).*

Goldman, Mathe, Jacob, Hercules, Amisi and Buthelezi (2015:2) describe an analytical framework for looking at institutionalisation of M&E systems in South Africa. The push-and-pull factors mentioned by Goldman include identification of a strong “champion” with willingness to acquire support for utilisation of M&E information; substantive government demand for M&E information; incentives (including the ability to use hard and soft authority effectively to enforce change); and having in place a dynamic and interactive performance management and M&E system. Chapter three describes emphasis on these areas. Literature mention varied levels of absorption of the above-mentioned variables, which in this case are referred as the “push” and “pull” factors towards institutionalisation of M&E. Mtshali (2014:5) argues that institutionalisation of M&E is mostly limited to structural and organisational arrangements and not soft issues such as governance, values, organisational culture, human resources, skills, training, and professional support. Chapters one and three described in detail the assertions made by Mtshali on key building blocks for M&E systems and assessing its institutionalisation in the public service.

Before setting out on a robust M&E system across the government, tracking of outcomes and impacts was seldom done (Dube 2013:22). The South African government in 2009 set twelve (12) priority outcomes to be translated into inter-departmental and inter-governmental service delivery agreements. This is a commendable step taken by the government in ensuring linkages between government plans and service delivery. Evidence and trends confirm that there is a focus on the national priorities (DPME 2013:2). The measures introduced to shift accountability towards outcomes help in moving government from an inward, largely

regulatory and compliance perspective to one that seeks to deliver services that really matter to citizens (PSC 2012b:55). There is evidence that departments have adopted an approach of focusing on measurable results and impacts of the predetermined targets (DPME 2013:3). The Fact Sheet on the State of the Public Service report of 2011 submits that there is compliance of the public service departments with performance management systems across departmental programmes, thereby assisting in the undertaking of performance-monitoring initiatives.

Over time, South Africa has succeeded in building and strengthening its M&E system across spheres of government. Prior to the establishment of comprehensive M&E systems in 2007, M&E was done through sub-units or units of government, operating mainly to facilitate reporting of outputs (Dube 2013:21). Institutionalisation through structural arrangements resulted in the establishment of the Department of Planning, Monitoring and Evaluation (DPME) in 2009 under the Presidency. In the State of Nation Address (SONA) of 21 May 2004, former President Thabo Mbeki committed to strengthening and rolling out of M&E across government, with plans to include an electronic information management system to support M&E. The national champions for M&E are in the Presidency, by structure, coordination and monitoring of the systems. The Presidency creates linkages of policies, offers technical support to public service institutions, conducts evaluation studies, builds capacity, and provides partial financial support to undertake M&E interventions.

#### **4.8.1 Overview of the Provincial and Local Government M&E systems**

This part sheds light on M&E systems in the Provinces and local government. An assessment of nine (9) Premiers' Offices presents the Western Cape as the best performer, followed by Gauteng Province and Northern Cape, while the remaining provinces performed adequately against several of the standards (PSC 2012a:45). According to the PSC report on M&E status in the Premiers' Offices (PSC 2012a:27–33):

- The Offices achieved a low average of 54 percent for the achievement of priority outputs, which signals ineffectiveness of their utilisation of these systems;

- There is no direct linkage of management reports generated from institution plans with taking appropriate management action; and
- There are deviations from targets during implementation, to mention but a few findings.

**Figure 4.3: PSC M&E report on Offices of the Premier**

*All Offices had operational performance management systems in place. These include the general national transversal systems like BAS, PERSAL and LOGIS. Throughout the year, the Offices produced monthly and quarterly reports on financial and non-financial performance. Conventional Public Service performance management systems are also in place such as the annual performance plan, the annual report and the AG's report that demonstrate how the Offices are doing against their planned outputs.*

*A good example is the Limpopo Office, which uses a Performance Management and Development System (PMDS) to monitor progress against work plans of individual employees. Strategic Units (SBU) report quarterly on progress made per strategic objective as well as challenges and deviations from targets in that province. The Office also established an overarching monitoring and evaluating (M&E) system, which involves the collecting, analysing and reporting on the performance data of the Office per programme. The main purpose of this system is to provide information that will assist programme managers to refine their planning and implementation processes. Yet, despite all these systems, the Limpopo Office's average performance against this principle was poor (30 percent), and has achieved only 54 percent of its outputs.*

**Source:** PSC (2012a:27–28).

In the North West province, the Provincial Executive Council members signed performance agreements that are based on the Outcomes-based Performance Management Approach (PSC 2012a:34). Politicians and senior management supports M&E and as a result, almost all departments have introduced the M&E function. Mngomezulu and Reddy (2013:98) report on KwaZulu-Natal province M&E status, where departments merged to form a Provincial M&E Forum that provides a platform for networking and sharing of M&E information. Each Department of the province developed its M&E Framework based on the Provincial M&E Framework, thereby aligning them with national plans and the Integrated Development Plans

(IDPs) of municipalities in their respective provinces. The existence of an operational performance management or M&E system as presented in Figure 4.3 above does not in practice guarantee their use, except to the extent that management reports drawn from these systems are used to monitor performance and take appropriate management action.

#### **4.8.2 South African M&E systems challenges**

##### ***Inadequate demand for M&E***

One of the key prerequisites enabling monitoring and evaluation to progress and become institutionalised at national and institutional level is the demand for M&E information (Basheka & Byamugisha 2015:77). DPME has an agenda to ensure that demand for M&E is increased, and has therefore undertaken a wide range of surveys and diagnostics to establish existing understanding of M&E and its use by the M&E practitioners in all spheres and levels of government. A survey undertaken by DPME in year 2013 found that 56 percent of departments do not treat problems as opportunities to learn, meaning that evaluation was introduced in an environment that is not conducive to learning (DPME 2014c:2). Because of a lack of understanding of the value of M&E among senior political and administrative leadership, the system lacks champions and a connection with planning, budgeting and reporting processes (DPME 2014b:5).

There is generally an absence of a strong M&E culture in government. About 54 percent of 96 departments see M&E as policing and controlling rather than as a system bringing continuous improvement (DPME 2014b:5). It has been established that M&E at the beginning of various programmes is not well designed, and monitoring data are therefore not well collected and analysed, which in turn poses a challenge in conducting evaluation studies, as the two are interrelated. On the other hand, the GWM&E Framework places more emphasis on monitoring than evaluation (DMPE 2007:10), and a failure to balance undermines the effectiveness of the latter.

The government of South Africa has tried to create demand for monitoring and evaluation on both the supplier and the demand side. DPME creates demand for evaluation through training of senior managers, such as Director-Generals and Deputy Director-Generals, on evidence-based policy making and implementation



(DMPE 2014c:8). Apart from creating a demand for M&E, the training aims at removing the perception that monitoring is a policing activity by some government institutions, thereby encouraging appreciation for M&E, and creating a culture of managers monitoring and evaluating their own work.

***Inadequate and intermittent use of performance information***

Gorgens & Kusek (2009:4) argue that the purpose of M&E is to generate results-based information and deliver the same to appropriate users in a timeous fashion. For effective institutionalisation of M&E, there is a need for adequate demand and use of performance information. It has been presented in previous chapters that challenges exist with regard to the production of timeous, adequate, and accurate performance information. Many plans of the South African government institutions are not yet sufficiently rigorous in terms of measuring baseline data and articulating how plans will achieve intended objectives (DPME 2013:4). The failure to develop concrete plans with a sense of direction, coupled with the absence of baseline data, jeopardises the M&E function of government institutions. On the other hand, findings show that 25 out of 35 national departments' performance information did not comply with regulatory requirements, and was neither useful nor reliable (PSC 2011:36). Furthermore, the Public Service Commission has reservations on whether the performance information produced is sufficiently user friendly to enable a reader to make a judgement on performance (PSC 2011:42). Weaknesses in production, storage or dissemination of timeous and accurate performance information partly lie with record management, which is somewhat inadequate (PSC 2010:60).

Phillips et al (2014:402) describe the current situation to be M&E, not seen as a key part of the strategic function. They reveal that in 2012, only 35 out of 156 national and provincial departments were using monitoring reports to inform improvements. About 81 percent of departments were not conducting any performance evaluation of their major programmes; therefore, one can conclusively argue that it is applied sporadically, and does not adequately inform planning, policy making and budgeting (DPME 2014b:5). The Departments hesitate and are reluctant to publish M&E information, particularly that related to evaluation (DPME 2014c:18). Another challenge related to use of M&E information by the departments is the fact that they

implement, monitor and report on activities other than results, which makes it difficult to translate M&E information into concrete policy and programme actions.

### ***Perception on the policing role of M&E***

According to Gorgens and Kusek (2009:7), miscommunication on the purpose of M&E creates misconceptions and suspicion about the purpose of M&E, and is translated into having a “policing” function. It is widely accepted that institutions play an important role in ensuring management systems are operating effectively and are used to deliver services and improve performance. On the side of M&E, there are expected levels of effort and initiatives expected of the managers at all levels across public service institutions. The role ranges from developing concrete plans for the institutions, to setting up the M&E framework, collecting data for monitoring purposes, and reporting based on the M&E framework. All of these stages have particular pressure points important for ensuring that there is reasonable institutionalisation of M&E across the organisation, and a performance management culture. In practice, the dominant culture in South Africa is said to be one of compliance rather than one based on learning and improvement. More than half of respondents (54 percent) identified the fact that problems revealed by M&E interventions are not treated as opportunities for learning and improvement is seen as a significant barrier (DPME 2014b:5). The PSC recommends a political will requirement in order to bring about coordination and cascading of the M&E system in government spheres and levels (PSC 2010:50).

### ***Inadequate M&E professionals across the Government***

It is widely accepted that there is a great demand for skilled professionals and capacity building on M&E (Gorgens & Kusek 2009:6). Mtshali describe three steps in building an M&E system to be design, building process and capacity building (Mtshali 2014:29). Capacity building in terms of human resources range from placing of adequate number of staff to imparting skills on planning, M&E and data analysis. The diagnosis in the National Development Plan (NDP) points to South African local government systems that have inherent weaknesses in capacity and performance including shortage of skills (DPME 2013:6). There are institutions at the local government level whose structure does not provide for someone with data quality

assurance skills which jeopardise data validation and verification processes (Dube 2013:46). On the other hand, it is reported that already slim skills and constrained public service M&E practitioners and managers suffer from reporting fatigue because of requirements to produce similar information and additional reporting burdens on (Phillips et al 2014:393).

#### ***Limited resources for undertaking M&E functions***

Literature suggests that a key challenge on institutionalisation of M&E and its operationalisation is availability of resources to undertake particularly evaluation interventions. The GWM&E Framework notes that resources for undertaking M&E interventions are "extremely" limited across the South African public service (DPME 2007:20). This statement, however, does not promote the spirit of prioritising and channelling financial resources towards M&E.

#### ***Relationship between spheres of government in respect of M&E***

The government boasts of improved coordination between government departments and among three spheres, particularly government spheres that implement/undertake concurrent functions such as basic education (DPME 2013:3). According to Gorgens and Kusek (2009:6), decentralisation of government structures and programmes requires decentralisation of M&E systems where sub-national and national systems are developed simultaneously. In South Africa, the assertions made by Gorgens and Kusek (2009) are not a reality because uneven levels of institutionalisation of M&E exist across government spheres, with the national government leading the other two spheres. Furthermore, according to Ile 2014 in Thornhill et al (2014:182), effective M&E of developmental policies requires governments to consider the seamlessness of various M&E activities at various levels and promote their interface in order to obtain the full value of their processes. As of now, the authors argue that there is a fragmented and disjointed silo approach, where departments have a narrow take on activities they monitor and evaluate.

The operating environment from which an M&E system operates largely influences effective institutionalisation of M&E, one feature of which is the nature of intergovernmental relations. Section 151(4) of the Constitution states that neither the

national nor a provincial government may compromise or impede a municipality ability or right to exercise its powers or perform its functions. Van Donk, Swilling, Pieterse and Parnell (2008:4–5) mention problematic relationships between District Municipalities (DM) and Local Municipalities (LM) on the one hand, and Provinces and Municipalities on the other. This type of relationship is caused by competition between DMs and LMs and the division of functions at municipal level by the two spheres in the case of Provinces and Municipalities. They further highlight that Provinces are not motivated, either by “carrots” or “sticks”, to participate in municipal Integrated Development Planning (IDPs). This situation reduces objectivity and affects alignment of plans between spheres and prioritisation. On the other hand, the M&E system is compromised, as it is difficult to oversee and ensure that M&E information is used for planning and accountability.

#### **4.9 Conclusion**

This chapter highlighted the continental and regional experiences on institutionalisation of M&E systems; the shared experiences and analysis based on the six elements of M&E; and also the environment described to facilitate the system, as presented in chapter three. In East Africa, Kenya and Rwanda have shown commitment in instituting M&E systems, particularly by establishing regulatory frameworks and identifying institutions for managing M&E. The chapter identified challenges facing the two countries, which are similar to those facing South Africa. The foundation for establishing and building M&E systems in the Republic of South Africa lies with the 1996 Constitution. South Africa has advanced in terms of establishing specific M&E systems frameworks. The Government-Wide M&E Systems and Framework provides for establishment of three frameworks that support M&E institutionalisation in the entire public service: the Framework for Managing Programme Performance Information developed by the National Treasury; the Quality Assurance Framework of 2010 of South African Statistics; and the National Evaluation Policy Framework. There are other national and local government regulatory frameworks, which acknowledge and support establishment and strengthening of the M&E systems. At the local government level, the Local: Municipal Services Act 32 of 2000 provides for the establishment of performance management and M&E systems at the local government level.

Literature reviewed and presented in this chapter shows progress towards institutionalisation of M&E across all spheres and levels. The South African government has established a fully-fledged department for coordinating and institutionalising M&E interventions in the public service. The Department of Planning, Monitoring and Evaluation (DPME) coordinates M&E interventions in the country. There are additional institutions, which are key players in institutionalisation of M&E such as the Treasury, DPSA, and PSC, to mention but a few. The chapter presented M&E practices in the South African public service, where efforts exist for integrating M&E with planning, budgeting and reporting. The government decided to undertake an outcomes approach in implementation, particularly at national and provincial levels. Chapter four also carried existing challenges that act as barriers in efforts to institutionalise M&E in South Africa. The challenges mentioned in the chapter are those related to inadequate demand for and use of M&E information; inadequate performance information produced by the public service institutions; human resource capacity gaps; and inadequate funding for undertaking M&E activities.

## **CHAPTER FIVE: GENESIS AND GROWTH OF TANZANIA'S M&E SYSTEM**

### **5.1 Introduction**

This study carries four objectives, where one aims at establishing the factors contributing towards the institutionalisation of M&E systems in Tanzania's local government. Presentation of the elements of institutionalisation of M&E lays a foundation for analysing Tanzania's' local government M&E systems. Chapter three described the M&E elements referred to above as: defining measurement object; formulation of performance indicators, data collection, data analysis, reporting, and use of performance information. The elements were categorised into groups presented in Table 3.3 where analysis of the local government M&E system stems from information contained in the local government planning, implementation and reporting documents. Table 1.2 presented the sources of qualitative data used in the study and described hereunder.

Chapter five starts by presenting the data collected in the five LGAs selected for this study. The chapter presents the local government's roles and functions (both political and executive) in order to understand the LGA M&E practice and dynamics in chapter six. Chapter five spurs the analysis of data collected from LGAs, through presentation of the "triggers" for M&E systems in Tanzania's local government. The chapter also presents Tanzania's public service frameworks set to guide and determine systems and institutional arrangements for monitoring and evaluation. The recently established M&E framework forms part of the general PMSs introduced in the government through the public service reform programmes. The chapter focus on the data on the mechanisms set for stimulating the institutionalisation of M&E. The chapter connects with chapter four, which presented the national level M&E regulatory frameworks and established the spill-over effect of the same to the local government. The analysis centres on not only the regulatory frameworks developed at national level and enforced by the local government, but also those specifically designed for the local government. Furthermore, the chapter mentions the strategies, projects and systems related to or supporting M&E of the local government.

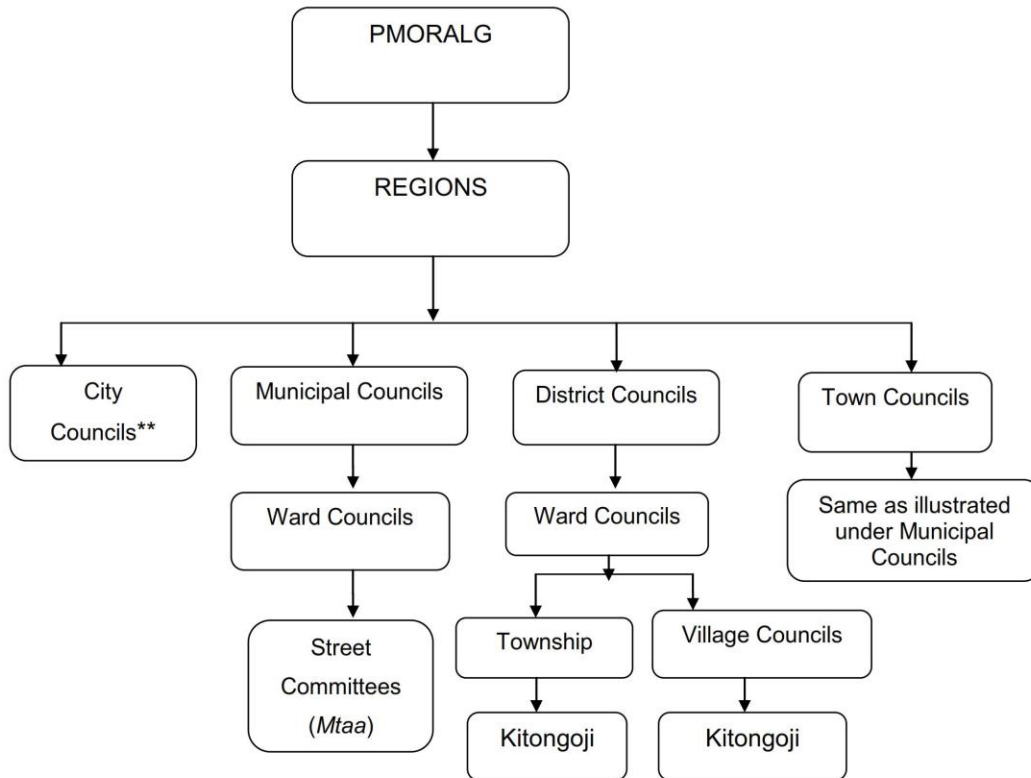
## **5.2 The local government structure**

The President's Office-Regional Administration and Local Government, or PORALG supervises the local government (commonly known as the parent ministry for the local government). Prior to this ministry being under the President's Office, the local government was operating under the Prime Minister's Office. The PORALG is carry mandate to monitor local government performance, also ensure the requisite lateral and vertical accountability in both the administrative and the political set-up. The institutional framework for LGAs consists of an executive (council management team) and oversight structures (the committees and full council).

### **5.2.1 Tanzania's public service set-up**

The United Republic of Tanzania (URT) is formed by a union that came into effect in 1964 of two formerly independent countries, namely Tanganyika and Zanzibar. According to the URT Constitution of 1977 (changed in 1998 to allow multipartism), the president of the union leads the state (both sides of the country – Tanzania mainland and Zanzibar), while Zanzibar has its own president. There are functions of government, which are union matters such as foreign affairs or defence. The union government coordinates the above-mentioned functions. Both Tanzania mainland (formerly known as Tanganyika) and Zanzibar have administrative functions and structures coordinated independently by both sides of the country (URT 1977, POPC 1998:15). Within the state, Tanzania's government has the usual three independent arms, that is, Parliament, the judiciary, and the executive. The government operates at central and local government levels. The central government of mainland Tanzania is composed of 26 ministries, one of which is a ministry coordinating functions of the local government known as the Local Government and Regional Administration. There are 26 administrative regions on the Tanzania mainland, 139 districts under various regions and 187 LGAs (NAO 2017:4–5). Figure 5.1 below presents the Tanzania mainland local government hierarchical set-up.

**Figure 5.1: Tanzania's local government hierarchical structure**



\*\* Dar es Salaam is the only city council that has all municipal councils of the region reporting to it, unlike other types of LG that stand alone.

**Source:** Author 2017 (developed using information from PMORALG website<sup>5</sup>)

### 5.2.2 Local government executive functions

The executive functions through various departments or units differ across various types of local government authorities. The generic departments and units of the local government were presented in chapter one. The key difference between the structure of the district (or rural-based) and urban councils (CCs, MCs and TCs) is mostly based on an addition of urban planning and management departments in the last-named. The executive manages the day-to-day operations of the LGA, and is

<sup>5</sup> [www.pmoralg.go.tz](http://www.pmoralg.go.tz) accessed on 15 June 2015 accessed 1543h.



subdivided into sections and units, which perform specific technical functions in management and service delivery. Through these structures, LGAs implement functions performed in a multi-sectoral setting, dealing with operations outlined above. Table 5.1 below present type of departments/units in the five (5) LGAs covered by this study. All five (5) LGAs under this study have departments responsible for planning, monitoring and statistics information. In Karatu DC, the planning department undertakes trade activities. The planning, monitoring and statistics departments deal with development of local government plans (MTPS, Action Plans), budgets and periodic reports (Msuya 2010:3). Furthermore, they are in charge of M&E activities. It is correct to say that these departments are the foundation and directly linked to the local government M&E systems. The government is showing commitment to M&E by putting in place appropriate structures for effective operationalisation of the systems.

**Table 5.1: Types of departments/units in the LGAs**

S/n	Name of LGA	Names of departments/units
1	DCC	Planning, monitoring and statistics; Protocol and public relations; Internal audit; Legal and security; Finance, administration and HR; Works and fire rescue; Waste management; Urban planning, environment and transportation; Health services
2	IMC	Legal; Internal audit; Information technology and public relations; Supplies; Election; Administration and Personnel; Planning, monitoring and statistics; Bee keeping; Health; Finance and trade; Primary education; Secondary education; Water; Agriculture, irrigation and cooperatives; Livestock, fisheries development; Land and town planning; Community development and social welfare; Works; Environment and cleaning
3	NTC	Same as those mentioned under IMC above except for omission of Land and town planning which is herewith stated as Land and natural resources and addition of Works and fire rescue
4	KDC1	Administration and HR; Planning, statistics and monitoring; Procurement management unit; Internal audit; Legal; Education; Health; Finance; Community development; Works; Agriculture, livestock development and cooperatives; Town planning and environment; and Water <sup>6</sup>
5	KDC2	Administration and HR; Planning, statistics and monitoring; Procurement; Internal audit; Legal; Election; Beekeeping; Information, communication technology and public relations Primary education; Secondary education; Land and natural resources; Health; Finance and Trade; Community development and social welfare; Works; Agriculture, irrigation and cooperatives; Livestock and fishing; Cleaning and environment; and Water

**Source:** DCC 2012:59; IMC 2012:viii, 2; NTC 2012:105; KDC1 nd:3; KDC2 2012:31–40.

### 5.2.3 Local government political functioning

The political side of the local government is composed of elected councillors, special seats councillors, elected and appointed members of parliament from the area of

<sup>6</sup> <http://www.karatudc.go.tz/organization-structure> accessed on 26th April 2017 at 1512h.

jurisdiction and the LGA accounting officer as a secretary to the full council. The local government function through a committee system where the local government political committees and the Full Council oversee operations. The local government committees oversee administrative, financial, service functions and performance. The Local Government (District Authorities) Act of 1982 and the Local Government (Urban Authorities) Act of 1982 state types and functions of the local government committees. While the committees established and stated in the respective Acts are mandatory, the additional committees can be established for improving performance and efficient management of the local government. Section 74 of the Local Government (District Authorities) Act of 1982 state the following types of district councils' political committees:

- a) Standing Committee for DCs finance and planning;
- b) Standing Committee for DCs administration and establishment;
- c) Standing Committee for DCs social services;
- d) Standing Committee for DCs educational affairs; and
- e) Standing Committee for DCs economic services (URT 1982a:37; LGTI 2016:76).

The Local Government (Urban Authorities Act) of 1982 establishes mandatory committees for three types of local government: town councils, municipal councils, and city councils. The statutory committees are standing committees on: finance and administration; urban planning; public health; education and culture; works; and trade and economic affairs (URT 1982b:28; LGTI 2016:76). The data collected show that existing committees in the five (5) councils are not exactly the same as those presented in the statutes, as presented in Table 5.2 below. However, looking at how they are composed, the committees cover all key areas stated in the relevant statutes. Just as in the executive arm of local government, there are committees on key elements related to institutionalisation of M&E. The committees are planning and coordination (DCC); Planning and statistics (IMC); Finance and administration (NTC); and Finance, administration and planning (KDC1 and KDC2). The chapter six present functionality, effectiveness and linkages of the Committees.

**Table 5.2: Types of existing political committees in the 5 LGAs**

S/n	Name of the LGA	Committees as per statutory requirements	Existing committees
1	DCC	Finance and administration; Urban planning; Public health; Education and culture; Works; and Trade and economic affairs	Finance and administration; Planning and coordination; Urban planning, environment and infrastructure; Social services; Ethics; HIV/AIDS control <sup>7</sup>
2	IMC		Finance and Administration; Social Services; Infrastructure; HIV/AIDS <sup>8</sup>
3	NTC		Finance and administration; Health, Education and economy; Town planning, natural resources and environment; HIV/AIDS control <sup>9</sup>
4	KDC1	Finance and planning; Administration and establishment; Social services; Educational affairs; economic services	Finance, administration and planning; Education, health and water; Economic affairs, environment and social services; HIV/AIDS control; Ethics <sup>10</sup>
5	KDC2		Finance and administration and planning; Education, health and water; Economic affairs, works and environment; HIV/AIDS control; Ethics

**Source:** URT 1982a:40; URT 1982b:32; LGTI 2016:76; KDC2 2012; DCC 2012:59; KDC1 nd:3.

The established statutory committees appointed under these Acts record and report their findings to their appointing authority, namely the full council (URT 1982a:40; 1982b:32). The committees for the local government meet frequently to receive and review plans, implementation progress, and performance reports. They demand accountability in respect of performance through reviews done on a quarterly and annual basis. The committees review technical details of financial resources and

<sup>7</sup> <http://www.dcc.go.tz/organization-structure> accessed on 26th April 2017 at 1508h.

<sup>8</sup> <http://www.ilalamc.go.tz> accessed on 26th April 2017 at 1552h.

<sup>9</sup> <http://www.njombetc.go.tz/organization-structure> accessed on 26th April 2017 at 1536h.

<sup>10</sup> <http://www.karatudc.go.tz/organization-structure> accessed on 26th April 2017 at 1512h.

service delivery before submitting them to the appointing authority, for example, at full council meetings. The presence of committees can be linked to M&E in the sense that they can control results against planned achievements, monitor use of resources, and facilitate development of plans based on the produced M&E information. One can conclusively argue that political committees, if effective, can enforce local government performance measurement and reporting culture.

### **5.3 The public service reforms**

This section presents a brief overview of the Public Service Reforms (PSRs) from the global and regional to the Tanzanian context. The Tanzanian PSRs presented in this section are particularly those implemented at the central and local government levels that are relevant to this study. These reforms necessitated the need for using performance management and its systems at different levels of the Tanzanian government. The section presents the history of Tanzania's public service, particularly the local government, from independence in 1961 to the reform era (2000 and beyond), connecting changes and dynamics to service delivery.

#### **5.3.1 From independence to pre-reform era (1961–1980s)**

Tanzanian local government history dates back to the end of World War I. The British colonialists enacted the Native Authority Ordinance of 1926, with the sole purpose of serving economic and control purposes. It provided for the establishment of local governments. The colonialists used the position of traditional chief as an extended arm of the government in their areas of jurisdiction. The period immediately after independence recorded various socio-political and economic changes geared towards establishing a strong sovereign state for the development of its people. It was during this period that the union of Tanganyika and Zanzibar was formed under leadership of the first president, Julius Kambarage Nyerere. Tanzania followed socialist and self-reliance ideologies from late 1967. The country became a one-party state with centralised economic policies, which was later revised in 1998 to accommodate multiparty politics (URT 1977).

The history of local governments after independence followed the socio-political and economic events mentioned above. The desire to encourage development and empower people led to the support of decentralisation. The purpose of removing the

position of the traditional chiefs in 1963 was, nevertheless, power centralisation, typical in one-party state regime. There were changes in the ministry responsible for overseeing local government in the late 1960s from the Ministry of Regional Administration to the Ministry of Rural Development. All of the above-mentioned changes aimed at bringing about rural development and national unity, justified by the fragile nature of most African states at that time (Pastory 2010:49).

In 1972, the government took a drastic decision to abolish local government because of what it referred to as poor service delivery and mismanagement. They replaced it with decentralisation by deconcentration (Mollel 2010:36). During this period, democratic elections were suspended and power became more centralised. Even with this restructuring, service delivery did not improve, and dissatisfaction continued (Pastory 2010:51; Mollel 2010:36). The government tried to address service delivery inefficiencies mostly through changes in structures and personnel rather than addressing the root causes. The changes in the local government structures could not address key performance issues of the local government.

Ten years after the abolition of local governments, service delivery continued to deteriorate. The government re-established local governments in 1982 through four pieces of legislation, which are the Local Government (District Authorities) Act 7 of 1982; the Local Government (Urban Authorities) Act 8 of 1982; the Local Government Finance Act 9 of 1982; and the Local Government Services Act 10 of 1982. The listed pieces of legislation afforded the local governments some form of autonomy in decision-making and policy implementation when compared to its previous establishment initiatives. However, service delivery efficiency, effectiveness and responsiveness to local needs or expectations could not be realised for the same reasons mentioned in previous sections (Mollel 2010:37; PMORALG 1996:5).

Currently, the establishment of local government is enshrined in Articles 145 and 146 of the Constitution of the United Republic of Tanzania. The articles stipulate the purpose of local governments, which is to enhance democracy and facilitate development of people and communities in their areas of jurisdiction. The key function of the local governments is: maintaining law and order; promoting good governance; promoting economic and social welfare of people within their areas of

jurisdiction; and ensuring effective and equitable delivery of qualitative and quantitative services to people within their areas of jurisdiction (URT 1977:130).

### **5.3.2 Tanzania's public service reforms: external and internal influences**

The commitment to public service reforms in the western governments started in the 1980s, and took different forms such as marketisation, privatisation, managerialism, decentralisation and agencification, with countries differing on the level of adoption on each of the types mentioned (Butcher in Butcher & Massey 2003:1). The demand for public service reforms came as a result of increasing fiscal pressures (control of public expenditure and reduction of budget deficits); pressure to deliver quality services to customers; and a growing awareness of the potential of information technology in helping to improve efficiency and effectiveness of public service operations. Another cause for reforms demand is the over-expansion of the scale of government and its intervention in all spheres of society (Rugumyamheto 2004:438).

Other key influences on the wave of reforms in developed and developing countries were the adoption of the New Public Management doctrine and the influence of multinational institutions such as OECD and Bretton Wood institutions on their member and non-member countries. The international institutions were keen to ensure that the public services were reformed and went as far as defining parameters or elements necessary for the ideal performance of public service (*Dos and Don'ts*). Omoyefa (2008:16) notes that the World Bank, UNDP, OECD, and some developed nations suggested and imposed the idea of PSR on the African countries for their interests. Fatile, Olufemi and Adejuwon (2010:148) argue that most reformers do not invent completely new ideas but buy or borrow management ideas and techniques from elsewhere. The Economic Commission for Africa observes that reforms in Africa were partly influenced by international institutions and developed countries, and came as aid conditionality (ECA 2003:v). Notwithstanding the external influences mentioned above, the fact remains that the 1970s and 1980s saw most African countries in economic, social and political crises.

Tanzania embarked on various social, political and economic reforms in response to the external global and regional influences and internal pressure demanding for a change. The economic reforms such as the Structural Adjustment Programmes

(SAPs) and Economic Recovery Programmes (ERPs) were implemented from mid-1980s in order to revamp its economy affected by the 1970s economic depression and the sharp falling of oil prices (POSH 2013a:9). Internally, the shift from centralised socialist economic and political principles to liberalised capitalistic ones changed the roles of government, and increased people's awareness of and demand for accountability, all putting on pressure together for change in service delivery. The government decided to embark on various public service reforms, implemented at central and local government levels. The reforms included efforts to build the capacity of public service institutions and those of human resources to enable response to emerging needs or challenges, as well as addressing service-delivery bottlenecks (Rugumyamheto 2004:437–438; POSH 2013a:9).

### **5.3.3 Public service reform programmes**

POSH (2013b:36) and Rugumyamheto (2004:438) report that public-sector reforms in Tanzania started in the 1960s, when various administrative reform measures were taken to build capacity for governing the country after gaining independence in 1961. The Civil Service Reform Programme (CSRP) was implemented between 1993 and 1998, focusing on: reducing scope and size of government, pay improvements and decentralisation. The implementation of CSRP recorded success in the reduction of the wage bill, achieved through retrenchment, removal of ghost workers from the payroll, changes to the structure of government institutions, and decentralisation (POSH 2013b:39; Rugumyamheto 2004:438). There was formation of various executive agencies, which branched off from the central government ministries. The establishment of the agencies aimed at increasing efficiency, development, and implementation of Business Process Re-engineering (BPR) projects for service delivery improvement. There were also improvements in pay, with civil service salaries increasing by 75 percent and the pay structure decreasing from 196 grades and 36 allowances to 45 grades and 7 allowances (POSH 2013b:39; Rugumyamheto 2004:438).

Despite the above-mentioned achievements, there were no substantial service delivery improvements across the government relative to the amount of resources injected into the Civil Service Reform Programme (POSH 2013b:40). Rugumyamheto (2004:438) remarks that there was little political support for the changes because of



the absence of clear short-term benefits and recognisable improvements brought about by the reforms. He further asserts that the reform process lacked ownership; that problem being exacerbated by insufficient information on the reforms; while the expenditure on public service activities was still unaffordable and not matched by revenues. The poor performance created more demand for public service delivery improvements. There was lack of responsiveness while accountability challenges persisted. These challenges and shortcomings led to the redesigning of reforms to introduction of the Public Service Reform Programme.

The onset of the “New Public Management” paradigm and performance management principles was promulgated through the Public Service Management and Employment Policy (PSMEP) developed in 1999 (POPSM 1999). The policy stated challenges facing the public service as poor service delivery and a decline in productivity. Most of the policy core values and emphasis based on the New Public Management (NPM) premises, such as quality services, responsiveness, accountability, results-orientated services, efficiency, effectiveness, and customer-focused service. Tanzania’s public service started to cultivate a culture of focusing on people it served as “customers” or “clients” (POPSM 2007:22–24) which is believed to have had an impact on responsiveness to their needs and expectations in service delivery.

The Public Service Reform Programme (PSRP) established in 2000 aimed at addressing service-delivery shortcomings through transforming the public service into an efficient, effective, and results-based institution. The shortcomings mentioned herewith are those service delivery bottlenecks not fully addressed by the CSRP. The PSRP further aimed at facilitating implementation of the Public Service Management and Employment Policy of 1999 (POPSM 1999). Its broad objectives were to improve service delivery, efficiency and effectiveness within the public service. PSRP mentioned strategies for service delivery improvement as development, installation and institutionalisation of the Performance Management System (PMS) and changing the public service culture to a results-orientated one (POSH 2013a:16). The PSRP had three phases, the first going by the theme of “*Instituting Performance Management Systems*”. This phase staged the design and installation of performance management systems, aimed at building an integrated system for

creating a shared vision and agreement about results expected from the public service institutions.

Effective operationalisation of performance management systems necessitated the review of regulatory frameworks such as the Public Service Act (2002) and its Regulations (2003). There was a review of the Public Service Management and Employment Policy and Public Service Act in 2008 in order to reinforce mandatory application of the employee appraisal system. The procedures and guidelines developed to operationalise PMS tools ensured quality and harmonisation of tools in MDAs. The procedures and guidelines developed were those related to the employee appraisal system (OPRAS); the Client Service Charters; Service Delivery Surveys; Self-Assessments; Medium Term Strategic Plans; Medium Term Expenditure Framework; and Monitoring and Evaluation (POSH 2013a:44). Ministries, Independent Departments and Executive Agencies (MDAs) were involved in institutional and employee capacity building on PMS tools. A database with a pool of experts on various PMS tools was developed in order to facilitate installation and operationalisation in the entire public service. Public service training institutions and universities were involved in these capacity-building measures.

PSRP recorded successes at output and outcome levels. At the outcome level, the government harmonised planning and budgeting systems, with improved average pay in public service and the management of public records in MDA (POSH 2013a:16). At the output level, Performance Management Systems were developed and installed, executive agencies launched; and a significant number of non-core services in MDAs were outsourced (POPSM 2010; POPSM 2012, POSH 2013a:16). However, reports on the assessment of utilisation of PMS and reforms indicate partial operationalisation of the performance management systems (POPSM 2010; POPSM 2012), as there is lack of enhancing institutional accountability (POSH 2013a:16–17). Studies report improvement on compliance with requirements related to strategic planning, M&E, client service charters and OPRAS (POPSM 2010; POPSM 2012). Service delivery improvements were recorded in the local government, from 58% to 78% in 2003 and 2006 respectively (Tidemand & Msami 2010:19).

The Local Government Reform Programme (LGRP) was initiated under the Civil Service Reform Programme and implemented between 1999 and 2014. This was a

decisive step aimed at improving service delivery and governance in local governments (Lufunyo 2013:11). The broad objective of LGRP was to build capacity of the local government through decentralisation by devolution (D-by-D). The aim of capacity building was to enable LGs to assume greater responsibilities in service delivery, socio-economic development and poverty reduction (POSH 2013a:20). The ministry responsible for local government (PMORALG) coordinated and monitored implementation of these reforms.

One of the achievements of the local government reforms is in the areas of development and installation of the performance management systems, human resource management information systems, and financial management systems (POSH 2013a:20–21). Local government reforms record achievement on increase in the use of information and communication technologies that ideally improve efficiency and effectiveness in service delivery. There is a clear indication of decentralisation of power through enactment or harmonisation of laws to support D-by-D. However, there has not been an assessment of the institutionalisation and utilisation of performance management systems and their effect on service delivery.

#### **5.3.4 Lessons from the public service reforms**

Public service reforms aimed at addressing key issues of service delivery due to a growing dissatisfaction with the quality of services delivered by the public service despite the successes mentioned above. The onset of the NPM paradigm in Tanzania through policy frameworks made PSRP and LGRP opt for instituting performance management systems at both central and local government levels. The implementation of PSRP and LGRP faced a challenge of inadequate capacity of Ministries, Independent Departments and Executive Agencies (MDAs) and the local government to install and operationalise some of the performance management systems, particularly in reforming ownership. A general feeling existed among stakeholders that reforms were a top-down affair, using a one-size-fits-all approach (POSH 2013a:36; Lufunyo 2013:21). There were also reform interventions, which did not receive the required attention, such as those intended to enhance accountability, ethical conduct, and responsiveness of the public service. Stakeholders perceived shying away from the reform interventions as a major problem afflicting performance of the public service that needed a straight tackle (POSH 2013a:17–18; Lufunyo

2013:20). These reforms were mostly donor financed with the government contributing less than expected, thereby affecting their sustainability such that PSRP collapsed immediately after donors' withdrawal.

An assessment of the extent to which public institutions are living the NPM paradigm culture as enshrined in the Public Service Management and Employment Policy (POPSM 1999) is an important research area. There has been a criticism of the wholesale adoption of the NPM in the public service, suggesting that there should be an assessment of its simulation of, compatibility with and impact on public services. Assessments of the public service reforms have not clearly indicated if interventions have any direct impact on service delivery in both quantitative and qualitative terms. The pertinent question calling for worldwide academic work attention is on whether public service reforms deserved implementation under a particular reform programme. Some of the reform interventions are normal incremental changes that ought to be implemented and happen together with public service growth and change in the business-operating environment.

#### **5.4 Accountability and the M&E mandate in Tanzania's public service**

There are various conceptualisations of the concept of government performance and accountability, for example, proactive behaviour such as the supply of information, justification of actions and/or inaction, and evaluation of performance by public officials. The Tanzanian government has set up laws, regulations, policies, plans and strategies that ensure the public officials perform their duties and are accountable to the public. These legal frameworks support government performance and accountability of its citizens through a number of ways. For instance, they require public offices to monitor constantly and report performance to the public. This section focuses on regulatory and other guiding frameworks that stipulate and guide public service performance and accountability

##### **The Constitution of the United Republic of Tanzania of 1977**

The Constitution of the United Republic of Tanzania of 1977 establishes the foundation of government performance and accountability to citizens through both deliverance of public services and accountability for public finances. In relation to the public service, the Constitution authorises the legislature to put forward to the

minister any question regarding public affairs, and to debate the performance of ministers during the annual budget session. The ministers respond to queries about their actions and services to citizens. These sessions are usually held in the open, thereby exposing the performance of the legislature to public enquiry. Article 143 of the Constitution provides for a Controller and Auditor General (CAG) of all the government's accounts. The CAG has the role of ensuring proper use of public finances by both the central and local governments. At least once a year, the Auditor General's accountability is overseen where he is required to give an audit report in respect of the accounts of the government; accounts managed by all courts, and so forth. To ensure performance, Article 143(6) permits the courts to exercise their jurisdiction to enquire into whether the CAG has discharged his function, which means that the acts of the Auditor General are not autonomous. Article 144(2) contains provision for the CAG's removal from office because of inability to perform his duties. This means that the CAG is accountable for all government's public finances, while the government monitors his performance from time to time. Indirectly, the CAG is accountable to citizens through Parliament, as stipulated in Article 143(4) of the URT Constitution. The current mission statement of the National Audit Office centres around providing efficient audit services in order to enhance accountability and value for money in collection and use of public resources (NAO 2017:viii).

### **Tanzania's Development Vision 2025**

The Tanzanian government has since independence been striving to push the country towards development. This has created the need for the introduction of the development measure, Vision 2025, which technically suggests prime areas that should be attained by 2025, including high quality of life, a well-educated society, and good governance. Vision 2025 acts as a general model to guide plans and strategies for development purposes in Tanzania. It places huge weight on government performance and accountability to its citizens in the implementation section of the Vision, which recognises that the implementation of the development vision should fundamentally embody monitoring, evaluation and review of the framework (POPC 1998:25). It emphasises the need to ensure that M&E is used to track down progress and develop specific performance standards to assist in monitoring the

implementation of the vision's goals in order for Tanzania to realise the vision. Generally, the government has laid a foundation for performance and accountability in the country's development through Vision 2025.

There are several governmental policies, plans and strategies to accomplish the Vision 2025, such as the National Strategy for Growth and Reduction of Poverty (NSGRP); the Long Term National Development Plan of 2011–2026; the first Five-Year National Development Plan of 2011–2016; the Big Results Now (BRN) initiative; and sectoral strategies and programmes, to mention just a few. The above-mentioned strategies and programmes carry provisions that portray how the government will implement its objectives with effectiveness, efficiency and accountability to citizens. The NSGRP is a vehicle for realising Vision 2025 and is implemented in a five-year span, in terms of which NSGRP I and NSGRP II were implemented between 2005–2010 and 2010–2015 respectively. The poverty reduction strategies recognise relevance of M&E in achieving its set goals (Shaffer 2012:29). The commitment is seen in URT (2006), cited in Shaffer (2012:38). As such, the strategies produce different progress reports such Poverty and Human Development Reports, annual status reports, and review of people's reports. M&E happens through participatory poverty assessments such as impact assessment, cost benefits analysis, and outcome evaluation. However, arguments exist that limited demand for, and use of, data compiled in the country plagues effectiveness of the M&E systems.

### **Public Finance Act of 2001**

The Public Finance Act of 2001, revised in 2004 and amended in 2010 govern the public finances. The Act monitors and ensures accountability of public service institutions through expenditure. The Act expounds on the duties of the CAG, a position established under the Constitution. The CAG is responsible for examining, inquiring, auditing and reporting on the accounts of ministries and other public service institutions. In his exercise of powers, the CAG ensures government accountability through reporting of audit reports to Parliament.<sup>11</sup> Section 33(1)(b) gives power to the CAG to make inquiries on performance to accounting officers, heads of departments,

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<sup>11</sup> Section 36 of the Public Finance Act, 2001.

and chief executives of public entities. By design, the above-mentioned mandate exists for enforcing diligence and triggering performance in the use of public finances.

### **Public Service Management and Employment Policy of 1999 (PSMEP) and the Public Service Act 8 of 2002**

The Public Service Management and Employment Policy of 1999 (PSMEP 1999) together with the Public Service Act 8 of 2002 are the instruments that enable performance management in the public service. The policy stipulates clearly the need for a performance and results-oriented management philosophy in the public service. The policy refers to the New Public Management paradigm and sets the public service principles to be upheld by all public institutions. The PSMEP lists the principles as: customer-orientated public service, transparency, accountability, orientation towards results, equity, efficiency, and effectiveness. The onset and emphasis given to the M&E systems in Tanzania's public service lies with the PSMEP, as evidenced through subsequent corresponding laws, regulations and guidelines. The policy further contributes to kick starting of the Public Service Reform Programmes and the Local Government Reform Programmes from 2000.

The reform programmes stated above (as presented in chapter one) introduced the performance management systems, which include those related to establishing M&E systems. On the other hand, the Public Service Act 8 of 2002, as amended in 2007, provides a legal framework for managing performance in public services. The Act introduced to all public service institutions a requirement to plan, monitor, evaluate and report on performance. To achieve this, the Act creates under Section 10 a Public Service Commission, which among other duties, facilitates, monitors and evaluates performance by officials in the service.<sup>12</sup> This evaluation of performance by the Commission extends to the executives in the service.

The Public Service Management and Employment Policy and the Public Service Act are important instruments in giving public service performance management and M&E a legal status. The legal status has accelerated the creation of performance-accountability culture in the public service. It is through the above-mentioned

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<sup>12</sup> Section 10(1)(g) of the Public Service Act.

instruments that the government established the Performance Management Systems (PMS) that work to establish effective and efficient systems for planning, implementation, monitoring, evaluation and reporting in the public service. From its design, PMS aims at improvement of performance, accountability, and responsiveness of public service institutions in the country (POPSM 2008:10).

Individual performance links to institutional performance. In this case, the employees' performance management system link directly to institutional plans, working by default to monitor and evaluate institutions' performance. The PMS entails the use of the Open Performance Review and Appraisal System (OPRAS) and Client Service Charters (CSC), which define exactly how performance for public service employees is managed, monitored and reported. OPRAS requires every public servant to sign an individual performance agreement with his/her supervisor. This agreement is the basis for staff performance appraisal and contains objectives, targets, and performance criteria required for implementing performance agreements. On the other hand, CSCs serve to inform clients and stakeholders about the types of services offered, service standards, and service delivery approaches. Ministries, independent departments, executive agencies, and regional secretariats installed the performance management systems (POPSM 2008:10–11).

### **The Medium Term Strategic Planning and Budgeting Manual of 2007**

Two major landmarks for institutionalisation of M&E took place from 2007 when key central ministries under the President's Office, Prime Minister's Office and the Ministry of Finance formed a task force to develop the Medium Term Strategic Planning and Budgeting Manual (MTSPBM). The manual aims at harmonising and creating efficiencies on planning, budgeting, M&E, and reporting processes in the entire public service. The manual provides guidance on content and context of public service institutions' strategic plans. The manual stipulates that M&E initiatives go beyond implementation monitoring practised in the past to assessments of efficiency and effectiveness (POPSM 2007:63). The manual further gives guidance on M&E and reporting of the public service institutions.

### **The Monitoring and Evaluation Framework of 2014**



The second landmark on concrete steps towards M&E in Tanzania took place with the development of the Monitoring and Evaluation Framework for Tanzania's Public Service in 2014 by the President's Office-Public Service Management ministry. According to the Framework (POPSM 2014:2), the purpose of the M&E Framework is, among others, to:

- a) Create an understanding of the M&E system and use it to improve management of performance indicators;
- b) Understand key players and their roles in building M&E systems;
- c) Guide on designing, building and sustaining of a robust national and sectoral M&E systems and;
- d) Identify gaps and measures to strengthen M&E systems at national, sector and institution levels.

The Framework acknowledges and sets ground for composing the National M&E System (NMES) as an overarching, integrated and encompassing framework to be used throughout the government. This is an important milestone for establishing a robust M&E in the government. On the other hand, the Framework states prerequisites for establishing a robust M&E system in the public service as: demand for M&E information; ownership; political will and influential champions; accountability; and performance culture, as well as in-country capacity to design, implement and use results-based M&E systems. However, the Framework seems to target and cover for the environment in the central government (Ministries, Independent Departments and Executive Agencies) more than the local government.

### **Public Investment Management Operational Manual of 2015**

The government of Tanzania has prepared the Public Investment Management Operational Manual to guide ministries, departments and agencies in selecting and implementing public investments in the manner that promotes economic and social well-being. This is with an aim of changing the way institutions operate and achieving value-for-money through increased efficiency and effectiveness in governmental investments. The manual ensures performance and accountability as it introduces approaches that the government should use in managing and monitoring of investment projects. One of them is the Results-Based Management (RBM)

approach (POPC 2015:65). RBM is a management strategy aimed at improving performance, efficiency, and accountability of governmental investments (POPC 2015:65). It achieves this by defining realistic results, monitoring, and evaluating progress towards the achievement of expected results. Through monitoring, performance progress is therefore tracked and feedback is given to stakeholders.

### **5.5 Performance management and accountability mechanisms in the LG**

In addition, government performance and accountability is portrayed through the Local Government Authorities legislation, for instance the Local Government (Urban Authorities) Act, Local Government (District Authorities) Act and Local Government (Miscellaneous amendments). LGAs are part of the government, established by the Constitution under Article 145. They have a responsibility for social development and public service provision within their areas of jurisdiction. The LGA legislation provides a general oversight of the local government officials in order to ensure government performance and accountability to the citizens. For instance, the chairman of the council can be removed from office if his performance is unsatisfactory. This is done by special resolution of the village council supported by two thirds of the members.<sup>13</sup> Furthermore, Sections 71(1) of the Local Government (Urban Authorities) Act and 129 of the Local Government (District Authorities) Act grant powers to ministers to enforce performance of all local authority authorities in the country.

Accountability in the LGAs has also gained momentum due to a number of factors, the foremost being the gradual growth of multipartism. Accountability is seen under Section 67 of the Local Government (District Authorities) Act, where the Section requires council meetings to be held in the open. The directive aims at informing the public on the council affairs. Furthermore, accountability is emphasised where the council is required to declare its interest in the contracts signed by them.<sup>14</sup> The autonomous standing of the LGA also supports accountability. LGAs have a separate legal personality. This means that they are accountable to the loss or injuries they

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<sup>13</sup> Section 59(2) of the Local Government (District Authorities) Act.

<sup>14</sup> Section 71(1) of the Local Government (District Authorities) Act.

may cause to any person and can sue and be sued as well. The decisions and actions can therefore be scrutinised by courts in judicial review proceedings.

## **5.6 National level M&E regulatory frameworks applicable to the LG**

Section 5.4 above highlighted the regulatory frameworks guiding public service institutions in developing and operationalising monitoring and evaluation, particularly at the national level. The chapter also mentioned frameworks that are not directly related to M&E but state areas that trigger the elements of institutionalisation of M&E such as planning, performance measurement, reporting. National regime characteristics cascades to the local government levels, where in this case, reference is to M&E system. The strengths and weaknesses of the central government M&E system affect the adoption and operationalisation of the system at local government level. This part focuses on the national frameworks applicable to the local government. The applicability and effectiveness of guidance provided in the regulatory frameworks is however presented in the next chapter.

### **LG statutes and M&E roles and functions of the local government**

Local government entities, regardless of their category, are referred to as the Local Government Authorities (LGAs) or Councils. This study focuses on the highest level of local government of the LGA (City Council, Municipal Council, Town Council and District Council). Chapter one described local governments as entities established to serve a particular purpose within a given area of jurisdiction. Local government in Tanzania is established by the Constitution of the United Republic of Tanzania Constitution of 1977, Sections 145 and 146. The local government is further established in the relevant Acts, that is, Cap 287 (District Authorities Act of 1982) and Cap 288 (Urban Authorities Act of 1982). The above-mentioned statutory provisions together proclaim roles and functions of the local government in the country. Laws governing the establishment of the local government give autonomy to the entities to operate without interference from the central government (LGTI 2016:15). However, there are regulatory provisions that allow central government through the regional secretariat, district authorities and the minister responsible for local government to facilitate, build capacity, supervise, and monitor local government.

Local government entities act as the closest service delivery point. They implement the country's policies and strategies developed by the central and/or local government. The above-mentioned statutes state the core functions of the local government as follows:

- Planning for local revenues, revenues collection and expenditure management;
- Providing social services including primary/secondary education, health, water and social welfare;
- Managing the environment, including town planning, settlements and waste management;
- Undertaking economic services (agriculture, natural resources management such as fisheries, forestry, wildlife management or any other available within a particular local government);
- Managing development of local communications and infrastructure;
- Regulating and enforcing by laws; and
- Managing local community development programmes, cultural and social activities.<sup>15</sup>

As mentioned in chapter one, the re-instatement of the local government authority in 1982 paved the way for a more decentralised system for the delivery of public services in Tanzania. The government adopted a system of local government that is consistent with the principles of decentralisation and promoted their role. This made the local government an integral part of the government's overall socio-economic development planning process. The role of local governments is exclusively sensitive in that they are the public service structures closest to communities. The closeness allows citizens a chance to air a considerably high opinion on local government performance, through monitoring and evaluation of the government in place. In this context, the central government continues to use local governments in service delivery. This is through transferring funds for public services and overheads, enhancing LGA capacity with technical and human resources, and creating an

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<sup>15</sup> Local Government Act (District Authorities) 7 of 1982 First Schedule (Section 118(4)); Local Government Act (Urban Authorities) 8 of 1982, First Schedule (Section 55(2)).

enabling environment for effective undertaking of roles and functions (LGTI 2016:17–18).

### **Performance management systems**

The Performance Management Systems (PMSs) presented in chapter one covers institutional elements, namely planning, implementation, M&E, and the review cycle. Although currently there is no PMS policy, its elements are applicable at both national and local government levels. The Public Service Reform Programme and Local Government Reform Programme introduced PMS in the local government. The PMS elements, therefore, give local government an opportunity to collect and analyse performance information from internal and external sources; develop MTSP, MTEF and Action Plan; operationalise employee performance management systems linked to the MTSP, MTEF and Action Plan; operationalise Client Service Charters; and develop and institutionalise M&E systems.

### **The Medium Term Strategic Planning and Budgeting Manual of 2007**

The central government developed the Medium Term Strategic Planning and Budgeting Manual (MTSPBM) of 2007. The manual guides ministries, independent departments and executive agencies (MDAs), regional secretariats and local government on preparing Medium Term Strategic Plans (MTSPs) and Medium Term Expenditure Frameworks (MTEF), as well as how to monitor and report on them (POPSM 2007:1). Chapters one and three presented that the foundation of M&E systems starts with planning and that ideally, plans link to budget and performance reports. The manual sets the stage for institutionalisation of M&E in the local government, particularly on mushrooming of the prerequisites or elements of the institutionalisation of M&E. The main thrust of the manual is to bring about consistency across the public service in planning, budgeting, M&E, and reporting. Therefore, it is expected that public institutions, including the local government entities, will have uniformity in their Medium Term Strategic Plans: levels of planning, content of plans, M&E systems, and reporting requirements, to mention but a few. Table 5.3 below presents key inputs to the planning and budgeting of the public service institutions.

**Table 5.3: Foundation for plans, budgets and reporting from the MTSPBM**

S/n	Level of plans and budgets	Details
1	Objectives	A broad statement of what is to be achieved, must be institutional based and pegged at an outcome or impact level
2	Targets	Targets are presented under each objective, stating the goods or services produced over a given period of time (outputs) in order to achieve its objectives
3	Activities	Activities are actions taken under each target, can describe processes which are largely internal to the institution. A combination of activities produces an output. A single activity is assumed to be completed by a single sub-vote (department or unit)
4	Inputs	These are financial, human, and material resources needed for carrying out the activity

**Source:** Author (2017) (developed using inputs from POPSM 2007:7, PMORALG 2012c:5).

The manual clarifies the planning levels for the public service institutions. In essence, the objectives and targets stated in the strategic plan need to match with those found in the MTEF. Activities identified in the MTEF facilitate priority and sequencing of institution plans on an annual and medium-term basis. The successful implementation of the institution's strategic plan relies on careful identification of objectives and creation of linkages with targets, activities and inputs. On the other hand, objectives determine strategic areas that an institution targets in the medium term. The MTSPB manual, by design, developed these planning levels with the intention, among other things, to enable developing outcome or impact indicators linked to the institutions' objectives. Chapter six will analyse actual planning levels based on the data collected in the local government entities.

Chapter three presented the type of performance indicators and their linkage to the institutional plans. The manual guides the development of institutional performance indicators. First, the manual directs public service institutions to link performance

indicators to the respective Medium Term Strategic Plans. Secondly, it directs the public service institutions to attach performance indicators to objectives stated in the MTSP, and this creates linkages between the first two (2) elements of institutionalisation of M&E, defining measuring object and performance indicators. Thirdly, the manual insists on use of outcome and impact performance indicators by institutions and refrain from using the ones measuring output or input. Lastly, the manual directs that in an ideal situation, performance indicators are to be maintained during the whole strategic planning period. The manual states:

*“In Tanzania, indicators are used to measure objectives only. Since targets are SMART, there is no reason to design an indicator for their measure, as it is in-built ... indicators in the strategic planning process will be used to measure objectives, ... an organisation is likely to maintain an indicator for a longer period of time the lifetime of the strategic plan”* (POPSM 2007:37).

### **5.7 Regulatory frameworks promoting use of M&E performance information**

Public service institutions ought to generate, share and use performance information from well-established M&E systems as initially presented in chapter three. However, the extent or level to which the public service produces M&E performance information, disseminates it, and uses performance information greatly differs across countries and within institutions of the same countries. The manual states different ways of producing performance information through four critical steps which are: review of relevant institutional information (structure, mandate, objectives); conducting of a performance review of the previous planning period; conducting of service delivery surveys to institutional customers; and conducting of self-assessments or benchmarking exercises (POPSM 2007:20).

Tanzania's public service set systems from which institutions can generate various types of performance information. Table 5.2 presents a list of statutory provisions and guidelines that trigger and support generation, dissemination and use of M&E performance information in the local government. The performance information is intended for purposes such as: developing and reviewing of MTSP and other plans;

prioritising financial resource allocation; enforcing accountability through reporting on performance within and outside LGAs; and enforcing the employee performance appraisal system (OPRAS). There is a relationship between generation of performance information and reporting, where both are influenced by factors causing demand for performance information.

The statutory provisions presented in Table 5.4 below generate performance information for both internal and external stakeholders. The external stakeholders demanding performance information are the parent ministry (PORALG), the Ministry of Finance, regional secretariats, sectoral ministries whose functions are decentralised to LG level (education, water, agriculture, health, natural resources); and the governing party, just to mention but a few. There are other institutions demanding for the local government to generate cross-cutting information such as information related to corruption or HIV/AIDS. Table 5.4 shows that demand side for performance information skewed to quantitative and finances than qualitative service delivery aspects. The table further illustrates repetitiveness and duplication of performance-related information produced by the local government.



**Table 5.4: Catalysts for generation, dissemination, and use of performance information**

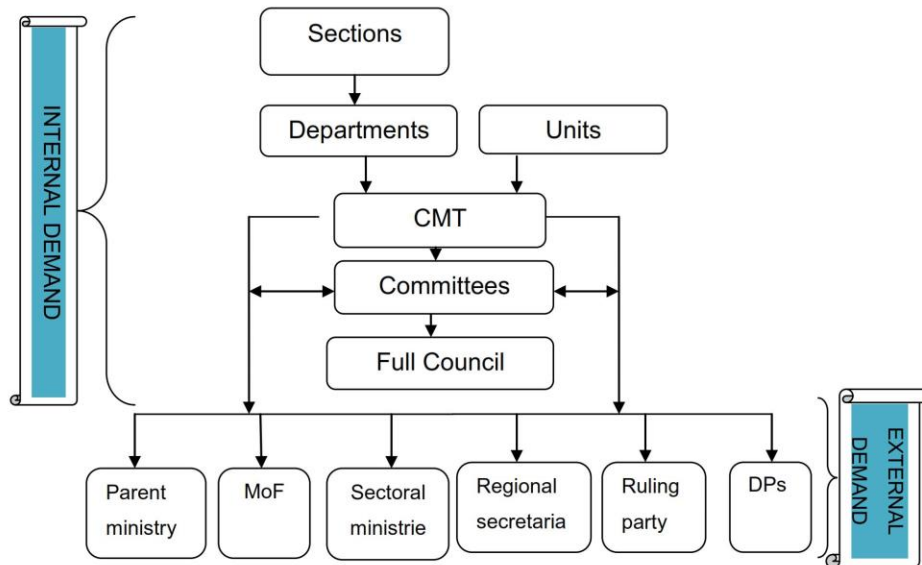
S/n	Name of the report	Related regulatory framework(s)	Report content	Frequency of reporting	Recipient
1.	Council Development Reports (CDR)	Budget Guidelines 2016/2017 from the Ministry of Finance	Actual amount budgeted, released and spent for development projects. Financial and physical progress report for LGAs development activities	Quarterly Annual	PORALG Regional secretariat Councillors (in Swahili language in a different format but same content)
2.	Council Financial Report (CFR)	Budget Guidelines 2016/2017 from Ministry of Finance	Description of detailed Sectoral Expenditures, annual estimate as per approved budget, actual expenditure and cumulative expenditure as percent of annual estimate	Quarterly Annual	PORALG Regional secretariat
3.	Quarterly Cumulative Financial Detailed Report (Form 13b)	Budget Guidelines 2016/2017 from Ministry of Finance	Expenditure by sub-vote by project (development funds only) including amount budgeted, released and spent, revenues (non-tax) collection and source of funding (LGAs and agencies only)	Quarterly Annual	PORALG Ministry of Finance Regional secretariat
4.	Monthly Revenue and Expenditure Report	Finance Act of 2001	Monthly revenue and expenditure report (presented separately)	Monthly	PORALG Ministry of Finance Regional secretariat
5.	Auditing Reports	Local Authority Financial Memorandum, Section 14(1) to 14(10)	Appraise the soundness and application of account finance operational control Compliance of financial and operational procedures	Quarterly Annual	PORALG Regional secretariat Councillors
6.	Comprehensive Council Technical and Financial Reports	Planning Guidelines 2011 from Ministry of Health and PMORALG	Summary of technical activities done by health sector based on plan and ad hoc activities Summary of funds utilised in planned activities and ad hoc activities	Quarterly Annual	Regional secretariat PORALG Ministry of Health
7.	Financial reports	Finance Act of 2001	Financial position	Quarterly	PORALG

S/n	Name of the report	Related regulatory framework(s)	Report content	Frequency of reporting	Recipient
			Financial Performance Cash Flow Councils' revenue and expenditure	Annual Monthly	Ministry of Finance Councils' Finance Committee Councils' Full Council Regional secretariat
8.	Procurement Reports	Public Procurement Act 7 of 2011 and the Public Procurement Regulations, 2013 Government Notice 446 (Regulation 234)	Details of procured items (goods, services and works)	Monthly Quarterly Annually	Councils' Finance Committee Councils' Full Council Public Procurement Regulatory Authority (PPRA) – quarterly and annually Government Procurement Services Agency (GPSA) – monthly
9.	Governing party manifesto (CCM) report	Five-Year Election Manifesto	Show achievements for five years and propose future strategies goals for the next five-year election period	Biannually	Regional secretariat PORALG
10.	Implementation reports on Secondary Education Programme (SEDP)	SEDP Guidelines 2001	Number of pupils and teachers from both private and government secondary schools, Capitation Costs and OC-Grants	Quarterly	Regional secretariat PORALG
11.	Implementation reports on Primary Education Programme (PEDP)	PEDP Guidelines 2001	Number of pupils and teachers from both private and government primary schools, Capitation Costs and OC-Grants	Quarterly	Regional secretariat PORALG

**Source:** Consolidated from: MoF (2001); MoF (2011); MoF (2013); MoF (2016); MoEVT (2001a); MoEVT (2001b); MoHSW & PMORALG (2011); Msuya (2010:3).

There are additional requirements to generate and disseminate performance information internally, mostly as a process towards generating performance information. However, not all internally generated performance information is presented in Table 5.4. The demand-side internal arrangements as combined with the external are as presented in Figure 5.2 below. The figure presents internal and external stakeholder dynamics for generating and dissemination of performance information.

**Figure 5.2: Internal and external demand for performance information and flow**



**Source:** Author (2017).

On the use of the M&E performance information, the local government is instructed to disseminate performance information to management for taking necessary actions such as adjusting direction, improving performance, and communicating progress to clients, politicians, regulators, interested parties, and the general public (POPSM 2007:5). The statutory provisions, however, fall short on performance information dissemination to stakeholders other than those from within the public service. The general public is represented mostly through councillors receiving and reviewing of the local government performance information. Chapter six gives an overview of the

extent to which external stakeholders are consulted and receive feedback on performance provided to them as guided by the MTSPBM.

### **M&E opportunities from the O&OD planning approach**

The government introduced the Opportunities and Obstacles to Development (O&OD) approach in the local government to facilitate planning and budgeting processes (PMORALG 2007:vi). Through the approach, local government ensures participatory planning and budgeting at all levels. Guidelines for the Preparation of Local Government Authorities' Medium Term Plans and Budgets for 2008/09 to 2010/11 insisted on early communication of information about funding levels to the council and sub-council levels, and quality submission of plans and budgets (MoF 2008:96). According to the O&OD Handbook, the government

*“believes that the O&OD approach to local development planning promote[s] a self-help spirit; mobilise[s] financial and human resources; and enhance[s] transparency and accountability in planning, decision making, implementation and management of development activities”* (PMORALG 2007:7).

The O&OD approach is therefore an intersectoral, planning and budgeting process, holistic and participatory (PMORALG 2007:12).

The O&OD offers an avenue for participatory monitoring and evaluation. Participatory monitoring is the routine process to assess the transformation of inputs to outputs. The local government Planning and Budgeting Handbook define the output as *“tangible products and services during a plan’s implementation ... [which] are related to the completion of activities”* (PMORALG 2007:11). Meanwhile, the handbook describes participatory evaluation as periodic assessment of achievement of outcomes against set indicators, reflecting actual or intended change (PMORALG 2007:11). The O&OD approach gives communities an opportunity to participate in assessing outcomes that describe degrees of achievement (or results or impact). Other sections of this chapter provide details of local government M&E as proposed in the handbook and other frameworks.

### **Local Government Management Checklist**

The report of the Controller and Auditor General (CAG) of 2011/12 raised shortcomings on the local governments' effective functioning, and their inability to comply with existing administrative and legal requirements. Phase II of the Local Government Reform Programme pressed the local government to improve and assess itself regarding management and accountability, among other things. The PMORALG initiated the process of developing the management checklist as an instrument to conduct capacity assessment on LGAs. The checklist gives the local government entities areas of capacity analysis in order to assess its capacity to reform and perform to the required standards (PMORALG 2012b:1). The management checklist areas are: budgeting, accounting, human resources and payroll, assets, capital funding, procurement, project management, and miscellaneous (PMORALG 2012b:1). The checklist is presented through a matrix with areas of analysis being those stated above through assessing implementation of issues raised by the CAG, namely the means of verification for claimed implementation, a percentage score for the level of implementation, and areas in which the LGA requires external support for improvement.

The checklist is biased, however, in terms of the areas of assessment, which are more of a financial than a technical nature. The checklist collects and assesses information of quantitative nature than qualitative performance related information. It does not provide room for a value-for-money assessment or for creating direct linkages between financial management and expenditure with performance and service delivery. The reason for this skewed presentation is based on the main purpose for developing the checklist, which is addressing CAG finance-related recommendations on LGAs. The internal assessment based on percentage score (good, reasonable, struggling and poor), and it is not clarified as to how LGAs pegs themselves at a particular level, unless it is based on the specific means of verification for each category.

Furthermore, the Performance Management System presented in chapter one and its applicability in the local government highlighted in this chapter contains the self-assessment element. The element tasks the local government to conduct internal assessments on various areas, including finance and finance management. The PMS

self-assessment is broader as it covers monitoring and assessment of performance indicators for the local government. Simply said, the local government management checklist falls short of the PMS self-assessment in content and context. Existence of the checklist and PMS self-assessment requirements show lack of coordination and duplication of M&E initiatives in the local government.

### **The Local Government Planning and Budgeting Handbook**

The then local government parent ministry, the Prime Minister's Office-Regional Administration and Local Government (PMORALG) issued a Planning and Budgeting Handbook in 2012. The Local Government Management Checklist (LGMCM) referred to the Local Government Planning and Budgeting Handbook (PBH) as a sister text that tests external performance and supporting services. Performance is measured from economics, effective and efficient terms, with a particular focus on planning and budgeting. The handbook addresses issues on the difference the LGAs are making “out there” in the community. It aligns well with the Medium Term Strategic Planning and Budgeting Manual in terms of directing content and qualitative requirements of the local government Medium Term Strategic Plan (MTSP). The Handbook, however, insists on the participatory processes for developing the MTSP. The participatory processes are added to the internal self-assessments and external Service Delivery Surveys, also proposed by the Performance Management Systems through the Medium Term Strategic Plan and Budgeting Manual (MTSPBM).

The handbook sets principle and format requirements in preparation of a “bottom-up” and “output-based” budgetary approach to planning and budgeting. It acknowledges contribution of the MTSPBM in the development of output-based plans and budgets. It further reiterates the bottom-up approaches to planning as stated in the Opportunities and Obstacles to Development Handbook (O&OD) adopted in 2007. Central to the planning process in the local government is the involvement of key stakeholders – communities (end users and beneficiaries in service delivery) through the O&OD process; Councillors (people's representatives and Council policy overseers); and central government (main source of funding). The Local Government Development Grant (LGDG) system through its Implementation and Operations Guide of 2005 (PMORALG 2005) forms part of the planning processes of the local government.

The Planning and Budgeting Handbook aims at positioning the local government entities to achieve “decentralisation by devolution” and provide service delivery efficiently and effectively (PMORALG 2012c:1). The handbook stresses equitable development and access to services in order to realise the then Millennium Development Goals (MDGs). In addition to the Planning and Budgeting Handbook and the MTSPBM, the Ministry of Finance regulates local government through issuance of periodic annual budget guidelines. The budget guidelines state government priorities for observation and adherence, detail inputs, and set parameters along which the local government will develop their own annual plans and budgets.

### **The Local Government Development Grant (LGDG) system**

In the planning process, the local government was subject to the requirements of what is known as the Local Government Development Grant (LGDG) system. The government implement LGDG through the local government parent ministry in collaboration with the development partners. The local government execute LGDG since the financial year 2004/5. The LGDG system aims at improving access of communities to local services through expansion of the infrastructure development; adequate Operations and Maintenance (O&M); enhancing delivery and management capabilities; productive efficiencies; and financial sustainability of local governments, to mention but a few objectives (PMORALG 2014b:1).

The LGDG system sets conditions for compliance with financial and administrative rules and procedures for local government. The minimum conditions for accessing LGDG include compliance with statutory and regulatory requirements to ensure that the funds are used effectively, efficiently, sustainably, and with integrity (PMORALG 2012a:18). An assessment of the minimum conditions and performance measures uses a set performance indicators. The indicators are in the areas of financial management, planning and budgeting, procurement, transparency, and monitoring and evaluation (CIDA 2011:18). On the other hand, the planning and budgeting exercise under the LGDG seeks to provide an opportunity for the LGAs to identify functional gaps and develop an inclusive Capacity Building Plan (CBP) for utilisation of the Capacity Building Grant (CBG).

According to the LGDG Implementation and Operations Guide, CBG and CBP are required to be an integral part of the annual LGA planning process. The LGDG system provides an opportunity to apply the elements of institutionalisation of M&E such as effective planning, data collection, data analysis and reporting. The LGDG system established an M&E Framework in 2014. The framework aims at monitoring and evaluating performance in order to ensure that intended outcomes and outputs are realised (PMORALG 2014b:3). This is emphasised in the framework:

*“The main issue is what should be done in order for the outcomes to be achieved. Monitoring and evaluation is the only answer ... there is a need for clarity on what to monitor. The monitoring indicators that will be used to measure success of the projects have also been determined. This will allow progress reporting on implementation of outputs, activities and use of resources”* (PMORALG 2014b:5).

The LGDG system M&E Framework lists desired outcomes as ensure that: service facilities are functioning effectively; community priorities are realised; funds are fairly distributed to LGAs; financial management of LGAs is improved; there are fewer carryover funds; and LGAs' human resource department is well developed and managed (PMORALG 2014b:6–7). The M&E outcomes established in the LGDG monitoring and evaluation framework link to functions and the mandate bestowed on the local government. However, it is not clear whether this framework will direct LGAs to develop their MTSP and M&E frameworks based on established outcomes.

The LGDG monitoring and evaluation framework states indicators and milestones for achievement under each outcome, together with frequency for monitoring. However, the indicators proposed are all output based (PMORALG 2014b:10–14). This contradicts the MTSPBM and budget guideline requirements. Discrepancies in the planning and M&E frameworks of the local government can create confusion, duplication of monitoring and evaluation, and wastage in use of both human and financial resources. However, linked to institutionalisation of M&E, LGDG offers avenue to reward and sanction LGAs based on agreed performance criteria and actual performance in a specific financial year. It facilitates LGA follow-ups on lessons learnt from past performance (use of performance information) such as provisions to incorporate LAAC directives into plans, or adherence to CAG recommendations on financial management (POPSM 2012:19).



**Table 5.5: Proposal of the LGDG evaluation studies**

S/n	Outcome	Indicator	Evaluation activities
1	Service facilities are functioning effectively	Number of service facilities completed and functioning	Check number of completed and functioning service facilities
		Number of people utilising service facilities	Check from service facility attendance records, sample survey
		M&E undertaken effectively	Check M&E reports against plans
2	Fair distribution of LGDG funds within the LGA	Number of projects implemented in underserved areas	Check whether the criteria are being adhered to
		Number of people in underserved areas accessing social services	Check number of people accessing services in the reports Carry out sample survey
3	The cases of carryover of funds are minimised	Timeous release of funds to LGAs by Treasury (MoF)	Check dates of receipt of funds Establish reasons in case of delays
		Number of cases of carryover of funds minimised	Check and establish whether carryover of funds cases are increasing or decreasing and establish the reasons
		Capacity for project management at HLG and LLG strengthened	Check and compare project implementation reports with project plans Establish reasons for delayed implementation

**Source:** PORALG (2014b:18–20).

The LGDG M&E framework directs local governments to conduct evaluation studies based on the above-mentioned expected outcomes. Just as with the monitoring, the evaluation is mostly measuring output-based indicators. Table 5.5 above presents an extract of the evaluation framework proposed for assessment by the local government, and/or the parent ministry and regional secretariat. The extract goes as far as mentioning M&E reports as a source for evaluation studies (PORALG 2014b:18). The above-mentioned framework mentions evaluation of cost effectiveness, efficiency, and effectiveness, which amounts to depths and levels required to justify evaluation studies. However, some indicators mentioned in the framework measure efficiencies not related to the local government, such as the

timeous release of funds to LGAs by the Treasury. Therefore, the LGDG M&E framework limits the areas for monitoring and evaluation in the local government, thereby falling short of ideal M&E frameworks in contextual terms.

### **The Local Government Monitoring Database (LGMD)**

The Local Government Monitoring Database (LGMD)<sup>16</sup> is a computer-based programme designed for use by government and non-government actors for monitoring local government data. The database supports integrated planning of service delivery to include, among others, M&E of the decentralisation-by-devolution policy (Msuya 2010:3). The database links the local government with respective regional secretariats and the parent ministry. The LGMD enters and stores routine information collected from the decentralised sectors of health, agriculture, education, water, roads, and lands. The department responsible for planning and monitoring coordinates data collection at village, street, ward, and LGA levels. The data entered into the LGMD facilitate routine poverty data monitoring; display data at lower service delivery points; and facilitate data export into the Tanzania Socio-Economic Database (TSED) for producing statistical maps.

The analysis of the LGMD indicates lack of clear linkage between the database and the local government Medium Term Strategic Plan requirements and content. The database shows leniency towards poverty strategies and projects that do not necessarily link to the local government strategic plans, sectoral plans, and M&E systems. LGMD competes with other sectoral information systems that collect and produce M&E information. The local government Health Management Information System (HMIS) and the Education Management Information System (EMIS) operate in the local government and collect more or less the same information as LGMD. The other sectoral information systems collect sectoral data and submit them to the parent or sectoral ministry through the regional secretariat. The existing monitoring databases and information systems add a monitoring and reporting burden to the local government. The situation further complicates effective institutionalisation of M&E elements because of the existence of several planning, data collection, and analysis initiatives, as well as diversified reporting.

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<sup>16</sup> Reference from: [www.pmoralg.go.tz/quick-menu/mis/lgmd.php](http://www.pmoralg.go.tz/quick-menu/mis/lgmd.php) accessed on 25 October 2016 at 1412h.

## **5.8 M&E gaps in Tanzania's public service regulatory frameworks**

From the legal point of view, there seem to be well-developed regulatory frameworks in relation to monitoring and evaluating of government performance in Tanzania. The government has purposely established these policies, laws, guidelines and tools in order to ensure that they do deliver to citizens. However, the issue as to whether these laws are adhered to is another area in which to conduct thorough research; but as far as the above pieces of legislation are concerned, government officials are indeed held to strict performance. Government accountability to the citizens, though, is still a misty aspect, as the above legislation does not clearly impose responsibility on the government to answer to the citizens. The regulatory frameworks do not provide for establishment of a national M&E system, or the set-up of the local government framework. The above gap could have been filled by enhancing demand for M&E information, building capacity of the demand side, and underlining the importance of transparency and sharing of M&E information by public service institutions. As such, chapter seven proposes an M&E framework that lays out purpose and encompasses institutional arrangements and the relationship between central and local government institutions.

Notable on the M&E regulatory frameworks, performance management policy that covers and guide management of individual and institutional performance is non-existent. The current emphasis on the development and execution of politicians and senior executive performance contracts by the President's Office-Public Service Management and Good Governance ministry must have foundation on such a policy. On the other hand, a Monitoring and Evaluation policy is yet to be established to guide M&E activities for the entire public service, an equivalent of the GWM&E Framework of the Republic of South Africa, or a draft that has been developed for the Kenyan public service. The sequencing of development of regulatory frameworks to guide performance management to be M&E inclusive needs proper planning to avoid confusion and inconsistencies.

## **5.9 Performance management and M&E set-up**

The Ministries, Independent Departments and Executive Agencies (MDAs) implemented the Performance Management Systems (PMS) using a Performance

Improvement Model (PIM) with eight (8) interconnected tools. The tools assist institutions and public service employees to develop plans, and implement, monitor, and carry out performance reviews effectively. The Performance Improvement Model (PIM) facilitated implementation of interconnected performance management system tools, which are: Service Delivery Survey; Self-Assessment; Medium Term Strategic Plan, Medium Term Expenditure Framework; Annual/Business Plan; Open Performance Review and Appraisal System (OPRAS); Client Service Charter; and Monitoring and Evaluation (M&E). Short description of the performance management system tools is presented in the POPSM (2007) and POPSM (2014), also summarised hereunder.

**Service Delivery Surveys (SDS):** These are studies conducted by MDAs among their clientele, as a feedback mechanism on the level of services provided by public institutions. The surveys enquire into qualitative and quantitative aspects of services, including timeliness, as stipulated in the institution's client service charters. After every two years, the survey should be performed and the results should be used to develop Medium Term Strategic Plans and Action Plans.

**Self-Assessment (SA):** These are assessments conducted internally on various aspects of service delivery. Self-assessments look at areas such as bottlenecks in service delivery or business processes; human resources capacity; the working environment; adequacy of financial resources; and the institution's business operating environment. The self-assessment report becomes an input into the strategic planning processes.

**Medium Term Strategic Plan (MTSP):** These are five-year plans for institutions. They contain the business-operating environment of the institutions, feedback from the SDS and SA reports, and review of performance. In the MTSP, institution vision, mission, and core values are stipulated, as well as objectives, strategies, targets, performance indicators, and the M&E framework.

**Medium Term Expenditure Framework (MTEF):** This is a three-year financial operational plan, extracted from the medium-term strategic plan. It contains the objectives, targets, and activities corresponding to each target.

**Annual/Business Plan (AP):** These are annual plans developed from the strategic and financial plan (MTSP and MTEF). They guide implementation and assess the level of implementation at the end of each financial year.

**Open Performance Review and Appraisal System (OPRAS):** This is a system to measure employee performance in the public service, established by the Public Service Act of 2002, reviewed in 2008. Public service employees extract their annual objectives from the annual/business plans.

**Client Service Charter (CSC):** This is a document with commitments on quality of services expected, such as timeliness for service provision. Inputs for developing CSC comes from SDS and SA reports. In the charters, there is a mechanism on how to give feedback on services provided.

**Monitoring and Evaluation (M&E):** This is a mechanism to assist institutions in carrying out M&E functions of the institution. The M&E framework links to the MTSP, MTEF and Action/Business plan.

The Performance Management System (PMS) aims at measuring both institutional and employee performance on an annual and periodic basis. The above-mentioned PMS tools, if all installed and fully operational, set an environment for a focused institutional and individual planning, implementation, monitoring, evaluation and reporting. The tools specifically aim at achieving the following:

- Providing quality service to the public;
- Improving performance of public service institutions;
- Improving accountability and responsiveness;
- Ensuring effective and efficient use of public resources; and
- Providing standards for providing comparisons and benchmarking within the public service institutions in Tanzania as well as other public service institutions across the world for continuous improvement (POPSM 2007:4–5, 20–23).

### **5.10 Tanzania's M&E coordinating institutions**

Various government entities engage in M&E activities in Tanzania. However, institutions are not well organised and coordinated (Shaffer 2012:40–41). First, there is no entity established solely for coordinating and overseeing M&E activities in the government. Instead, M&E responsibilities are scattered across institutions of both central and local government levels. The President's Office-Public Service Management and Good Governance ministry developed the performance management systems. The ministry installed performance management systems related to the management cycle of planning, implementation, M&E and reviews. The performance improvement model was used to develop and install eight interrelated performance management systems which are: Self-Assessment; Service Delivery Surveys; Medium Term Strategic Plan; Medium Term Expenditure Framework; Action Plan; OPRAS; Client Service Charters; and M&E (Mutahaba 2012:32; Rugumyamheto 2004:443). Furthermore, the Ministry issued a Monitoring and Evaluation Framework, and is in the process of establishing arrangements for introducing institutional and executive leaders performance-contracting mechanisms.

The Vice President's office carries overall responsibility for monitoring implementation and measuring the impact of poverty reduction strategies against various levels of indicators (CLEAR 2013:47). The Poverty Monitoring System monitors and evaluates the National Strategy for Growth and Reduction of Poverty. Under this task, collected data is guaranteed to be timeously available, adequately stored to increase their accessibility. Data are analysed and the findings disseminated to stakeholders. Evidence-based decision-making is promoted, while targets of global initiatives are integrated into the system (CLEAR 2013:47). The Poverty Monitoring System also ensures linkage with other M&E systems within the government as well as production of the annual progress reports. On the other hand, the Ministry of Finance oversees planning and implementation, and monitors performance of public service institutions. The ministry together with the Prime Minister's Office tasks ministries, departments and agencies to prepare quarterly, semi-annual and annual reports on the progress of implementing their annual plans. However, formats for reporting differ between these two institutions. Absence of a

central agency to coordinate reporting jeopardises institutionalisation of M&E in Tanzania's public service.

The institutional arrangements for the M&E functions in the Tanzanian government have seen a number of changes in the last decade. During the leadership of His Excellency President Jakaya Mrisho Kikwete, the president of Tanzania between 2005 and 2015, the government structure allowed coordination on planning, monitoring and evaluation in four ministries. The ministries were the Ministry of Planning, Finance and Economic Affairs (later changed to the Ministry of Finance and Economic Affairs), the President's Office-Public Service Management; and the Prime Minister's Office. The fourth ministry, the Planning Commission, was formed in 2008 under the Presidency with a mandate of coordinating national planning, thereby separating national planning from the ministry dealing with finance. On the other hand, each specific ministry was required to have M&E structures in order to monitor and evaluate sectoral performance, if applicable, and/or strategic plans and budgets.

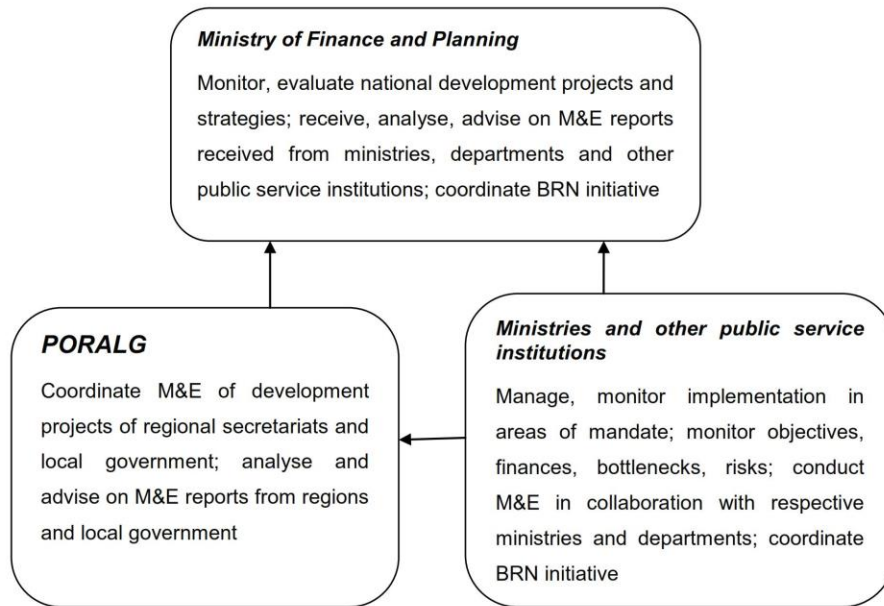
The fifth phase government, which started in 2015, has the Presidency charged with the responsibility for, among other things, the Cabinet's affairs, which involve government planning and M&E. The President's Office-Public Service Management and Good Governance is charged with an additional responsibility which did not exist in the previous phases, that is, management of the senior officials' performance contracts function for politicians and high-level executives (URT 2016:2). On the other hand, the President's Office-Regional Administration and Local Government (PORALG) oversee urban and local government development and implementation of plans while coordinating services and administration.

Under the existing Ministers (Discharge of Ministerial Functions) Act of 2016, the Prime Minister's portfolio remains with the same functions of coordinating government business, which includes reporting on performance. The Ministry of Finance and Planning oversees national planning, monitoring and evaluation (URT 2016:8). The responsibility of realisation of the national Vision 2025 and Five-Year Development Plans (FYDPs) lies under the above-mentioned ministry. Furthermore, the ministry monitors the financial plans by developing budget guidelines and budgets, and monitoring implementation. The Ministry of Finance and Planning

approves budgets according to public-service institutions' strategic and action plans and MTEF, executing during the process some levels of monitoring and evaluation.

The government develops Five-Year National Development Plans, which state priority areas and achievements expected within a specified timeframe. These are followed by the development of Annual National Development Plans, currently by the Ministry of Finance and Planning. The National Development Plan of 2016/17 stipulates M&E processes at national level and commits the government to strengthening departments dealing with M&E development projects (MoF 2016:39). The pertinent question that can be raised on this commitment is: which are these M&E departments being referred to here, ministry departments or projects? And does this commitment go as far as reaching out to the local government? Having read the above-mentioned 2016/17 plan, the institutional M&E roles are as presented in Figure 5.3 below.

**Figure 5.3: M&E roles from the National Development Plan 2016/17**



**Source:** Composed by Author 2017 (using information from Annual National Development Plan for 2016/17).



Figure 5.3 above presents the institutional arrangements for the national plans, which, ideally, are expected to guide and be translated into ministry and other public institutions' plans. The dynamics related to the figure presented above place the Ministry of Finance and Planning as key player in managing and coordinating of the monitoring and evaluation portfolio in the country. There are arrows between the Ministry of Finance and Planning, Ministries and other public service institutions, and PORALG, which show that all institutions report their performance to the Ministry of Finance and Planning. Currently, local government authorities prepare and report on performance to among others, PORALG as the parent ministry. The figure shows multiple roles of M&E and reporting played by the public service institutions. As presented above in the same section, a responsibility for ensuring accountability by the public service institutions is partly bestowed on POPSMGG. Shaffer (2012:41) mentions causes for gaps on M&E coordination as inter-ministry rivalry, incentives, and weak integration with planning, budgeting and reporting processes. The demarcation for institutions' responsibilities of planning and coordinating M&E initiatives is not well documented, and here is where a look at the M&E regulatory framework can be of importance for purposes of harmonisation and effectiveness.

#### **“Big Results Now” initiative**

During the fourth phase government, the Big Results Now (BRN) initiative was established out of a desire by the government to ensure that national Vision 2025 is realised. The BRN initiative was planned to set up a mechanism for planning, M&E of national priorities and strategies. BRN results are reported to the President through the Presidential Delivery Bureau (PDB) and units formed in all lead ministries.

*“PDB operationalises the delivery system ... play[s] the dominant role in the system in problem-solving and solution generation, as well as M&E function across the system” (POPSM 2013:1).*

From the above quote, PDB oversees the M&E function for the national development priority goals and strategies. This is confirmed by the PDB mission statement which mentions aiming at supporting and facilitating the President in ensuring effective and efficient delivery of agreed initiatives of the National Key Result Areas (POPSM 2013:2). The statement further states the realisation of the above through coherent

priority setting and robust performance monitoring and evaluation. The functions bestowed upon PDB include undertaking of performance management and delivery of results as stipulated in the Five-Year Development Plans (FYDPs). According to the organisational structure document of PDB, the functions goes as far as facilitating development of performance contracts for Ministers whose portfolios are involved in the BRN initiative and development of national and ministerial performance indicators.

The BRN initiative establishes its presence in selected ministries through the Ministerial Delivery Bureaus (MDBs), established to oversee BRN implementation and conduct M&E and reporting of the same. However, BRN initiative is not responsible for overall government performance but only for those sectors covered by the initiative, such as agriculture, education, energy, and health. The initiative provides for development of performance contracts for the ministers. However, these will cover only areas identified as Key Result Areas and not overall ministry performance. The initiative therefore excludes other ministries or other departments/units within those covered by the initiative as long as they do not implement the Key Result Areas.

### **5.11 Provisions for local government performance reporting**

*“...M&E initiatives will go beyond the implementation monitoring (of financial expenditures and activities) often practised in the past and will include assessments of efficiency and effectiveness” (POPSM 2007:63).*

The blueprint of the M&E systems in Tanzania's public service is the Medium Term Strategic Plan and Budgeting Manual. The manual guides those government institutions, including local government authorities to develop performance reports linked to their M&E systems. It refers to the M&E systems as a mechanism or process for developing public service institutions performance reports. The manual (POPSM 2007:68–69) is the only existing document to date that states the types of reports required from the local government to be:

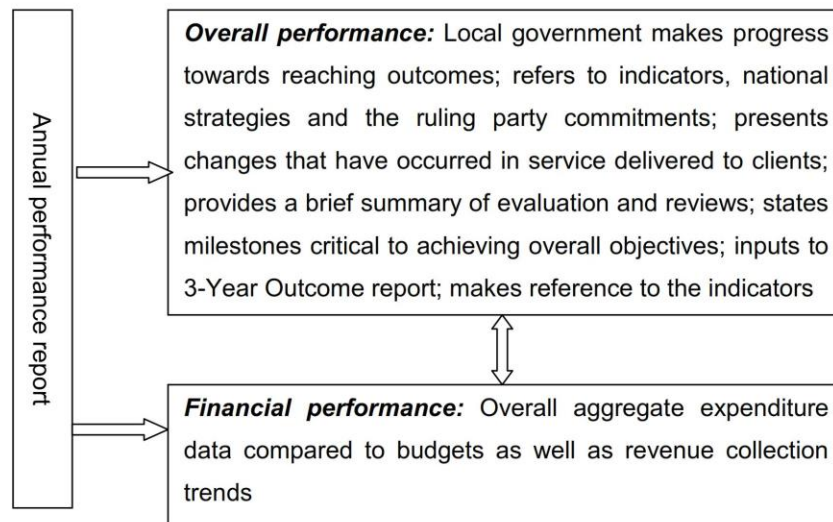
- *Quarterly Reports* on cumulative targets and expenditures, against the annual plan and budget;

- *Annual Performance Reports* on targets and outcome monitoring, against the annual plan and budget; and
- *A 3-Year Outcome Evaluation Report* against the Medium Term Strategic Plan objectives and outcomes.

The above-mentioned types of performance reports create a direct linkage between institutions' MTSP, MTEF, annual plans, and the M&E systems. In the absence of a robust M&E system, the local government may face a challenge of first, producing reports that describe efficiency and effectiveness in terms of its use of resources and outputs produced. Furthermore, challenge exists in showing evidence of benefits and improvement of the condition of the people served by the local government.

The MoF guides local government to submit their annual reports to the local government parent ministry by 30 September for the report of the previous financial year (MoF 2015:52). On the annual reports, the budget guidelines for the financial year (in this case 2015/16) direct all public service institutions to prepare and publish Annual Performance Reports. The above-mentioned guidelines concur with the 2014 POPSM (2014:9) and the 2007 POPSM (2007:71) in describing the content of the report as covering: outputs from "activities" and programmes articulated in their strategic plans; and developed and guided by performance indicators linked with the achievements realised on revenue, expenditure, and establishment status. The above description calls for integration of planning, implementation and M&E.

**Figure 5.4: Local government annual report requirements**



**Source:** Author (2017) (developed using inputs from: MoF 2015:60; POPSM 2014:9, POPSM 2007:71–72).

The guidelines for the Preparation of Plans and Budgets 2015/16 issued by the Ministry of Finance provide standard summary reporting requirements for public institutions, including local government entities. There are several forms, which accompany the annual reports. The annual reporting Form 7 is called the Institutional Results Framework and it captures information on progress towards achieving a set of indicators within a particular financial year. Information contained in the form includes, among others, indicator baseline information; indicator target values; source of the indicator (institutional strategic plan, national strategies or ruling party manifesto); and a means of verifying the reported level of achievement (MoF 2015:60). The annual report format covers some of the areas stated in Figure 5.4 above. Chapter six presents the extent to which local government integrates with and links to the MTSP, MTEF, the annual plans and M&E systems, as well as complying with the reporting frameworks of the public service.

## **5.12 Conclusion**

Chapter five presents initial data collected from the field through use of the data collection checklist presented in chapter one. The chapter presented the structure of Tanzania's public service, with particular emphasis on the evolution and dynamics of development of the local government since independence. It also presented the background to the recent service delivery initiatives brought through the public service reforms implemented at both central and local levels from 1990s. The public service reforms point to more emphasis given to the installation of purposeful M&E systems.

This chapter has presented the local government structure (both executive and political). This structure carries political committees responsible for overseeing elements of institutionalisation of M&E described above. On the other hand, the LGAs' executive composes of departments dealing with planning, monitoring and

statistics. The departments coordinate planning, data collection, data analysis, and reporting of the local government entities.

Chapter five presented Tanzania's public service frameworks and institutional arrangements for M&E. These include regulatory frameworks developed by the central government and applicable in the local government, or those initiated by or together with the development partners. The accountability and M&E emphasis starts with the Constitution of the United Republic of Tanzania of 1977. Notable in contributing towards the evolution and development of M&E systems in Tanzania is the Public Service Management and Employment Policy of 1999. Other frameworks are the Medium Term Strategic Plan and Budgeting Manual of 2007 and the Monitoring and Evaluation Framework of 2014 (POPSM 2014).

The public service reform programme introduced the monitoring and evaluation frameworks as part of the general Performance Management Systems (PMS). The PMS is composed of eight interlinked components, one of which is M&E. The M&E practices presented in this chapter are guided by several policies, regulations and guidelines. However, the frameworks are inadequate to guide, harmonise and contribute to effective M&E systems in the country. Notwithstanding existing inadequacies, the presented frameworks indicate a political commitment towards establishing and operationalising M&E systems in the local government. The chapter presented existing institutional arrangements for M&E. The presentation shows key players to be the PORALG, POPSMGG, the Ministry of Finance and Planning, and the Prime Minister's Office. The chapter analysed adequacy of and gaps in existing institutional arrangements.

Chapter five took note of the challenges related to the institutionalisation and operationalisation of the M&E systems. Numerous frameworks and documents exist to guide one or more elements of institutionalisation and operationalisation of the M&E systems. Repetitive reporting requirements exist, imposed on the local government to an extent that some information is presented twice or thrice, but in different formats altogether. This over-reporting is laborious as it entails spending more time in data collection, analysis, and report preparation. The M&E regulatory framework presented indicates over-lenience of financial rather than technical or service-delivery performance reporting in local government reporting. Numerous

central or development partners' interventions on reforms or performance improvement tend to focus more on accountability for financial resources rather than outcome from the expenditure. Data collection tools and monitoring databases carry overlapping information and outputs on both financial and non-financial indicators. The study found that there are data collection tools that come along with established databases, and others for collecting information not related to databases.

## **CHAPTER SIX: THE STATE OF THE LOCAL GOVERNMENT M&E SYSTEM**

### **6.1 Introduction**

Chapter four gave inputs from the Republic of South Africa's public service, which is considered to have an advanced M&E system in the continent. Chapter five presented Tanzania's public service M&E regulatory frameworks, both at central and local government levels. Both chapters provided an opportunity to dive into further analysis of the M&E systems for the local government. The presented regulatory frameworks in support of M&E act as important pillars in determining vitality and solidity of the country's local government M&E systems.

Chapter six provides answers for number two and three research objectives/questions, namely, how local governments operationalise M&E systems and the relationship between the extent of the institutionalisation of M&E and performance management. The chapter describes effects caused by the local government operating environment (presented in chapter two) to the M&E systems. The chapter further describes how local government M&E systems operate – from planning, to data collection, data analysis, reporting, and use of feedback generated from the M&E systems. Chapter six analyses whether an ideal institutionalisation of M&E is practised on the ground. It also looks at the essence of this research, and how the level of institutionalisation of M&E determines a particular performance management regime of local government that was presented in chapter three. The analysis of the local government M&E systems gaps is done with reference to, and in comparison with, best practices presented in previous chapters.

### **6.2 The genesis and growth of M&E systems in the local government**

Development requires effective utilisation of resources, especially for developing countries faced by acute resource scarcity (both financial and human resources). However, it is not in the scope of this study to present an explanation as to why developing countries such as Tanzania do not have enough resources for service delivery while they are bestowed with various natural resources. The study focuses on analysis of M&E systems in the existing operating environment. As described in chapters one and three, the key to institutionalisation of the M&E processes lies and

starts with planning at national and institutional levels. Planning at both levels is described in terms of long-, medium- or short-term plans developed to attain well-defined results and outcomes. Since independence in Tanzania in 1961, M&E efforts in public services delivery have been linked to socio-economic development plans. Governments in power in all phases (currently in power is the fifth phase) continued to use relevant administrative machinery to assess and evaluate implementation in delivery of public services through approved national plans, with the objective of establishing status and developing new strategies for improvement. Policy directives issued by the central government for guide the public service planning process. One can therefore argue that the central government guides the implementation of service delivery interventions across the government. This (centralisation of the planning process) is done for three main reasons:

- a) Instilling uniformity in a focus on priority objectives in national development goals across the country;
- b) Ensuring that government interventions for development programmes or other overheads are accessed equitably by all sections of society; and
- c) Establishing an effective monitoring and evaluation framework that guarantees accountability, which is not subject to variation, and is sustainable for all public service institutions.

Development planning in Tanzania has undergone a series of changes over the years, owing to a range of both internal and external influences. Historically, in the 1960s through to the 1980s, procedures for provision of public services over the years was undertaken in the framework of “*National Development Plans*”, conceived through government sources in the planning process. The government applied the practice of developing national medium-term development plans (Five-Year Development Plans), the vision and focus of which influenced all other sectoral and institutional plans. Reigning policy in a given era dictated ideas behind and issues to incorporate into the development plans. The plans stipulated priorities for addressing in plans, procedures for implementation, and respective monitoring and supervision mechanisms. Beginning in the mid-1980s, external influence over Tanzania intensified, leading to radical policy shifts, such as a move from state-controlled monopolistic economy (late 1960s to early 1990s) to the free market economy that



prevails to date. Other external influence factors experienced in Tanzania include significant technological advancement, which prompted a globalisation drive that changed and continued to influence global and individual countries' political, economic, social and cultural spaces.

As presented above, post-independence Tanzania developed some degree of public service performance measurement and reporting. Performance measurement ought to be conducted with reference to collation and review of previous plans and by developing the next planning period based on previous assessment. Plans developed by coordinating organs at the central government level have been accompanied by some procedures for M&E in order to maintain the uniformity required in the reporting process. However, the intensity of past M&E initiatives (before the year 2000) leaves a lot to be desired in terms of integration, coordination, quality of information, or use of performance information. In some cases, planners or managers would undertake activities related to performance management, even though minimal, without necessarily referring to them as an M&E function. There have been commendable public service M&E initiatives taking place since the end of the 1990s.

### **6.2.1 Linkages between Medium Term Expenditure Framework and M&E**

The Local Government Authorities (LGAs) developed a three-year Medium Term Expenditure Framework (MTEF) based on projections of inputs for respective activities. The MTEF links with the objectives and targets from the Medium Term Strategic Plan and contribute to the formulation of local government annual operational plans. The government budget forms filled and presented annually to the Ministry of Finance form a basic tool in formulation of LGA annual plans. The forms present details of information on annual and projected budget estimates for revenues (indicating government grants/own source revenues/other sources). The forms indicate recurrent expenditure (Personal Emoluments (PE)/Other Charges (OC)/overheads), as well as development expenditures (POPSM 2007:46, 51–52).

In the planning process, the MTEF requirements entail providing a detailed periodic performance assessment of the local government. This is motivation for use of performance information. The performance assessment is presented in form of a

strengths, weaknesses, opportunities and challenges (SWOC) analysis and a performance review of the previous planning and budgeting period. The assessments use basic tools to establish both physical and financial performance in implementation of projects and activities of the local government. Ideally, operationalisation of the MTEF planning framework uses instruments indicating or related to performance-reporting tools, showing cumulative quarterly target monitoring, quarterly cumulative milestone (priority) monitoring and an outcome (PMORALG 2008:86; POPSM 2007:53).

MTEF processes link with institutionalisation of M&E elements of planning, data collection, analysis, reporting, and use of performance information. MTEF as a resource allocation tool follows plans or planning of the local government, whether organised or not. According to existing procedures, prior to approval of MTEF and an annual operational plan, LGAs review performance of the previous planning period. The National Planning and Budget Guidelines Committee coordinate review processes. Alongside other public institutions, the LGAs submit a Budget Performance Report to the above-mentioned committee from which the government assesses performance trends and establishes projections for the next planning period. On the other hand, approved plans and budgets guide LGAs on service delivery plans and communicate the same to the council, staff, and other stakeholders. Furthermore, approved MTEFs facilitate M&E as implementation of the plans and budgets progresses. This is in accordance with the Guidelines for Preparation of Local Government Authorities' Medium Term Plans and Budgets for 2008/9 to 2010/11 (PMORALG 2008:78–79). Part of the guidelines states that:

*“... monitoring, evaluation and reporting are important elements in the plan[ning] and budget processes and they need to be effectively carried out for the purpose of improving institutional performance”* (PMORALG 2008:85).

### **6.2.2 Local government Annual Operational Plan and M&E**

The Annual Planning and Budgeting Guidelines issued by the Ministry of Finance direct annual operational plans and budgets of the local government. Parliamentary approval of the national budget marks the beginning of preparation of the local government annual operational plans, defining activities for the coming year. The

most crucial are the Action plans, which are activity-based, designed to produce an output. Each activity is assigned to a person who is responsible for its implementation (POPSM 2007:6). The annual operation plans link with M&E elements mentioned above under section 6.2.1. However, this happens only in situations where annual operational plans are developed from LGA MTEF and if the MTEF has been developed by using the right processes (PMORALG 2008:78–79). The study findings show some LGAs uses MTEF as their operational plan document. The findings show existence of LGAs' action plans (or MTEF), which are partially linked to the MTSP (KDC2 2015a; DCC 2015; KDC1 2016c). The situation affects the wholesomeness and integration of all six elements of institutionalisation of M&E in the local government.

### **6.3 Local government M&E systems operating environment**

Internal and external operating environment influences the public administration systems. Chapter two described factors that influence public administration to be based on politics, the economy, social issues, global matters and technology. The analysis of the local government operating environment is done through SWOC analysis. Strengths and weaknesses belong to the local government internal environment, that is, areas that LG needs to maintain (strengths) and improve (weaknesses). On the other hand, opportunities and challenges are external factors influencing operations. The SWOC dimensions presented in this part analyse the operating environment for the local government M&E systems.

Table 6.1 below presents strengths and weaknesses of an environment within the local government that affects M&E systems in a positive or negative way. A notable strength is observed through existing regulatory frameworks in support of M&E. Local government is endowed with various laws, regulations, policies, strategies, and projects that stimulate functioning of all elements of institutionalisation of M&E. However, the frameworks are diverse, not well integrated or linked to key documents guiding local government planning. The operating environment supports local government planning. Accountability evidence is emphasised through reporting requirements by the local government entities, such as Council Development Reports (CDRs) and Council Financial Reports (CFRs). The weaknesses in the existing

operating environment include poor ICT infrastructure and inadequate budget to support local government M&E initiatives.

**Table 6.1: Strengths and weaknesses of the local government M&E systems**

S/n	Area	Strengths	Weaknesses
1	Political	Available regulatory frameworks to support M&E systems; available local government organisational structures to support M&E interventions; LGDG system, O&OD provide an opportunity to monitor and influence use of performance information; Existence of MTSP in 80 percent of LGAs under study; LGAs under study possesses MTEF and action plans; avenues for accountability through performance reporting – CDR and CFR reports	The regulatory frameworks are disjointed and not well integrated; and result in repetitive collection; staff have been trained to facilitate O&OD as an avenue for performance measurement and planning; all existing MTSP falls short of the requirements set out by the MTSPBM
2	Economic	There is an amount of budget set aside for monitoring and/or supervisory visits on projects of sector-specific technical work	Budget allocation and expenditure, among others; M&E largely depends on political and executive officials <sup>17</sup> Sector-specific M&E systems operating in silos
3	Social	O&OD encourages people's participation in M&E	Inadequate skills among staff, e.g on IT
4	Technological	Existence of initiatives to establish planning, budgeting and monitoring databases such as PLANREP, EPICOR, LGMD which facilitate development of plans, budgets and reports	Poor ICT standards in the local government
5	Global	Some degree of adoption and acceptability by the LG on global trends for performance management, M&E	Various M&E systems and operations in LG introduced by the DPs and central government initiatives / projects

**Source:** Field data (2016).

The local government operating environment grants opportunities for setting up and institutionalisation of M&E. Table 6.2 present opportunities available within the local

<sup>17</sup> CIDA – Parliamentary Centre – 2011:21.

government settings to facilitate institutionalisation of M&E systems, and threats affecting the systems. There are political, social, global and economic opportunities at the disposal of the local government to pull and strengthen the M&E systems. The central government have indicated support for building and using of the M&E systems in the local government through the public service reforms and introduction of the performance management systems across government. DPs have ushered support through various central and local government led projects.

Despite the above-mentioned opportunities, Table 6.2 also presents factors threatening efforts done in introducing M&E or those impairing continuity and institutionalisation of the same in the local government. Notable challenges are delays and inadequate fund transfers from the central government and revenue generated by the local government entities. Other challenges are inadequate infrastructural and human resources technological capacity to operationalise M&E systems. The local government possesses multiple sectoral and non-sectoral technology-based databases and systems that are not linked to each other or are complementary to each other. Tables 6.1 and 6.2 both give a summary of the operating environment. However, analysis of some of the factors mentioned will be presented in other sections of this chapter.

**Table 6.2: Opportunities and threats for the local government M&E systems**

S/n	Area	Opportunities	Threats
1	Political	<p>Supply-driven initiatives and push from the central government, Parliament on local government accountability, M&amp;E and reporting;</p> <p>The central government initiative to develop and effect Performance Contracts (PCs) for chief executives, including LG accounting officers. The PC contracts will shield the executives from succumbing to councillors' pressures on implementation, will also strengthen M&amp;E systems</p>	<p>There is no Performance Management Policy for the public service</p> <p>There is no consolidated and comprehensive M&amp;E policy and guidelines for the LG</p> <p>Over-reporting requirements by central government</p> <p>Political interference in LG including amount of budget set for M&amp;E activities</p>
2	Economic	<p>LG source own revenue that can be used for M&amp;E activities</p>	<p>Delays in fund transfer from the central government</p> <p>Less funds received from the central government</p>
3	Social	<p>O&amp;OD participatory planning approach provides avenue for strengthening LG M&amp;E systems</p>	<p>Contribution of citizens on matters related to local government</p> <p>M&amp;E has been diminishing<sup>18</sup></p>
4	Technological	<p>Available technology to support M&amp;E systems, for example, data processing and dissemination</p>	<p>Various technology-based databases and systems that are not linked to each other</p>
5	Global	<p>Continuous global and regional institutions' emphasis on public service accountability</p> <p>Social, print and electronic media provide feedback on performance and monitor LG performance<sup>19</sup></p> <p>Presence of DPs to support M&amp;E systems</p>	<p>Top-down approaches and imposed introduction of M&amp;E systems by the DPs</p>

**Source:** Field data (2016).

<sup>18</sup> CIDA – Parliamentary Centre – 2011:21.

<sup>19</sup> CIDA – Parliamentary Centre – 2011:34.

## **6.4 Analysis of elements of institutionalisation of M&E**

This part essentially presents the elements of institutionalisation of M&E as a way of analysing Tanzania's local government M&E systems. The elements described in chapter three includes defining measurement object, formulation of indicators, data collection, data analysis, reporting, and use of performance information. The elements were categorised into groups presented in Table 3.3 where analysis of the M&E systems stems from information contained in the local government planning, implementation, and reporting documents. Table 1.2 presented sources of qualitative information used in the study and described hereunder.

### **6.4.1 Development of a Medium Term Strategic Plan (MTSP)**

Previous chapters (one, two and three) described the importance of planning (defining measuring object) and close linkages that exist between plans or strategic plans and all other elements of the institutionalisation of M&E (formulation of indicators, setting of foundation for data collection, data analysis, reporting, and use of performance information). It can be summarised that one cannot exist and function effectively in the absence of another or the others. The analysis of the M&E systems for the local government entities under this study starts by looking at those presented in the MTSP. The government policy on planning and budgeting for both central and local government is currently directed in the Medium Term Strategic Planning and Budgeting (MTSPB) manual of 2007 developed by the President's Office-Public Service Management (currently the President's Office-Public Service Management and Good Governance), together with other key central government institutions. The analysis presented in this part base on M&E systems requirements by the available regulatory frameworks and best practices discussed and presented in chapters four and five of this study.

The local government MTSP processes ostensibly include the O&OD process through which communities at Village and *Mtaa* (street) levels get access to participate in identification of local priority needs in the development framework. Ideally, the strategic plans are supposed to carry functions and review of local government performance in the previous planning period. The MTSP states critical issues to be addressed in the existing planning period, vision and mission statements and core values of the local government. The strategic plan objectives, strategies,

targets and performance indicators are stated in the MTSP. They are based on analysis of performance review and critical issues identified by the local government. Ideally, the strategic plan is composed of the results framework chapter that contains the results chain; milestones; the monitoring plan; the evaluation plan; and the reporting plan. In summary, the MTSP integrates proposed strategies and processes while providing the basis for resource projections, all being necessary in order to realise the local government mandate and meeting the needs of the people within their areas of jurisdiction.

#### **6.4.2 An analysis of the local government strategic plans**

The initial step in understanding and analysing the M&E system of an entity is the existence and quality of plans and/or the strategic plan of the institution. A strategic plan stands as a key element for achieving a sufficient level of institutionalisation of M&E in the public service. The checklist developed to facilitate data collection in five (5) sampled local government entities presented the type of analysis for this M&E element (Medium Term Strategic Plans). The analysis of this element based on the following variables:

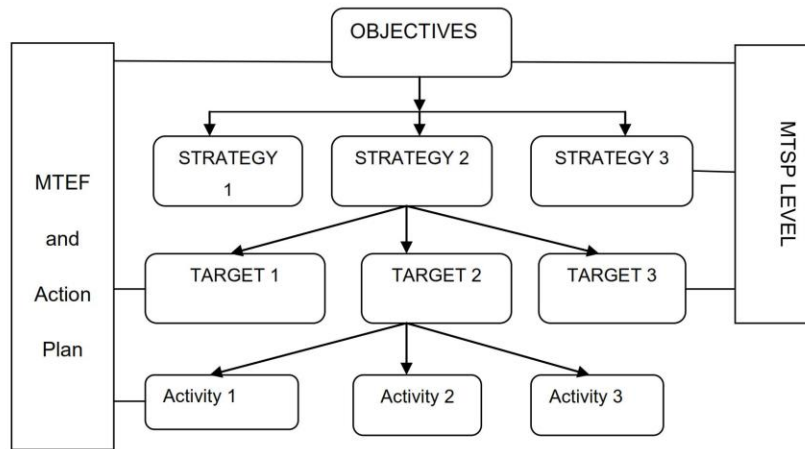
- Establishing the correlation between the MTSP and the M&E framework/plan;
- Establishing if development/review of the strategic plans based on the previous planning period's M&E information;
- Assessment existence of performance indicators measuring various levels of implementation and performance and;
- Establishing existence of projects/programmes implemented by LG outside the approved MTSP.

The study found out that 80 percent of the LGAs under study possess the five-year strategic plans developed between year 2011 and 2015. The study found that Karatu DC does not have approved MTSP for the last three years. This local government uses MTEF instead, as both a planning and a financial management document. Dar es Salaam CC, Ilala MC and Njombe TC presented the MTSP covering the years 2012/13 to 2016/17, 2012/13 to 2016/17, and 2011/2012 to 2015/2016 respectively. The Medium Term Strategic Plan and Budgeting manual of 2007 directs public



service institutions to use objectives, strategies, and targets as planning levels. Figure 6.1 shows Tanzania's strategic plan levels model, as directed by the MTSPBM. Ideally, the model is designed to state objectives, strategies and targets in the SP, while activities appear in the Medium Term Expenditure Framework and Action plans.

**Figure 6.1: Tanzania's strategic plan levels model**



**Source:** Developed by Author (2017) with reference to information from POPSM (2007).

An assessment of the Medium Term Strategic Plans from the four local government authorities revealed differences in the planning levels, as stated in Table 6.3, presented below. The strategic plans mix planning levels and use objectives, targets and activities interchangeably. An example of this is found when an objective carries targets that are in levels of both a target and an activity. One notable distinction lies with the Kasulu DC, which uses Key Result Areas (KRAs) instead of objectives as directed by the MTSPBM. The KRAs for the DC are composed for a local-government sector or department, and include administration or good governance; waterworks; planning; community development; education; land (human settlements and environment); agriculture or livestock; finance; co-operatives; marketing and trade; natural resources; and health (KDC2 2011:50). The targets stated in the Karatu Council MTEF are sharper than those stated in the Dar es Salaam City

Council strategic plan. The mixing of planning levels has an effect on the type of indicators set for each respective objective. The effects spill over to data collection, analysis, reporting, and soundness of the M&E information produced by the local government.

**Table 6.3: Local government planning levels**

Name of institution	Planning Period	Objectives	Targets	Performance Indicators	Activities
Dar es Salaam City Council	2012/13–2016/17	✓	✓	✓	✓
Ilala Municipal Council	2012/13–2016/17	✓	✓	✓	✓
Njombe Town Council	2011/12–2015/16	✓	✓	✓	–
Karatu District Council	MTEF for 2015/16	✓	✓	–	✓
Kasulu District Council	2011/12–2015/16	✓	✓	✓	✓

**Source:** DCC (2012); IMC (2012); NTC (2011); KDC1 (2016c); KDC2 (2011).

#### 6.4.3 Structure of the local government strategic plans

The structure of the MTSP tells a “story” about the M&E systems. The structure referred to here is not just the arrangement of the document but rather content and context. Particular attention is given to chapters carrying the performance review and performance indicators suggested for measuring and managing performance. The structure depicts and set up the local government M&E system. All local government strategic plans were found to have common elements in describing the LGA profile, the performance review of the previous planning period, strengths, weaknesses, opportunities and challenges/threats (SWOC/T) analysis, objectives or Key Result Areas, targets, and performance indicators. However, there are significant differences in the level of details and analysis, especially in the performance reviews.

### ***Dar es Salaam City Council***

The strategic plan for DCC comprises 4 chapters. The chapters are an introduction; performance review and analysis; the plan; results, frameworks, and M&E. According to PMORALG in DCC (2012:6), the purpose for developing strategy is, among others, partly linked to strengthening of the M&E system, as stated:

*“... to set priorities ... increase efficiency, facilitate implementation ... coordinate implementation in order to ensure that DCC executes its mandate ... also to facilitate monitoring and evaluation of DCC performance”* (translation by author).

The DCC strategic plan reviewed previous strategic planning performance, which covered (2009/10–2014/15). The document shows that the previous and current planning period for the DCC strategic plan is five (5) years. However, the DCC strategic plan does not state reasons for reviewing the plan before the end of the planning period.

Chapter 2 of the plan reviews performance by objectives stated in the previous plan. The performance review is presented to state each objective, strategies employed for implementation, achievements, and challenges related to implementation. The DCC performance review included assessment of pillars that contribute to organisational performance from the EFQM Business Excellence Model. The reviewed pillars were leadership; policies and strategies; employees; partnerships and resources; operations and procedures; results to customers; employee results; results to the public (DCC 2012:15–25). The analysis of the DCC pillars led to a suggestion to improve use of indicators to measure performance and encourage dialogue (DCC 2012:24).

The performance of the previous plan is presented using phrases such as *“coordination was done”* or *“supervision of health services was done”* or *“work environment for staff was improved”* (translation by the author) (DCC 2012:12). From the above-mentioned performance presentation, one can conclude that the review was based rather on an activity or a set of activities implemented under a particular objective. Furthermore, the review does not mention any feedback or correlation between performance reports with suggestions on performance improvement from the public. The review ends with tabling of recommendations on the way forward,

offering solutions to address stated challenges or maintain the stated level of performance. Even though the SP reviewed performance, this was not done with reference to the previous plan performance indicators. Analysis of performance indicators presented in the strategic plans is presented under section 6.5 below.

### ***Ilala Municipal Council***

The IMC strategic plan has 4 chapters which are: introduction; performance review and operating environment; the vision, mission, and long-term objectives; objectives, strategies, targets and indicators. The main purpose for developing the SP is stated to be guiding implementation of objectives that were developed and agreed on by all stakeholders (IMC 2012:1). Chapter 2 of the strategic plan starts with a review of performance of the 2007/8–2010/11 strategic plan. The review presents objectives, achievements, and challenges, and a proposed way forward on the objectives. One key difference between IMC and DCC is that the former presents these objectives department-wise.

Table 6.4 below present part of the performance review conducted for the IMC. The table shows that the 2007/8–2010/11 strategic plan objectives were different in terms of scope. Some of the so-called objectives were small in scope such that they could be equated with targets or activities. An objective such as one for establishing Local Area Network (LAN) could be an activity while one for increasing health facilities is at the target level (IMC 2012:67). The Ministry of Finance directs all public institutions to develop plans that address issues in the medium term, also measuring outcomes through its guidelines for the preparation of plan and budget (MoF 2015:48).

**Table 6.4: An extract from the 2007/8–2010/11 IMC performance review**

S/n	Objective	Achievements	Challenges	Way forward
1	To construct 9 and 18 kilometres of tarmac and gravel road respectively and repair 3 kilometres	12.2 and 43 kilometres of tarmac and gravel roads constructed and 1 kilometre repaired	Inadequate working tools, delayed payments to contractors, poor sanitation infrastructure	Continue with road construction projects, improve payment systems and sanitation infrastructures
2	To increase efficiency in management and monitoring of IMC plans	Management and monitoring have been conducted as planned	Inadequate working tools and space, ad hoc responsibilities given to officials	Capacity building, procure a car to facilitate projects monitoring, construct new office for IMC
3	To conduct research on economy and poverty reduction	No research was conducted	Inadequate budget and funds	Allocate more budget for research activities
4	To increase health facilities from 12 to 30	6 health facilities have been constructed	Inadequate budget and health personnel	Construct 12 remaining health facilities

**Source:** IMC 2012:5–10 (*translation by author*).

The objectives presented in the table above are not wide in terms of scope and therefore cannot meet the Ministry of Finance requirements. Objectives 1 and 4 as presented in the table carry the weight of a target, while objective 3 is an activity. The analysis is based on requirements stated in the MTSPBM that depict the planning levels, with examples. The council's MTSP presents the Key Result Areas, based on departments under the council. Furthermore, the performance review analysis is not linked to performance indicators. The analysis does not provide enough details to facilitate learning and developing of concrete solutions when encountering implementation challenges. An illustration of this is found under objective four, where a solution stated for the next planning period (constructing more health facilities)

does not address the root cause of the problem (inadequate finances and health personnel).

### ***Njombe Town Council***

Likewise, Njombe Town Council (NTC) Medium Term Strategic Plan was developed in 2011/12 financial year for implementation covering until the 2015/16 financial year. The plan is composed of four (4) chapters, namely, introduction; situation analysis, operating environment; the plan for 2011/12–2015/16; and a results framework. The situation analysis chapter present the NTC operating environment through scanning of stakeholders and their expectations, presenting a SWOC analysis, and a performance review for all objectives of the ending strategic plan (2007/8–2009/10). The performance review involves analysis of achievements, challenges, and a stating of the way forward, based on realities of implementation on the ground (NTC 2011:7). The chapter ends by stating critical issues for addressing in the next planning period.

The performance review is objective and not indicator based. The review highlights the 2007/8 to 2009/10 strategic plan objectives level of implementation through statements, which are not concrete and sometimes lack clarity. NTC uses, among others, statements such as “10 shops and 5 kiosks were opened” or “3 staff attended seminars and workshops”. The above-reported performance information linkages with planned targets cannot be easily established, nor do the statements facilitate determination of the level of implementation. This report and analysis are not desirable either in terms of presentation or for promoting use of performance information.

Apart from the reporting being in the form of activities, NTC describes performance information in the form of input and output indicators. An example of this is “HIV prevalence rate among people tested through VCT reduced from 13 percent in 2007 to 9.7” or “reduce maternal mortality rate from 166/1000 in 2007 to 146/1000 by year 2010” (NTC 2011:11&20). The council further presents achievements in the form of targets, for example, “public and private partnership in agriculture sector improved by the year 2010” or processes such as in “follow up on loan repayment was done to 25 women’s economic groups” (NTC 2011:11, 15). Furthermore, Objective D reports of an achievement at a lower level than is desirable for this type of institution, such as “1

*person with disability supported with walking shoes*". This report does not show how an activity is linked to service delivery, leaving a reader with a question of "so what?" A vague presentation exists of performance information that does not present a solid performance story, such as "capacity of staff increased" or "performance and working capacity improved" (NTC 2011:20).

### ***Kasulu District Council***

The Kasulu District Council Medium Term Strategic Plan carries six (6) chapters: an introduction; current status and performance of service delivery; situation analysis and operating environment; the plan; KRAs, indicators and targets; and the M&E system. The MTSP presents the Key Result Areas, which are basically founded on departments working under the council. In a separate matrix, the plan presents the strategic objectives, followed by the strategies and activities, thus skipping the presentation of targets corresponding to each specific objective. In this council's MTSP, there is a missing link between targets and activities. The achievements are sectoral, presented through a discussion of service coverage.

Table 6.5 below gives a snapshot of a performance review for Kasulu District Council. The table shows that just as with the above-mentioned councils' strategic plans, performance review is done with reference to activities planned for implementation. Furthermore, the stated achievements are not sufficiently complete to show real progress and/or impact of the achievements.

**Table 6.5: A snapshot of Kasulu DC performance review**

S/n	Sector	Achievement	Remarks
1	Water	Up to June 2010 the villagers getting clean and safe water supply were approximately 286,294 that is equal to 64 percent	It does not state what was the planned achievement and whether this has been achieved in the planning period under review
2	Health	There are 541 hospital beds in the district with a bed capacity rate of 1: 1333, while the National minimum standards are 1:800.	The achievement is compared with national standards. However, it does not show what has been achieved in this aspect of performance
3	Natural resources	Sensitisation of the community on importance of environmental; conservation through public seminars and theatre groups whereby 50 percent of the total number of 62 villages was sensitised; sensitisation on fish farming conducted in 14 villages; 8 villages sensitised on wildlife conservation; sensitisation in 23 villages was done on modern beekeeping	The stated achievements do not show the result or impact of the sensitisation campaigns

**Source:** KDC2 (2011:17, 20, 23)

### **6.5 Quality of the council's performance indicators**

The thrust and purpose of performance indicators is to monitor and manage institutional performance. Ideally, performance indicators guide institutional reporting, particularly at outcome levels. It is correct to say that effectiveness of the M&E system largely depends on performance indicators set to measure performance. Quality assurance of performance measurement and management lies with type of developed performance indicators. The MTSPB manual presented in chapter five guides on requirements for type of indicators for public service institutions, LGAs inclusive. All local government authorities' strategic plans available for the study present the performance indicators for measuring institutional performance (DCC



2012:40–50; IMC 2012:36–67; NTC 2011:58–82). LGAs developed refer to various types of indicators, ranging from input, activity, output and outcome indicators. Table 6.6 shows the type of performance indicators presented by the LGAs.

**Table 6.6: Type of performance indicators in local government authorities**

S/n	Name of LGA	Type of performance indicator(s)
1	DCC	Input, output and outcome
2	IMC	Mostly input and output, but also a few outcomes based
3	NTC	A fair balance of input, output and outcome indicators
4	KDC2	Presents both output and outcome indicators

**Source:** DCC 2012:40–50; IMC 2012:36–67; NTC 2011:58–82; KDC2 2012:51–73.

The study found out that not all local government entities develop their performance indicators based on government-established requirements. The analysis of performance indicators from the LGAs MTSP reveals the following characteristics:

- One objective in the MTSP carries more than one type of performance indicator, up to three types (input, output and outcome). Njombe TC, for example, states both outcome and output indicators for the same objective (NTC 2011:86–97);
- Indicators are pegged against a target or an activity, and are therefore not objective based;
- Indicators measure both qualitative and quantitative aspects of service delivery;
- Some indicators are proof of evidence of an activity, something equivalent to with 'means of verification' in the monitoring plan. These types of indicators fail to show progress in achieving a desirable outcome when measuring local government performance; and
- There are vague indicators presented, it lacks clarity, and it cannot show real performance being measured, for example, “*existence of good environment*”, “*improvement report*” or “*number of staff*” (DCC 2012:45–49). The Njombe TC presents vague performance indicators, such as “*increased propensity by*

*public servants to be accountable for service delivery results” or “productivity, performance and efficiency increased for various social and economic activities” (NTC 2011:92–93).*

**Table 6.7: Selected display of number of indicators from the LG**

S/n	Name of LGA/objectives	Number of indicators
1	Njombe Town Council	
A	Services improved and HIV/AIDS infection reduced	42
B	Enhance, sustain and effective implementation of the National Anti-Corruption Strategies	13
C	Good governance and administrative services enhanced	49
D	Social welfare, gender and community empowerments improved	12
E	Quantity and quality of economic services and infrastructure improved	20
F	Economic, social, management of natural resources services and environment sustained	97
	<b>Total for NTC</b>	<b>233</b>
2	Dar es Salaam City Council	
A	Improve services and reduce HIV/AIDS infection	3
B	Enhance, sustain and effective implementation of the National Anti-Corruption Strategy	2
C	Improve access, quality and equitable social services delivery	14
D	Increase quantity and quality of social services and Infrastructure	16
E	Enhance good governance and administrative Services	40
	<b>Total for DCC</b>	<b>75</b>

**Source:** Extracted from DCC 2012:40–50; NTC 2011:58–82.

The above-stated characteristics jeopardise performance measurement of the local government. Most of the indicators are not user friendly and lack clarity. Some of the indicators repeat variables of measurement among each other. On the other hand, Table 6.7 above depicts a picture of LGAs' ideal and extreme number of performance indicators for the objectives. The government-directed public institutions have this objective in the MTSP and address it through established preventative and curative

service interventions. It is therefore expected that where approaches and strategies are similar, so will the performance indicators be. However, an objective related to HIV/AIDS carries 42 and 3 performance indicators in Njombe Town Council and Dar es Salaam City Council respectively. The budget guidelines and the MTSPBM instruct production of annual outcomes-based reports. The outcomes reports cannot be produced in an environment where outcome indicators are few and not concrete such as those presented in the local government MTSP. If the local government is to measure performance using the presented indicators, this would be an enormous task that cannot be accomplished on an annual or medium-term basis. The number of performance indicators from the MTSP can lead to “paralysis by analysis” (processing of too much performance information). This situation contributes to managers’ opting for coping strategies such as selective measurement, failure to process, or non-use of performance information.

## **6.6 Data collection and analysis in local government**

The data collection checklist presented in chapter one required the Local Government Authorities to produce M&E tools used for data collection and analysis. The purpose for requesting for the tools was to create linkage with the LGA M&E systems. The analysis would further assess compatibility of the data collection and analysis tools with existing M&E databases, if any. All the Medium Term Strategic Plans, by design, create an environment for collecting M&E data. The Kasulu MTSP committed itself to conduct monitoring activities through physical observations and using questionnaires to interview various LGA stakeholders (KDC2 2012:77). The Kasulu DC, however, failed to produce any data collection tools used by the council.

Only 20 percent of the LGAs under study produced the M&E data collection tool (DCC 2016). The M&E tool collects internal and external qualitative, quantitative, and financial information. The tool, however, covers projects implemented by the DCC. It allows conduct of interviews for projects where respondents include the finance and works department (internal stakeholders) and contractor and community members (external stakeholders). In summary, the tool facilitates tracking of implementation progress of projects as presented in Annex I. The presented DCC tool collects part of the information required by the central government institutions, particularly the quarterly reports.

The central government reporting frameworks tasks the local government with applying predetermined data collection tools that suit the respective requirement. Chapter four presented the requirement by the Prime Minister's Office and the Ministry of Finance for all public service institutions to submit progress reports on a quarterly basis. In addition, the governing party (*Chama cha Mapinduzi*) developed its reporting format and data collection tool that captures quantitative and qualitative information from public service institutions. In summary, the central government tools task the local government with collecting information for all activities implemented by the local government on a quarterly basis. The data collection tools cover the activities implemented; the total amount of budget against disbursement; the percentage of implementation by quarter; and remarks on the level of implementation.

Both the DCC data collection tool and the central government ones are far from measuring implementation using performance indicators. Furthermore, the tools fall short of enabling the local government to conduct evaluation studies. The study established existence of the sectoral data collection tools. The analysis of sectoral data is done separately for each sector, and connectivity among them is missing. Findings show the health, agricultural, land and education sectors collecting monitoring information for projects implemented by the LGA. The data collected are for submission to either the sectoral ministries or development partners supporting a specific sectoral project. In summary, the data collection and analysis mechanisms set in the local government are not well coordinated and integrated. This situation affects the capacity of the local government to make meaningful M&E interventions in the most economic, efficient and effective manner.

#### ***Council Development Report (CDR) and Council Financial Reports (CFR)***

Currently, the Council Development Reports (CDR) and the Council Financial Reports (CFR) form key reporting arrangements for the local government. The report details determine data collection and level of analysis in the local government. The CDR matches and reports on physical and financial progress of the local government, while CFR covers the details of revenue and expenditure of the local government. The recipients of the CDR and CFR are the parent ministry, the Ministry of Finance, and the Prime Minister's Office through the regional secretariats. LGAs

use the same reporting formats for producing and sharing of CDR and CFR. The CDR presents a summary of financial progress that covers actual allocations and expenditure. Under the financial part, performance relates to a percentage of the actual amount disbursed *vis-à-vis* funds allocated for the quarter. The CDR carries actual implementation of one activity for all quarters. The CDRs give a cumulative and continual analysis of performance; with the fourth quarter carrying progressive performance for the financial year.

Annex II presents key information collected, analysed and reported by the Council Development Reports. The financial progress report format is presented by quarter, also highlighting: actual allocation; cumulative allocation; actual expenditure; cumulative expenditure; the performance ratio (as a percentage); the balance (in Tshs); and remarks on financial progress. Bouckaert and Halligan (2015:262) list the characteristics of quality performance information. They describe one attribute to be meaningful, referring to information that gives a clear picture of performance, describing expectations and benchmarks. The financial progress as presented in the CDR fails to tell a complete story on performance. The reporting shows allocated funds for the activity and not a story about local government revenue generation, equitable distribution of resources, or resource allocation prioritisation.

**Table 6.8: Analysis of LGAs' IS facilities supporting data management**

<b>Equipment</b>	<b>Dodoma</b>	<b>Bahi</b>	<b>Sumbawanga</b>	<b>Nkasi</b>	<b>Arusha</b>	<b>Longido</b>
Desktop computer	1	1	2	1	1	1
Laptop computer	1	–	1	1	4	1
Printer	1	1	1	1	3	1
Photocopier	–	–	–	–	–	–
Scanner	–	–	–	–	–	–
Internal network (LAN)	1	–	–	1	–	–
Internet connection	1	–	–	1	1	–
Fax machine	–	–	–	–	–	–

**Source:** Msuya (2010:5).

The above-mentioned local government data collection and analysis challenges affect effectiveness of other elements of institutionalisation of M&E as supported by the study conducted by the Research on Poverty Alleviation (REPOA). REPOA facilitated conducting of a research on challenges in data collection, consolidation and reporting in six (6) LGAs and four (4) ministries in Tanzania. The study found similar challenges facing data collection and management in both central and local government levels. The study mentioned data collection and management challenges related to: local planning vertically organised; shortage of skilled staff; limited and/or delayed funding for data collection, analysis and reporting activities; and inadequate information system infrastructures to support data collection and management (Msuya 2010:1). Table 6.8 above presents challenges facing the LGAs' ICT, resulting in consequences such as inadequate performance management coordination, and delayed LGA reporting.

## **6.7 Reporting and use of performance information**

Kusek and Rist (2004:104) suggest that the M&E systems should identify demand for information by type (for example input, output, outcome, or impact) so that the same can be generated appropriately and in a timeous fashion. Bouckaert and Halligan (2015:262–263) cites an example of Canada, which established criteria for assessing fairness and reliability of reported performance information. The criteria stated are as listed below:

- **Relevancy** in context, showing important accomplishment against objectives and costs;
- **Meaningful** through giving clear performance story, comparing accomplishments and expected performance;
- **Attributable** by demonstrating impact or contribution made by the intervention(s);
- **Balanced** through giving a clear picture of the full range of performance, such that both strong and weak performance is presented. Kusek and Rist (2004:108) add balanced reporting and argue that credibility of an M&E system is questionable if it fails to report failure;

- **Reliability** by presenting evidence-based performance information that shows the appropriate level of accuracy for information/data and methodology employed.

This part analyses two (2) elements of institutionalisation of M&E, namely, reporting and use of performance information. It measures the extent to which local government reports and uses performance information as a way of analysing the extent to which the two elements are closely interlinked. The data collection exercise came across various types of performance reports produced and reporting arrangements of the local government. The reports produced are for internal and external stakeholders, produced on a periodic basis ranging from monthly, to quarterly, biannual and annual basis. Among these reports are statutory and non-statutory ones, which determine whether they are compulsory or optional in terms of content, context and timeframes. Chapter five presented the type of reports produced by the LGAs and related statutory or regulatory frameworks.

#### **6.7.1 Local government performance reporting**

The public service institutions ought to produce some public good. The debate on public service performance has shifted beyond improvement of efficiency, effectiveness and implementation of plans to include service outputs, satisfaction, outcomes, and citizen trust (Morgan & Cook 2014:5). Trust leads to acquiring of government legitimacy. Gorgens and Kusek (2009:374–375) describe M&E ethical principles as based in two strands – truth and wisdom, whereby lack of either can lead to unethical practices. Truth in M&E is composed of honesty, integrity and objectivity, while wisdom contains confidentiality and legality. Ethical principles apply to all elements of institutionalisation of M&E, but more so on reporting.

Systems theory states interactions of internal and external elements that impinge on organisational operations (Denhardt et al 2014:141). Painter and Peters (2010:10) mention resistance to change as one of the factors, particularly in more legalistic and formalistic cultures. There are two sides of M&E ethical practices environment within the open and closed systems of public administration: demand and supply. The demand side is the ability of the public/citizenry to detect, register or put pressure on M&E ethical practices. If the demand side is aware and perceives M&E as important,

they will demand information, make an analysis, and detect unethical practices, if any, in all M&E processes and performance information. The ethical practices supply side directs positioning of public officials to act ethically by ensuring availability of necessary M&E capacities and ensuring that structures and systems for acting ethically are well functioning.

The type of government determines the level of details provided by the M&E systems. Guidelines on 'Political Viability' and 'Disclosure of Findings' found in the African Evaluation Guidelines are considered politically sensitive in some African countries (Patel 2013:2). Patel adds that the above-mentioned guidelines are worded as a compromise between the proposals of countries with relatively open government, freedom of press, and generally participative political processes and those, which are relatively autocratic or military dictatorships. It is important to note that forces within institutions or government are powerful in order to determine changes or produce negative energy against a positive change. The above-mentioned paragraphs show causal factors that push and pull towards not only reporting but also the type and level of details of M&E information. Table 5.3 presented triggers for producing and reporting of M&E information. The table displayed various regulatory frameworks and requirements posed before local government to report on, mostly within the state structures. This part will look in detail at local government reporting, and how this links to M&E systems. Local government internal arrangements for reporting are two-fold: the commitment made within the LGAs, and external requirements to report on M&E information.

### **6.7.2 Local government internal arrangements for reporting**

Van Dooren et al (2015:7) state use of performance information to be, among others, designing policies, resource allocation, controlling and redirecting implementation, self-evaluation, and accountability. This part presents and analyses local government internal arrangements for reporting on M&E information. It looks at a multi-dimensional nature of reporting that includes local government entities, internal commitments and avenues for reporting, types of reports, level of details contained, and analysis of the reports. The study sourced information from the local government MTSP, and minutes from the Council Management Teams (CMTs), Full Council, and other Committees.



### ***Institutional arrangements for reporting***

Section 5.2 presented the local government structures, which include institutional arrangements set to facilitate monitoring and evaluation activities. It has been observed that departments dealing with planning, statistics and monitoring coordinate M&E activities in collaboration with the sectoral and other departments and units. Sectoral departments conduct their own M&E activities. The study found parallel planning, monitoring and evaluation initiatives for the health sector. LGAs' health sector departments develop Comprehensive Council Health Plans (CCHPs) and corresponding M&E arrangements. The CCHPs link with national health sector priorities, as stipulated by the ministry responsible for health. The CCHPs give details of interventions compared with what is presented in the LGAs action plans. The sectoral department M&E initiatives are referred to as supervisory visits in the local government plans and budgets. The Njombe TC, for example, planned to develop CCHPs and health sector quarterly reports, and undertake supervision and monitoring of roads and bridges (NTC 2012:69–70). Despite LGAs carrying out supervision and M&E activities, the departments responsible for M&E could not produce data collection tools used for such interventions.

### ***Reporting commitments from the MTSP***

Some of the Medium Term Strategic Plans present reporting commitments set by the local government. The Ilala MC and Njombe TC strategic plans do not mention internal reporting arrangements. A significant difference between the two councils' MTSPs lies in the former missing the results framework or any M&E arrangements set for the stated plans. The Njombe TC carries the results framework, but a corresponding reporting arrangement is missing. The DCC strategic plan specifies in detail the report content and timeframes. Table 6.9 below summarises the council's commitments to the type and number of M&E information reports.

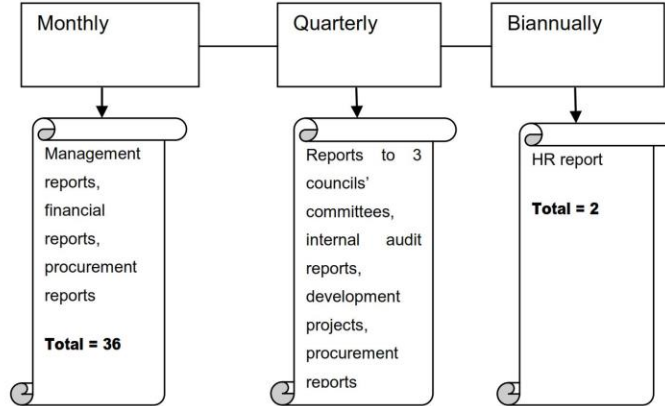
**Table 6.9: DCC commitments from MTSP on reporting for M&E information**

S/n	Type of Report	Recipient	Frequency	Responsible for preparation
1	Council Financial Report	PORALG, MoF	Quarterly	Treasurer and Economist
2	Council Development Report	PORALG, MoF	Quarterly	Treasurer and Economist
3	Implementation of ruling party election manifesto report	PORALG, Ruling Party, Regional Secretariat	Biannual and annually	Economist
4	Procurement report	PORALG, PPRA	Quarterly and annually	Head of procurement
5	End of financial year finance report	CAG	Annually	Treasurer
6	HR report	POPSM, PSC	Annually	Head of HR
7	End of MTSP results report	PORALG, MoF	After every 5 years	Economist

**Source:** Consolidated from DCC (2012:56) (*translation by author*).

The above table presents external report recipients, where the main ones are the parent ministry, POPSM, the Ministry of Finance, Dar es Salaam regional secretariat, and the Control and Auditor General. In summary, the DCC commits to produce not fewer than seven (7) types of reports for internal and external stakeholders. However, given the frequency of reporting, the DCC is obliged to produce a minimum of twenty-one (21) reports annually for external stakeholders. On the other hand, the DCC strategic plan mention sixty-two (62) reports annually for internal purposes, as calculated from the reporting frequency (a combination of all monthly, quarterly, bi-annual and annual reports). Figure 6.2 below discloses DCC intentions to develop this abnormally large number of reports on M&E information. Furthermore, the DCC have reporting commitments resulting from the sectoral development partners who support projects in the city. In total, the DCC has committed to produce a minimum of 83 external and internal reports annually, which is a large number for the local government entities.

**Figure 6.2: DCC exorbitant number of internal reports**



**Source:** Summarised from DCC (2012:55–57).

The Kasulu DC makes reporting commitments that links to the MTSP. The Council commits to produce reports for each department and a consolidated one for the whole LGA. According to the council MTSP, the narrative reports produced are linked to the MTSP objectives and indicators. The content of the report includes qualitative and quantitative achievements at output level, deviations from the planned activities, internal and external constraints towards implementation, and proposed solutions for addressing existing challenges (KDC2 2012:77). Furthermore, the reports present plans for the next planning period. The MTSP mention two biannual reports, one for the period covering January to June and another cumulative one that covers July to December and the whole range of achievements (KDC2 2012:77). In summary, existing evidence links elements of institutionalisation of M&E with Dar es Salaam CC and Kasulu DC reporting commitments.

### 6.7.3 Local government performance reports

The study reveals that 80 percent of LGAs under study were not in possession of the annual outcome reports, which are a requirement of the MTSPBM and budget guidelines. Instead, LGAs retrieved and shared performance reports in the form of the Council Development Reports (CDR) and the Council Financial Reports (CFR). The Kasulu DC developed an annual performance report for 2013/14 in addition to the CDR and CFR. In summary, the local government reports at input and output

levels given the nature of CDR and CFR reporting templates. In addition to an outcome report from Kasulu DC, this part presents analysis of the above CDR and CFR reports as collected from the LGAs.

The Dar es Salaam City Council cumulative report for the financial year 2013/14 presents objectives, targets and activities as presented in the Medium Term Expenditure Framework. In this reporting matrix, there are columns showing actual progress, estimated completion (as a percentage), the budget for the activity, and actual implementation. Under the actual progress column, two expressions are used: “*implemented*” and “*not implemented*”. However, of concern is when actual progress is recorded as not implemented, while estimated completion of an activity stands at 100 percent (DCC 2014b:21, 23–24). An example of this is a target to improve the Ubungo bus terminal where activities to realise this were: to rehabilitate parking bays; to provide working tools and equipment to Ubungo Bus Terminal staff; to provide employment benefits to UBT staff; and to create a conducive working environment, all aimed for completion by June 2014 (DCC 2014b:21). The above-mentioned discrepancy (level of reported activity implementation in words and percentages) is translated by the fact that the percentages represent expenditure rather than quantitative or qualitative aspects of implementation. In addition to this, the report does not carry details on why and how money was spent.

The M&E best practices do not support this type of reporting and measurement of performance. The DCC performance reports collected and used for this analysis are not detailed to the extent of providing details on the level of implementation – qualitative and quantitative aspects. The table below presents an extract from a cumulative progress report for the financial year 2014/15. The extract from the performance report matrix presented does not show the actual amount collected, that is, whether the DCC was able to collect 9 billion Tanzanian shillings (approximately ZAR 51,428,571)<sup>20</sup> as planned at the beginning of the financial year.

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<sup>20</sup> Exchange rate of ZAR to Tanzanian Shillings (1:175).

**Table 6.10: An extract from the DCC report 2014/2015**

No	Target	Activity	Actual progress	Estimated completion
1	Revenue collection increased from 5 billion to 9 billion by June 2015	To provide working tools to 12 staff by June 2014	Implemented	100 percent
		To follow up and collect revenues from 15 revenue sources by June 2014	Implemented	100 percent
		To establish new parking slots by June 2014	Implemented	100 percent

**Source:** Extracted from DCC (2014b:19).

The Ilala MC performance reports lack clarity, as with the DCC ones. In the health sector section, there is an activity related to facilitation of health service delivery. In the activity, the financial progress report show fund releases of 68 percent and 98 percent for the second and third quarter respectively. However, the physical progress report showed cumulative implementation standing at 68 percent for both quarters with no explanation about the cause of this discrepancy. While funds were added to this activity, the level of implementation remained the same (IMC 2016: Excel sheet DP05). The council uses phrases such as “part of implementation done”, “activity done this year”, “part of rehabilitation done” or “activity not done” to report on performance. In the facilitation of preparation of LAAC and assessment report activity, “implementation completed” is reported in all quarters. However, the last quarter reports the 40 percent as cumulative implementation. This type of summary cannot provide meaningful, relevant, reliable performance information that facilitates decision making at both a broad level and at more specific levels (IMC 2016: Excel sheet DP22). In some cases, IMC gives reasons for non-implementation. Ilala municipal council’s CDR of January to March 2015 reports in respect of non-implementation challenges reasons such as lack of funding, late disbursement of funds, or prolonged procurement processes. However, reasons for non-implementation of some activities of the education sector, works and administration were not provided in the report.

The Njombe TC reports highlights actual implementation of activities earmarked for implementation for the respective quarter. In this council, too, details of qualitative aspects of reports are limited and there are discrepancies within the same report. On construction of drainage system at Kibena Hospital, the activity aimed at renovating the sewage and drainage system by June 2012. The council reports of 100 percent completion on the second quarter, while implementation is carried over and continued to the third quarter. The report presentation in some activities shows continuity of activities, for example, an activity to survey and sell 1,000 surveyed plots. In this activity, progress is reported in terms of percentages and remarks provided for progress achieved (NTC report of 2013/14 DP03 excel sheet). As with other councils, NTC faces funds disbursement challenges in various service delivery activities. On late disbursement of funds, Tshs 75,292,413/= allocated for the education sector for 2013/14 financial year was disbursed in the fourth quarter. By the end of the financial year, the Njombe TC reported on disbursement of funds from the LGA to fourteen (14) secondary schools. The report falls short of actual implementation after disbursement as there was no time for monitoring and detailed reporting towards improvement of the learning and working environment (NTC 2014: Excel sheet 09).

The Karatu type of reporting differs from that of DCC, where the latter's reports carry more implementation details. The actual progress is stated as "implemented as planned" or "partially implemented" (KDC1 2015a:16). However, percentages for work completed are still pegged at expenditure, where in some activities percentage on actual progress and those of amount spent were the same. The remarks in the implementation column give reasons for that particular reported activity status even though, as was the case with the DCC, it is not clear enough to show the actual level of implementation. According to remarks stated in the reports, less revenue collected or received as a grant from the central government mostly causes underperformance.

The Kasulu DC state reasons for developing the financial year 2013/14 performance report to be

*"...showing how the council collected and spent funds to planned activities, challenges encountered and determine the way forward"* (KDC2:2014a:3).

The above-mentioned purpose stated in the Kasulu DC report shows the foundation in which the M&E system is anchored, which mainly centres on financial accountability than service outputs and results. The Kasulu DC reporting creates linkages between plans and budgets, that is MTSP and MTEF respectively (KDC2 2014a:2). The 2013/14 report presents performance by all sectors decentralised in the local government. Table 6.11 below presents the type of information extracted from the report.

**Table 6.11: An extract from the Kasulu DC 2013/14 performance report**

S/n	Sector	Selected achievements	Remarks
1	Water	Increase in number of people receiving clean water from 63 percent to 68 percent	5 percent increase shows progress and real achievement in service delivery
2	Education	2 classrooms, 5 teachers' houses, 8 pit latrines constructed, 2 hostels rehabilitated	This is output reporting but limited in showing outcome achievements
3	Agriculture	1 ward agricultural resource centre and sunflower processing centres constructed, formation of farmers groups	This is input and output reporting. Achievements link with vision to improve agriculture productivity (KDC2 2014b:5)
4	Health	Completed unfinished projects from previous years such as construction of the health facilities	Show continuity of plans and budget over years

**Source:** KDC2 (2014a:3–6).

The achievements presented in Table 6.11 show progress, for example, the percentage increase in achievements and the vision of the LGA on sectoral milestones. However, information provided in some cases is not sufficient to judge

that level of achievement with real needs and challenges of the sectors. Achievements presented under the education sector aim at improving work and the learning environment, and also staff retention. However, the reporting at output level does not give a picture of how the stated achievements create a movement towards students and staff satisfaction, motivation or retention. Likewise, in the health sector, the council aim at increasing access to health services from 60–67 percent. The health sector achievements presented in the table above cannot show milestones reached towards reaching of a desirable level of services.

#### **6.7.4 Summary of findings on local government reporting**

The reports collected from the local government present performance information in a limited way. The reports level of implementation is pegged at percentage of funds used against disbursed amount. The local government reports are attached to input and at most output levels. Reporting at outcome level is lacking across all LGAs under study. Both outcome and/or CDR miss the creation of linkages with performance indicators stated in the Medium Term Strategic Plans. The available way for creating linkages is through listing of activities in the reports and linking them with what is stated in the MTSP, MTEF and action plans. This creates a hurdle in presentation, analysis and use of performance information. The fourth quarter CDR reports on cumulative progress for the whole financial year, however, there is scant performance information reported in the quarters. Furthermore, local government reports could not carry the steps/milestones towards reaching intended achievements or outcomes. CDR carried sporadic remarks on implementation, which is not desirable to give clarity on use of the presented performance information in support for evidence-based decision-making and better performance management.

#### **6.8 Manifestation of M&E systems in the LG meetings**

Chapter five described the local government structures that included the executive and political sides. The public administration nexus is influenced by values of institutions and individuals from within and outside its business-operating environment. Furthermore, analysis of the public administration systems depends on the type of analyst, whose beliefs are grounded in or skewed towards a particular background or profession. Sociologists, historians, philosophers, political analysts, legal or governance experts possess varied ways of analysing the public service and



its systems. Misselhorn (2001), Dana (1993) and Lall (2003), cited in Sing (2014:9), create linkages between public administrators' work and political orientations. They describe forces operating between them as striving to create events and situations that best justify and advance one's goals and organisational goals, while focusing on becoming visible and building one's personal or official image. Nzimakwe (2014:38) asserts that the existence of democracy and good governance in public administration is linked to accountability and transparency of activities, also sharing and being able to defend the results. This part scrutinises reporting of performance information in the executive and political meetings at the local government headquarters level (Council Management Teams, Committees, and Full Council meetings). Furthermore, it looks at evidence for use of performance information in the five (5) LGAs selected for this study.

#### **6.8.1 Dar es Salaam City Council**

The second chapter of the existing DCC strategic plan mentions critical issues identified for attention in the next planning period (DCC 2012:36–37). The critical issue give evidence on use of performance reviews conducted by the LGA during the strategic planning review processes. The SWOC and stakeholders' analyses, the review of the level of implementation of objectives for the ending planning period, and the analysis of the operating environment painted a picture of issues that, if addressed, would either break or strengthen the council. The strategic plan carried a suggestion to conduct Service Delivery Surveys, study a collection of sectoral baseline data, and measure value for money and overall implementation (DCC 2012:36–28). The above-named suggestions aimed at creating an environment for using performance information in decision-making processes. The council addressed critical issues in the objectives set for the current planning period. Examples of this are a weaker M&E systems challenge addressed through Objective E, which mentions embracing the system in all DCC projects (DCC 2012:48). Service delivery challenges identified during performance review are addressed by various improvement measures (DCC 2012:41–44). The DCC had information missing from the minutes of executive and political meetings, and the council could not provide this information to the researcher.

### **6.8.2 Ilala Municipal Council**

Documents received from the Ilala MC show that the Council Management Team (CMT) holds meetings on a monthly basis. During these meetings, departments and units of the IMC report on progress in implementation. The reporting is done on a continuous basis through feedback received from the previous meeting in respect of matters arising. The minutes show performance reporting done on a monthly basis for the CMT and quarterly in the case of local government committees and the full council. The council meeting minutes record evidence of the MC reporting performance against planned achievements. In the period of the financial year 2015/16, the council planned to collect revenue amounting to Tshs 30 billion (approximately ZAR 171,428,571). In a period from July to December 2014, it was reported that the council had collected a total of Tshs 14,465,817,823.7/= (approximately ZAR 82,661,816), which is 48 percent of the annual target and 103 percent achievement for the October to December 2014 quarter. In the 5 May 2015 Full Council meeting, outstanding performance was reported on revenue collection for fish sales and abattoir charges, this being 207 and 100 percent respectively. However, with the exception of the revenue from the abattoir, success factors triggering achievements stated above are not described in the minutes, where the worst-case scenario could be the council setting underestimated revenue targets.

The proceedings show achievements for the period beyond the one being reported for a particular planning period. The Finance and Administration Committee sitting of 18 June 2015 reported an increase in the number of schools from 105 in 2013 to 111 in 2015. The pass rate reported demonstrates an increase from 61 to 70.5 percent in 2013/14 and 2014/15 respectively. The proceedings further report on health facilities revenue collection of Tshs 68,200,000/= (approximately ZAR 389,714), to be used for procuring four ambulances. On all of the above-stated achievements, either the reporting period is beyond the one reported for, or achievements lack clarity. Furthermore, presentation of the proceedings varies between activities. The proceedings present some activities against plans, while others present achievements only, without showing planned targets.

The proceedings of the Economy and Social Services Committee of 20 April 2015 informs of an activity related to registration of new primary school students for year

2015. The proceedings do not state the planned targets in terms of number or percentages. The report lacks recommendations for improvement or plans attached to the above-mentioned performance information. In extreme cases, the committee received and endorsed a report from the Head of Secondary Education, who presented a profile of the council's secondary schools without details of actual implementation and achievements for the reporting period (IMC 2015f:6). In the minutes of the same meeting, the Health department report for a period covering January and March 2015 states as follows:

*"...The health department is one of 13 that exists in the MC ... it has about 1,220,611 inhabitants, 595,928 men and 624 (women) ... The department is divided into five sections ... It has 1,510 staff, which is 89.4 percent of the required establishment"*  
(translation by author) (IMC 2015f:6).

The reporting displays the same shortcomings as the one presented for education in the same paragraph. Peculiar to the health department one, no activity/achievement was reported other than selected MC and health department profiles. Despite the above-mentioned shortcomings, there is evidence of a movement towards monitoring and evaluation and use of performance information. First, the minutes follow up on implementation of the previous meeting's deliberations; and second, departments and units of the MC present their performance reports for the existing reporting period (IMC 2015a:4; IMC 2015b:1). Furthermore, the council presents lessons learnt and challenges related to implementation on areas of inadequate staffing, lack of office space, inadequate resources, and insufficient working tools. The minutes record suggestions to improve performance and use of performance information. The council plans to add more technical staff to the council, follow up on the reported agenda items, and recommend taking disciplinary action against some members of staff, to mention but a few.

The IMC political forums acknowledge good performance (IMC 2015a:7). However, evidence indicates the political committee's endorsement of insufficient reports presented by technical and sectoral departments of the IMC. The Planning, Statistics and Monitoring department is in charge of all planning and M&E activities of the council. In their October to December 2014 reporting, the department states its key functions as: to monitor and inspect implementation of development projects;

preparation of weekly reports; preparation of monthly BRN reports; and preparation of LAAC reports (IMC 2015a:8). The above-mentioned functions are the only ones reported as performance for the quarter. This type of reporting lacks clarity, fails to show achievements against planned activities for the quarter, or exposes implementation gaps.

As stated earlier, the political forums acknowledge good performance (IMC 2015c:6–8), and in addition, they use that information to reward good performers. The rewarding of good performers starts with acknowledging the contribution of various council staff to the level of cadres responsible for the achievement. In IMC (2015c:7), the minutes state *"the mayor instructed the executive to reward teachers and education officers of schools with good performance"* (translation by author). In the same minutes mentioned above, the Full Council recommended and rewarded various political and executive officials in this manner:

- MC Mayor for managing the Full Council meeting proceedings well;
- Director of IMC for good supervision of construction of school labs; and
- Chair of Finance and Administration Committee (reasons not stated).

The above-mentioned awards continue to emphasise IMC acknowledgement of performance or results. However, the rewards given are not directly related to specific performance information. The minutes cannot show details on direct correlation between rewards and contribution made by the rewards recipients. It is important to note that there are a few rewards given which can be linked to achievements and performance information. The Ilala MC Director received an award for achieving 72 percent of the Big Results Now programme targets.

### **6.8.3 Njombe Town Council**

The study found that Njombe TC Council Management Team meetings review and deliberate on recommendations made at previous sittings. Unlike the political meetings proceedings, the executive ones are more precise, giving clarity on decisions and next steps for addressing existing challenges. However, incidences exist where the presentation of departmental reports lacks clarity and the details necessary for facilitating use of performance information. An example of this is found in the CMT proceedings of 8 February 2016 for the internal audit and health

department, where it is written: “... *recommendations received as presented*”, while there is no mention of the said proposals. Revenue collection and expenditure dominate CMT meeting discussions, and there are no clear linkages between financial and service outputs described in the Njombe TC strategic plan. Furthermore, with the exception of revenues, the report does not make reference to previous planned quarterly or monthly plans.

Just as with IMC and NTC, the Njombe TC Full Council held on 28 January 2016 mentions that revenue collection is a key performance output for the council (NTC 2016e:2). The Committee advises on revenue collection enforcement measures (NTC 2016a:4). The political meeting proceedings advise the executive on follow-up for performance management and operational issues related to performance improvement, and propose disciplinary actions based on poor performance for council's staff. Furthermore, the Finance and Administration Committee challenges the TC performance, particularly employees related to the water sector (NTC 2016a:6). It was noted that in some planned Full Council sittings, reports of the political committees (Economy, Health and Education Committee; Urban Planning and Environment; and AIDS Control Committee) had not been presented because they were yet to be confirmed by the respective chairpersons, even though the committee meetings were held two weeks in advance (NTC 2016e:6). The proceedings of the meetings mention that challenges for implementation include inadequate staffing and capacity at all levels of the TC.

#### **6.8.4 Karatu District Council**

The Council Management Team meetings are held on a monthly basis or at least twice a quarter. There is evidence that reports indicate progress against planned targets, particularly on revenue collection (KDC1 2014:6). In the proposed agendas for 24<sup>th</sup> March 2014 and 2<sup>nd</sup> and 6<sup>th</sup> November 2015 CMT meetings, there is no reference made to the MTSP, or Action Plans. The agendas links with MTEF as found in the revenue and expenditure reports. The NTC departmental reporting includes discussing matters arising from previous committee meetings; activity implementation reports per department; and suggested planned activities based on actual levels of implementation (KDC1 2014:2).

In the Njombe TC presentation above, it was reported of political meetings advising on performance and ways to increase revenue collection. Karatu DC practises the same as Njombe TC. The study observed both executive and political meetings making the same levels of decisions and advices (KDC1 2014:7, 9). The Local Government Finances Act (Cap 290) made under Section 45 of the Local Government Financial Memorandum gives guidance on mandates related to local government finances. Part II of Section 6(c) states one function of the LG Administration and Finance Committee to be *“considering and recommending changes to the rates of all taxes, fees and charges made by the Council”*. The executive mandate through the Director lies solely in ensuring compliance with financial management regulatory frameworks, as well as managing, monitoring, and reporting on finances of the council. The distinction is clear; therefore, the executive can advise on amendment of fees and on not taking decisions on the same.

The Karatu DC political meeting proceedings record members questioning overall performance, mostly on revenue collection. The Full Council meeting held on 2 February 2016 recommended solutions for addressing health sector service delivery challenges in the next year's action plan (KDC1 2016b:11). This provides evidence for use of performance information. In the Council, an element of mistrust is detected between the executive and the politicians. The latter are demanding their involvement in several day-to-day operational works of the executive through site visits and the formation of task forces (KDC1 2013:10; KDC1 2016a:6–7, 10). Furthermore, the political committees revoke executive decisions (KDC1 2013:8). The political sittings demand accountability for poor performance on revenue collection and sectoral activities. The Full Council is recorded as heaving set deadlines for completion of selected activities. It is important to note that the council is a highly contested political battlefield between the governing and opposition parties (CCM and CHADEMA).

#### **6.8.5 Kasulu District Council**

The study observes that Council Management Team meetings are held at least once every month. An example of the above is CMT meetings held on 10 May 2013, 26 June 2013, 7 July 2013, 6 July 2015, and 18 August 2015. The Full Council meetings convene as per statutory requirements, that is, on a quarterly basis. Reporting of

performance at both Kasulu DC executive and political meetings follows more or less the same trends as those of the Ilala MC, Njombe TC and Karatu DC. It is observed that reporting in meetings, except in a few cases, is done based on activities implemented per quarter or month and hardly ever against planned activities. Other notable observations include the CMT meeting and discussing preparations for political meetings that is, preparing and endorsing reports for submission, or working on issues raised by previous political meetings. The executive is responsible for reporting to the political committees and full council. They are, however, also in charge of managing council performance and making performance-related decisions to be reported on and approved by the political forums.

Some CMT meeting proceedings such as that of 7 July 2013 had not recorded all council reporting on performance. The proceedings presentation failed to record what was reported in the meetings; however, discussion of the report shows discussions of some activities implemented by the sectors. One activity can be discussed per sector, and clarity lacks on whether that was the only activity presented for the reporting period. Both executive and political meetings use phrases such as “report received” or “report endorsed” without providing more details. Some proceedings did not show actual decisions taken on matters in discussion and It was not established whether there were challenges in recording or if the actual decisions were not taken by the forums. In other councils, a striking difference existed between reporting on revenue collection and reporting on other activities. In Kasulu DC, incidences exist where reporting on revenue was recorded without showing actual progress (in quantitative or percentage form), for example, through Agenda No KSL/HW/06/05/2013 of 10 May 2013.

## **6.9 Local government M&E: M&E / M or E?**

A clear distinction exists between monitoring and evaluation, even though they complement and support each other despite their being different. An effective performance management system will also embrace both monitoring and evaluation. Chapter one provided definitions of these processes. This part will analyse if Tanzania’s local government is practising both monitoring and evaluation, or only one or other of the two. The analysis will be based on the key context of monitoring and evaluation, as defined in chapter one and described further in chapter three. For the

purpose of this analysis, monitoring refers to an ongoing or continuous internal function related to measuring progress against inputs or activities. Evaluation, on the other hand, looks at whether local government conducts periodic assessments for measuring relevance, effectiveness, efficiency, impact, outcome, sustainability, or cost effectiveness.

### **6.9.1 Local government M&E arrangements**

Primarily, not all five LGAs produced a separate council M&E document, apart from the M&E or results frameworks presented in the respective Medium Term Strategic Plans. Planning for and reporting on resource utilisation and project implementation form the basis for M&E in local government. The M&E arrangements of the local government are a multi-faceted process involving several actors as discussed below.

#### ***Internal M&E systems***

LGAs collect, receive and review data and other information on the progress of activity implementation for their own internal evaluation. The councils' technical personnel collate performance information and in accordance with procedure, it is reported to residents in the area of jurisdiction to which the council is accountable. The reports cover council performance on issues of governance; service delivery; internal supervision; coordination and controls; management of own-source revenues; financial reports; implementation of local projects; and also progress in management of administrative functions such as HR. As part of the planning process, LGAs apply a retrospective analysis on performance to determine future projections for requirements. Oversight institutions such as CAG assess local government accountability in management and utilisation of public funds with a mandate to propose punitive action in cases of non-compliance. All of the above involve movement of some type of the M&E system.

#### ***M&E systems for projects implemented by the local government***

LGAs possess multiple accountability channels and requirements. The central government monitors projects of the local government the funding (in some cases with considerable support from development partners). The LGAs receive such funding through government planning and budgeting frameworks. The funding comes



with clear reporting formats categorised into sector projects in line with the funding partner's involvement in development programmes. Such programmes include sectoral ones such as agriculture, water, health, education, and other capacity-building initiatives. The above-mentioned programmes/projects come with specific M&E arrangements.

#### ***Development partners in M&E systems***

In the spirit of cooperation with the government, development partners (DPs) support programmes by making available resources for projects implemented by the local government. DPs put in place procedures for M&E which suit their policy and reporting requirements. The local government receiving such support aligns with or adopts various M&E systems to suit the DP's requirements.

#### ***Other policy- and non-policy-driven M&E systems***

Several other actors possess some level of "authority" to conduct evaluative measures in the local government for purposes of political processes or reasons outside the government's routine procedures. The governing party, district and regional authorities or officials enquire about local government performance. As such, the current governing party (CCM) demands and receives the Election Manifesto Implementation, so is the Parliamentary Local Authorities Accounts Committee (LAAC). The above come along with demands for data collection, data analysis, reporting and use of performance information).

#### **6.9.2 The status of LGAs' M&E systems**

The Dar es Salaam City Council presents the results framework in chapter four. The chapter defines and distinguish between monitoring and evaluation. Furthermore, it states scope of both monitoring and evaluation. Chapter four of the DCC strategic plan guides monitoring activities, for example, linking it with performance indicators. It further guides on development and use of indicator target values, data collection methods, frequency of data collection and means of verification (DCC 2012:53). On the other hand, the MTSP state evaluation has a comparison between DCC objectives and actual results. The DCC results framework further states the types

and frequency of reporting. However, the chapter overlooks both the monitoring and evaluation plans.

The Ilala MC mentions the purpose for developing the strategic plan in a way that relates to monitoring and evaluation. The document states its aim as being “... to outline key priorities for implementation, monitoring and evaluation during the 2012/13–2016/17 planning period” (translation by author). The municipal council further mentions performance indicators that can be used to measure performance. However, data collected from Ilala MC fall short of requirements and guidance extended by the MTSPB manual and M&E Framework.<sup>21</sup> There was no evidence to show the existence of the monitoring, evaluation, review, and reporting plans of the municipal council. In summary, the council has not set an organised M&E system to facilitate monitoring and evaluation of performance.

The Njombe TC mentions M&E arrangements for measuring the council's performance. The council's Medium Term Strategic Plan for 2011/12 to 2015/16 includes the Results Framework chapter. The chapter aims at measuring results envisioned in the Njombe TC strategic plan, as well as benefits accrued to its direct clients and stakeholders (PMORALG NTC 2011:83). The chapter starts with presentation of the council's overall development objectives and outcome indicators. Njombe TC presents outcome indicators and output indicators, linked to the objectives. A detailed analysis of local government indicators, including for Njombe TC, was presented under section 6.7. The outcome indicators provide a conducive environment for conducting evaluation studies, for example, one related to reducing poverty, or increased access to clean and safe water.

The Njombe TC strategic plan highlights composition of the monitoring plan to include: performance indicator description; the baseline for each performance indicator; indicator target values; data collection and methods of analysis; indicator reporting frequencies; and responsibility for reporting on the indicator. However, the MTSP has not presented the monitoring plan; nor has it been retrieved from other council documents. The M&E systems developed for the council further lack the

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<sup>21</sup> The framework in reference was developed by the President's Office-Public Service Management in 2014, and applies to both the central and local government public service institutions.

reporting and evaluation plan. The MTSP provides directions on annual reporting of outcome indicators and tracking of the same on a quarterly basis. Furthermore, as part of monitoring and evaluation systems designed by the Njombe TC, the MTSP guides on the conduct of periodic performance reviews as follows:

- Three (3) annual reviews conducted, based on outcome performance indicators;
- Quarterly reviews assess activities implemented towards achieving of output or targets. The reviews specify whether implemented activities are moving towards achievement of targets, identifying implementation risks, and recording lessons learnt (NTC 2011:98–100); and
- End of third year mid-term assessment of progress made for each planned outcome, recording challenges encountered, and proposing solutions for addressing them in the remaining planning period.

The Kasulu DC presents its M&E system in chapter four of the Medium Term Strategic Plan that covers 2011/12 to 2015/16. The council describes the scope of monitoring to be the tracking of implementation progress, while evaluation is an objective appraisal of specific strategic plan milestones (KDC2 2012:74). The 2013 Annual Report declare councils' vision for M&E as

*“...close supervision and monitoring of projects in order to increase quality, maintain efficiency and certification of level of implementation of projects” (KDC2 2013:4).*

The Kasulu DC sets structures and responsibilities for monitoring performance, as shown in Table 6.12 below.

**Table 6.12: Structure and responsibilities for monitoring performance**

S/n	Name/Title	M&E responsibility(ies)
1	Council Reform Team (CRT)	Monitor MTSP implementation; prepare council's annual facts and figures
2	DED	Appoint day-to-day monitoring officer; appoint a team of internal experts for periodic monitoring; chair CRT
3	Monitoring Officer	Monitor day-to-day implementation; act as secretary to CRT; prepare and issue monitoring guidelines; prepare data collection instruments and reporting formats; define M&E roles for departments; determine type, schedule and flow of performance information; disseminate information received from council's stakeholders; organise bi-annual performance reporting forums
4	Heads of departments	Collect information on level of implementation (inputs, activities)

**Source:** KDC2 (2012:74–75).

The Monitoring Officer carries demanding monitoring responsibilities, as indicated in Table 6.12 above. The responsibilities summarised in the table above, however, do not indicate how the officer is linked with the council's department responsible for planning and statistics. Chapter five presented the local government structures and indicated the above-mentioned department as overseer and coordinator of planning and M&E systems. The council presented the reporting plan that includes two (2) bi-annual strategic plan implementation reports. The M&E system prescribes the report in order to present qualitative and quantitative aspects of implementation as being on target or at output level; the challenges faced; and lessons learnt for improvement (KDC2 2011:76–77). However, the reporting period (January to December) differs from the government financial year (July to June). Furthermore, Kasulu DC reporting suggestions fall short of requirements for local government planning, M&E, and reporting, for example, annual reporting based on activities and outputs; failure to make reference to the outcome indicators; and inconsistencies with local government planning and reporting frameworks. The annual report 2013 does not conform to the suggested January to December reporting period, and also was not based on outcome indicators. The Kasulu DC stands to be the only LGA with a elaborate section of an evaluation plan within the MTSP. The plan sets the purpose for

conducting evaluation. The council mentions internal and external evaluators' roles and how evaluation findings feed into review and development of annual plans. However, the plan does not mention the type of evaluation studies to be conducted during the planning period.

### **6.9.3 Local government monitoring and evaluation of performance**

Chapters one and three showed the distinction between the two examples of terminology, that is, monitoring and evaluation. The distinction between monitoring and evaluation shows a complementary nature. However, in practice, three situations can occur in an organisation. First, monitoring can exist in an institution without evaluation. Second, the two can exist together with one being dominant over the other. In many cases, monitoring overrides evaluation. Thirdly, there is an ideal situation where both monitoring and evaluation are given prominence, are practised, and complement one another.

This chapter also presented the status and operationalisation of the M&E systems in five (5) LGAs.

Table 6.13 below presents a summary of existing M&E systems. It displays the content of the systems that pull or push local government to conduct performance monitoring rather than evaluation. The demand for evaluation studies is non-existent in an environment where the local government lacks review and evaluation plans. Table 6.13 further shows that only one out of five LGAs possessed an evaluation plan as mentioned in the MTSP, which was also not as detailed as possible and did not mention envisaged evaluation studies for the council. Furthermore, only 40 percent of the local government MTSPs refer to review plans, which include annual reviews based on performance indicators. This is a good way of promoting evaluation in the local government.

**Table 6.13: Summary of compliance of M&E frameworks with the MTSPB manual**

S/n	Content of M&E framework	DCC	IMC	NTC	KDC1	KDC2
1	Results chain	x	x	x	x	x
2	Monitoring plan	Mentioned but not presented	x	x	x	x
3	Evaluation plan	Mentioned but not presented	x	x	x	✓
4	Review plan	Mentioned but not presented	x	✓	✓	x
5	Reporting plan	✓	x	x	x	x
6	Performance indicators	✓	✓	✓	x	✓

**Source:** DCC (2012); IMC (2012); NTC (2011); KDC1 (2016c); KDC2 (2011).

Despite sporadic existence of factors to support evaluation, the findings show that evaluation is not practised by the local government entities. Findings demonstrate that councils do not conduct evaluation studies as none of them could retrieve evaluation report(s) conducted by the council. The factors for non-existence of performance evaluation in the local government is as listed below:

- Not all LGAs possess outcome performance indicators, as previously described in this chapter, necessary for creating demand for evaluation;
- Performance measurement is done based on inputs and activities instead of outcome performance indicators, as required by the MTSPBM;
- There is an inadequate demand for performance evaluation;
- The local government reporting formats and templates do not push the local government performance evaluation;
- The council's executive and political forums do not demand performance evaluation information, but would rather monitor implementation progress. The supervisory visits conducted by the same mostly track activities such as implementation and financial accountability;

- The local government develop a substantial number of reports such that the executive cannot have a mental space for designing and managing performance evaluation studies; and
- The local government entities are financially constrained. Performance evaluation demands a considerable amount of financial resources which are in most cases not available.

Dooren, Bouckaert and Halligan (2015:7) describe the purpose of performance measurement as being related to: an organisational objective or the need to use data for performance improvement; compliance with regulatory frameworks that create a demand for data collection and processing; and a response to demand-side pressure for performance information. According to the authors, the three together or separately lead to effective M&E systems. The local government entities under this study expressed a desire to conduct performance evaluation. The local government M&E regulatory frameworks and key planning documents such as MTSP acknowledge the usefulness of and commitment to performance evaluation. However, as presented in this chapter, adequate demand for performance evaluation information does not exist. The findings show performance review, MTEF, and Action Plans without reference to planning or reporting on evaluation interventions.

Tanzania, just like many developing countries, faces a number of challenges in respect of performance evaluation. An assessment of the Uganda M&E system revealed challenges such as: accountability based on spending rather than performance measure; the collection of too much data that is not balanced by demand and capacity to use data; overlapping institutional arrangements; and evaluations conducted at national or sectoral levels and not within local government entities (Imas & Rist 2009:70). The developing countries face similar challenges on performance evaluation, such as inadequate demand for the evaluation systems. There is lack of ownership and inadequate public service institutional capacities (Imas & Rist 2009:61). An analysis of the current state of M&E systems in developing countries (policy; indicators and data; institutionalisation and coordination; capacity and funding; involvement of non-governmental actors; use of M&E products) reports considerable efforts and some achievements on the one hand, and striking deficiencies on the other (DeLoG Secretariat 2015:viii). Countries do acknowledge

the usefulness of M&E and some have established “piecemeal” M&E or “pockets” of M&E at the local government level (DeLoG Secretariat 2015:viii).

All of the above-mentioned challenges affect Tanzania’s local government. The Local Government Monitoring Database (LGMD) and other data systems capture monitoring information reported on a monthly, quarterly or annual basis rather than evaluation. Furthermore, a weak national evaluation system cascades to the lower government systems. The central government fails to conduct robust performance evaluation, and the same is reflected in the local government. The government is yet to develop an evaluation policy or guidelines, and reporting frameworks that create demand for performance evaluation information.

#### **6.10 The local government “management of performances regime”**

Chapter three presented the relationship and differences between performance measurement and performance management. The two terms differ in scope where performance measurement ends with performance reporting. On the other hand, performance management continues from where performance measurement ends by advancing into use of performance information in institutional decision-making processes. Chapter three presented arguments that meaningful performance measurement is followed by management action. Chapters five and this one presented levels of institutionalisation of M&E in Tanzania’s local government.

The findings presented show some degree of performance measurement being employed in all five (5) LGAs. The levels of institutionalisation of M&E relate to the extent of performance measurement undertaken by the LGA at any given time. The LGAs under study possess almost the same levels of institutionalisation of M&E. As described in chapters one and three, the level of institutionalisation depends on availability, applicability, and operationalisation of the M&E elements. The findings present local government entities with almost similar levels of operationalisation of elements of M&E (planning, data collection and analysis, reporting, and use of performance information). The similarities in levels of institutionalisation of M&E derive from the fact that the local government is guided by similar regulatory frameworks for management and accountability practices. The frameworks in question were discussed in chapters four and five of this study.



**Table 6.14: Summary of the LG level of institutionalisation of M&E elements**

S/n	M&E element	Details of the M&E element	Summary				
			DCC	IMC	NTC	KDC1	KDC2
1	Defining measurement object	Strategic/business plans informed by M&E information	Partially	Partially	Partially	x	Partially
		Annual plans cascaded from the main plan	Partially	Partially	Partially	x	Partially
		Institutional structure(s) for facilitating M&E functioning	Yes	Yes	Yes	Yes	Yes
2	Formulation of indicators (or M&E system)	M&E systems/framework that is linked with institutional plans	x	x	Partially	x	Partially
		Indicators measuring various levels of implementation	Yes	Yes	Yes	x	Yes
		Budget to support M&E activities	Partially	Partially	Partially	Partially	Partially
		M&E policies, tools, procedures in place	Partially	Partially	Partially	Partially	Partially
3	Data collection and analysis	M&E plan setting out data collection mechanisms	x	x	X	x	x
		Monitoring data collected on periodic basis	Yes	Yes	Yes	Yes	Yes
		Evaluations conducted by the local government	x	x	X	x	x
		Available IT infrastructure to support M&E data analysis	Partially	Partially	Partially	Partially	Partially
4	Reporting	Performance reports generated from the M&E system	x	x	X	x	x
		Performance information produced widely shared with internal and external stakeholders	Partially, internal	Partially, internal	Partially, internal	Partially, internal	Partially, internal
5	Use of M&E information	Structural arrangements/regulations to enforce use of performance information in place	Yes	Yes	Yes	Yes	Yes
		Sanctions and rewards decisions taken against performance	Partially	Partially	Partially	Partially	Partially
		Decision-making processes (planning, budgeting, implementation approaches) and meetings making reference to M&E information e.g. performance indicators and reports	Partially	Partially	Partially	Partially	Partially
		Strategic plans reviewed based on performance information	Partially	Partially	Partially	x	Partially

**Source:** Compiled by Author 2017 [using information from: Lahey (2015:1–5); Ammons and Roenigk (2015:515–516); Mngomezulu and Reddy (2013:91); Van Dooren and Thijs (2010:177, 182); Osborne (2010:9–10, 264); Bouckaert and Halligan (2008:21); Rhodes et al (2012:239); Kusek and Rist (2004:21–22, 151); Mackay (2007:23–24)].

**Key**

- Yes** – the element exists and is used by the local government  
**x** – the element does not exist or is not used by the local government  
**Partially** – the element is in use but not in a limited/minimal way

Table 6.14 presents a summary of level of institutionalisation of M&E elements in Tanzania's local government. The partial existence of M&E elements means that the local government possesses or is implementing part of the M&E element. The same also means the element is operationalised in a limited way and not as described in chapters one and three. An example of partial embracing of the M&E elements exists in the use of performance information for rewarding and sanctioning, where some LGAs reward without sanctioning and vice versa. Performance information sharing faces limitations, with evidence showing it is done internally within LGAs, and also within the central government institutions. The data collected did not provide information to show endorsement for sharing performance information with external stakeholders.

The study found that external and internal factors influence the level of institutionalisation of M&E. The determinant factors for a performance management regime are internal and external creation. Findings show that the central government, oversight institutions, and development partners influence: setting of M&E tools and procedure; set-up of M&E elements; structural arrangements to enforce use of performance information; and arrangements for sharing of performance information. The M&E systems create a spill-over effect in terms of creating efficiencies and effectiveness for service delivery. An outlier on performance measurement lies with the Karatu District Council, which possesses neither the Medium Term Strategic Plan nor performance indicators. Notwithstanding, the Karatu DC follows the same annual planning and reporting processes as other LGAs. Because of the lack of some elements of institutionalisation of M&E, the Karatu DC will eventually fail to measure performance in a progressive manner, thereby affecting reporting and use of performance information.

The analysis of field data concludes that the LGAs under this study belong to the “*management of performances performance management regime*” (as described by Bouckaert and Halligan (2008). Below this regime is the “*performance administration regime*”, while above it is the “*performance management regime*”. Data indicate that LGAs have passed the performance administration regime but are yet to reach the performance management one. All the LGAs have passed from the stage of registering administration data to having specialised performance measurement systems. The LGAs do not have hierarchical performance measurement systems that belong to the performance management regime category.

The “management of performances” regime possesses certain characteristics that are found in the LGAs under study. The characteristics as described by Bouckaert and Halligan (2008) and found in LGAs are as listed below:

- Institutions acknowledge performance management. This is evidenced in the respective Medium Term Strategic Plans, the minutes of executive and political meetings, and periodic performance reports;
- LGAs connect management and performance through objectives in the MTSP, which connects the two with proceedings of the executive meetings. The LGAs, however, do not connect the two in a comprehensive, coherent manner, as described by the third regime;
- The existence of concurrent systems of performance management (HR, budgets, audits, sectoral). The local government develops and/or operationalises M&E systems for HR (OPRAS), budgets, audits, and sectoral M&E systems developed in collaboration with development partners or sectoral ministries. The findings presented data to show the existence of various initiatives to strengthen elements of institutionalisation of M&E in the local government;
- Existence of differing performances for different purposes stemming from M&E systems and monitoring interventions;
- The performance management regime carries some degree of sophistication and development, up to driving an improvement-and-reform process in other functions. An example of this is found when performance information

generated from budget and audit systems influences decision-making processes for HR.

- Performance measurement systems are not integrated or connected, which results in the generation of fragmented performance information. Bouckaert and Halligan (2008) describe this regime as having performance measurement systems that are not very consistent, comprehensive, or integrated. The LGAs are yet to reach the systemic internal integration characteristic found in the third regime, which is called “performance management”; and
- Performance information feeds into a disconnected set of management functions. Information is not connected when making decisions in the managerial or political forums.

### **6.11 Conclusion**

Chapter six addressed research objectives two and three, that is, how the local government operationalises M&E systems, and the relationship between the extent of institutionalisation of M&E and performance management. The chapter concludes that the genesis of the local government M&E systems lies with planning. Institutionalisation of the M&E processes lies and starts with planning at national and institutional levels. There is a direct relationship between M&E systems and the Medium Term Expenditure Framework (MTEF), as the latter provides a forum for conducting periodic performance assessment of the local government through SWOC/T analysis and performance reviews of previous planning and budgeting periods. The chapter asserts that MTEF processes link with the institutionalisation of the M&E elements of planning, data collection, analysis, reporting, and use of performance information. The study findings show that there are action plans from the five LGAs that are partially linked to the MTSP or MTEF.

Findings ascertain a causal relationship between the state of the M&E systems and political, social, economic, technological, and global factors. The study found that the above-mentioned environmental factors shape the way in which local governments conceive and design M&E system(s) and their operationalisation. The chapter presented the elements of institutionalisation of M&E as a way of analysing Tanzania’s local government M&E systems. The study found out that 80 percent of

the local governments under study possess the five-year MTSP. The local government MTSP carries varied planning levels and performance indicators that affect processes related to data collection, analysis, reporting, and the soundness of M&E information produced by the local government. All local government strategic plans were found to have common elements in terms of content; however, significant differences exist in the level of details and analysis of the performance reviews.

The findings show that LGAs do not use performance indicators to review their performance, nor do they provide enough details depicting the exact level of implementation. The study reveals that local government uses inputs, activities, outputs and outcome indicators in their MTSPs. However, they develop a superfluous number of indicators, which pose a challenge to data collection, analysis and reporting. LGAs possess vague performance indicators that lack clarity on real performance measurement. It was further revealed that LGAs are not in possession of comprehensive M&E data collection and analysis tools. The local government uses data collection and analysis tools developed by central government and other stakeholders to collect performance-related information. The performance information data collection, analysis and databases of the local government are not coordinated and integrated. This situation contributes to local government duplication of efforts and challenges the use of performance information generated for various purposes and sources. Local government monitoring databases do not collect information for various users (central government, DPs, the governing party, the public), and they are not integrated.

The chapter assessed reporting and use of performance information as key elements of the institutionalisation of M&E. The study reveals that reporting is not directly linked to the MTSP or the performance indicators. LGAs report to the executive and political forums on a periodic basis (monthly, quarterly, biannually, and annually). Both executive and political forums acknowledge good performance and sparingly recommend sanctioning of poor performance. However, the study findings show that reporting and discussions of the LG meetings centres mostly on revenue collection and expenditure. Evidence shows that LGAs receive and endorse incomplete sectoral reports, with some not being directly related to a specific planning period.

All of the above findings tell a story about the status of the local government M&E systems. The results resemble those presented by DeLoG Secretariat (2015:19) which paint a picture of developing countries' M&E systems that are at the level of developing concepts, plans and architecture, with limited progress on operationalisation of the same. Shortcomings related to performance indicators, data collection, data analysis, M&E databases, reporting, and use of performance information portray weaknesses of the M&E systems. All five LGAs do not possess a standalone M&E system document, but rather mention it in their Medium Term Strategic Plans. The presented M&E systems fall short of requirements such as inclusion of monitoring and evaluation plans. The M&E arrangements are not comprehensive enough to make monitoring and evaluation by the local government meaningful. As such, the study found that all the LGAs under study monitor but do not evaluate performance. Furthermore, limitations to having a robust M&E system push the local government towards the "management of performance regime", one of the performance management regimes described by Bouckaert and Halligan (2008).

## **CHAPTER SEVEN: SUMMARY OF FINDINGS, RECOMMENDATIONS, AND CONCLUSIONS**

### **7.1 Introduction**

Chapters five and six presented data and information collected from Tanzania's local government. The findings indicated a direct correlation between regulatory frameworks guiding M&E and the state of M&E institutionalisation in the local government. The chapters presented the extent of adoption of M&E elements of planning, setting of performance indicators, data collection and analysis, reporting, and use of performance information. The findings also revealed shortcomings of and bottlenecks in the local government M&E systems. The mentioned shortfalls call for improvements, which forms the starting point for this chapter.

Chapter seven summarises and interprets findings as presented by the two previous chapters. The chapter summarises the research findings by highlighting key findings as related to the research problem, objectives and questions identified in chapter one. It also suggests conditions and the set-up of an ideal M&E framework for Tanzania's local government. The suggestions consider the existing local government operating in a social, political, economic, technological and global environment introduced in chapter two and described in chapter six. Furthermore, the chapter considers the infancy stage of the local government M&E systems, also mentioning challenges facing all elements of institutionalisation of M&E. Previous chapters highlighted other countries' M&E frameworks, particularly with regard to successes, weaknesses and challenges. Chapter seven therefore refers to their experiences, particularly pull-and-push factors for M&E systems of the public service institutions. The chapter offers recommendations for strengthening M&E systems for adoption by the local government, which include policy interventions necessary for spearheading service delivery improvements, and effective use of performance management and M&E in the local government. The study ends by recommending further academic work on service delivery, performance management, monitoring and evaluation that could not be covered by this research.

## **7.2 Summary of findings**

It is an indisputable fact that governments are under extreme pressure to deliver quality services to the citizenry and show results. The public service institutions evolved over time, and so were the ways devised for communicating performance and showing accountability. The study analysed Tanzania's local government M&E systems. The study paid a particular attention to the institutionalisation of M&E (M&E), and how it influences local government performance management. The study acknowledges that M&E systems form an integral part of performance management and contributes to service delivery. The study investigated the extent to which M&E was adopted and integrated into day-to-day business of LGs, ranging from organisational structure, management or decision-making structures, staffing, work practices, use of technology and reporting.

The study's main objective was to assess the institutionalisation of M&E in Tanzania's local government to establish its relationship with the performance management regime of an institution. The main question was: "to what extent can M&E be institutionalised for an effective performance management of Tanzania's local government?". The study further aimed at answering the following research questions:

- a) What are the catalysing factors contributing to or deterring institutionalisation of M&E?
- b) How do local government operationalise M&E?
- c) What is the relationship between the extent of institutionalisation of M&E and performance management?
- d) What are the prerequisites, environment and necessary elements of institutionalisation of M&E necessary for improving performance management of local government in Tanzania?



## **Summary of the research findings**

### ***Research question one: What are the factors contributing to or deterring the institutionalisation of M&E?***

The question aimed at registering factors leading towards or against effective operationalisation of the M&E systems. In answering the question, chapters one and three defined and highlighted M&E systems, elements of institutionalisation, and factors contributing towards building of successful M&E systems. Chapter two described the public administration business-operating environments that also affect M&E systems positively or negatively. The study mentions factors contributing to or deterring effective institutionalisation of M&E as: demand for performance information that is generated from M&E systems; low budget for carrying out both M&E interventions; institutional and HR capacity to develop, management and sustaining M&E systems (capacity building); ownership of the M&E system; and the political will to champion the same through incentives, sanctions, demand; use of performance information; and clear roles and responsibility for M&E across the public service and institutions.

The question was further answered through highlighting of the experience of building M&E systems in Rwanda and Kenya (in chapter three) and the Republic of South Africa (in chapter four). All of the mentioned countries' M&E systems were fitted into the elements of institutionalisation factors, and analysis was conducted based on the push-and-pull factors for effective M&E systems. In the two East African countries, M&E systems are still at developmental stages. Both countries have developed national institutional structures and guidelines for M&E systems. Rwanda is ahead of Kenya by applying rewards and sanctions related to compliance with operationalisation of the M&E systems and the establishment of data management systems. On the other hand, RSA has a comprehensive, detailed M&E regulatory frameworks and institutional arrangements. The country, however, faces challenges of inadequate demand for M&E information, patchy use of performance information, inadequate M&E capacities, and limited resource, especially for conducting evaluation studies.

***Research question two: How do Tanzania's local governments operationalise M&E?***

Chapters four and five presented and emphasised the appropriate regulatory frameworks enabling effective M&E systems. The chapters presented country experiences of Rwanda, Kenya and South Africa's regulatory frameworks, best practices, and challenges encountered in the institutionalisation of the M&E systems. Both chapters revealed that the frameworks play a critical role in triggering demand for M&E systems, and so do the institutional arrangements, rewards and sanctions based on M&E results and availability of M&E national champions. Chapter five, in contrast was dedicated to expounding on development and operationalisation of regulatory frameworks that support and trigger M&E systems. The findings in both chapters suggest that appropriate regulatory frameworks support or prevent effective operationalisation of the M&E systems, regardless of the spheres or levels of government (national, central or local government). In Tanzania, the findings show that the country has as yet developed neither a comprehensive Performance Management System policy nor an M&E policy (including monitoring or evaluation policies developed separately). There is an M&E Framework developed by POPSM that spans across the entire public service, although the framework and other laws, regulations, policies and guidelines are inadequate in supporting the local governments in establishing their M&E systems.

Chapter six presented how local governments in Tanzania operationalise M&E. The analysis was based on the six elements of institutionalisation of M&E. The findings revealed that the local government's M&E systems are tied to the planning processes. There is patchy application of all six elements of the institutionalisation of M&E. The local government structures acknowledge the importance of M&E even though the systems are yet to be developed. There are weaknesses in all the elements, such that the operationalisation of M&E systems is not considered desirable as it will not yield the desired results. The content and context of the local government's Medium Term Strategic Plans are inadequate and the linkages between MTSP and MTEF and Action Plans are shallow. There is no link between data collection and analysis procedures and a specific LGA monitoring and evaluation system. There is no link between the databases that support data

collection and analysis and the plans; collection of information is at input, activity, and output levels only. Local governments produce a substantial number of repetitive duplicated performance reports for various public and non-public service stakeholders. This is because they make reference only to selected performance information in decision-making processes without conducting performance evaluation.

***Research question three: What is the relationship between the extent of institutionalisation of M&E and performance management in the Tanzania's local government?***

The study findings indicate a relationship between M&E and both performance measurement and performance management. Chapter six answers this question of how the level of institutionalisation of M&E is tied to a certain performance management regime. This study adopted performance management regimes proposed by Bouckaert and Halligan (2008). The findings indicated that the LGAs under study operate on almost the same level of institutionalisation of M&E. To a large extent, LGAs are partially operationalising and applying the M&E elements. The study further revealed parallel initiatives to monitor and evaluate performance (HR, finance, audit, sectoral, and central government). The findings presented on the level of institutionalisation of M&E peg Tanzania's local government authorities selected for the study under the "management of performances regime", as described by Bouckaert and Halligan (2008). The LGAs are yet to reach the "performance management regime" or "performance governance regime" described by the authors.

***Research question four: What are the prerequisites, environment and necessary elements of institutionalisation of M&E necessary for improving performance management of local government in Tanzania?***

The prerequisites and environment necessary for instituting M&E systems in local government relate to the foundation provided by the evolving public administration and management theories. The foundation for the proposed framework dwells on the most important purpose for public administration, that of serving the interests of the citizenry and providing citizens with goods and services. The study considers the local government operating environmental factors such as political, global, economic,

and capacity factors. The study found that all the elements of institutionalisation of M&E play an important role in ensuring effective and efficient performance management of Tanzania's local government. Chapter seven solidify M&E pre-requisites and customise to the Tanzanian context. The proposed Tanzania's local government M&E system adopts an approach of instituting all elements of institutionalisation of M&E, that is, defining the measuring object, formulating performance indicators, collecting and analysing data, reporting, and utilising performance information. The M&E framework connects the local government with the national strategies and plans, M&E, and performance management systems policies.

### **7.3 Recommendation on an ideal local government M&E system**

The study recorded both positive and negative findings of the local government M&E systems. There are challenges that need interventions at both national and local government levels. Globally and specifically for Tanzania, the public service appreciates the importance of M&E and its contribution to development. The status of the development and operationalisation of the local government M&E systems need several interventions. as recommended through the proposed ideal M&E system for the local government and other recommendations presented in this study.

#### **7.3.1 Prerequisites for the proposed M&E system**

Since LGAs are public institutions, it is in the public interest to have their performance assessed periodically so as to ensure accountability and compliance with public service commitments. Seasons (2003:432–436) raised challenges, shortcomings and considerations for building M&E, particularly in respect of the local government, such as: delinking plans with M&E systems; capacity (human and financial); the disconnection between M&E information and decision making; institutional culture repealing M&E; and political interests overriding interests to become efficient and effective. Notwithstanding challenges, the M&E framework remains an essential government instrument for various reasons stated in previous chapters. In an ideal situation, parameters exist against which one can measure application of mechanisms such as the M&E Framework for LGAs and take stock of achievements

during implementation. In building local government M&E systems, the study proposes the fundamentals mentioned hereunder.

### ***Distinct ideological propositions and purposes of M&E***

The building of the M&E framework and system calls for brainstorming and agreeing on a well-defined purpose, upon which its context and content is generated. Chapter two mentioned approaches and theories that facilitate an understanding of evolution and development of M&E and performance management in the public administration discourse. The scientific management, classical, rational, systems, or human relations approaches to public administration highlighted key elements necessary in building appropriate and effective M&E systems for local government. This part revisits and highlights common elements across the presented approaches, which form key characteristics of the M&E system proposed in this chapter.

During early 1970s, Baker (1972:24) described classical approaches emphasising long-term planning for public service institutions. The long-term planning (forecasting) carries the vision of the institution, meaning that performance goals and measurements (indicators) ought to be beyond a short- or medium-term period (around ten years and beyond). Besides propositions for considering long-term planning, the classical approaches mention the role played by institutional leadership in managing performance and instituting M&E. The Republic of South Africa adopted a long-term plan using the so-called outcome approach, which is more meaningful in M&E with benefits and a spill-over effect to citizens (CJ 2012:16). Leaders act rationally or irrationally depending on existing operating environment. Given the institutional environmental factors affecting institutions, leaders may decide to take action to protect a certain group or his/her portfolio. Thus, M&E frameworks and systems ought to describe performance and accountability values and ensure responsibility of both the executive and political leadership.

The systems approach offered practical considerations for developing and building both M&E frameworks and systems. Systems suggest an analysis and inclusion of elements that accommodate interactions between technical and work organisational systems. M&E systems ought to consider inputs, outputs, processes, outcomes, and provision of feedback to both internal and external stakeholders. The human relations

approach equates administration and management with decision making, while acknowledging the influence of culture in public service institutions. Incentivising and sanctioning can contribute to instilling a positive management practice such as institutionalisation of M&E.

The purpose defines scope and determines type(s) of envisaged performance information expected to be generated and processed by the system. DeLoG Secretariat (2015:vi) and Seasons (2003:433) centre the said purpose in the local government around provision of evidence for accountability, learning, rewarding, budgeting, and policy making, to mention but a few. Ahern, Beard, Gueorguieva and Sri Handini (2012:1) add financial resource management by stating that performance information generated from M&E can be used to create a movement from input-based planning and budgeting to a pragmatic outcomes- and performance-based system. Van Dooren et al (2015:7) assert that performance measurement (supposedly done through M&E) is found in an organisational objective, law or regulation enforcing data collection and processing or demand-side pressure for performance information.

### **Considerations for the local government operating environment**

The ideologies and conceptual underpinnings of the existing local government and/or national government regime shape the purpose for the envisaged local government M&E. Chapter two presented the political, economic, social, technological, and global environments in which public administration institutions operate. In Tanzania, the M&E set-up needs to consider the administrative organisation, size and geography of the central government in relation to that of the local government. Currently, the country holds 187 Local Government Authorities placed under regional authorities. The bulk of these LGAs are managed and coordinated by the President's Office-Regional Administration and Local Government (PORALG). This raises the issue of administrative and technical capacity of the regional administration and the ministry, given the massive number of LGAs reporting to the same point.

The local government environment considerations list the political environment, that is, multiparty politics and influence of the ruling party, to the local government operations and M&E. The environment-related prerequisite considers the capacity of

the local government to use ICT to support M&E. Msuya (2010:2) notes that there are data collection systems and ICT adequacy and capacity challenges in the LGAs. Thus, the envisaged M&E set-up needs to acknowledge global influences to Tanzania's local government, where there are push factors towards establishment of strong M&E systems. Concerning global influences, there are push factors preventing the local government from developing comprehensive M&E systems and databases because of the presence of development partners with diversified interests and sectoral priorities that accompany corresponding M&E systems.

### **Local government is “people's government”**

The conceptual underpinnings of decentralisation lie in moving the government close to the people, thus contributing to inclusion in decision making, and increasing accountability and effectiveness in service delivery. Successful public policy and strategy implementation depend on legitimacy they enjoy from the public or related stakeholders or actors. Actors within and outside the government continuum are rarely willing to support initiatives that do not fit into their substantive objectives, goals or interests (Wallner 2008:423). Government stakeholders should perceive the substance of a policy as reasonable and the process as appropriate if they are going to accept it and support initiatives of the government, thereby contributing to the subsequent legitimacy and the political actors that promote it (Wallner 2008:424).

Recently, stakeholders and public opinion have been promoted to the extent of advocating proposals for inclusion of performance indicators that measure “trust” of the public or citizenry towards their government. The shift from NPM to NPG has broadened objectives of performance measurement and management to include service outputs, satisfaction, outcomes and, ultimately, citizens' “trust” and government legitimacy (Morgan & Cook 2014:5). Wallner (2008:422) argues that policy analysts have been overlooking the influence of legitimacy at the expense of effectiveness and efficiency. Public policy objectives can successfully be implemented but become a policy failure if they fail to address the long-term goals of public acceptance and legitimacy for the authority to govern (Wallner 2008:422).

**Table 7.1: People receiving information from the LG**

S/n	Type of information	Yes percent	No percent	Posted in a public place	Announced verbally in public
1	Local Government budgets	28.8	71.2	14.5	14.2
2	Collection of taxes and fees	26.5	73.5	8.6	17.9
3	Audited statement of council expenditure	15.9	84.1	6.5	9.3
4	Financial allocations to key sectors	23.0	77.0	10.6	12.4
5	Posters on HIV/AIDS	84.7	15.3	75.1	9.6
6	Guidance on how to report corruption/make official complaint	33.6	66.4	18.6	15.0
7	Allocations for Capital Development Grants	27.1	72.9	11.5	15.6
8	Allocations of recurrent grants	24.6	75.4	9.9	14.8
9	Allocations to schools in respondents' locality	23.3	76.7	10.4	12.9
10	Allocations to health facilities in one's locality	16.5	83.5	7.1	9.5
11	Allocations to health facilities in your locality	16.5	83.5	7.1	9.5
12	Constituency Development Catalyst Fund allocations and expenditures	6.7	93.3	2.4	4.2

**Source:** Extracted from Chaligha (2014:2).

Ahern et al (2012:4, 8) advocate for engagement and involvement of stakeholders during development and management of M&E systems in order to create understanding and sense of ownership, and avoid a token gesture of compliance. Stakeholders' involvement is charted in various stages, including sharing of M&E or performance information. The 2013 Citizen Survey established the extent of accountability of Tanzania's LG (Chaligha 2014:2). The survey probed into how stakeholders receive various local government information from the LGA's



headquarters and levels below it (ward, village, hamlet and street). The survey findings revealed that few members of the public receive performance-related information, as described in Table 7.1 above. However, the same table reveals that 26.5 percent and 15.9 percent of the public received information on revenue collection and audited Council statements respectively. The analysis of the study findings in chapter six indicated that LGAs were concentrating more on monitoring financial information and performance.

The current situation of African LGs shows more than 50 percent of people not satisfied with responsiveness of local councillors to their needs, requests and complaints (Bratton 2012:518). In Tanzania's local government, responsiveness stands at 43 percent (38 percent and 45 percent for urban and rural councillors respectively). Denhardt and Denhardt (2015:160) state:

*“... to serve citizens ... public administrators must not only know and manage their own resources, they must be aware of and connected to other sources of support and assistance, engaging citizens and the community in the process ... they must share power and lead with a passion, commitment and integrity in a manner that respects and empowers citizenship”.*

Chaligha (2014:1) argues that accountability of the local government is made possible when government feels obliged to provide information on performance, decisions, and implementation at all levels. The envisaged local government M&E framework presented in this chapter runs past development of the systems to empowering of citizens through release, sharing and promotion of use of generated performance information.

### **Upholding efficiency and effectiveness**

Literature on performance management and system advocates for a famous quote: *“What gets measured gets done.”* However, Albert Einstein said: *“Not everything that counts can be counted, and not everything that can be counted counts.”* The two assertions carry key facts that M&E enforces efficiency and embraces accountability in the public service. The M&E systems need to both measure the local government's efficiency and be efficient in undertaking that important task. The proposed M&E

framework ought to address multiple planning interventions, repetitive data collection and analysis initiatives and reporting.

The local government M&E system needs to respond to the question: “How efficient are the processes involved in the monitoring and evaluation endeavour?” The M&E system involves several processes and actors, from the point of activation at the planning of performance measurement areas through to implementation and assessment stages. Efficiency of the local government M&E system emanates from timing of the process for each M&E element; the capacity of those involved to understand the details; integration between the elements; tools applied to generate correct data and information; and the quality of the performance-reporting framework. Efficiency gains are acquired with harmonised government frameworks related to all elements of the institutionalisation of M&E.

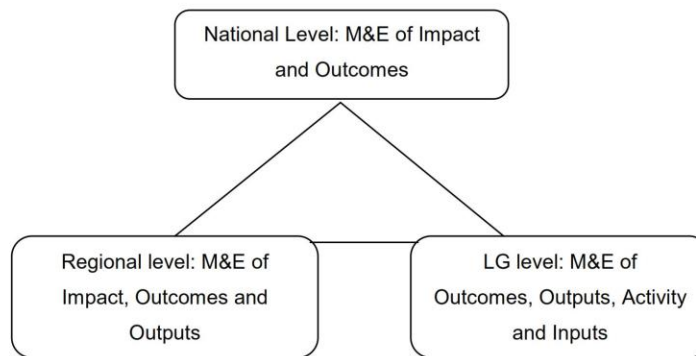
The effectiveness of an M&E system responds to the question: “To what extent is the framework providing an accurate and reliable account of the status of performance in service delivery?” In the local government settings, effectiveness of M&E relates to a large extent to the sole purpose established for developing the said systems: that is, contributing to improved service delivery and enforcing accountability while ensuring proper use of available meagre resources. The local government M&E system effectiveness starts with planning for performance measurement areas and setting of performance indicators. Effectiveness calls for measuring of the right issues and avoids being skewed to one or more selected area(s) such as finances, leaving out the technical side or service outputs.

M&E systems need to measure whether local governments work effectively in executing their mandate through long- and short-term plans. Therefore, the systems must establish a step-by-step approach to tracking progress on the effectiveness of the local government service delivery. Inversely, relevancy emanates from stakeholders, when they are given an opportunity to identify goals, needs and expectations (as described under section 7.2.3 above). M&E systems should be cost-effective, raising cost-efficiency aspects to service-delivery processes. The elements of institutionalisation of M&E cover all the performance management stages described in chapter three, and can therefore be applied from the planning stage, through to implementation, reviewing, and reporting on performance.

### 7.3.2 Proposed framework for building local government M&E systems

DeLoG Secretariat (2015:15–16) presents key steps in establishing M&E systems, particularly those at the local government level. The steps suggested are: identifying conceptual and normative underpinnings of the M&E system, developing reference points and plans, developing policies, plans and strategies, setting institutional arrangements, outlining M&E elements and activities, and resourcing M&E. The foundation of local government M&E lies with the national set up and arrangements. 1 shows a proposed tripartite relationship between national, regional and local government M&E systems. The relationship bases on the mandate and by virtue of expected functions and operations.

**Figure 7.1: Tripartite linkages of the local government M&E framework**

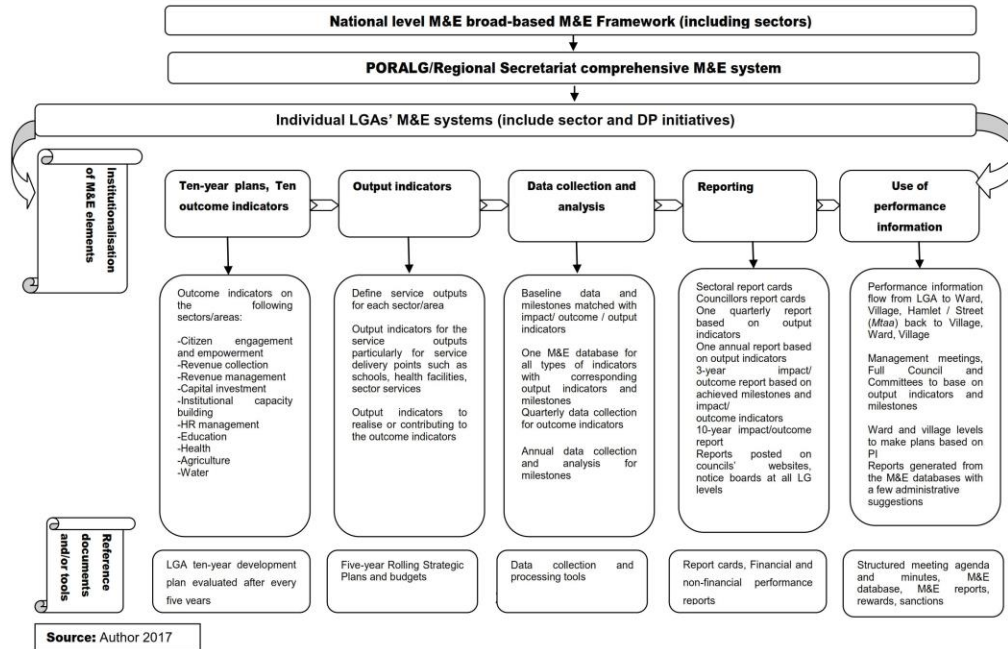


**Source:** Author (2017).

Both Figures 7.1 and 7.2 propose primarily a set-up of comprehensive national M&E strategy aligned to the national development vision and strategies. Ideally, the national vision and plans, including sector priorities, are systematically cascaded down to the local government. The proposed framework brings modest changes to the local government planning and M&E levels that attract systemic and structural reorganisation in both the central and local governments. The central and regional government M&E systems study the impact and outcome levels because of their capacity, mandate, and magnitude of their operations. The regional authorities carry the mandate to oversee and supervise the local government; therefore, there is an extra level of monitoring outputs of LGAs working under them. On the other hand,

local government M&E systems concentrate on outcome, output, activity and input levels. The basis for monitoring outcomes at the local government level stems from the arguments presented in previous chapters related to the importance of achieving and showing results to the public or citizenry.

**Figure 7.2: A proposed Tanzanian local government M&E framework**



This study proposes Tanzania's local government M&E framework as presented in Figure 7.2. The framework forms a basis for developing customised M&E systems for the LGAs. The characteristics of the framework are proposed under Table 7.2 below. The framework allows for linkages between national visions and plans with the local government. The proposed long-term vision and plan give LGAs an opportunity to plan and address service delivery for up to the outcome levels. The framework considers the data collection and analysis elements, together with a corresponding consolidated M&E database. The framework further provides an opportunity for engaging and giving responsibilities for M&E to the local government executive and political officials and structures.

**Table 7.2: Key elements of the proposed M&E framework**

S/n	Institutionalisation of M&E element	Characteristics
1	Planning	Encompasses long-, medium- and short-term planning, participatory planning, defines service outputs, types of indicators aligned and matched with long-, medium- and short-term plans, manageable number of indicators; indicators based on sectors and key operations
2	Data collection	Both elements connected to LGA plans and M&E system; data collected and analysed by indicators; database that captures all M&E information; use of ICT in processing collection and analysis of PI
3	Data analysis	
4	Reporting	Equal emphasis of both financial and non-financial performance, introduce report cards, meetings structured according to plans and indicators; manageable number of reports and reporting timeframes, reporting based on plans, reporting connected with national M&E system
5	Use of performance information	M&E generated information used for decision making; PI flows between and from all LG levels, incentives and rewards based on compliance with M&E

**Source:** Author (2017).

### **7.3.3 Value additions of the proposed local government M&E system**

Chapters five and six presented undesirable conditions in the local government M&E systems and their failure to bring about desired results. The systems are not well organised, coordinated and harmonised across all elements of institutionalisation of M&E. Some of the problems associated with the mentioned shortcomings relate to inadequate HR and technological capacity of the LGAs, multiple reporting requirements, and multiple structures (PORALG 2016:23). The suggested local government M&E framework adds value to the following areas.

#### ***Purposeful on expectations and depth of M&E***

Primarily, the proposed M&E framework sets pace for establishment of M&E systems that enforce the public administration theories into practice. The framework facilitates the execution of the public administration mandate systems and proposes the M&E system that combines and works on both financial and non-financial performance measures, thus addressing current shortcomings described in chapter six of this study. It includes aspects other than budget control and financial statement analysis, as suggested by Mensah and Babu (2015:97) who propose for holistic, comprehensive and versatile systems. In addition, elements of the institutionalisation of M&E bring a forward-looking holistic vision of public service performance, performance management and service delivery. The above-suggested framework informs on scope, type and magnitude of the ideal M&E system for both national and local government levels.

#### ***Create linkages between institutions and stakeholders***

The proposed M&E framework puts forward the need to create clear linkages between national and local government M&E systems through establishment of a detailed National Monitoring and Evaluation Framework and Systems (NMEFS). The local government M&E framework shows clear relationship among actors at the central (parent ministry and sectoral ministries) and local government levels. The framework also considers involvement and buy-in of customers and stakeholders as suggested by Fryer et al (2009:480). The LG political space influences effectiveness of M&E system introduction, growth and sustainability. Citizens consider role of

elected officials as important even though section 7.2.3 indicated their dissatisfaction towards their responsiveness. The proposed M&E framework aims at addressing this challenge through increased avenues for citizen engagement and accountability of local government executive and political leadership.

***Clarity on institutional arrangements across the public service***

Kusek and Rist (2004:105) call for relevant public service institutions to coordinate and collaborate in M&E efforts. The framework organises and coordinates actors and institutions, thereby bringing purposeful, efficient and effective local government M&E systems. The M&E initiatives coordination start within LGAs, followed by sectoral ministries, finance ministry, regional secretariats and development partners. The framework mainstreams development partner's plans into the local government plans and M&E systems. This study suggests inclusion of the DPs plans into the five-year rolling strategic and annual plans. There are technical linkages and supportive relationships coming from the regional secretariat, especially at the sectoral and overall M&E system of LGAs operating under the region.

***Offers comprehensive and coordinated M&E efforts***

The framework avoids existing repetitions and the huge level of effort expended on data collection and processing and reporting. Ahern et al (2012:4) argue that the substantial monitoring burden increases the level of effort, leading to what is referred to as "*analysis paralysis*" and a failure to use the generated performance information. Fryer et al (2009:480) propose simple, cost-effective performance measurement systems, features that exist in the proposed framework. Furthermore, their proposal takes into consideration the existing demand for information, from both public and non-public sectors. All elements of institutionalisation of M&E are integrated and coordinated to avoid multiplicity of data collection, processing, and reporting.

***Amalgamates all six elements of institutionalisation of M&E***

The framework creates clear linkages and integrates all elements of institutionalisation of M&E. The ten-year plan, together with corresponding five-year rolling LGA strategic plans, is linked to the identified performance indicators, data collection, data analysis, and reporting procedures. Furthermore, the framework



creates linkages between generated performance information and its use for decision making and performance review. The framework addresses a common M&E shortcoming in both developed and developing countries in relation to the use of PI in the planning processes, incentives, and budgeting, to mention but a few.

***Considerations: local government environment and capacity***

The framework considers the local government capacity, namely financial, technological and human resources. The framework leaves out an assessment of impact and impact indicators, whose achievement is contributed by various actors at national, regional and LG levels. The LG is capacity challenged to conduct M&E at impact level. The framework recommends the central government, particularly sectoral, finance and planning ministries and regional authorities, to handle impact-level assessments.

***Connect incentives and compliance with the M&E systems***

Chapter three laid emphasis on M&E frameworks and systems, encouraging use of performance information through provision of incentives. Ahern et al (2012:4) suggest development of incentives related to compliance with M&E systems in order to avoid misdirected use of incentives and sanctions, and lack of accountability. The proposed local government M&E framework and system introduces a commitment to incentivising institutions and individuals complying with M&E system requirements and using performance information.

**7.4 Study recommendations on building local government M&E system**

Research question four of this study centres on prerequisites and conditions necessary for building robust local government M&E systems and performance management systems that encourage improved service delivery. The conditions proposed below match the existing national and central government operating environment. It matches with chapters five and six analysis that highlighted areas for improvement and support for the local government M&E system.

#### **7.4.1 Political will and leadership commitment**

Countries across the world have initiated interventions to create strong M&E systems. Literature suggests that governments should support initiation of M&E associations. Countries such as Ghana, Kenya, and South Africa have M&E associations supported by governments, which particularly emphasise building the capacity of the M&E profession and professionalism. The M&E associations coordinate and initiate dialogue across various stakeholders on issues related to M&E and accountability. They contribute to creating demand for and use of M&E information.

The traditional role of leaders in governments is performing administrative duties that match with the existing legislature, which renders leadership under this model reactive and not proactive. In modern times, where governments are facing increasing leadership challenges, public service leaders ought to lead, innovate, and initiate programmes that help to ensure satisfactory levels of service delivery. Leaders should set the pace, develop values, and create an environment conducive to successful implementation of public-service strategies. Countries need a political will and commitment to establish and fund comprehensive M&E systems of their local governments. Political will and commitment facilitate beneficial use of performance information for designing policies, allocating resources, controlling and redirecting implementation, self-evaluation, reporting, and accountability (Van Dooren et al 2015:7). Chapter four presented the importance of identifying champions and political commitment for successful institutionalisation of M&E systems, as they contribute towards ensuring the above-mentioned requirement.

Leadership plays a pivotal role in ensuring success of overall performance measurement, acceptability and engendering commitment (Fryer et al 2009:109). It is equally critical that there should be an accompanying change in mindsets within actors in the local government to exclude the thinking of M&E as a policing tool by the central government or development partners. The envisaged M&E framework proposes a system that promotes participatory planning and sharing of performance information with multiple stakeholders, all of which catalyse political will and ownership of the system.

#### **7.4.2 Comprehensive and harmonised M&E regulatory frameworks**

The literature reviewed in chapters three and four revealed that the foundation of M&E framework and system lies in appropriate and related regulatory frameworks. The findings in chapters five and six indicate that regulatory frameworks for M&E are found in various laws, regulations, policies, strategies, or projects, at both national and local government levels. Van Dooren et al (2015:148) highlight the example of Romania, which enacted Freedom of Information legislation that allows access to all government performance-related information. The legislation acts as a foundation for producing, reporting and use of performance information through established M&E systems.

The various M&E related frameworks lead to the existing underperformance of M&E in the local government. First, the proposed M&E framework requires support of an appropriate Performance Management System (PMS) policy that encompasses the needs of all levels of government. A successful local government M&E system depends on the development of a comprehensive M&E framework document that offers a strategic direction, context and content, roles, responsibilities, and relationship of institutions. The current set-up offers various laws and regulations that lead to various demanding, repetitive, and overlapping M&E initiatives. The regulatory framework requires harmonisation, including reviewing or repealing of laws, regulations or strategies related to all the elements of institutionalisation of M&E in local government. Literature suggests the establishment of an M&E ethics framework aiming at setting environment for ethically sound performance management processes and information (Ile, Eresia-Eke & Allen-Ile 2012:13–14).

Public policies are effective when supported with appropriate regulatory frameworks. The frameworks address the challenges related to uncoordinated M&E initiatives across levels of government, within local government and public service institutions. For Tanzania, the government needs a Performance Management System (PMS) policy that will build on provisions stated in the Public Service Management and Employment Policy of 1999. Second, the current situation calls for a national level comprehensive M&E policy framework that defines scope, responsibilities (within and outside public service), rewards, and sanctions for non-compliance with the said framework. Third, the country has to develop regulations and standards that

contribute to effective M&E systems. Fourth, the public service needs a step-by-step harmonisation of all existing laws and regulations that impinge on coordinated and integrated M&E systems at all levels. The laws and regulations in reference are those related to planning, data collection and analysis, reporting, and use of performance information. The government also needs to create linkages between institutional and individual performance management.

#### **7.4.3 Provide adequate funding for M&E**

OECD (2011), quoted in DeLoG Secretariat (2015:19), remarks that the national strategy for the development of statistics for the majority of low-income countries faces sustainability challenges because of insufficient funding as well as lack of dissemination and use of improved statistics. A substantial amount of development funding in LGAs is sourced from development partners with provision for government inputs such as, for example, the arrangements made through the Local Government Development Grant. There should be deliberate moves to establish an M&E fund sourced by the government that would support the undertaking of M&E functions on a continuous basis. The findings show that evaluation interventions are not given priority, unlike monitoring. Imas and Rist (2009:61) state challenges facing developed countries in establishing robust evaluation systems, which include commitment of stakeholders, and capacity building for both the demand and supply side of M&E information. Van Dooren et al (2015:210) suggest capacity-building measures on statistical information, and reporting for producers of performance information. The above-presented suggestions require investment of financial resources for both producers and users of M&E information.

#### **7.4.4 Strengthen demand side of M&E information**

M&E systems triumph and become effective in institutions and governments, which make concerted efforts to create demand for performance information generated from the M&E systems. Governments can align accountability mechanisms with M&E systems at national, sectoral, institutional, and local government levels. Demand for performance information generated from M&E systems by the oversight institutions provides a fertile ground for M&E systems. Governments need champions to push for coordination of M&E efforts, and development and sustainability of the same. In order to reach desirable levels of performance governance, the demand side of M&E (the

public, political parties, pressure groups, Civil Society Organisations) need to appreciate and build capacity so that they make meaningful demand for M&E information and accountability of the local government.

The demand side for M&E information needs to be strengthened for meaningful interactions with the supply side and utilisation of the received LG performance information. Van Dooren et al (2015:121) suggest one way of creating demand as strengthening political and executive individual accountability, also of the executive to the oversight institutions. Governments ought to engage in various capacity-building initiatives and continuously share M&E information through various local government forums. Table 7.3 below presents distribution of responsibilities in service delivery. The information comes from the results of a research conducted in several local government authorities in the sub-Saharan countries, including Tanzania.

**Table 7.3: Popular perceptions of the distribution of governmental responsibilities**

<b>Responsibility</b>	<b>Central government</b>	<b>Local government</b>	<b>Traditional leaders</b>	<b>Community members</b>
Maintaining law and order	65	18	7	6
Managing health clinics	56	30	2	7
Collecting income taxes	53	32	3	3
Managing schools	51	30	2	11
Protecting rivers and forests	45	24	9	13
Allocating land	27	36	25	6
Solving local disputes	18	32	33	13
Keeping the community clean	11	30	6	50

**Source:** Bratton (2012:520).

From the above-presented information, there is clear evidence of misconceptions of roles and functions between local and central government. The study presents a perception (from more than 50 percent of respondents) that the central government carries the task of providing services such as education and health at the LG level despite these being centralised to the LG level. One can conclude that the current situation affects the level of demand for accountability and M&E performance information from the local government. As such, citizen participation in the LG committees (including for service deliverers such as schools and health facilities) may be impaired, thereby defeating the whole purpose of establishing M&E systems. Peters (1995:289) presents two schools of thoughts regarding accountability, where one relates to importance of the public administration external forces that enforce responsible behaviour. In addition, a strong demand side for M&E information contributes to ethical behaviour of the public service practitioners, related to what Gorgens and Kusek (2009:374–375) state as honesty, integrity, objectivity, confidentiality (when necessary), and legality, to mention but a few.

#### **7.4.5 Consider local government cross-cutting issues**

Decentralisation by devolution, among other things, gave the provision of services responsibilities to the local government. The decentralised sectors include health, water, roads, education and agriculture. Apart from sectoral responsibilities, the roles of LGAs in Tanzania's context involve various issues other than those considered standard or key services. Local government operations undertake non-sectoral cross-cutting responsibilities that touch the socio-economy and community welfare. The cross-cutting issues in the M&E system include management of natural resources such as fisheries, forestry and wildlife, environmental management, waste management, and service to marginalised or disadvantaged groups in communities, such as vulnerable children, people with disabilities and the elderly. Others are gender, land and settlements, urban planning, and urban development. The envisaged M&E system has to incorporate the above-mentioned cross-cutting issues in a broad service delivery spectrum so as to contribute towards welfare and service delivery improvement in long, medium or short terms.

#### **7.4.6 Invest in and focus on sustainability of systems**

Sustainability of the local government M&E systems remains critical in both developing and developed countries. Sustainability, in the case of M&E, is about how the framework is maintained, improved, and remains relevant despite changes in the social, political, economic, technological, and global environments. Generally, such systems need a strong sense of ownership at all levels of the local government and related communities or citizenry to succeed and yield required efficiencies and effectiveness. The sustainability of an M&E system requires balancing of what the systems theory describes as inputs and outputs, and the demand and supply side of M&E. Sustainability comes from proper record keeping for the purpose of learning and sharing of information. Apart from the role played by the National Bureau of Statistics, Tanzania's local government entities can improve data and information storage to facilitate incorporation of PI into decision making, referencing, and reviewing of plans.

#### **7.4.7 Build strong integrated and coordinated M&E structures**

The local government governance processes affect M&E systems, positively or negatively. The local government political committees, full councils and the management play a pivotal role in ensuring adherence to governance processes and compliance with governance related systems. Efforts are needed to strengthen both the executive and political sides of the local government, in order to appreciate the systems and operationalise them. The governance forums need to diverge from the current style of performance assessment, skewed towards financial accountability. Strengthening of the local government oversight function involves capacity building of officials and politicians, and development of appropriate reporting formats. The central government and parent ministries should collaborate and guide in setting budgets for local government's M&E systems. The local government authorities should set aside a certain percentage of its own source revenue to support the M&E function.

Ahern et al (2012:5) observe that involvement of numerous actors in the planning and coordination of M&E leads to overlapping regulatory frameworks, a reporting burden, and redundant information requests. Who, how and where the M&E system will be managed remain critical issues for its sustainability and avoidance of data

duplication/overlaps, and time lags in receiving data (Bouckaert & Halligan 2015:107). Lack of coordination of M&E efforts at any level of the public service breaks the relationship between performance information and decision-making. It further leads to overlaps of M&E interventions and an increased data collection, analysis and reporting burden to the local government. Ahern et al (2012:13) cite how various public service entities, particularly from the central government, issued decrees and regulations to create the post-2000 era M&E system in Indonesia, which posed challenges of performance information credibility, harmonisation, and use for decision-making in the country.

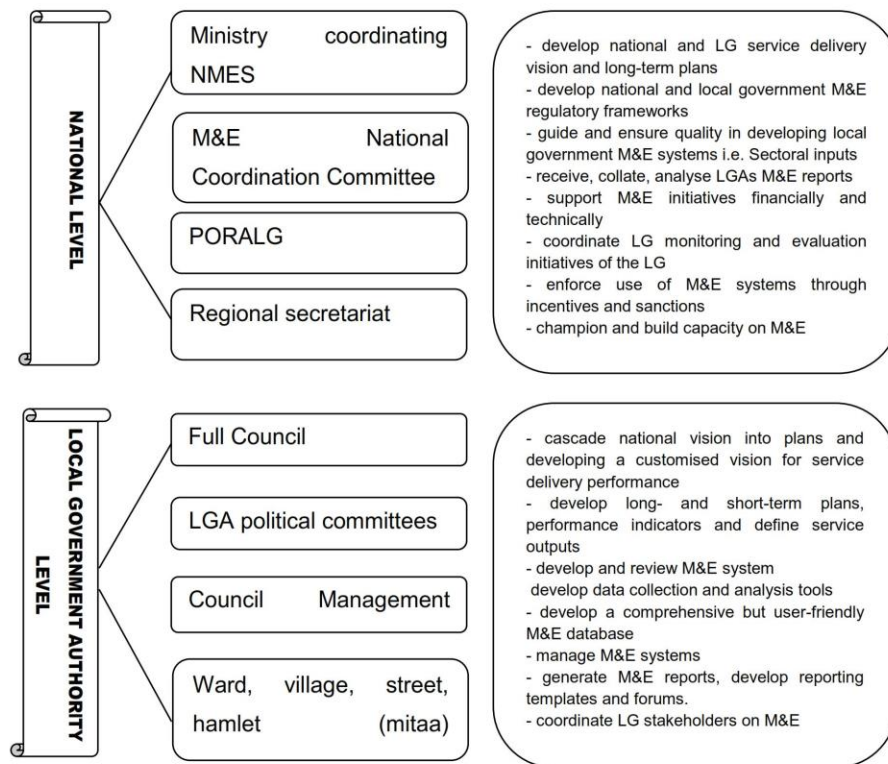
This study revealed a number of actors, particularly at the national level working on or with interest in Tanzania's local government M&E systems, processes and results. Since all actors work with the same client (LGAs), and in most cases on similar projects, a semblance of collaboration on the local government M&E systems and processes is logical. The study proposes that institutions should coordinate all reporting requirements to avoid duplication of efforts, waste of financial and human resources, and conflicting local government performance information. The proposal aims at strengthening the regional authority level in local government M&E functions. The public services need a champion institution to oversee and coordinate public service M&E work at national level. The effectiveness of the proposed institution lies in its mandate; therefore, it should lie under the Presidency. At local government level, activities of development partners require coordination, such as the integration of their activities and M&E arrangements with the respective LGAs. The local government staffing need of employing and retaining adequate qualified M&E personnel is of vital importance.

The government M&E systems require effective institutional arrangements and structures that coordinate, support, oversee, and provide feedback to various stakeholders. DeLoG Secretariat (2015:15) proposes identifying adequate institutional architecture for M&E with clear roles and responsibilities, as well as provisions for coordination and cooperation. Improved institutional arrangements in central and local government require an agreement on harmonisation of strategies, frameworks, and systems (including modalities of data collection, processing, reporting and use of PI). Figure 7.3 below represents a proposed institutional



arrangement that facilitates a well-functioning proposed M&E system. The proposed institutional arrangement for M&E is not well established. Therefore, various government institutions play various roles in M&E that do not produce strategic service delivery focused monitoring and evaluation. The proposed structural and institutional arrangements suggest a two-fold M&E role structure, namely at the national and local governmental levels.

**Figure 7.3: Proposed local government M&E institutional arrangements**



**Source:** Author (2017).

***The ministry coordinating all M&E initiatives***

The proposed M&E framework indicates a need for establishment of a ministry responsible for overseeing and coordinating national M&E interventions. The ministry is responsible for providing a national vision and strategy on M&E in line with the

country's national development vision, strategies and Performance Management System policy. The ministry will develop M&E guidelines, tools and national databases. The suggested ministry will bear the responsibility of coordinating all institutions that relate technically to the LGs, such as the parent ministry, sectoral ministries, oversight bodies and development partners, in order to harmonise and guide plans and M&E functions. Both developing and developed countries face a challenge of designing strong and applicable incentives for M&E (Ahern et al 2012:5); hence a need to commit an institution with the responsibility. The ministry will develop M&E enforcement mechanisms for compliance with M&E systems, including incentives for use of PI in decision-making. The proposed ministry for M&E seats at the Presidency in order to acquire mandate and ability to function in the entire public service.

#### ***The M&E national coordinating committee***

Chapters four, five and six revealed the existence of various public service institutions that perform M&E coordinating functions. The dynamics of local government operating environment presented in chapter five reveal multiple governmental and non-governmental actors influencing operations. The LGs receive instructions and directives from the sectoral ministries, Ministry of Finance, PORALG, oversight bodies, regional secretariat, and the ruling party or political structures. The committee's scope of work on M&E covers the national level; however, it acts as a buffer for the local government. Its composition covers ministries and institutions responsible with M&E, coordination of government business, planning and finance, local government, sectoral ministries, auditing, and representation of regional authorities. The proposed committee aims to facilitate institutionalisation of M&E, harmonisation of M&E with national plans and strategies, and quality management. The proposed ministry for M&E will act as a secretary for the committee.

#### ***The parent ministry (PORALG)***

The geography, size and administrative organisation of the public service affect the evolution and growth of an M&E system. Tanzania has 187 Local Government Authorities. The PORALG coordinates and manages performance of LGAs, including advising on all six elements of institutionalisation of M&E. The geographical

distribution of LGAs, existing diversities, and their number bring supervisory and coordination complexities to the parent ministry. PORALG is likely to fail to execute its mandate and functions related to M&E of LGAs unless there is support from the regional authorities. The proposed M&E framework, systems and institutional arrangements place PORALG as a bridge between central and local government, while the regional authorities support LGAs at the arm's length on behalf of the central government (including PORALG). Under the proposed structural arrangement, PORALG may establish forums with regional authorities and LGAs that promote and facilitate the local government's M&E interventions.

### ***Regional authorities***

The regional authorities oversee and coordinate the functioning and performance of LGAs. The proposal to have regional authorities oversee M&E functions of the LGs matches with existing regulatory requirements. The Local Government Laws (Miscellaneous Amendments) Act 2006, Section 29 states the functions of the regional secretariat as being to:

- Monitor sectoral trends;
- Provide technical and administrative assistance and offer policy interpretation;
- Recommend new strategies and techniques for overcoming bottlenecks for productivity;
- Identify development opportunities;
- Monitor quality and standards of service delivery;
- Enhance institutional capacity; and
- Carry out delegated development of the ministries concerned.

By virtue of the above stated responsibilities, the regional authorities carry M&E functions over the LGAs working under their jurisdiction. They also offer technical assistance to facilitate sectoral interventions through advice, capacity building and coordination. The proposed M&E framework suggests this level to coordinate local government reporting and enforcing use of M&E information in planning, budgeting, reviewing and other functions. The regional authority will embed the M&E into LGAs by creating platforms and embedding the same in its monitoring and supervisory

roles. The region level will act as an arm of the national structures at the local government level. By design of the proposed institutional arrangements for M&E, the regional authorities will conduct monitoring and evaluation of the region at output, outcome and impact levels. The authorities will collect, collate, analyse and consolidate performance for all LGAs operating under their jurisdiction.

### ***Local Government Authorities***

Chapter five described the structure of Tanzania's local government. The proposed M&E framework and institutional arrangements give M&E responsibilities to both the executive and political arms of the local government. The M&E responsibilities of LGAs are to:

- Cascade national development vision into plans by developing a customising the vision for service delivery performance, with the facilitation of the PORALG and regional authorities;
- Develop long- and short-term plans and performance indicators, and define corresponding service outputs;
- Develop and review the M&E system;
- Develop data collection and analysis tools;
- Develop a comprehensive but user-friendly M&E database;
- Manage M&E systems
- Generate M&E reports, develop reporting templates, develop reporting forums and disseminate performance information;
- Utilise performance information in decision making; and
- Coordinate LG stakeholders in M&E to include central government, development partners, political parties, civil society organisations, and the public, to mention but a few.

Chapters five and six noted the shortcomings related to M&E initiatives of LGAs. The institutional arrangements suggest the establishment of planning and M&E departments in all types of LGA. The local government political committees' functionality must be structured in such a way that they promote and undertake proper M&E interventions. The elements of the institutionalisation of M&E need to be

cascaded throughout all LGA structures. In the long run, this practice will change the organisational culture, particularly the M&E and performance management.

## **7.5 Conclusion**

The gist of this research study lies in the understanding of the proposition on prerequisites and conditions for developing and instituting effective local government M&E systems. The research sought to establish key elements of the institutionalisation of M&E, based on the country's local government environment and conditions, and borrowing lessons from other countries. The study further provided the basic principles for developing the said systems, the main one being enforcing accountability to the citizenry. The M&E system ought to enforce the fact that local government is a people's government that should promote accountability, anticipation and sharing of information. The local government M&E system brings efficiency and effectiveness within itself and through what it contributes towards service delivery through institutionalisation of all M&E elements.

The study proposed a local government M&E framework with a tripartite relationship between the central government, regional authorities, and the local government. The framework urges the local government to refrain from monitoring at the impact level and leave it for the regional authorities and the central government. The framework proposes adoption of long-, medium- and short-term development plans by the local government. The outcome, output and input performance indicators link to the developed plans, while composition and formulation of types of performance indicators connect the local government with the citizenry. The proposed M&E framework considers ICT and HR capacity challenges on data collection and analysis. The building of M&E systems goes with the establishment of a corresponding database managed at the LGA level, and a consolidated one at the PORALG and national levels. The envisaged M&E system reduces the reporting burden currently facing the local government. It suggests connecting local government reporting with M&E-generated performance information across all levels of the LGA. The system further aims at promoting use of M&E information through enforcement mechanisms, including incentives.

This study described how M&E systems depend on established national M&E frameworks and institutional arrangements, and therefore recommended the formation of a ministry in charge of M&E to be positioned under the Presidency. It touched on the introduction of the M&E national coordinating committee composed by various national central government ministries, including one in charge of local government. The study has further highlighted the functions and roles of PORALG and the regional secretariat by virtue of their mandate and functional relationship with the local government. They both offer technical expertise and build local government capacity on M&E as a purposeful intervention or when executing their mandatory supervisory and overseeing functions. The political and executive arm of the local government carries responsibilities for M&E, therefore, suggestions have been made on bringing efficiencies out of their roles at this level of government. The institutionalisation of M&E elements as suggested by the framework runs across all levels of the local government.

*“The underlying utility of a theory is its capacity to describe, explain, and predict ...  
[and] systematically describe ...[and] logically connect its elements into a clear  
understanding of the actors, institutions, and processes involved”*

(Frederickson et al 2012:245)

The Public Service Management and Employment Policy (PSMEP) of 1999 places the Tanzanian public service under the NPM order. Chapter two of this study described NPM propositions and there is an obvious connection with the PSMEP. While the Tanzanian public service upholds the NPM, the government promoted free market propositions where the market determines type of envisaged public service as defined by the PSMEP. This study found partial adoption and achievement of values and results stated in the policy (on M&E of local government performance). Furthermore, evidence lacks on full adoption but indicates instead a patchy, sporadic inclination to some values of the policy. The fifth phase government that came into being at the end of 2015 continued to support values stated in the PSMEP. The government directed the public service to initiate profit-making state-owned industries/entities. The directive contradicts with the PSMEP basic values. The above-mentioned scenarios suggest that there should be a reflection of the current

state of Tanzania's public service regulatory frameworks and values, and make necessary improvements.

The United Republic of Tanzania initiated concerted efforts to build M&E systems for more than ten years. Other African and developing countries have gone through similar paths. Countries appreciate value of M&E, as such, they have taken various steps towards establishing and operationalising the systems. Tanzania and other developing countries can borrow a leaf from propositions presented in this research in order to establish and operationalise robust and effective local government M&E systems. A successful implementation of a public policy needs sustained joint efforts applied at all levels of the public service. In the course of implementing a public policy, governments should take stock of levels of implementation, establish best practices, and record lessons learnt. As M&E systems evolve and get linked with other systems, an implementation roadmap must consider the differences between spheres and levels of government. Despite the level of involvement and cost implications, performance evaluation continues to be a prerequisite in public policy development, implementation, analysis, and review. Governments must continue to uphold robust M&E systems and results thereof, in order to effect accountability in the public service.

## ANNEXURES

### Annex I: Sample M&E data collection tool for DCC

s/n	Question (related to stage of implementation)	Response		Evidence	Challenges
		Yes	No		
01					
02					

**Source:** DCC 2016:2–4.

### Annex II: CDR physical progress report format

Quarter	Planned activity	Actual implementation	Cumulative implementation (percent)	Remarks on physical progress
1				
2				
3				
4				

**Source:** NTC (2013a).



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