

**ANALYSING THE INFLUENCE OF THE MONITORING AND EVALUATION
FRAMEWORK ON SERVICE DELIVERY WITHIN THE DEPARTMENT OF HOME
AFFAIRS**

By

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DEDICATION

This dissertation is dedicated to my late Grandmother, Father, Brother and Niece who continued to watch over me throughout this journey. May your souls rest in peace and I will always carry all of you in my heart. To my mother, Gasepekwe Masilo, thank you for your support throughout my academic journey. Though it was not an easy one, but Mama I made It!

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ABSTRACT

The study examined the influence of the Monitoring and Evaluation Framework in promoting service delivery at the Department of Home Affairs. M&E is considered a key feature of public service delivery. In the South African government, M&E is considered as one of the enablers of public service delivery. The implementation of M&E in the South African Public Service is guided by several legislative frameworks and is supported and championed by the Presidency to ensure its impact and relevance in all departments across all spheres of government. The implementation of M&E in the South African public service enjoys the support of multiple role-players as a mechanism to promote effectiveness, efficiency and good governance in service delivery to satisfy the needs of citizens.

Through utilisation of the qualitative research methodology in which semi-structured interviews were conducted with identified officials in the Department of Home Affairs, the findings of the study revealed areas where the implementation of the M&E Framework has been effective and also areas where this has not been realised. The positive influence of M&E is highlighted by findings which indicate that significant positive results in service delivery were experienced at provincial offices / operations as a result of the implementation of the M&E Framework in the Department. This resulted in improved planning processes and better utilisation of resources across the Department, improved accountability by managers for their areas of work, and most importantly, improved delivery of services. In contrast, the study also uncovered areas where the implementation of the M&E Framework was ineffective. These included the lack of training on the M&E Framework, resulting in majority of officials not knowing about the existence of the Framework and the role they have to play in ensuring its implementation; lack of utilisation of M&E Performance information to inform decision making, improve service delivery and promote learning; lack of leadership or management buy-in; and the non-existent culture and practice of evaluations in the Department.

The study recommended that for the M&E Framework to have an impact and receive buy-in, Monitoring should be conducted at Operational Level across all Branches and Provinces in the Department. The Advocacy and Communication Plan should thus be

developed by the Department of Home Affairs to enhance and popularise the M&E Framework with emphasis on roles and responsibilities for each of the affected stakeholders. Furthermore, priority should be given to the development of an Evaluation Framework as this would revive the current non-existent culture of evaluation. One of the key recommendations is that training should be provided on M&E and how this should be implemented in the entire Department. This would enhance the general understanding of M&E in the Department. The training should include clarification of the roles and responsibilities in the practice of M&E.

Keywords: Monitoring; Evaluation; Monitoring and evaluation; service delivery; Department of Home Affairs; government-wide monitoring and evaluation system

LIST OF ABBREVIATIONS

APP	Annual Performance Plan
BudComm	Budget Committee meetings
DDG	Deputy Director-General
DDG: IP & S	Deputy Director General - Institutional Planning and Support
DG	Director General
DHA	Department of Home Affairs
DMC	Departmental Management Committee
DMO	District Managers of Operations
DPME	Department of Performance Monitoring and Evaluation
DPSA	Department of Public Service and Administration
EXCO	Executive Committee
GWM&ES	Government-Wide Monitoring and Evaluation System
IDP	Integrated Development Plan
IDASA	Institute for a Democratic Alternative for South Africa
KPI	Key Performance Indicators
M&E	Monitoring and Evaluation
MTSF	Medium-Term Strategic Framework
NEPF	National Evaluation Policy Framework
NPM	New Public Management
NPS	New Public Service
OECD	Organisation for Economic Co-operation and Development
PFMP	Framework for Managing Programme Performance Information
PSC	Public Service Commission
SASQAF	South African Statistics Quality Assurance Framework
SMS	Senior Management Service
StatsSA	Statistical Agency of South Africa
the “WPTPSD	The White Paper on Transforming Public Service Delivery
UNDP	United Nations Development Programme
UNESCO	United Nations Educational Scientific and Cultural Organisation

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CHAPTER ONE

INTRODUCTION OF THE STUDY

1.1. Introduction

The study examined the influence of the Monitoring and Evaluation (M&E) Framework on service delivery within the Department of Home Affairs (i.e. the “DHA” or “the Department”). Literature show that there is no one single definition to what M&E Framework really is. The Presidency (1997:1) defines Monitoring as

“the collection, analysing, and reporting of data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management” and

Evaluation as

“a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers”.

The notion of M&E can be interpreted differently by different people and largely depending on the context within which it is applied. Terms such as M&E frameworks, approaches or systems are used interchangeably to refer to the same thing. Okello (2014:1737) states that, as a result, “the concept of M&E frameworks is not a one size fits it all and that each organization has a framework tailored to its needs”. In the South African government, M&E is considered as one of the enablers of public service delivery. Consequently, it has been used to promote effectiveness, efficiency and good governance at all levels of government.

After the new democratic government was elected in 1994, the South African government rolled out services. Specific emphasis was made to previously disadvantaged, mainly black South Africans citizens, who were discriminated against during the apartheid era. As a results, measures were put in place and diverse infrastructure facilities were built to enable the effective delivery of basic public services to all citizens (Tsheola and Sebola, 2012:228). As a result, over the last two and a half decades, there has been remarkable improvement in basic service delivery.

Although much has been accomplished since the advent of the new government of the African National Congress in 1994, the performance of the public service has been hindered by numerous challenges over the last two decades. These include “elements of ineptitude, unprofessionalism, greed and an unfounded sense of entitlement in the case of some public servants” (The Presidency, 2015: 21).

In 2007, the government introduced the Policy Framework for the Government-Wide Monitoring and Evaluation System (the “GWM&E System Policy Framework”) in response to these challenges. The Framework, provided Government departments with guidelines on how to effectively carry out their M&E functions. Broadly, the introduction of the Framework was aimed at assisting the Government

“to become more effective, by putting M&E systems and processes in place and assisting the public sector in evaluating its performance and identifying the factors which contributed to its service delivery outcomes” (The Presidency, 2007:1).

This research analysed the influence of the M&E Framework on service delivery within the DHA.

1.2. Orientation

The South African Public Service has three national, provincial and local spheres of government which consist of dedicated ministries assigned with the responsibility of managing public services based on democratic values and principles of the South African Constitution, 1996. In ensuring that the Public Service functions effectively and efficiently, the Department of Public Service and Administration (DPSA) was established and mandated to put measures in place to ensure that the mechanisms for service delivery were implemented, norms and standards were developed, systems were integrated and accessible to all, human capacity as built and good governance initiatives in response to the interests and needs of ordinary citizens (The Presidency, 2015:5).

The White Paper on Transforming Public Service Delivery (the “WTPSD”) (Notice No. 1459 of 1997), states that the South African Public Service will be judged on “its effectiveness in delivering services that meet the basic needs of all South African

citizens” (WPTPS,1997: 10). Challenges in the performance of the public service were inherited from the apartheid era. This has unfortunately caused lack of “legitimacy, professionalism, representation, a democratic and development culture, and the capacity to deliver quality services to all South Africans” (The Presidency,2015: 7).

A study conducted by Masiya, Davids and Mangai (2019:20) revealed that factors such as “uneven access to services, provision of substandard services and high levels of poverty including disparities which emanate from the post-apartheid regime” influenced citizen’s level of dissatisfaction with service delivery. As a result, the hopes and excitement that was brought about by the new government in 1994 have been shattered by the inability of government to deliver expected and promised quality basic public services such as water, housing, electricity and sanitation (Tsheola and Sebola, 2012: 228).

Another study conducted by Okello (2014:1736) found that effective service delivery is dependent on the manner in which the “objectives, indicators, inputs, outputs, outcomes, impact and implementation strategies” are structured. This permits the collection of quality data that would serve as input towards the development of policies and implementation of projects. Hence the need for a M&E framework. Studies regarding the role that M&E plays in enhancing service delivery reveal that “a positive significant correlations relationship exists between the “principles of M&E Frameworks, resources, M&E plans” and service delivery as alluded by Okello (2014:1736), who thus concluded in his study on the dependence of effective service delivery on amongst others, the M&E frameworks.

In an effort to transform and change the culture of the public service into a more effective environment, Government introduced several policies that include the White Paper on Transforming Public Service Delivery. The White Paper on Transforming Public Service Delivery of 1997 provides the basis upon on which service delivery strategies are developed by departments in the national and provincial spheres of government, in order to enhance provision of quality and equal services. It is thus the responsibility of all government departments to ensure the identification of M&E mechanisms and to design structures to enable the measurement of progress whilst also introducing corrective action, where a need arises.

It was for this reason that the GWM&E System Policy Framework was first introduced in 2007 to increase Government effectiveness. This was done by putting M&E processes in place to assist the public sector in continuously assessing its performance with the aim of identifying the contributory factors which to its service delivery outcomes. The GWM&E System Policy Framework is regarded as “an overarching policy framework for M&E applicable to all entities in the national, provincial and local spheres of government” (The Presidency, 2007:1). It consists of tools such as “standards, processes, strategies, plans, information systems, reporting lines and indicators” all government departments to carry out their M&E responsibilities effectively (The Presidency, 2007:1).

M&E is considered a key feature of public service delivery as it assists government to ensure good “governance, accountability, transparency, effectiveness and delivery of tangible results”, as well as to respond to the needs and demands of all its service delivery beneficiaries, (Kuset and Rist, 2004: xi).

By monitoring and evaluating policies, programmes and projects, service delivery can be ensured. Also, by practicing M&E, funds can be effectively utilised and this could also result in improved performance, more accountability and better and informed decision-making across all spheres of government, (Ntoyanto, 2016:14).

For service delivery to be effective, “the principles, objectives, indicators, inputs, outputs, outcomes, impact and implementation strategies should be well structured in a way that allow collection of quality data which would be used to inform policy and project implementation”, hence the need for the M&E framework, (Okello, 2014:1736). The effectiveness of the public service is demonstrated by the impact it has on the lives of ordinary citizens and that what is delivered matches the money that is paid for its delivery, Ntoyanto (2016:14). In other words, the implementation of M&E as a management tool should result in “noticeable changes, not only in the way government does things but also in the manner in which services are experienced by citizens”, (Naidoo, 2011:20).

Makanyeza, Kwanday, and Ikobe (2013:1) found that poor service delivery is in most cases due to a “lack of accountability and transparency, poor human resource policy, lack of employee capacity, poor planning, and most importantly poor monitoring and evaluation”.

In terms of the GWM&E System Policy Framework (2007), a M&E system is defined 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” (The Presidency, 2007:1).

After the 1994 elections, a commitment was made by the South African government to develop more equitable and sustainable delivery of services to all citizens. In this context, the DHA is a key enabler of service delivery across government and private sectors. Its mission and vision is to effectively contribute to the development of a South Africa in which all citizens will value their identities, certificates and citizenship. One of its strategic objectives is to provide secure, efficient, effective and accessible service delivery to all citizens and foreign nationals. The Department points out that it is committed to providing quality services to its stakeholders by responding to their needs and meeting their expectations. In delivering such services, it is critical that the department's performance is monitored and evaluated, both in terms of its internal processes and compliance with legislation, as well as external reach and service delivery to the broader citizenry (DHA,2019:7).

In the DHA service improvement requires that critical process performance indicators (KPIs) are identified and that there is effective, monitoring & feedback on KPI achievement, as well as learning from what is working or not and what can be done to improve (i.e. continuous improvement) service delivery. Performance measurement, reporting, and the use of this information by management at all levels to inform decision-making is fundamental to service delivery improvement (DHA M&E Policy Framework, 2015:11).

As a result, the M&E function within the Department of Home Affairs was supported by the development of the Departmental M&E Policy Framework which was approved in 2015. Its purpose was to clarify, confirm, inform and support a) continuous improvements in the effectiveness and efficiency of DHA strategy, policy; b) the purpose of, and commitment to M&E within and across the department; c) the key relationships between the M&E system and related management functions such as

strategy, policy and regulation development, planning, operational management and service delivery, performance management and auditing; d) the use of M&E information to support accountability, transparency and performance improvement; e) adequate resourcing of the M&E function, roles and responsibilities within and across the department and; f) systems and guidelines to continuously enhance the quality and relevance of M&E information for supporting organisational and individual learning, performance improvement and accountability (DHA M&E Policy Framework, 2015:11).

1.3. Problem Statement

The unprecedented economic, political, social and technological challenges around the world is forcing governments to think differently and adopt new approaches and reforms to enhance the performance of the public service.

Due to these challenges, the South African public service like other governments throughout the world, is being forced to review its public service performance. Further to this, historical poor delivery of services to citizens by the South African government is compelling it to try to do things right the first time in the delivery of services. According to Hauge (2003:12), “the fundamental cause of this challenge has been attributed to among others, weak M&E systems”.

In an article by the Citizen Newspaper published on 11 November 2019, the then Acting Director-General admitted that the Department of Home Affairs had a contingent liability of civil actions amounting to more than R2 billion in lawsuits. This was mainly due to its service delivery inefficiency. In a breakdown of the liabilities, the department’s immigration services accounted for R698.5 million, civic services claims amounted to R479.7 million, tenders and contracts to R829 million, while other sections faced R7.8 million, (The Citizen, 11 November 2019).

Therefore, it is against this background that this study was conducted to examine the influence of the M&E Framework on service delivery in the Department of Home Affairs.

1.4. Research Objectives and Questions

The research was conducted between September 2021 and March 2021 and the general objective of the study was to examine the influence of the Monitoring and Evaluation Framework in promoting service delivery at the Department of Home Affairs.

1.4.1. Research Objectives

The study specifically aimed:

- a) To investigate the relationship between organisational performance and M & E.
- b) To analyse the effectiveness of the DHA M&E framework in promoting service delivery.
- c) To describe and analyse the challenges and opportunities for improving M & E practice at the DHA.
- d) To make recommendations for improving M & E efficiency at DHA.

1.4.2. Research Questions

Porte (2010:43) suggests that “through research questions, the reader should be able to use the research question to focus the study to give it direction and to make it easier to follow”. The following were the broad research questions addressed in the study:

- a) What is the relationship between monitoring and evaluation and performance of the Department of Home Affairs?
- b) What effect does the DHA Monitoring and Evaluation Framework have in promoting service delivery?
- c) What are the challenges and opportunities for improving M&E practice at the DHA?
- d) What can be done to improve the efficiency of the DHA M & E framework?

1.5. Research Methodology

1.5.1. Research Strategy

The study used the qualitative research approach. A qualitative research technique is aimed at producing in-depth information in order to describe and understand a problem that is under study by soliciting views and perceptions from a small group of people (Queiros, Faria and Almeida, 2017:370). The main disadvantage of this research approach is that, looking at the target population for an example, its findings are not generalizable to the entire population, when compared to quantitative approaches (Atieno, 2009:17). However, it should be understood that the aim of qualitative research is not to produce statistically significant findings that are representative of a wider population hence it was suitable for this research.

Furthermore, by adopting the qualitative method of research, the researcher was able to solicit inputs which assisted in creating an understanding of the topic under study through the experiences of identified officials within the Department of Home Affairs who are actively involved in decision making and M&E activities.

1.5.2. Case Study Design

The study used the case study research design. The case study selected was the Department of Home Affairs. This Department was chosen as the study area because it is one of the government departments in South Africa that has a well constituted Monitoring and Evaluation Directorate, which is key for planning and providing assistance to business units to ensure that there is a coherent logic and alignment between selected outcomes, objectives, outputs and inputs (DHA M&E Framework, 2015:12). With the use of the case study methodology, the researcher gathered detailed information about the subject matter from the experiences and views of a variety of participants within the Department of Home Affairs. This method allowed the researcher to attain detailed understanding of experiences and views held by managers within the Department of Home Affairs on the implementation of the Monitoring and Evaluation Framework, and the role it played in enhancing service delivery and improving performance of their operations. This methodology further allowed the researcher to understand the barriers that existed when implementing the M&E Framework in the Department.

The researcher was employed by the Department of Home Affairs 4 years ago, and had an opportunity to build a relationship with it, and observed how the Department

performed over the years. To ensure objectivity, the researcher ensured that throughout the research, the voices of all participants were heard through the inclusion of thick and rich verbatim descriptions of interviewees' accounts to support findings. Additionally, in this study, the tenets of bias were averted to a great degree. During the course of the formulation of research questions, caution was taken to ensure that, no single question would either disadvantage or prejudice the participants. The study refrained by all means from making a mention of the name, nationality, culture or ethnicity. The study was based purely on the professional competencies of the officials.

1.5.3. Target population and Sampling

Sampling is defined as “a procedure used in research by which sub-unit of a population is studied in order to analyse the entire population” (Hagan, 2014:110); while a population refers to all aspects that are being studied such as people, objects or animals. The researcher used purposive sampling to target participants. For this study middle and senior managers who had first-hand experience and were responsible for the implementation of the Monitoring and Evaluation Framework in their areas of work were identified. Research participants were identified from a list of all managers that was provided to the researcher by the Department.

For this study, 14 research participants were requested to form part of the sample group. These were as follows:

- 1 x Senior Manager in the Monitoring and Evaluation Directorate
- 3 x Managers in the Monitoring and Evaluation Directorate
- 5 x Office Managers at Frontline Offices within the Department of Home Affairs.
- 5 x Senior Managers at Provincial Offices within the Department of Home Affairs.

The information obtained from the targeted sample group was accurate enough to make a conclusion in this study. This was in line with Hagan's (2014:158) explanation that “a small representative sample would yield a better estimate of the population than a much larger sample”. Further, the researcher chose purposive sampling as it enabled the Researcher to locate participants with appropriate expertise and first-hand experience with the implementation of the M&E Framework.

1.6. Data Collection Methods

1.6.1. Interviews

Interviews or Interviewing is one of the widely used methods of data collection in qualitative research. This method of data collection is used to gain a detailed picture of participants' beliefs and perceptions about a topic under discussion or study (De Vos et al., 2014:302-342). In this study, semi-structured interviews were used, which were suitable for this study. This method enabled the researcher to probe responses provided by participants in order to ensure clarity on all responses.

During the study, semi-structured interviews were conducted with 2 officials from the M&E Unit, 4 Senior Managers in Provincial offices and 5 Provincial Office Managers. In light of the COVID-19 pandemic and lockdown rules electronic platforms were utilised to collect data and for the majority of interviews, telephonic interviews were conducted. The researcher wishes to highlight that during data collection, only 2 participants requested that the questionnaire be forwarded to them for completion. Where additional information was needed, the researcher made a follow up and probed participants on their responses, with the aim of seeking clarity or soliciting more information.

Additionally, during the study, two officials from the M&E unit opted not to participate in the study and were thus not replaced as there were no more M&E staff members to interview. It must be noted that the M&E unit within the Department of Home Affairs is comprised of 4 officials only. Therefore, the study relied on the two responses from the M&E unit who have extensive experience in the area within the Department.

1.6.2. Documentary Research

Documentary research method is referred to as the analysis of documents that contains information about the topic under study (Ahmed, 2010:2) As a result, this method was also employed during data collection. A comprehensive review of DHA Annual Reports and Plans dating from 2013-2014 financial year to date, was conducted to substantiate the findings of the study.

1.7. Data Analysis and Strategy

A thematic analysis approach was applied. Thematic analysis is defined as “a general approach to analysing qualitative data that involves identifying themes and patterns in the data” (Wagner et al., 2012: 231). With this data analysis technique, data sets are organised and described and various aspects of the research topic are then interpreted.

Once data had been collected, the raw data was categorised, synthesised and coded using thematic analysis, to identify themes. Data was then reported based on the identified themes. The themes were categorised according to the different research objectives in the questionnaire, which included the relationship between M&E and performance of the Department of Home Affairs, the effect of DHA M&E Framework on service delivery, the challenges and opportunities for improving M&E practice at the DHA and improvements upon the efficiency of the DHA M & E framework to better their practice.

1.8. Quality controls

Reliability and validity are considered key tools in social research in that they ensure both objectivity and credibility of the study as discussed below.

1.8.1. Validity and reliability

In order to ensure the overall quality of the research process, it is key that the validity and reliability of the measures employed in the data collection phase are ascertained, (Wagner, Kawulich and Garner, 2012:80). Reliability is one of the important tools by which social researchers use to assess how impartial and credible the study is. It is defined as

“the degree to which an instrument measures a construct the same way each time it is used under the same conditions with the same respondents”, (Wagner et al, 2012:80). Thus, for reliability, it is all about the dependability of the instrument.

There are different measures of reliability. For this research, only one measure of reliability was taken into consideration. The measure of reliability was tested through the use of triangulation. Triangulation is a process that “employs a variety of strategies to provide different perspectives of the subject matter, as a means of cross checking the results” (Wagner et al., 2012: 275).

During the study, although primary data as a source was collected by utilising semi-structured interviews, the researcher also conducted documentary analysis of Departmental Annual Reports and Plans, DHA White Paper and survey reports in order to supplement the sourced interview data. With the application of triangulation, the researcher was able to analyse, conclude and make recommendations from the findings of the study. The literature review in chapter two and the documentary evidence presented in chapter four also assisted in interrogating and validating the research findings.

In addition, the researcher is an employee in the DHA as a Director: Research Management and has extensive experience and knowledge in the field of monitoring and evaluation, which was of assistance in the formulation of questionnaires. This ensured validity and reliability of the questions and their relevance in the study. Moreover, the researcher was responsible for conducting the interviews herself and detailed notes were taken during the study. One of the researches in the Department was asked to give an opinion about the interpreted data.

1.8.2. Credibility of the study

De Vos et al (2014:419) view credibility as the alternative to internal validity which puts more emphasis on the need to correctly identify and describe the subject for the research. To ensure credibility of this study, the researcher collected data from participants who are involved in decision-making within the Department of Home Affairs. The study covered a mixture of officials who play a key role in implementing the DHA M&E Framework and planning and organisational performance. The study interviewed DHA employees who directly implement the M&E Framework in their daily activities. The Researcher also interviewed Frontline Office Managers as well as District Managers of operations and Provincial Managers at DHA provincial offices. Both District Managers of Operations (DMOs) and Provincial Managers are Senior Managers responsible for leading, directing and overseeing the quality of service and the effective delivery of Civic and Immigration Services at the Provincial level.

Moreover, they are responsible for monitoring and reporting on the performance of their operations in the Provinces assigned to.

Office Managers on the other hand, directly implement the M&E Framework in their daily activities and are responsible for managing the operations within the office and overseeing the effective delivery of DHA products and services to members of the public. The researcher further interviewed officials in the Monitoring and Evaluation unit, who are the main drivers in the implementation of the M&E Framework within the Department of Home Affairs.

1.9. Limitations and Delimitations

The study utilised the purposive sampling technique to target participants. This technique posed a challenge in that participants in purposive sampling tend to manipulate the data that is being collected. For instance, when interviewing officials from the Monitoring and Evaluation unit on the influence of the M&E Framework on both performance and service delivery, responses were more defensive than objective, as they needed to reflect and make comments about their own work and also about an area that they oversee. However, the researcher managed to obtain a deeper understanding of the topic under study through the application of the probing mechanism, which at the end, assisted the researcher in uncovering issues or challenges experienced by the Monitoring and Evaluation Unit as drivers and owners of the M&E Framework.

Although the case study design enabled the researcher to focus on issues that were key in understanding the influence of M&E framework on service delivery in the Department of Home Affairs, the choice of a case study design was also another limitation for the study. The research case study was limited to the Department of Home Affairs' members of senior, middle and supervisory management levels, making it difficult to create any generalisation that applies to the rest of the Department and other Departments within the South African Public Service. Although this is the case, the findings of the study can be utilised as a baseline when conducting broader and representative research of a similar nature.

In terms of the delimitations, public service is a complex and broad area therefore, to be able to tackle it, only one case study, which is the Department of Home Affairs, was looked into. This made it easy for the researcher to focus the research and obtain approval to conduct the study in the Department of Home Affairs. The scope of the study was limited to analysing the influence of the M&E Framework in the Department of Home Affairs and how this can be improved. The study did not focus on the entire Department of Home Affairs, but only focused on members of senior, middle and supervisory management levels who performed M&E activities within their lines of work.

Despite the aforementioned limitations and delimitations, the researcher was able to gather substantial information during the period 01 September 2020 till 31 March 2021, that provided insights and understanding into the critical issues in implementation of the M&E Framework and its influence on service delivery in the DHA.

1.10. Significance of the Study

This study will serve as input not only to the academic body of knowledge but also in enhancing the general understanding of the role and importance of M&E in promoting service delivery in the Department of Home Affairs and the impact this has on effective and efficient delivery of public services. The study also identified key enablers and barriers to effective M&E practices for the Department to consider when improving the implementation and effectiveness of the Framework. The research further identified different types and intensities of interventions in order to adopt effective M&E practice in the Department. Furthermore, the study will assist the Department in fostering a culture that values the role of M&E.

1.11. Ethical Considerations

Wagner et al. (2012:62) state that “ethics must be considered at every step of the research design and implementation process”. For this study, the principles of informed consent and confidentiality were adhered to. Informed consent involves the right that research participants (i.e. interviewees) have to decide whether to participate

or not in any research study, after having fully understood the total research process, its aims, objectives and all its implications (Wagner et al. 2012: 68).

During the study, two officials from the Monitoring and Evaluation Directorate within the Department of Home Affairs and one Provincial Manager refused to participate in the study due to personal reasons. The ethical considerations were upheld from the beginning of the first contact with participants and throughout the entire research study when data was collected. The Researcher conformed to ethical principles that promoted informed consent. Before conducting any interviews, respondents' consent to participate in the study was obtained and their understanding of the objectives of the study were confirmed by signing of the informed consent form sent through to them. It must be highlighted that although not all identified participants for the study agreed to participate, the information obtained from those who consented was accurate and adequate enough to make a conclusion in this study.

Safeguarding and protecting the identities is considered one of the ethical requirements in research. By conforming to the ethical principles that promote confidentiality, any revelations of participants' identities were eliminated. Therefore, the researcher described and cited the participants in a manner that ensures that their confidentiality is protected. When compiling the report, the Researcher ensured that no mention of respondents names was done and this was largely to protect their identities and promote confidentiality.

According to Wagner et al. (2012:71), before one can begin to carry out the study, there is a need to gain approval of the University's ethics Committee. As a result, for this study, approval from the University's Research Ethics Committee was obtained and throughout the study, the University's ethics protocols in dealing with ethical considerations were applied. Additionally, approval was also requested and obtained from the Department of Home Affairs to grant permission to conduct interviews with officials. As a result, an approval letter from the Department of Home Affairs was obtained.

Keeping respondents safe is also another important ethical consideration for everyone involved in a study. To reduce the increased exposure of respondents to risks of everyday life and social interaction such as infectious illnesses (e.g. COVID-19), the interviews were conducted electronically with all the participants.

1.12. Structure of the Dissertation

This section provides an outline of the contents of each chapter during preparation of the final dissertation for the study.

Chapter One: Introduction

This chapter encompasses a detailed outline of the research problem and aims, background, research objectives, research questions and significance of the study. The chapter also outlined the methodology underpinning the study. A case is thus made for the use of qualitative data collection through semi structured interviews. The research design, strategy and data collection methods are also discussed in this chapter.

Chapter Two: Public Service Delivery in the context of Public Administration

This Chapter looks at the literature review of the topic. It reviews public service delivery in the context of Public Administration. A reflection on both the Public Service and Challenges associated with the delivery of services within the South African Public Service is also provided in this Chapter. Also discussed in this Chapter is the review of similar empirical studies conducted and the theoretical framework that underpins the study.

Chapter Three: Monitoring and Evaluation Framework in the South African Public Service

The purpose of this Chapter is to provide a detailed outline of the implementation of the M&E Framework in the South African Public Service. It looks at Policy Frameworks that guide M&E practice in South Africa, aims and objectives of GWM&E System Policy Framework, what the approaches are that have been employed in the implementation of the GWM&E System Policy in South Africa and the institutional arrangements that have been put in place to support the implementation.

Chapter Four: Monitoring and Evaluation Framework in Practice - The Department of Home Affairs

This Chapter presents the research findings and discussions from the analysis of data collected during the study. The findings of the study are thematically analysed. This analysis and discussion of the findings covers the following thematic areas: 1) the relationship between M&E and performance of the Department of Home Affairs, 2) the effect of DHA M&E Framework on service delivery, 3) the challenges and opportunities for improving M&E practice at the DHA and 4) improvements upon the efficiency of the DHA M & E framework to better their practice.

Chapter Five: Conclusion and Recommendations

This is the final chapter of this study. This chapter demonstrates a summary of the main issues discovered from the study. Conclusions and recommendations are described herein.

1.13. Conclusion

The topic for the study is introduced in this Chapter and the main aim of the study was to examine the influence of the M&E Framework on service delivery within the Department of Home Affairs. In essence the discussions highlight the role and importance that M&E has in the enhancement of service delivery. The discussions in this Chapter indicate that although Government made efforts to transform the culture of the public service into a more effective environment, through the introduction of several policies such as the White Paper on Transforming the Public Service Delivery (1997), Policy Framework for the Government-Wide Monitoring and Evaluation System etc., challenges pertaining to poor service delivery still persisted. These were largely as a result of poor M&E.

The discussions in this Chapter further provides an outline of the research methodology followed in conducting the study, highlighting the research strategy, design, data collection methodologies employed and some of the ethical considerations for the study. It is therefore against this backdrop that the study was

conducted to analyse the influence of the M&E Framework on service delivery, with specific reference to the Department of Home Affairs, in order to identify the challenges and opportunities for improving M&E practice at the DHA. The next chapter therefore, discusses theories and literature which underpinned the study.

CHAPTER TWO

PUBLIC SERVICE DELIVERY IN THE CONTEXT OF PUBLIC ADMINISTRATION

2.1 Introduction

The Chapter One introduced and outlined the aim of the study. The study examined the role of M&E in enhancing service delivery within the Department of Home Affairs. The study focus was motivated by the increased need to enhance the general understanding of the notion of monitoring and evaluation and its role and importance in promoting service delivery generally, and the impact this has on effective and efficient public service. The research methodology followed in conducting the study was also outlined under Chapter One, highlighting the research strategy, design, data collection methodologies employed and some of the ethical considerations for the study.

Chapter Two examines public service delivery in the context of Public Administration. It gives an overview of the influence of Public Administration on service delivery and argues that there is a clear nexus between Public Administration and service delivery. Public administration is responsible for service delivery improvement to better the lives of ordinary citizens. In essence, service delivery is dependent upon the manner in which administration is carried out by government departments and public institutions. The chapter also reflects on challenges associated with the delivery of services within the South African Public Service. Lastly, this Chapter outlines the theoretical framework that underpins the study and this manifests in the New Public Service Approach as the most suitable framework for this study, in the attempt to explore the influence that M&E has in promoting service delivery.

2.2 Public Administration

The concept of Public Administration is enshrined in the Constitution of the Republic of South Africa, Act 108 of 1996, and Section 195 (1) (d) (f) of the Constitution which states that “Public Administration must be governed by the democratic values and systems enshrined in the Constitution by amongst others responding to people’s

needs, providing services impartially, fairly, equitably and without bias and being accountable” (The Constitution of SA, 1996:99).

Section 197(1) of the Constitution (1996:10) further provides that, the South African Public Service exists within Public Administration and “must function, and be structured, in terms of national legislation, and which must loyally execute the lawful policies of the government of the day” (the Constitution, 1996:100). As a result, all spheres of governments, together with organisational components are assigned with the responsibility of ensuring effective administration.

2.2.1. Understanding Public Administration

A question then arises around what Public Administration is. To date, no single definition of Public Administration has been agreed upon. As Hustedt, Randma-Liiv and Savi (2020:129) argue, Public Administration is like a chameleon in that the manner in which it is applied depends on its environment. It is thus used by many politicians as an advisory tool towards the formulation of policies across all spheres of government.

Public Administration should be understood as

“a science or a field of study or discipline that provides a clear overview of public institutions’ governance practices and the manner in which public services are delivered” (Savi et al., 2020:129)

It provides a basis upon which aspects such as “governance practices, accountability, ethics, transparency and management of public institutions” are understood, and how these factors affect performance of public institutions (Helao, 2015:79). Public Administration involves the organisation and management of mutually agreed activities of the State, financed from the tax-payer’s money and how these are utilised for public good and enhancement of civil society. An example can be made on the role that public officials and other relevant stakeholders should play in achieving a common goal. In the Department of Home Affairs, for an example, collaborations are made with municipalities in taking services to the people and having all residents registered in the population register as legal citizens and provided with the necessary identity documentations, which are key to accessing social services in the country. Without an

identity document, one will not be able to access basic services such as health facilities, education, banking etc. (DHA Annual Report of 2019/20:30).

This is an indication of the effective collaboration between public officials and relevant stakeholders in working towards the achievement of service delivery goals. BY working together, the aforementioned aspects will ultimately have a positive effect on the quality of service delivered. As a result, good Public Administration will result in improvements on service delivery and ultimately the lives and social wellbeing of citizens (Helao, 2015:79).

The role of all programmes of government should be geared towards the enhancement of the quality of people's lives. This suggests that service delivery and the improvements it brings about to the general welfare of the people, is as a result of Public Administration. The success and effectiveness of Public Administration is dependent on the relationship that public service officials have with citizens and the influences from the day-to-day lives of citizens. This type of relationship will should promote "humanistic, people-centred and developmental" public services (Ngidi, 2012:12).

Another key underlying factor that characterises Public Administration is the role that the State should play in accelerating socio-economic changes, the fight against inequality, unemployment and poverty. This consequently points to the need for the State to put in place measures and strategies to bring about changes in the lives of ordinary citizens. Within the context of Public Administration, institutional arrangements such as processes, systems, resources, capacity, skills, etc., are key to understanding the importance of the relationship between Public Administration and service delivery (Pillay, 2016:23).

2.2.2 Public Administration and Service Delivery

According to the Constitution (1996),

"the South African Public Service exists within Public Administration and must function, and be structured, in terms of national legislation, and which must loyally execute the lawful policies of the government of the day" (The Constitution, 1996:100).

All government departments and public institutions within the Public Sector are thus assigned with the responsibility for administration. The Constitution (1996:99) further highlights the need to have in place structures and practices that will ensure the promotion of good governance through Public Administration. The democratic values and principles are the basis upon which Public Administration must be governed and as a result, adherence to “a high standard of professional ethics; provision of equitable services without bias; people’s needs; and accountability, transparency and development” should be ensured (the Constitution, 1996:99). It is therefore incumbent upon public institutions to put in place the necessary institutional arrangements that would ensure conducive delivery of services to citizens.

The literature review above indicates a clear nexus between Public Administration and Service Delivery. As defined by Essien (2015:59), Service Delivery is defined as

“the result of the intentions, decision of government and government institutions, and the actions undertaken and decision made by people employed in government institutions to provide goods and services to a community that is was promised to, or which is expected by that community”

Given the definition of what Service Delivery is, for services to be considered public they should be aimed at realising the goals and objectives of government to better the lives of citizens. The type or quality of services delivered to citizens is determined by the quality of administration practiced by public institutions. However, the challenge still remains that of ensuring citizen satisfaction with goods and services provided by public institutions. It is only through an efficient and effective Public Administration that this problem can be addressed and such Public Administration should be embedded in the systems of government and should be a daily activity carried out by government in their provision of public services (Mfene, 2009:66).

People use the service of Public Administration almost every day in their activities. In the South African Public Service for an example, there are some departments of administration like the Home Affairs, Social Development, Health, Land and Distribution, which touch on the lives of citizens in one way or the other.

From the literature reviewed, it is clear that Public Administration is more focused on putting citizens at the centre of service delivery and meeting the demands of society. This is more evident in the responsiveness and relevance of policies developed and services designed (Holmes, 2011:1). In this regard, the government institutions are thus accountable and obliged to provide services to the public in an equitable and fair manner. It is not only the utilisation of resources that would deem the public service efficient, but also the manner in which those resources are utilised to deliver public services and goods that is even more important (Holmes, 2011:1).

In governance and service delivery, the role of public officials is key. Public officials play an important role in the improvement of the quality of Public Administration by adhering to good governance practices. Their performance and how they conduct themselves have a huge impact on the functioning of the public service as well as on the lives of citizens. Their non-adherence to good governance practices will result in bad governance and consequently, the public services delivered to citizens will be negatively affected (Bourgon, 2009:5).

In general, the prosperity of the public service is largely dependent on the Public Administration-service delivery nexus.

2.3 Public Service Delivery

Sections 152 and 195 of the Constitution (1996) provide the basis upon which the Public Administration must operate. These sections prescribe how services must be delivered to citizens by all government departments and other public institutions. Public Services should thus be provided “impartially, fairly, equitably and without bias” (The Constitution, 1996: 99). Therefore, all spheres of government responsible are legally obliged to ensure adherence to the Constitution in their provision of services to the people.

After the dawn of democracy in 1994, a need was identified by the South African government to roll out the delivery of services to the marginalised South Africans. As a result, measures were put in place and diverse infrastructure facilities were built for the delivery of basic public services to all citizens. Services such as water, health care and education are considered basic services and are required for human survival and constitute a fundamental human rights. As such, the effective delivery of such

services is crucial for the fight against poverty reduction and development goals (Tsheola and Sebola, 2012:228).

2.3.1. South African Public Service Delivery

Public Administration is obliged by the Constitution to uphold high standards of professional ethics in their provision of service at all times. Services should be provided “impartially, fairly, equitably, efficiently, economically and effectively” to ensure responsiveness to peoples’ needs and expectations (WTPSD,1997:10). Further, accountable, transparent and development-oriented participation by the public in the policy-making process should be encouraged.

In terms of the White Paper on Transforming Public Service Delivery (1997), it is the responsibility of all government departments to prioritise service delivery as public services are not a privilege but are the rightful expectation of all citizens, especially those from marginalised communities. It is for this reason that the quest by government to respond to the needs of citizens has always been prioritised and optimisation of access to these services by all citizens is key and must be ensured by all spheres of government and institutions responsible for provision of public services. In the provision of services to citizens, consultations with citizens is key to ensuring an understanding of their general needs and expectations. Citizens must be treated as ‘customers’ and “listening to their views and taking account of them in making decisions about what services should be provided” (The WTPSD,1997:13).

Generally, services delivered or provided to the public should be informed by extensive consultation by government institutions in all spheres. Citizens including all types of customers should be consulted regarding their needs, wants and expectations. Given this, there is thus a need for the adoption of an integrated approach to public service delivery by all spheres of government. This will result in effective and efficient service delivery and the improvement in the standard of living of citizens and communities (Masuku and Jili, 2019:1).

Consequently, a change in how public services are delivered is a necessity. In seeking to provide better services, government has introduced numerous public service reforms since 1994. These reforms are aimed at changing the way the public service

conducts its business, so that the lives of ordinary citizens, especially those previously disadvantaged by the apartheid era, are improved and there is better life for all. The reforms include the promulgation of the White Paper on Transforming Public Service Delivery, or the Batho Pele White Paper introduced in 1997.

Progress made with regards to the delivery of basic services can be attributed to the White Paper on Transforming Public Service Delivery policy document (Notice No. 1459 of 1997). It provides a conceptual framework for how the public service should be transformed and identifies eight priorities, which include the transforming of the Public Service Delivery as key (WPTPS,1997:9; Crous,2004:578).

The basic values and principles governing Public Administration contained in Section 195(1) of the Constitution are the basis upon which the White Paper on Transforming Public Service Delivery (1997) goals are set. All spheres of government are required to uphold the principles of ethical behaviour and conduct, impartiality, fairness, equality and impartiality in their provision of services. They are further mandated to engage citizens on the ground with the aim of understanding their needs and deliver responsive products and services.

The White Paper on Transforming Public Service Delivery (1997:10-13) requires all spheres of governments (i.e. national provincial and local departments) to identify a number of aspects including a mission statement for service delivery complimented by service agreements. Service standards, performance indicators, targets and outputs; human resource strategies and capacity building also needs to be identified and be prepared and tailored in such a way that they respond to service delivery needs. To ensure that these are implemented, the South African Public Service will thus be judged by its ability to deliver services that meet the basic needs of all South African citizens.

As with many other policies of government, the White Paper on the Transformation of the Public Service (1997) has been and is being regarded as one of the best interventions by the South African democratic state. However, a report by Mokgoro (2003:27-28) highlights that, although the White Paper on the Transformation of the Public Service (1997) was considered commendable, its commendable elements tended to be diluted by implementation shortcomings. Despite the implementation of the Policy by government departments and institutions, the Public Service still lacks the people-centeredness in how they provide services and there is still “a lack of

effective monitoring and evaluation mechanisms both internally and externally”. This has resulted in major service delivery challenges in South Africa.

A further analysis of existing literature demonstrates that despite the existence of policies and statutes in transforming the public service and promoting service delivery in the South African public service, challenges pertaining to the delivery of quality services still persist (Crous, 2004:578). The South African Government continues to experience protests throughout the country, relating to the poor delivery of services.

2.4 Service Delivery Challenges in South Africa

Service delivery remains one of the major challenges in South Africa and across the world. There are various reasons and motivations behind the poor delivery of services experienced, not only in South Africa, but across the world. These include but are not limited to poor unethical leadership, supply chain management processes, lack of appropriate skills and capacity, nonresponsive decisions to the needs of communities, lack of resources, including financial resources, attitudes by public servants, and political infighting.

Leadership is seen as important in the public service as it affects how satisfied citizens are and similarly how government departments and agencies carry out their mandates. For any sphere of government to be effective in their delivery of public services, leadership becomes one of the key dependent variables. Governance and leadership guidance that recognises all citizens as key stakeholders in the service delivery value chain is required. Several authors highlight poor leadership as one of the factors that negatively affecting effective delivery of public services to the people. Effective Leadership is not about positions that people hold in offices but about the role they play and the influence they assert in improving service delivery. It is thus a key ingredient for government to be able to lead and overcome the challenges of service delivery. As Mello (2018:1) argues, clean audits in municipalities are as a result of strong oversight systems and leadership. To ensure effective and relevant provision of public services, it therefore becomes the role of leadership to understand the needs of the public and to be able to respond correctly to such needs and expectations.

A majority of public officials get into leadership positions within the public service for the sole purpose of self-benefit and not to deliver quality public services effectively,

efficiently and equitably as required (Mello, 2018:1). Consequently, this poor or lack of leadership results in various other challenges such as mal-administration and corruption, lack of “ethical values of responsibility, accountability, fairness and transparency” which some of them are key values and principles that underpin governance, which ultimately negatively affect service delivery and the ability to respond to the needs of the communities (Mbandlwa, Dorasamy and Fagbadebo, 2020:1). In this day and age many leaders fail to model and promote ethical conduct at work to improve public service delivery, hence the service delivery protests currently experienced by governments in South Africa as well as other parts of the world (Mbandlwa, Dorasamy and Fagbadebo, 2020:1).

The correlation between effective supply chain management and quality service delivery should also be noted. The quality of services delivered to the public is a clear indication of the effectiveness of the supply chain management in government and public institutions. At both the local and national levels of government, the implementation of both the Public Finance Management Act and the Municipal Finance Management Act, for an example, is still a challenge which negatively affects the delivery of public services. The violations and non-adherence to these legal prescripts result in irregularities pertaining to the appointment of service providers and awarding of tenders. This exacerbates amongst others, corruption, erodes public confidence in the appointed leadership, and compromise service delivery (Bizana, 2013:34). The gaps in the supply chain management processes and procedures for the provision of goods and services become a leeway on which favours and self-enrichment are experienced, which compromise service delivery (Reddy, 2016:6). This highlights the need for government to focus on improving its supply chain at all government departments in order to realise effective service delivery.

Lack of skills and capacity is also one of the main factors affecting government performance at the moment. Employees within the public sector lack the capacity to implement programmes, policies and decisions made by management. Low qualifications of councillors and inadequate training for an example, are also said to be contributing factors to poor oversight by councillors and political structures in Municipalities (Mello, 2018:1). All government institutions throughout the world aim at recruiting and retaining a workforce that is professional, skilled and has the necessary expertise to adapt to the ever changing world which demands changes in the workplace, aimed at improving the way public services are delivered to citizens. The

workforce must be able to respond to the ever changing work landscape, which also includes the changes in the policies and the decisions made in the implementation of these policies. Such a workforce will thus be able to ensure the efficient delivery of quality public goods and services to all citizens (van Antwerpen and Ferreira, 2016:86).

This also applies to South African municipalities. Majority of municipalities lack the “managerial, administrative, financial and institutional capacities” necessary for effective service delivery (IDASA,2010:16). This has adversely impacted the delivery of municipal services.

Thus, at the local sphere of government, the general view is that the decisions taken in South Africa are not responsive to the needs and expectations of citizens, particularly those from poor and disadvantaged communities (IDASA,2010:6). As a result, the planning and budgeting process and the Integrated Development Plans (IDPs) is not evidence-based. To a greater extent, it has not considered the expectations, demands and needs of local people (IDASA, 2010:6). This is also an indication of poor leadership and the inability to serve the communities and deliver on the obligation to provide and make available quality public services to all citizens by all spheres of government.

Lack of resources and the expectation from government to do more with less is another cited factor contributing towards the public service delivery challenges in South Africa (Mbandlwa, Dorasamy and Fagbadebo, 2020:1). According to them, the democratic government made many sacrifices in terms of public services and those who assumed power did not have enough resources to provide public services and these dilemmas badly affect public service delivery at all government levels (Mbandlwa, Dorasamy and Fagbadebo, 2020:1).

In essence, Government cannot deliver on its mandate due to lack of human resources, finances and Information Technology, etc. An example can be made of the Department of Home Affairs (DHA) which has to deliver against four complex mandates, yet the Department has been organised as a routine administrative department with limited resources since 1994, impacting negatively on service delivery. The DHA inherited an outdated operating and organisational model from the Apartheid era with “outdated systems that have increasingly frustrated its efforts to

build a modern, secure department and improve on service delivery” (DHA Business Case, 2019:57).

The DHA Business Case (2015) indicates that since 1994, the DHA has been experiencing a lack of sufficient funding for an optimal structure. The personnel profile of DHA does match the future requirements and highlights a significant capacity, cost, competency or skills gap coupled with the need for a systematic approach to professionalize a significant proportion of the staff. Funding of support Branches and Core Business has been insufficient to maintain even a minimum security system, thereby negatively the quality of services offered. This has resulted in the Department

“under-performing and not providing the most basic services expected of it, with many of its current systems being outdated and on the verge of collapse, impacting negatively on service delivery” (DHA Business Case, 2019:57).

Inadequate finance is a recurring challenge facing project management both at local and national government. Many projects are abandoned in local government due to inadequate funds. The inadequate allocation of budget hinders successful M&E and hinder the completion of projects, which in turn leads to citizen dissatisfaction with service delivery and sometimes to violent protests (Mthethwa and Jili, 2018:109). At the national sphere, for example, in the Department of Home Affairs, the historical funding gap has constrained its intention to professionalise service cadres, protect and modernise identification and movement control systems, and overall negatively impact on service delivery (DHA White Paper, 2019:72).

The non-alignment and disconnect of political promises with capacity and resources realities on the ground is another barrier to delivery of services to the public (Reddy, 2016:1). Political leaders in government often make promises to the public about the services offered by government without necessarily checking or verifying the ability and capability of government institutions to deliver such services. In making such promises no consideration is made to the availability of funds, skills, capacity, timeframes, infrastructure realities on the ground, procurement processes as well as other issues such as corruption in government institutions. In most instances, because of the uninformed decisions and promises made by politicians, what government institutions are able to deliver is not in congruence with what was promised, resulting in dissatisfactions by members of the public and in some instances, leading to service delivery protests (Reddy, 2016:1).

The attitudes of public servants in their delivery of services to members of the public is another major impediment to efficient and effective provision of public services. Denhardt and Denhardt (2000:549) emphasise the pivotal role that should be played by all civil servants in meeting the interests and needs of citizens by providing quality services. Generally, public servants still fail to treat citizens as their customers or making them a priority by being cognisant of their needs when they come to request services (IDASA, 2010:3). This signifies non-adherence to the White Paper on Transforming Public Service Delivery (1997) by Departments, which provides a policy framework and its implementation strategy for the transformation of public service delivery as well as a guide on how public services should be provided. A typical example can be made of the unprofessional, prejudiced and non-remorse attitude by DHA officials in their provision of services. This is evidenced by the number of litigations served against the Department related to service delivery complaints.

Other major causes of poor service delivery include lack of accountability and transparency, poor planning, and most importantly poor M&E. The inability to provide effective performance oversight by not putting in place formal processes for monitoring and supervision and making sure that these are implemented results in poor service delivery, which manifests in service delivery protests (Makanyeza, Kwanday, and Ikobe, 2013:1).

Additionally, Reddy (2016) posits that the challenges highlighted above are exacerbated by political infighting, which happens between political and management components, gets in the way of service delivery. In South Africa, these clashes are experienced mostly in local government have adversely affected service delivery, especially at municipal level. Instead of adopting 'merit-based' criteria in the appointment of public officials, politicisation takes the upper hand and becomes the preferred method (Reddy, 2016:2).

In general, the arguments presented above are a clear indication of an ineffective Public Administration, where the principles and basic values governing the public service are not upheld to ensure effective service delivery in South Africa. In response, M&E has been introduced to address service delivery challenges experienced in the public service, hence the introduction of the Policy Framework for the Government Wide Monitoring and Evaluation System. The aim of the GWM&E System Policy Framework is to improve Government effectiveness, by creating an enabling

environment through development of M&E systems and processes. It also assists the public sector to reflect on its overall performance whilst also pinpointing elements that inhibit achievement of service delivery (The Presidency, 2007:1).

2.5 Monitoring and Evaluation

In the South African government, M&E is considered as one of the enablers of public service delivery. Thus, it has been used as a mechanism to promote effectiveness, efficiency and good governance in service delivery.

Existing literature reveal that there is currently no universal definition of what constitutes M&E and also, that definitions of evaluations are ever evolving. However, this study adopts definitions by the Presidency (1997:1) and the OECD (2002:27). The Presidency (1997:1) defines Monitoring as

“the collection, analysing, and reporting of data on inputs, activities, outputs, outcomes and impacts as well as external factors, in a way that supports effective management” and

Evaluation as “a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy makers”.

These definitions are similar to that of the OECD (2002:27) which state that,

Monitoring is “a continuous function that uses systematic collection of data on specified indicators to provide management and main stakeholders of an on-going development intervention with indications of the extent of progress and achievement of objectives...allocated funds”

Evaluation refers to “the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation and results”. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process...”

The definitions above indicate that the two terms are distinct in nature yet complementary. They are complementary in that monitoring, by its very nature is on-going whilst evaluation is a post-event activity. As a result, managers receive continuous feedback from M&E both pre, during and post the implementation process. By implementing monitoring, public institutions are “simultaneously evaluating as they make judgments about progress and interventions that need to be introduced. Similarly, when they evaluate, they do so on the basis of the insights and information they have acquired from monitoring” (Phetla,2017:13-14).

This implies that Monitoring serves as a feedback mechanism upon which progress on achievement of set targets, objectives and indicators and early warning signs of problematic areas needing to be corrected are communicated to managers and all affected stakeholders. The relevance, efficiency, effectiveness, impact and sustainability may be assessed through the evaluation exercise. Through the conducting of evaluations, “crosscutting lessons from operating unit experiences are extracted and determinations of the need for modifications to strategic results frameworks are made” (The Presidency, 1997:1; Goldman, 2013:2).

The predominant focus of monitoring is on tracking program implementation and progress, including inputs that contribute to the achievements of service delivery output, activities and processes used to produce the desired outputs, outputs produced and initial outcome achieved as a result of the outputs produced. The focus is thus on both what is being done in a program and how it is being done, with the aim of identifying the necessary corrective action, if any.

For monitoring to take place, targets and indicators are often used as an important point of reference for monitoring. Monitoring is thus primarily used to support management and accountability. Evaluations on the other hand, move beyond the tracking focus of monitoring and focuses on forming judgements about program performance, identification of deeper and nuanced understanding of change and issues associated with a program and developing explanations of what is being identified. Evaluations are aimed at informing policy and program development based

M&E is considered an enabler in the journey to transform the public service into being 'efficient, effective and responsive to citizens and Parliament'. Effective M&E could result in

“improved identification and correction of deviations during programme implementation, the achievement of high performance, improved employee and management competencies, and the enhanced accountability that could as a result lead to the improvement in service delivery” (Mviko, 2015:5).

What is key to note is that there are performance information concepts outlined in the Framework for Managing Programme Performance Information (i.e. the PPI Framework) of 2007 which provides definitions and standards structures, systems and processes which are key in the management of performance information. According to this Framework, performance information should be structured in such a way that the manner in which the government intends utilising its available resources to deliver on its mandate is clearly demonstrated (The FMPPI, 2007:1)

These concepts outlined in the PPI Framework (2007) include inputs, outputs, activities, outcomes and impact. Majola (2014:30) elaborates on the meaning of these concepts and indicates that a) Inputs pertains to all the resources that are used as contribution towards production of service delivery. These are all the resources that are used and work done to produce service delivery outputs. These resources include human resources, equipment, systems, budget, and buildings; b) Activities are in essence, what gets done or actions or processes by utilising inputs to produce the outputs; c) Outputs are goods and services that get produced through utilisation of resources for delivery of services. These are what get produced in the quest for service delivery; d) Outcomes are the results for specific group of people which are as a result of producing outputs. and e) Impact pertains to discernible changes brought about by the services produced and offered to communities and all citizens.

Kimaro, Fourie and Tshiyoyo (2018:208) state that M&E systems should be created for the purposes of facilitating the utilisation of performance information. It therefore becomes the government’s responsibility to put measures in place to ensure the generation of performance information (supply) for utilisation in decision-making. In institutions where M&E is institutionalised, this should be done through a compilation of quality reports generated from the M&E system. Performance information should thus become part and puzzle of management decision-making process.

There are different forms applied in M&E functions and their applications are dependent or determined by the context or environment within which they exist. Their interrelatedness and equal power to improve the manner in which governments and

organisations perform should not be underestimated. It is also important to note the complementarities between M&E and a fit between the two which must be promoted at all times (Markiewicz and Patrick, 2016:12-15).

2.5.1. Types of Monitoring and Evaluation

There are different types of monitoring and evaluations. Literature differentiates between two types of monitoring which are both important in tracking results. Firstly, implementation monitoring or otherwise known as internal monitoring refers to

“activities that are performed by managers and employees within public institutions to monitor and evaluate the progress that is being made to achieve pre-determined objectives” (Phetla, 2017:16)

This type of monitoring is considered core to the management process in the South African Public Service. It forces managers to take responsibility to monitor and evaluate their own programmes, projects and operations and the progress made on the achievement of set targets or objectives. As Schaefer et al., (2015:132) states, internal monitoring helps ensure consistent attention and commitment of leadership, (Schaefer et al., 2015, 132). For it to materialise, there is a need for a dedicated Monitoring and Evaluation unit solely responsible for the implementation of the M&E Framework and related guidelines, norms and standards in respective departments. It should be the responsibility of this unit to coordinate and integrate all the M&E information generated, (DPME, 2014:10).

What is important is to note the fact that be that as it may, other managers within the government institutions should not be absolved from carrying out any monitoring activities. Rather all should participate in carrying out this function as it is

“a generic management function that should be undertaken by all line function managers in an organisation as it is the responsibility of all managers to monitor their own programmes, projects and operations” (DPME, 2014:10).

The responsibility lies with managers to utilise the monitoring information in their assessment and review of progress made against the set objectives. Achievement of outputs needs to be tracked through utilisation of available inputs and activities. Thus, the monitoring reports generated should serve as a tool to assist managers in

identifying areas of improvements and their implementation. In this regard, the analysis and evaluation of monitoring information by Managers becomes critical as this should be used in informing the decisions to be made in the improvement of service delivery (DPME, 2014:10).

External monitoring on the other hand, put more emphasis on improvement of performance and how it is carried out should contribute to capacity building within departments for enhancement of internal monitoring. The information which the external monitoring produces should thus assist managers in doing things differently and managing their organisations better (DPME, 2014:10). Unlike internal monitoring, Phetla (2016) argues that activities that are carried out during external monitoring are done so by external oversight institutions. In the South African public sector, the 'Parliament', the 'Auditor-General', the 'Public Service Commission' (PSC) and the 'Department of Performance Monitoring and Evaluation', play some critical oversight roles in ensuring that M&E happen (Phetla,2016:18).

With this type of monitoring, public participation is key and clients are obliged to provide direct feedback on the quality of services delivered to them. They should also provide feedback on the extent to which services responded to their needs and also met their expectations. It is through such monitoring that Departments are able to improve on service delivery.

2.5.2. Uses / Functions of a Monitoring and Evaluation Framework

Monitoring and evaluation is used for various purposes. M&E may be used for making decisions by management, as a tool to promote learning within an organisation, with the ultimate aim of improving how government operates and does things, and also how they provide services to meet the needs and expectations of citizens. M&E systems are not meant to replace good management practices. Instead they are there to enhance managerial processes by providing evidence for decision-making. The information produced throughout the M&E process need to be correct and well presented to support management in their decision making process (Ojok, 2015:20).

In the South African public sector, M&E plays a critical role in helping managers acquire information needed to make decisions such as program direction and continuation and ensure optimal utilisation of resources (Phetla, 2017:1).

The implementation of the M&E as part of the decision making process is more important than the formal requirement of M&E. Ojok (2015:20) and Mviko (2015:16-17) argue that “the real accomplishment of M&E are not the reports or facts produced but comprise the higher quality of information procured”. The real product for M&E therefore, becomes a high quality decision making. The M&E system should provide evidence for decision-making.

The argument by Ojok (2015:20) above corroborates with the United Nations Educational Scientific and Cultural Organisation (UNESCO 2016:1) stance that a good M&E system is not only about collection of statistical information, but rather that the effective and efficient implementation of the M&E System is dependent on the extent to which it is planned, managed and resourced to make it ‘stick’. For it to be effectively applied and implemented, there should be clear reporting procedures and feedback. As a result, an M&E system has to include among others;

“a well-established system of reporting on programme and initiative, the efficient coordination among all department and stakeholders at all levels, and the availability of reliable measuring tool” (UNESCO, 2016:1).

Furthermore, the quality of public decisions significantly depends on the quality of analysis and advice provided. The extent to which information is accurate and how it is presented becomes key in helping managers make informed decisions (Head, 2016:472; Ojok, 2015:20). Performance information should as a result, be used for monitoring of performance, optimal allocation of resources and enhancement of the quality of service delivery (Lee and Fisher, 2007:48).

Additionally, what is key to note is that high quality evidence, coupled with leadership, capacity and concerted action are necessary ‘ingredients’ for quality decision making processes that result in better decisions and service delivery. Therefore, using evidence to inform policies and programmes and better decision making requires leadership, capacity and concerted action (Aryeetey et al., 2017: 2-3). The effective implementation of the M&E System is dependent upon leadership commitment and committed individuals. These are critical for the consolidation of learning from an M&E system (Ijeoma, 2014:84).

The success of the implementation of the M&E systems is dependent upon the availability of well trained personnel. Mthethwa and Jili (2016:102) posit that a shortage of skills is one of the factors that prevent the successful implementation of M&E in municipalities. The knowledge, skills and competence required for those performing duties related to M&E of public projects is limited, leading to the inability to develop an institutional M&E system (including M&E plans, indicators and tools). This consequently implies that, because of the lack of M&E skills and competence by officials to design and implement a proper M&E system, it becomes difficult if not impossible to track progress on achievement of projects or targets, and to draw lessons from the performance information. This results in the making uninformed decisions that compromise attainment of effective and efficient service delivery.

Capacity building remains one of the key elements for M&E. It is a two-sided phenomenon which involves role players who supply and generate M&E information and those who demand or use M&E information. As a result, there is a need for adequate capacity to effectively produce, interpret and translate M&E information into actions. Institutions' and employees' capacity to "design, implement and refine the M&E system is vital for effective institutionalisation of M&E" (Kimaro, Fourie and Tshiyoyo, 2018:215; Mviko, 2015:18).

According to the Presidency (2007:9-22), in the South African Public Service, evidence for decision making can come from three data sources. The first data source, is the 'programme performance information', with focus on the collection of information at output and outcome level from national and provincial governments for strategic and annual performance plans and budgets; the second data source is at the local level used for 'Integrated Development Plans and Service Delivery and Budget Implementation plans' and the third data source are 'evaluations' focusing on the

"standards, processes, and techniques of planning and conducting evaluations and communicating the results of evaluations of government programmes and policies; census data/ statistics which pertains to information that is collected by Statistics South Africa through the census and other surveys; statistics collected by other government institutions – as well as from research studies and local community information" (Presidency, 2007:9-22).

M&E system must ensure “the promotion of good governance, accountability, as well as improvement in service delivery and the facilitation of better decision making across all levels of government” (Mawelela, 2012:32). M&E is supposed to demonstrate

“a strong predictive (and directive) capacity by being able to identify problems timeously, and ensure that findings and recommendations are directed to the appropriate levels before crises are experienced. Furthermore, critical for M&E, should be to “provide credible and useful information that can be used to inform decision making” (Naidoo and Henning, 2012:5).

Apart from M&E serving the very important purpose of informing the decisions made by managers in their organisations, it also is meant to generate knowledge and promote the learning within an organisation. Learning is one of the primary purposes of M&E and consequently, organisational learning should be seen as an outcome of M&E. The results from M&E should help create learning within an organisation and its utilisation as a management tool results in learning to improve planning, service delivery and the ideal allocation of resources. M&E is thus one of the important tools utilised to improve service delivery, and the emphasis is thus placed upon the manner in which M&E information is utilised (Ojok, 2015:21; Abrahams, 2015:10)

The role of organisational learning is said to be the most challenging outcome of M&E. Ideally, the information that comes out of the M&E system should be such that it helps foster a culture of learning in an organisation and improves service delivery. The information collected should be converted into “analytical, action-oriented reports that facilitate effective decision-making” (Ijeoma, 2014:31). For many organisations, the conversion of such information into lessons learnt has not been easy.

Evaluations are conducted for the purpose of organizational learning. Various scholars argue that “different types of evaluations are appropriate for answering different kinds of questions” and there is thus no “one size fits all evaluation template to put against the variety of questions”. According to the DPME (2014:10)

“Evaluations should be undertaken in a way which is demand-driven. This is to ensure that the managers of the programme being evaluated take ownership of the evaluation and implement an improvement plan to address the issues raised in the evaluation report. This is the most important lesson from the literature on the international experience of evaluation in the public sector”.

One of the principles guiding evaluations in the South African Public Service is that these must be utilisation-orientated and must also promote learning (The National Evaluation Policy Framework, 2011:4). Therefore, it is the responsibility of all government departments to include evaluations as part of the functions of management as a way to continuously improving performance. Results coming from evaluations should be discussed at management meetings and forums to serve as a basis for planning, budget decisions and general decision-making (Ijeoma,2014:93).

M&E systems provide continuous feedback and enable governments and organisations to develop an understanding of the different projects, programmes and policies that are successful and also more generally, what is working or not working as planned, and reasons why things are not working as planned, whilst promoting organisational learning. How information is used triggers knowledge management, which means learning from experience, learning from the results, analysis and analysis of results (Ijeoma,2014:59-60). The findings of the study conducted by DPME highlighted that, the culture in the South African public service is that of compliance rather than learning and making improvements. This implies that, evaluation is still not fully applied in government and not serving as input into the planning, policy making and budgeting processes. Senior management abdicate the role of championing M&E, resulting in the non-alignment of M&E to other management processes such as policy priorities, planning and budgeting (DPME, 2014:5).

According to the World Bank (2010:1) the effectiveness of the capacity of M&E framework is assessed by among others, amongst others the strength of the demand for evaluation. Porter and Goldman (2013:1) argue that demand for M&E is shown when there is appetite for utilisation of information from the M&E systems by decision makers to enable them to make choices. However, “when there is great capacity to supply M&E information, but low capacity to demand quality evidence, there is then a mismatch between supply and demand” (Porter and Goldman (2013:1). The mismatch between supply and demand of M&E leads to monitoring masquerading as evaluation. This is said to be the case in the South African public service. As stated by Abrahams (2015:1), since 2000 the focus by all government departments in South Africa has been on the establishment of their M&E units, with the main attention given to monitoring.

The DPME (2014:10) also highlights that, programme managers have the responsibility to demand evaluations to ensure buy in and ownership. In different public organizations, “good decision making should be informed by a range of relevant best available evidence” (Head, 2015: 473).

Monitoring and evaluation is thus used as a tool for increasing accountability and enhancing good governance. The conducting of organisational performance monitoring enable government to learn about what is working and what is not with the aim of improving service delivery. The information that comes out of the M&E system should be such that it helps foster a culture of learning in an organisation. Reporting therefore, becomes embedded in M&E and involves the “systematic and timely provision of essential information at periodic intervals” (UNDP,2009:182). M&E can only play a significant role in the accountability process if measures are put in place through regular exchange of information, reporting, knowledge products, learning sessions and the evaluation management learning process and planning (UNDP,2009:182)

2.6 Theoretical Framework

Various views and theories of Public Administration and management may be found in the literature. This section will explain the New Public Management and New Public Service approaches to Public Administration. Consequently, for this research, the New Public Service (NPS) approach is adopted as the basis for analysing and understanding the relationship between M&E Framework and improved service delivery.

2.6.1. New Public Management

Vigoda (2003:2), defines New Public Management (NPM) as

“an interdisciplinary study for the generic aspects of administration...a blend of the planning, organising, and controlling functions of management with the management of human financial, physical, information and political resources”.

In essence, the term New Public Management consists of various techniques and perspectives aimed at addressing the ineptitudes that were brought about by the implementation of traditional models of public administration and enhance performance of the public sector (Pfiffner, 2004:3).

According to Thornhill, van Dijk and Ile (2017:19), the 1990s brought some new debates to the fore with the introduction of the concept of New Public Management as an effort to redefine the area of operation of the Public Sector. The concept of NPM was popular in the 1980s resulting from Margaret Thatcher's request to make the Public Sector more business-like. Similar to the New Public Service approach, the NPM model of public administration embraces the values and principles of democratic nations, implying that public officials should work more closely with society than before in order to be responsive and relevant.

Unlike the New Public Service Approach, this model focuses more on “markets and competition, above anything, and it suggests that public service users should be treated as clients”. The key objective with the New Public Management approach is the prioritisation and implementation of goals that are politically motivated; management of economic inputs and outputs in a way that ensures responsiveness to the consumer. To achieve policy objectives, mechanisms and incentive structures must be created by government through utilisation of both markets and public managers (Bryson, Crosby and Bloomberg, 2014:447).

Furthermore, according to Kalimullah, Alam and Nour, (2012:12), with the New Public Management approach, hands-on professional management is encouraged. Visible and proactive leadership is needed with managers who are empowered to use their own judgement in decision making within their areas of work. The public manager is required to be an active role player in dealing with issues on the ground should thus take authority over the public service delivery mandate assigned to them. They further state that effective delivery and improvements on public services should not be hampered by unnecessary red tape, un-abling operating procedures or established rules and regulations. The use of explicit standards of measures of performance is advocated for with this model. Goals and targets need to be defined and measures to enable the public sector institutions to be held accountable for their activities and utilisation of resources. With this approach, the intention is to promote the culture of

continuous improvement of the quality of public services offered or delivered. The focus is thus on results rather than processes (Kalimullah, Alam and Nour, 2012:12).

The managers' performance is measured by amongst others, how they have utilised resources to produce the outputs. Also, instead of a blanket approach to performance bonuses and rewards, employees should be rewarded based on how they have used these resources. Thus the allocation of resources and rewards are linked to performance. A shift is made towards corporatisation and disaggregation of units of activities. With the NPM, these should be categorised by the products and services offered, each with its own financial budget. These units should deal in synergy with each other to produce a common goal (Kalimullah, Alam and Nour, 2012:12).

The NPM approach stresses the adoption of private sector styles of management practices, which suggests that the public sector, in their provision of products and services to the public, must conduct itself in accordance with business principles. Further, according to the NPM approach, the manner in which recruitment is done and the rules associated with that, should be more flexible. This enhances the efficiency of public service provision. In the allocation and utilisation of resources, greater emphasis is also put on implementation of cost-cutting measures in public institutions (Kalimullah, Alam and Nour, 2012:12).

Generally, the New Public Management approach suggests that public sector institutions should adopt the private sector business practices and customise that to suit the public sector space. This is largely due to the fact that private companies are considered more efficient in the utilisation of resources. The NPM model promotes good governance through government, business and civil society partnerships which are essential in the improvement of the delivery of public services (Thornhill, van Dijk and Ile, 2017:158).

Although the New Public Management was considered effective in dealing with administrative issues, literature shows that it had limitations that hampered its effectiveness in dealing with broader societal issues. According to Ventris (2000:513), this approach is somewhat non-inclusive in that "historical and normative concerns central to public administration and the public service" were left uncovered. Critics of NPM have argued for a more inclusive New Public Service approach.

2.6.2. New Public Service Approach

More than two decades ago, Denhardt and Denhardt (2000) introduced “a set of norms and practices that put emphasis on democracy and citizenship as the basis for public administration theory and practice” (Denhardt and Denhardt, 2015:664). This they called the New Public Service (NPS). This introduction was brought to the fore as “a counterbalance to the popularity of reinventing government and the larger wave of New Public Management that began in the 1980s” (Denhardt and Denhardt, 2015:664).

This approach is considered the most coherent of the majority of Public Administration and Management approaches. With this approach, citizens, communities and civil society are put at the centre and should be the focus for public management. The approach emphasises the role that should be played by all civil servants in the provision of quality services to ordinary citizens. Denhardt and Denhardt (2000:1) state that with this approach, public servants should play a pivotal and active role in meeting the interests and needs of citizens. The NPS has got its roots from the democratic theory which emphasises the role of public officials and how they need to be accountable to citizens and ensuring that they serve and respond to their needs rather than to steer them.

This approach is in line with the White Paper on Transforming Public Service Delivery of 1995, which is aimed at committing public servants to serve people and become innovative in the quest to improve service delivery. With the White Paper on Transforming Public Service Delivery (1995), public servants are reminded of the role they have to play in assisting citizens and giving them access to the services they are entitled to. Courteousness and helpfulness are the qualities public servants need to demonstrate when in contact with the public.

Additionally, the New Public Service approach is in alignment with Chapter 2 of the Constitution of the Republic of South Africa, 1996 on Bill of Rights, which is a cornerstone of the country’s democracy. This chapter protects the rights of all people in the country and further states that

“the State may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion,

conscience, belief, culture, language and birth, in their provision of services” (SA Constitution, 1996:1247).

With the NPS, public participation is also encouraged. The public is required to play an active role and obligate the Public Service to account for the quality of service provided. The New Public Service model approach is more democratic than bureaucratic, forcing public management to promote the notion of an active participation by citizens in their provision of services. Public servants are thus at the forefront of implementation management and are there to initiatives that are geared towards engaging citizens in a quest to finding solutions to their social problems (Robinson, 2015:10).

Unlike the New Public Management which aims at steering or controlling communities, in the New Public Service, the public servants should serve all citizens and help them in articulating and meeting their shared goals. In this regard, the citizens should be given an opportunity to participate in government activities by evaluating the products and services provided to them. In this way, the process measures those things that are of great value and matters the most to the public (Denhardt and Denhardt, 2015:669).

The NPS approach recommends that public managers should acquire skills to enable them to deal with any types of problems in collaboration with citizens. To address the needs of citizens and to respond and provide with service delivery-oriented solutions, issues, “openness, accessibility, accountability and responsiveness” are key elements that governments must consider when serving citizens (Robinson, 2015:10). In future, consultations with users of public service about their needs and priorities will need to take place in order to develop more accessible and responsive arrangements (WTPSD, 1995:5)

Furthermore, the NPS approach emphasises “the importance of public service ethos and the values and motivations of public servants dedicated to the wider public good” (Denhardt and Denhardt, 2000: 556-57). Motivation of public officials is thus important in this regard,

In a society where democracy is promoted, democratic values should be the basis upon which governance systems are built and thought about. These should include values pertaining to efficiency and productivity all aimed at promoting democracy and

needs and interests of citizens, making the New Public Service consistent with the basic foundations of democracy in South Africa (Denhardt and Denhardt, 2000:557).

The literature and analogy of the two approached above, therefore demonstrates the nexus between democracy and M&E, and the role they both play in promoting transparency. By its very nature and objective, M&E can thus be seen as a tool for augmenting democracy through the introduction of higher levels of accountability and transparency into the Public Service (Pfiffner, 2004:1-9; Robinson, 2015:5-10).

2.7 Conclusion

Chapter Two provided a review of the Public Administration and its relationship to service delivery. The discussions in this Chapter indicated the influence that Public Administration has on service delivery and that there is a clear nexus between Public Administration and service delivery. Public administration is responsible for service delivery improvement to better the lives of ordinary citizens. In essence, service delivery is dependent upon the nature and quality of administration exercised by public institutions. The Chapter also reflected on challenges associated with the delivery of services within the South African Public Service. Factors such as poor unethical leadership, flawed supply chain processes, lack of appropriate skills and capacity, non-responsive decisions to the needs of communities, are considered some of the reasons and motivations behind poor delivery of public services. In the South African government, M&E is considered as one of the enablers of public service delivery and has been used as a mechanism to promote effectiveness, efficiency and good governance in service delivery. The responsibility thus lies with all government departments to prioritise service delivery.

In an attempt to explore and understand the influence that M&E has on improved service delivery, the study adopted the New Public Service approach s.

CHAPTER THREE

MONITORING AND EVALUATION FRAMEWORK IN THE SOUTH AFRICAN PUBLIC SERVICE

3.1. Introduction

Chapter Two provided a review of public service delivery in the context of Public Administration. A reflection on both the Public Service and Challenges associated with the delivery of services within the South African Public Service was also provided in this Chapter. The discussion around the role that M&E play in the promotion of service delivery was also discussed. The Chapter also provided the theoretical framework that underpinned the study

In line with the literature review discussed in Chapter Two and the main purpose of this research which is indicated in Chapter One, Chapter Three provides analysis of the implementation of the M&E Framework in the South African Public Service. It looks at Policy Frameworks that guide M&E practice in South Africa, aims and objectives of the Policy Framework for the GWMES, approaches that have been employed in the implementation of the Policy Framework for the GWM&ES and the institutional arrangements that have been put in place to support the implementation of the Policy Framework.

3.2. Policy and legislative Frameworks that guide M&E practice in South Africa

After the dawn of democracy, government adopted M&E to improve its effectiveness, accountability and transparency. M&E provides evidence of the “impact, effectiveness and efficiency” of the work of government and enhances the strategies systems, operations, policies, plans and performance of government (The Presidency, 2007: 5).

According to Umlaw and Chitepo (2015), since 2009, South Africa's emphasis and greater focus has been on M&E and this was as a result of the pressures experienced by government to address poverty and inequality issues and most importantly protests relating to the delivery of public (Umlaw and Chitepo, 2015:1)

In 2007, the South African government recognised the need to have in place the Policy Framework for the Government-Wide Monitoring and Evaluation System. This was as

a result of the Cabinet's directive to the Forum of South Africa's Directors-General (FOSAD) to develop a central Government-wide Monitoring and Evaluation System. Introduced in 2007, the Policy Framework was aimed at assisting the Government “to become more effective, by putting M&E systems and processes in place and assisting the public sector in evaluating its performance and identifying the factors which contributed to its service delivery outcomes” (The Presidency, 2007:1).

The Policy Framework for the GWM&E System provides an all-inclusive, integrated framework that outlines the principles, practices and standards against which the South African M&E activities in all government departments must be based on. With this system, measures were put in place to enable all spheres of government to execute or implement their M&E functions successfully and to the benefit of their respective organisations / institutions. The measures included but not limited to, “management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships and organisational structures” (The Presidency, 2007:2-5; Phetla, 2017: 19). The introduction of the Policy Framework for the GWM&E System is part of the public service reform and the approach towards increasing the Government's effectiveness, by putting more emphasis on M&E. In essence, the Policy Framework for the GWM&E System is a management system that is embedded within all government departments and public institutions and that forms part of other internal management systems (The Presidency, 2007:2-5; Majola, 2014:29).

According to Markiewicz and Patrick (2016:4), M&E Frameworks serve different purposes including a) the utilisation of approaches and tools as a basis for identifying and assessing results; b) can guide management on tracking of progress related to implementation of programmes against plans; c) accounting and reporting on the utilisation of resources and achievement, and d) learning as this is considered one of the primary purposes of M&E, improving programme performance and informing decision making.

What is notable is the dependency that the M&E Framework has on the support from critical stakeholders who play an oversight role. For instance, In South Africa, the

Presidency is mandated to coordinate the process of implementing government policies by all departments to ensure integrated service delivery. Another key stakeholder is the Statistics South Africa which is responsible for the generation and supply of “accurate information to inform government policy planning processes as well as decision-making” (Kiriuki and Reddy, 2017:3-4). Other stakeholders, such as the Department of Performance Monitoring and Evaluation, office of the Auditor General and the Public Service Commission, need to ensure the implementation of the Government-Wide Monitoring and Evaluation Policy Framework by relevant line departments (Kiriuki and Reddy, 2017:3-4).

The following pieces of legislation contribute to the implementation of the Policy Framework for the GWM&E System:

3.2.1. The Constitution of the Republic of South Africa (1996)

The Constitution of the Republic of South Africa (1996), is the supreme law of the Republic and any law or policy should be consistent with it. The Constitution of the Republic of South Africa obligates all government departments and public institutions to provide services impartially, fairly equitably and without bias. In line with the Constitution, senior managers of public institutions are obliged to respond to people’s needs, be accountable and transparent at all times by making available accurate information as and when required, to Parliament and to citizens for utilisation in holding government accountable in their delivery of services (The Constitution, 1996:1331; Magagula, 2019:23).

3.2.2. Policy Framework for the Government-wide Monitoring and Evaluation System (2007)

The Policy Framework for the Government-Wide Monitoring and Evaluation Framework (GWM&E System) was first introduced in 2007 with the aim of assisting government to effectively contribute to service delivery outcomes. This was made possible by putting processes in place that assisted the government to continuously reflect on its performance. The GWME Framework is

“an overarching policy framework that consists of a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships for monitoring and evaluation applicable to all entities in the national, provincial and local spheres of government” (The Presidency, 2007:1; Magagula, 2019:23).

3.2.2.1. Aims and Objectives of GWM&E System Policy Framework

Implementation of the Policy Framework for the GWM&E System is aimed at ensuring that there is value derived from the performance information produced and the manner in which it is interpreted and analysed within departments and municipalities from when resources are identified and utilised to coming up with public services that bring about discernible changes to the lives of citizens. For the Policy Framework to be impactful, it must amongst build capacity for M&E and foster a culture where the M&E findings inform governance and decision-making (The Presidency, 2007: 7).

The GWM&E system is aimed at

“facilitating a clear sequence of events based on critical reflection and managerial action in response to analysis of the relationships between the deployment of inputs, the generation of service delivery outputs, their associated outcomes and impacts” (The Presidency, 2007: 5).

It provides guidelines for all government departments, municipalities and other public institutions to consider when delivering on their respective M&E functions. In terms of this Policy Framework, there are three data sources for utilisation in the implementation of M&E, namely, “programme performance information; social, economic and demographic statistics; and evaluation” (The Presidency, 2007:1). For each of these data sources, policies were developed which describe what is required for them to be fully effective as outlined below.

3.2.3. The Framework for Managing Programme Performance Information (2007)

The Framework for Managing Programme Performance Information (the FMPPI) was issued by the National Treasury Department in May 2007 which clarified definitions and standards structures, systems and processes which are key in the management of performance information. The Framework promotes accountability and transparency by timely making information accessible to various actors, amongst them, Parliament and the public. Such information is essential in assessing performance of government institutions. With the implementation of this Framework, roles and responsibilities are outlined and clarified pertaining to the development of primary “information structures, systems and processes for the management of performance information” that is coming from the M&E processes (The National Treasury, 2007:1 and Phetla, 2017:19).

3.2.4. National Evaluation Policy Framework (2011)

The aims of the National Evaluations Policy Framework (NEPF) are to promote the conducting of evaluations on programmes by government institutions with the aim of assessing if things are being done properly, effectively and efficiently as well as assessing how service delivery processes can be improved in order to fully respond to the needs and expectations of ordinary citizens. The Framework aims to improve the quality of evaluations conducted in the public service and further encourages utilisation of evidence to inform planning and ultimately improve performance. (The Presidency, 2011:2 and Phetla, 2017:19).

Furthermore, the Framework provides a guide on how evaluations should be conducted. The Framework provides the rules, principles, norms and appropriate practices and techniques to be considered in the implementation of the National Evaluation Policy Framework. It further prescribes on how the evaluation results should be utilised (The Presidency, 2011:2; Magagula, 2019:34-35). With the implementation of this Policy, government Departments are required to have in place customised annual evaluation plans, which will identify the minimum evaluations to be conducted.

In line with the National Evaluation Policy Framework (2011), the conducting of evaluations should be aimed at improving the way government departments perform, the obligation by government departments to take responsibility of the areas assigned to them and the activities involved therein, knowledge management and generation and for making informed decisions about interventions to be introduced for improvement of public service delivery. Results from evaluations should serve as inputs towards improvement of policies, optimal allocation of resources and reduction of unintended consequences of policies and also strengthening the culture of utilisation of evidence to improve performance. This Policy Framework highly recommends the undertaking of impact, implementation, design and economic evaluations as these are entwined with the approach adopted by government on result-based management (Presidency, 2011: 2-8).

Although this is the case, Goldman et al., (2019) state that evaluation is a specialised field and for one to be able to conduct evaluations, there is a set of skills and competencies needed. However, this is in contrast with what is happening in the South African Public Sector. There is still a shortage of skills and capacity to conduct and manage credible evaluations. However, in the South African Public Service, there is still a shortage of skills and capacity to conduct and manage credible evaluations. To mitigate against this risk, measures such as the “promotion of learning networks and forums, short courses and development of evaluation management standard to drive establishment of evaluation capacity in departments” have thus been put in place Goldman et al., (2019:4).

3.2.5. The South African Statistics Quality Assurance Framework (2008)

It is the responsibility of the Statistics South Africa (Stats SA) to collect and share the official statistics. It also evaluates and improves the quality of data produced by government departments and public institutions (Stats SA, 2008: i).

Another key element was the introduction of the South African Statistical Quality Assessment Framework (SASQAF) in 2008 which was aimed at enhancing and extending transparency in data evaluation. The SASQAF provides an outline of the process to be followed in the collection of the information produced from the M&E (Stats SA, 2008: 1 and Phetla, 2017:20). The Framework is aimed at improving and

enhancing the quality of performance information across all government departments and public institutions (Presidency, 2007: 9). In assessing statistics produced by government departments, a criteria consisting of dimensions of “relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness, and integrity” is used (World Bank, 2010:11).

As currently conceptualised, the effectiveness of the Policy Framework for the Government-wide Monitoring and Evaluation System in measuring performance of government is dependent on the provision of quality information by all spheres of government. It must thus be noted that for the GWM&E System Policy Framework to be successfully implemented, there must be clear objectives and proper coordination and integration.

3.3. Approaches to the GWM&E System in South Africa

In South Africa the information and evidence produced from M&E should be utilised as evidence in the planning and execution of government initiatives and interventions. The South African Public Service adopted the results-based management approach to improving public sector performance (Majola, 2014:29). This section therefore, clarifies the notion of the result-based management and M&E and how this is implemented in the public service.

In the South African Public Service, a Results-Based Management approach is adopted. This approach is defined as

“a management strategy focusing on performance and achievement of outputs, outcomes and impacts, aimed at achieving important changes in the way in which organizations operate, with improving performance and achieving results as the central orientation” ... the Results-Based Management approach provides a coherent framework for strategic planning and management by improving on learning and accountability” (Organisation for Economic Co-operation and Development (OECD), 2004: 30).

The policies that government enact should thus be aimed at addressing citizens’ service delivery needs. In South Africa, this is based on,

“defining strategic goals which provide a focus for action; specifying expected results which contribute to the achievement of strategic goals; aligning programmes, processes and resources to achieve expected results; ongoing monitoring and assessment of performance and using lessons learnt from implementation to inform future planning; and improving accountability for results” (Presidency, 2007: 22; Naidoo, 2011:42).

The Result Based Management approach seeks to ensure the alignment of planned objectives of a programme etc., to achieve the desired results. According to Majola (2014:21), with this approach, the emphasis is placed on planning, M&E, and management. In essence, the result based management should become part of the organisational culture, policies, embedded processes and decision-making procedures (Majola, 2014:21). It is thus the responsibility of all departments in all spheres of government to ensure development of relevant indicators that are aimed at promoting the M&E of the services they provide (Magagula, 2019:41).

According to the Presidency (2007), an M&E strategy should be adopted by every government institution as part of the strategic plan, annual plan or Integrated Development Plan (IDP). The strategy should describe the approach to be followed in the creation and operation of the M&E system that will be expected to produce credible and accurate performance information that gets used in the improvement of service delivery; and also include a capacity building plan outlining the approach that will be adopted to carry out the M&E function (The Presidency, 2007:11).

Capacity building initiatives ensure that implementers of the GWM&E System are able to integrate the functions related to M&E with the functions within their areas of responsibility. This therefore ensures that they respond correctly to findings produced by the GWM&E system. By building capacity, managers are able to set up and manage their own M&E systems. For successful implementation, all government institutions should have strategies in place to build capacity in the shorter and longer terms. Appropriate skills must be recruited and training must also be provided to staff to ensure effective implementation of the GWM&ES (The Presidency, 2007:15; Naidoo, 2011: 19).

3.4. Guiding principles for implementation of the GWM&ES

The Presidency (2007:19-21), highlights that the implementation of the GWM&ES is guided by several principles. These principles include the principle that there should be clear linkages of the implementation plan with prior public sector reform initiatives; incorporation and consolidation of existing M&E initiatives at all spheres of government, all aligned to the overall aims of government; integration of systems and seamless exchange of data; development and enforcement of statistical data and reviewing of the implementation plan against milestones on a regular basis.

3.5 Defining institutional roles and responsibilities in the South African Public Service

The South African Presidency established a GWM&E Working Group to outline rules, standards, principles, practices and reporting of how the GWM&E System Policy Framework should be implemented by government departments. This Group also contributed to the identification of all key stakeholder roles and responsibilities for the implementation of the GWM&ES as outlined below (The Presidency, 2007: 17).

All Accounting Officers and Heads of Departments in government, are entrusted with the responsibility in ensuring the implementation of quality M&E and the production of reliable and valid M&E information. These officials are responsible for addressing M&E issues as and when they arise and without delay (Presidency, 2007: 14 and Phetla2017:21).

It is not only the M&E unit's responsibility to ensure that the Policy Framework for the GWM&E gets operationalised. Programme managers, other line managers and officials are also obliged to develop and maintain M&E systems for the collection and utilisation of data and information in decision-making, especially collecting, capturing, verifying and using data and information (Presidency, 2007:36 and Mviko, 2015:14). Furthermore, Designated M&E units should be established by all governments departments to ensure that M&E strategies are implemented and M&E practice and information is not just for compliance purposes but is taken seriously and embedded in management processes (Presidency, 2007: 36).

There are also key public organisations that are assigned with the responsibility to ensure the ownership and implementation of the monitoring and evaluation by government departments. These are discussed in the following section.

3.6 Key Institutions in the South African Monitoring and Evaluation

3.6.1. The Presidency

It is stated in the Constitution (1996) that the President of South Africa as well as other members of the Cabinet, are entrusted with the powers required to ensure that all national policies are realised and also to coordinate the functions of all government departments and administration (Constitution 1996:47). According to Ijeoma (2014), the Presidency coordinates, monitors, evaluates as well as communicates government policies and programmes, and accelerates and promotes the integration of service delivery initiatives in government. It is also the role of the Presidency to evaluate the implementation of strategies within government, and assess whether they are bringing discernible changes that they were intended to bring. The Department of Planning, Monitoring and Evaluation thus becomes the Champion for the coordination of M&E across government (Ijeoma, 2014:182-183).

According to the World Bank (2010), the President's Office relies on the performance information reported on by departments in ensuring implementation of its Plan of Action and also assessing the impact that the Plan of Action had on the lives of citizens and the economy. It is the responsibility of the Presidency to spearhead and champion the existence and implementation of the M&E system. The authority rests with the Office of the President to ensure development and utilisation of relevant indicators for measuring of government's progress in responding to its Plan of Action (World Bank, 2010:9).

3.6.2. The National Treasury

The mandate of the National Treasury is informed by Section 215 and 216 of the Constitution, 1996. Also critical to the mandate and functions of the National Treasury

are legislations such as the Public Finance Management Act (PFMA) of 2009 and the Municipal Finance Management Act (MFMA) of 2003. Monitoring systems have also been developed to assess the level of compliance to these prescribed legislations by all government departments. In essence, the National Treasury is one of the key drivers of the M&E initiative in South Africa (World Bank, 2010:10).

In the implementation of the Policy Framework for the GWM&E System, the National Treasury is responsible for ensuring and ascertaining that the information produced throughout the M&E result chain (i.e. inputs, activities, outputs and outcomes) serves as a basis of processes relating to planning, budgeting, reporting and implementation management. This is aimed at promoting amongst others, efficiency, effectiveness as well as transparency (Ijeoma, 2014:182).

3.6.3. Statistics South Africa (Stats SA)

The Statistician-General (S-G), who is the Head of the Stats SA, is mandated by Section 14 (a-c) of the Statistics Act of 1999 to provide advice to all state entities on the application of the quality criteria and standards. It is the responsibility of the S-G to assess and declare statistics produced by governments departments and other public institutions as official statistics, based on the quality of the statistics produced (Ijeoma, 2014:182). For statistics to be certified as official,

“it should meet user needs beyond those specific and internal to the producing agency and should also be part of a sustainable series, not a once off collection” (The Presidency, 2007:9).

3.6.4. Department of Public Service and Administration (DPSA)

The DPSA derives its mandate from the Public Service Act. It is the responsibility of this department to ensure transformation within the Public Service whilst also increasing the public service’s effectiveness and improving governance. The DPSA is the “custodian of the public management frameworks, performance and knowledge management and service delivery improvements” (Ijeoma, 2014:183).

3.6.5. Public Service Commission (PSC)

The PSC is established in terms of Chapter 10 of the Constitution. Its mandate is specifically derived from Sections 195 and 196 of the Constitution, 1996. It is the custodian of “good governance” and utilises the nine constitutional values and principles for public administration as its M&E framework. These values and principles represent what is regarded as good governance in South Africa (The Presidency, 2007). The PSC oversees the performance of the Public Service by investigating, monitoring and evaluating the achievements of government programmes and ensuring that all measures are put in place to ensure that action is taken in relation to M&E findings (Ijeoma, 2014:183; Mviko, 2015:3).

Mviko (2015) states that the PSC introduced initiatives such as the performance management and development system as part of monitoring and evaluation of the activities within the public service. This initiative assisted in holding senior managers in the public service accountable for utilisation of resources such as funding and human capital as these were assessed against the actual performance (Mviko, 2015:3)

3.6.6. National Departments

As currently conceptualised, the Policy framework for the Government-wide Monitoring and Evaluation is dependent upon systems in government departments to generate information from which the performance of government can be measured. It is therefore the responsibility of each department to have in place a Monitoring and Evaluation Unit and as a result, Accounting Officers of departments are obliged to establish M&E systems for their respective institutions (The Presidency, 2007:14 and Phetla, 2017:24).

3.7. Conclusion

The discussions in this Chapter show that the implementation of M&E in the South African Public Service is guided by several legislative frameworks and is supported

and championed by the Presidency to ensure its impact and relevance in all departments across all spheres of government.

With the implementation of the Policy Framework for the GWM&E System, the South African the public sector is able to measure and assess its performance and identify the factors which hinder effective delivery of services.

The Results-Based Management approach has been adopted in South Africa and this has assisted government departments to design policies that are responsive to citizen's service delivery needs. The adoption of this approach also ensured that there is alignment of planned objectives of government programmes etc., to achieve the desired results.

The study further highlighted the role played by the different actors such as the Accounting Officers and Heads of Departments in government and key Institutions such as the Presidency, the Public Service Commission, the National Treasury etc., in the implementation of the South African Monitoring and Evaluation.

Having outlines key aims and objectives of the Policy Framework for the GWM&E System, the following Chapter discusses findings on the implementation of the M&E Framework at the Department of Home Affairs.

CHAPTER FOUR

MONITORING AND EVALUATION FRAMEWORK IN PRACTICE - THE DEPARTMENT OF HOME AFFAIRS

4.1. Introduction

The purpose of the discussions in Chapter Three was to give an overview and the trajectory of the implementation of M&E in the South African Public Service. The Chapter highlighted that in South Africa, M&E is carried out to improve accountability and transparency. The Legislative Framework for Monitoring and Evaluation in South Africa is also discussed and how these contributed and shaped the M&E activities that obtain in South Africa today. Further, Chapter Three revealed that the M&E activities are supported by Policy Frameworks that guide M&E practice in South Africa and that these assisted in the promotion of Government effectiveness.

Chapter Four therefore, presents the findings and discussions of the research on the implementation of the M&E Framework in the Department of Home Affairs and its influence on service delivery. In this Chapter, an analysis is provided on the extent to which M&E has contributed to improved service delivery since 2015. Further, the study analysed the challenges and opportunities for improving M & E practice at the DHA and made recommendations to improve M & E efficiency at DHA.

The study used the qualitative research approach which provided a more comprehensive understanding of the implementation of the M&E Framework within the Department of Home Affairs as well as how this improved performance and service delivery. Through this method, the researcher was able to understand the topic under study through the experiences of identified officials within the Department of Home Affairs. These officials are actively involved in decision making and M&E activities.

Semi-structured interviews were used to collect the data. The study research participants were divided into three groups, namely Monitoring and Evaluation Directorate, Provincial Managers and Operations Managers in the DHA. Each group was selected through purposive sampling which allowed the researcher to select the number of participants that she wanted. Numerically, the following were interviewed; Director: Monitoring and Evaluation, one Deputy Director: M&E, five Operations

Managers and four Provincial Managers. These officials are directly involved in the implementation of the M&E Framework within the Department.

The interviews with identified respondents were guided by the following research questions:

- a) What is the relationship between monitoring and evaluation and performance of the Department of Home Affairs?
- b) What effect does the DHA monitoring and evaluation Framework have in promoting service delivery?
- c) What are the challenges and opportunities for improving M&E practice at the DHA?
- d) What can be done to improve upon the efficiency of the DHA's M & E framework to better their practice?

In addition to semi-structured interviews, study findings were also drawn from documentary sources

The findings were categorized into four broad themes; (1) the extent of the M&E framework in influencing the improvements in the performance of the operations in the Department of Home Affairs, (2) effectiveness of the DHA M&E framework in improving service delivery in operations at the Department of Home Affairs, (3) challenges / factors limiting the effective implementation of the M&E framework and; (4) opportunities for improving M&E practice at the DHA and improvements upon the efficiency of the DHA's M & E framework. The discussion around these themes ascertained the views that the DHA officials had about the Framework and also the role that they have in ensuring the successful implementation of the M&E Framework.

4.2. An Overview of the DHA

For this study, and as explained in Chapter One of this report, the Department of Home Affairs was selected as the case study. This case study was selected because DHA is one of the government departments in South Africa that has a well constituted Monitoring and Evaluation Directorate, which is considered key in the implementation of proper strategic management and reporting. In order to conduct the research with

ease, it was necessary to develop an understanding of the role and the general background of the organisation that is under study.

4.2.1. Establishment of the DHA

The Department of Home Affairs is a government organisation established in terms of Section 197 of the South African Constitution No. 108 of 1996. The mandate of the DHA is derived from the Constitution of the Republic of South Africa, 1996 (“Constitution”), various Acts of Parliament and their accompanying Regulations and policy documents. The primary mandate of the DHA is the

“Management of citizenship and civil registration, international migration, refugee protection and the population register through the delivery of enabling services to all citizens, foreign nationals, government and the private sector” (DHA, 2019:5).

The Department is required to give administrative effect to the founding constitutional provision relating to common South African citizenship which states that

“all citizens are equally entitled to the rights, privileges and benefits of citizenship” and are also “equally subject to the duties and responsibilities of citizenship” (The Constitution, 1996:3).

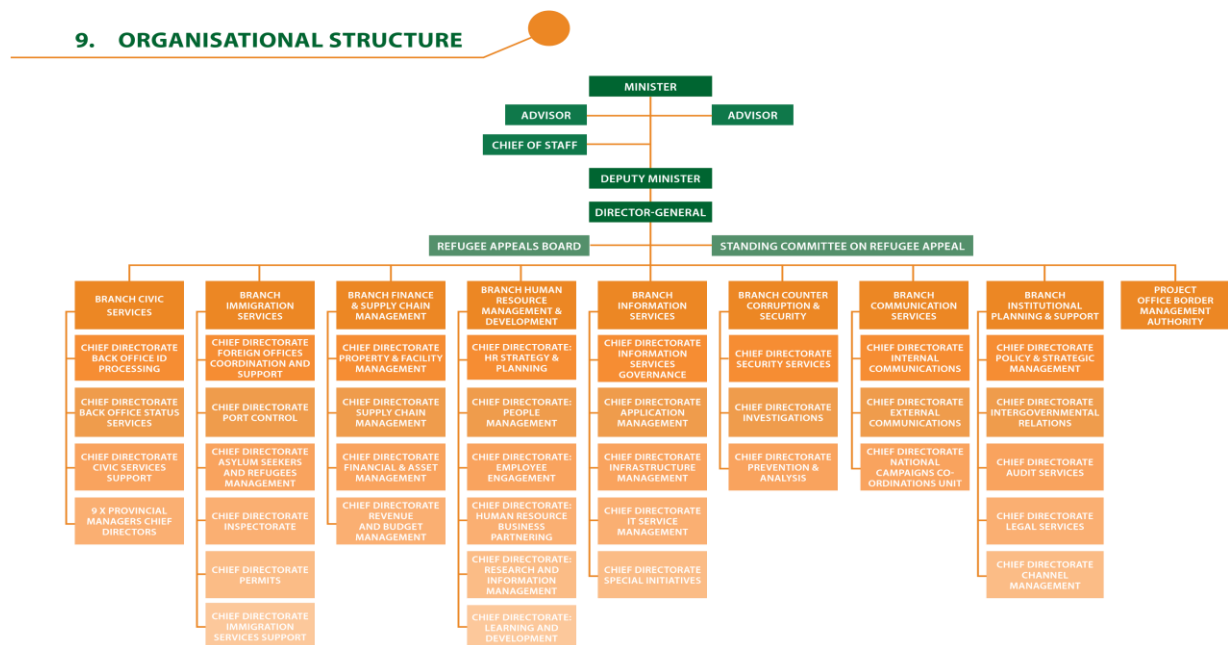
The Department is further required, when exercising its administrative powers, to take into consideration rights and duties bestowed on citizens and non-citizens in the bill of rights generally.

4.2.2. The Current Functional Organisational Structure of the DHA

The manner in which Department of Home Affairs is structurally arranged is aligned with its mandate to enable it to deliver the services it is required to deliver to citizens. The current structure of DHA as represented in Diagram 1 below, consists of 8 functional branches, with representation at head office, provincial offices, local offices, ports of entry, borders, and international missions. The various branches have a Deputy Director-General (DDG) reporting to the Director General, the Deputy Minister

and Minister. Provincial structures are headed by Chief Directors reporting to the DDG: Civil Services (DHA Annual Report, 2017-2018).

4.2.2.1. Diagram 1: Organisational Structure of the DHA



Source: DHA Annual Performance Plan of 2017-2018:37

Furthermore, the DHA is made up of three Programmes that are aimed at ensuring the realisation of its mandate and these are briefly discussed below: Firstly, Programme One on Administration provides strategic leadership, management and support services to Programmes 2 and 3 which are core businesses of the Department. The functions supporting the core business include policy and strategic management, audit services, finance, counter corruption and security services, human resource management, communications, legal services, intergovernmental services and information services (DHA Annual Report, 2018-2019:64-74).

Secondly, Programme Two pertaining to Citizen Affairs are mandated with the responsibility to provide “secure, efficient, and accessible services and documents for citizens and lawful residents” (DHA Annual Report, 2018-2019:94). It regulates and oversees the provision of enabling documents and citizenship. Lastly, similar to Civic Services, Programme Three on Immigration Affairs provides “secure, efficient, and

accessible services and documents for citizens and lawful residents” through the secured and responsive immigration system. The Immigration Affairs is tasked with the main responsibility of “facilitating and regulating the secure movement of people through the Ports of Entry into and out of the Republic of South Africa” (DHA Annual Report, 2018-2019:102).

For each of the programmes, the M&E measures are listed in the DHA Annual Reports and the planned strategic outputs are broken down into business and operational plans through the departmental planning process and all managers (DDGs, chief directors and directors) thus make internal arrangements in their areas of responsibility regarding the due date for monthly and quarterly reporting on all levels of plans. The Annual Report is thus a measure of performance of the DHA and a key M&E tool (DHA M&E Framework, 2015).

4.2.3. Vision, Mission and Values of the DHA

All operations within the Department of Home Affairs are guided by its “vision, mission and value statement” and strives to ensure “a safe, secure South Africa where all its people are proud of, and value their identity and citizenship” (DHA APP for 2018-2019:10). In realising its mission, the DHA is committed to empowering citizens and ensuring economic development and national security through the issuance of key enabling documents such as identity documents and also through the determination of residency statuses of citizens and foreign nationals. The values of the DHA are set-out as being “Patriotic, People-centred and caring, Security conscious, Development oriented, Ethical and having integrity, professional and showing leadership by being effective, efficient and innovative” (DHA APP for 2018-2019:10).

4.2.4. DHA as an enabler of Service Delivery

The Department of Home Affairs (DHA) is a key enabler of service delivery and security across government and private sectors. It is “a critical enabler of citizen empowerment, inclusive development, efficient administration and national security” (DHA,2019:7). One of the Department’s strategic objectives is to provide “secure, efficient, effective and accessible service delivery to citizens and immigrants”

(DHA,2019:9). It is committed to providing quality services to both its internal and external stakeholders by meeting their expectations and needs.

The DHA plays a fundamental part in the lives of all South Africans. The civil registration function of the DHA impacts on the lives of citizens and on the functioning of the state and the economy. The Department serves both the public and private clients in their provision of services. This pertains to provision of services relating to the identification of persons and the determination of their statuses. For an example, access to the pensions and child-support grant system depends on the availability of the birth certificate and the identity documents (DHA,2019:35). Furthermore, for all commercial banks to be able to effectively function and enter into contractual agreements, there is a dependency on the Department of Affairs for reliable identification and verification of their clients (DHA,2019:35).

4.2.5. Legislative Mandates

The work of the DHA is also guided by the Constitution, notably Section 7(2) which obliges all state institutions to “respect, protect, promote and fulfil the Bill of Rights” (the Constitution, 1996:5). There are also various Acts that govern the work of the DHA. Much of the legislation currently administered by the DHA such as the Death Registration Act, 1992, (Act No. 51 of 1992) Marriage Act, 1961, (Act No. 25 of 1961), South African Citizenship Act, 1995 (Act No. 88 of 1995), Refugees Act, 1998 (Act No. 130 of 1998) etc., are the products of multiple amendments of laws inherited from the apartheid era. One consequence is that

“such legislation and regulations may not be grounded in coherent policies that are fully aligned with the Constitution, new legislation and current developments, which consequently impact negatively on service delivery” (DHA,2019:57).

To realise its mission and vision, and consequently the implementation of its Acts and policies, the following is a detailed breakdown of the staff complement within the Department of Home Affairs.

4.2.6. DHA Staffing

At the time of conducting the research (September– December 2020), the Department of Home Affairs had a staff complement of approximately nine thousand two hundred (9 200) employees, as depicted in Table 1 below:

4.2.6.1. Table 1: DHA staffing by budget programme

Programme	Approved	Number of posts filled	Additional
Programme 1: Administration	1031	1025	78
Programme 2: Citizen Affairs	6016	6003	0
Programme 3: Immigration Affairs	2033	2 021	0
Totals	9080	9049	78

Source: DHA Annual Report for 2018-19:157

4.2.7. The Medium-Term Strategic Framework

The Medium Term Strategic Framework (MTSF) process informs the development of a five-year strategic plan for the Department. This document forms the basis upon which the Departmental three-year Annual Performance Plan is developed. The performance of the department is managed in terms of its three-year Annual Performance Plan and the process of compiling an annual review thereof constitutes the process of planning for performance (DHA M&E Framework, 2015). The planned strategic outputs are broken down into business and operational plans through the departmental planning process and all managers (Deputy Directors-General (DDG), chief directors and directors) thus make internal arrangements in their areas of responsibility regarding the due date for monthly and quarterly reporting on all levels of plans (DHA M&E Framework, 2015).

4.3. Implementation of M&E within the DHA

The DHA has a Directorate: M&E, which falls within the Branch: Institutional Planning and Support. It is staffed by 5 people who oversee all activities related to M&E in the Department. In terms of the DHA M&E Framework (2015:15), this unit is expected to

- a) Compile Departmental Quarterly and annual performance reports;
- b) Monitor and track progress of performance against planned outputs; which includes the validation of performance information and any other supporting documentary evidence;
- c) Ensure the implementation of the M&E Policy Framework and Performance Monitoring and Reporting Guidelines;
- d) Ensure support to build the DHA M&E function and capacity;
- e) Establish processes to monitor the implementation of recommendations and decisions taken as informed by M&E reports; and
- f) Develop the DHA three to five-year evaluation plan in consultation with business units.

The DHA M&E unit's role also includes supporting planning to provide assistance to business units to ensure that there is a coherent logic and alignment between selected outcomes, objectives, outputs and inputs. Working with planning and internal audit, the M&E unit ensures the appropriateness of relevant indicators which business units propose to monitor and evaluate for DHA strategies, policies, regulations and services as contained in relevant documents including the Annual Performance Plan (APP), business level plans and operational plans. This role entails identifying implications for improved service delivery and indicators, assisting business units to identify appropriate and priority indicators, scrutiny of the key performance indicator specifications (KPI sheets). With regard to reporting the primary role is to provide and enforce guidelines for monitoring and reporting on these plans, with reports supported by documentary evidence (DHA M&E Framework, 2015:15).

According to the DHA M&E Framework (2015:18), service delivery improvement in the Department of Home Affairs requires that critical process performance indicators (KPIs) are identified. It also requires effective, monitoring & feedback on KPI achievement. Further, it also requires learning from what is working or not and what can be done to improve (i.e. continuous improvement) ideally on a daily basis at the coalface of service delivery so that this brings about a sustainable change in how

people think and carry out their work. Performance measurement, reporting, and the use of this information by management at all levels to inform decision-making is fundamental to service delivery improvement.

As a result, the M&E function within the Department of Home Affairs was strengthened through the introduction of a framework and guidelines on monitoring and evaluation. The Department of Home Affairs M&E Policy Framework was thus developed and approved in 2015. The Departmental M&E Framework was in line with the Department of Performance Monitoring and Evaluation's (DPME) Policy Framework for the GWM&E System to clarify, confirm, inform, promote and support the accountability, transparency, performance improvement, informed decision-making, organisational learning and good governance (DHA Annual Report for 2013-14). Its implementation resulted in the Department introducing various changes with the aim of enhancing and supporting accountability, transparency and performance improvement. Significant effort went into clarifying the roles, responsibilities and expectations within the department regarding the operation of the M&E system and the use of M&E information to support accountability, transparency and performance improvement (DHA M&E Framework, 2015:15).

4.3.1. Roles and Responsibilities for Monitoring and Evaluation

In the interests of accountability, transparency and data integrity there must be clear roles and responsibilities in the production and analysis of performance information. The figure 1. below depict key role players in monitoring and evaluation within the Department of Home Affairs. These role players as a cluster are a vital institutional requirement to institutionalise M&E in the Department (DHA M&E Framework, 2015).

4.3.1.1. Figure 1: Roles and Responsibilities



Source: DHA M&E Framework (2015:14)

Despite the role of the Monitoring and Evaluation Directorate in the Department of Home Affairs, officials also play a significant role in ensuring the effective implementation of the monitoring and evaluation framework within the Department (DHA M&E Framework, 2015:14).

In the Department of Home Affairs, the Director General (DG) / accounting officer is entrusted with the responsibility of establishing and maintaining the systems that collate, record, manage, store and report reliable performance information. The accounting officer is further responsible for ensuring that the reported performance information by all role players as depicted in Figure 1 above, is substantiated by accurate and complete documentation or other evidence. With respect to the role of the DG of the department, the DHA M&E Framework, (2015) reveals that the office puts in place processes and procedures for the management of quarterly reporting to the executive authority with the aim of ensuring that the performance of the Department is monitored and evaluated and measures are taken to correct and put in place plans of action to improve on performance. The DG is accountable for the organisation's performance including ensuring that prompt managerial actions are taken in response to M&E findings and ensures that the departmental strategies and goals are supportive of the broader government objectives and priorities. Additionally, the DG is responsible for ensuring that performance information and evidence is submitted by responsible sections of the organisation within stipulated time-frames

and deadlines and that DDGs approve the quality/accuracy/truthfulness of all information contained in performance reports. (DHA M&E Framework, 2015:14).

On the other hand, the Deputy Directors-General and Chief Directors (including Provincial Managers) report on the overall performance and achievements of their respective programmes and/or sub-programmes; and present organisational quarterly annual performance plan performance reports at relevant internal structures for approval (DHA M&E Framework, 2015:15).

Chief Financial Officer are assigned with the responsibility to

“design, implement and maintain the accounting systems to ensure complete, valid, accurate and timeous financial/non-financial information; maintenance of appropriate and consistent financial/non-financial reports that satisfy the needs of the users of financial/non-financial information; guidance on regular performance reporting to management”, (DHA M&E Framework, 2015:15).

Business units / line managers and other officials develop feasible performance targets as inputs into the strategic plan and Annual Performance Plans and in discussion with other business units and services identify and define relevant indicators and sources of evidence/ verification. They report performance against predetermined objectives on the organisational performance monitoring system on a quarterly and annual basis. Furthermore, they are accountable for accurate reporting, provision of performance information and evidence within stipulated time-frames and verification of reported information and for “establishing and maintaining the performance information processes and systems within their areas of responsibility” (DHA M&E Framework, 2015:16).

They also share experiences and learning and hold reporting staff accountable for performance in terms of individual performance agreements and through regular monitoring and performance reviews on quarterly basis (DHA M&E Framework, 2015:16).

The role of the Internal Audit Chief Directorate within the Department of Home Affairs is “to assist the accounting officer in maintaining efficient and effective controls by determining their effectiveness and efficiency, and developing recommendations for enhancement or improvement” (DHA M&E Framework, 2015).

It is the role of the Learning Academy to ensure that DHA officials are aware and remain up to date with the DHA's M&E Policy Framework, and should thus drive the process of ensuring that all staff in the DHA either attend a formal training or refresher course (DHA M&E Framework, 2015).

4.3.2. Reporting System

The organisational performance monitoring and reporting system is the responsibility within DHA's Institutional Planning Branch spearheaded by DDG: IP & S. In terms of the M&E Framework (2015:16), the role of this Branch in relation to the function of monitoring and evaluation are amongst others:

- Performance reporting against the APP targets;
- Collation of performance reports and supporting documentary evidence;
- Ensuring that quarterly and annual reporting processes are undertaken; re: quarterly report sessions, annual reporting to Parliament; •
- Storage of data and information related to the M&E function; and
- Dissemination of performance reports to relevant governance structures and external stakeholders like DPME and National Treasury.

The annual performance, business and operational plans are monitored through monthly and quarterly reports. It is mandatory that all branches and programmes report progress against the set APP targets on a monthly, quarterly and annual basis to monitor performance. There are different levels of reporting namely internal and external reports. These reports are essential and determine whether or not managers are “delivering value for money, by comparing their performance against their budgets and project plans, and to alert them to areas where corrective action is required” (DHA M&E Framework, 2015:18). These reports serve as management tools used to track progress against the strategic and annual performance plans.

Mandatory internal reporting in DHA combines both the financial and non-financial performance information. Reports are based on progress on achievement of targets set out in the above plans as follows:

- Quarterly and mid-year performance reports outlining progress on the APP quarterly targets;
- Monthly/quarterly reports on implementation of risk action plans (Internal Audit);
- Annual Report based on APP targets for the financial year

The DHA M&E Framework (2015:18) further highlights that mandatory external reporting by DHA includes reporting to National Treasury, Presidency (Department of Planning, Monitoring and Evaluation), Auditor General's Office and Parliament. External reporting is considered an important component in giving DHA' stakeholders and clients' confidence in the Department. External reporting is done in the following ways:

- Quarterly Performance Reports (non-financial) to the Minister, National Treasury and DPME;
- In-Year Monitoring Reports;
- Mid-Year Performance Reports (consolidated from quarters) to the Minister on the APP targets; and
- Annual Report (financial and non-financial) to the Minister, Parliament, Office of the Auditor-General, National Treasury and DPME focusing on the APP targets for the financial year.

4.3.2.1. Reporting process

Once business units have submitted performance reports the relevant M&E officials need to perform the quality assurance checks. These checks are important in ensuring adherence to prescribed formats and standards as well as ensuring alignment of performance information with set targets in the three-year Annual Performance Plan (DHA M&E Framework, 2015:18).

4.3.2.2. Quarterly reporting

It is the responsibility of the Director: Monitoring & Evaluation to analyse three monthly reports and compile a quarterly report which gets submitted to the DDG: IP & S for presentation and approval by the Executive Committee (EXCO). Organisational quarterly performance reports are published on the intranet every quarter.

4.3.2.3. *Annual reporting*

The annual report covers the cumulative performance over the course of all four quarters of the financial year. Director: M&E facilitates the compilation of the annual report after the last quarter's organisational performance report has been approved. Over the past years, the Department realised the need to have in place a proper, efficient and effective M&E system which could be used as a tool to monitor and measure the Departmental spending of public funds and the effects of the services provided among other issues. Systems and a "evidence-based culture" in decision-making were created within the Department to facilitate good governance (DHA M&E Framework, 2015:18).

The Department of Home Affairs M&E Policy Framework (2015) has enabled the government via the DHA Portfolio Committee and the civil organisations among other institutions to hold the Department accountable in their utilisation of resources allocated by government. Monitoring and Reporting Guidelines for the Department of Home Affairs were developed in 2015 with the aim of ensuring that the DHA's reported performance information is useful, reliable, complies with reporting requirements and can be considered to inform decision-making (DHA Monitoring and Reporting Guidelines for the Department of Home Affairs, 2015:6).

Monitoring activities are carried out in the Department to answer key policy questions of effectiveness and efficiency of operations. Strategies were put in place to respond to the monitoring requirements. These included the joint quarterly performance review sessions where members of the Senior Management Service (SMS) attend, Departmental Planning sessions, Budget Committee meetings (BudComm) and EXCO where progress made on the performance of the Department is reviewed. The Department also submitted, on a quarterly basis, performance reports to the Department of Performance Monitoring and Evaluation within the stipulated periods. The submission of reports on performance against the departmental Annual Performance Plan and the operational plan is the basis for conducting quarterly performance reviews. Performance reporting is used as a tool to review the performance of the department and individuals to make important political and management decisions on how to improve (DHA M&E Framework, 2015:18).

4.4. The Practice of Evaluations in the Department of Home Affairs

In 2011 Cabinet approved the National Evaluation Policy Framework (NEPF) for implementation by government departments. The NEPF (2011) provides for the development of annual and three year national and provincial evaluation plans, minimum quality standards for evaluations, and the development of improvement plans to address evaluation findings. Departments are required to submit proposals for major evaluations to be included in the National Evaluation Plan as well as commission evaluations which are not part of the National Evaluation Plan (The Presidency, 2011:2). The documentary evidence reveal that although the DHA M&E Framework (2015) emphasises the notion of evaluations and how these must be carried out, there is currently no evaluation plan in place nor the evaluation framework that guides how evaluations in the Department.

4.5. Findings

Discussions on findings of the research are presented below:

4.5.1. The extent of the M&E framework in influencing the improvements in the performance of the operations in the Department of Home Affairs

This sub-section covers issues related to the understanding of the relationship between the M&E Framework and improved operations performance by respondents interviewed at the DHA. By soliciting views around this question, the researcher's aim was to gauge the effect of the M&E Framework on the performance of the operations of the Department, particularly with respect to among other issues, improved accountability, effective utilisation of resources, level of commitment by officials to quality service delivery.

4.5.1.1. The relationship between the M&E Framework and improved performance

Three Senior Managers in Provincial offices noted that, significant positive results in service delivery operations have been achieved following the implementation of the

M&E Framework by the Department. Respondents from the M&E unit indicated that, with the implementation of the M&E Framework, Branches within the Department are able to plan better and ensure optimal utilisation of resources. One respondent specifically indicated that:

“For every target set, Branches indicate all the necessary resources that will be needed are identified to ensure achievement of targets. This has ensured that plans get implemented which then resulted to the improvement in the performance of the Department”.

The responses from the M&E unit were further confirmed by Provincial Managers who indicated that with the implementation of the M&E Framework, proper targeting processes that are realistic and achievable are maintained, including the assessment of performance.

Interviews with the Monitoring and Evaluation unit further indicated that with the implementation of the M&E Framework, managers are more responsible and accountable for their areas of work. An official from the M&E unit noted that,

“For every target not achieved, reasons are provided on what could have gone wrong and also what the Branch intends doing to correct the status quo”.
“Branches are expected to account for any non-achievement of targets and putting plans in place to ensure 100% achievement”.

Consequently, four Senior Managers in Provincial offices and two officials from the M&E unit revealed that with the implementation of the M&E Framework in the Department, the level of accountability has improved over the years. During the interviews, the Provincial Managers stated that the M&E Framework contributed towards proper accountability and improved delivery of services through specific measurable, time-lined, achievable and realistic set targets at operational level. Further, the Managers indicated that the framework assists in the development of standards of performance and achievement and the measuring tools aligned to set targets. They further mentioned that performance contracting then brings life into targeted plans through activities. Some targets form part of the department's Annual Performance Plans whilst others form part of Operational Plans of Districts and offices.

The developed plans guided by the framework then assist in encouraging officials to ensure that such targets are achieved through proper client service and service client improvements. Interview with one Provincial Manager further indicated that:

“Continuous monitoring and evaluation assist in pushing and encouraging officials to do more and therefore meets the service delivery challenges of the communities”.

Additionally, an analysis of the DHA Annual Report of 2018-19 financial years indicates that there was the introduction of new governance practices such as the utilisation of the Performance Indicator Panel that assessed “the quality of indicators and compliance with specific, measurable, achievable, realistic, time-bound principles” (DHA Annual Report, 2018-19:22). The Department also intensified its focus on monitoring and reporting practices in support of annual performance plan targets with specific interventions implemented, where and when required.

Additionally, the use of operations management in monitoring of production and improving processes also resulted in improved performance in the Department of Home Affairs, resulting in the Department being able to deliver quality service to all its citizens. As part of operations management, the Department developed the “Service Delivery Improvement Plan, the Service Charter, Service Delivery Model and Service Standards”, which served as plans of action for the removal of any barriers to services thereby sustaining service delivery improvements (DHA Annual Report, 2017-18:17).

For the majority of Provincial Managers interviewed, Monitoring and evaluation is key in maintaining proper targeting processes that are realistic and achievable. It also assists in the assessment of performance, identification of good and poor performance as well as implementing corrective measures. This is also confirmed by the DHA Annual Report (2017-18:17:17) which revealed that the main reasons for the improvement in organisational performance since 2014 was the development of coherent outcomes and output-based objectives that were anchored on

“the understanding of the mandate of the DHA and its vision, with the focus on key governmental and departmental priorities and assurance that these

priorities are translated into measurable, funded and realistic plans and projects. In part, this was attributed to improved and stringent monitoring processes ensuring that targets were properly costed, evidence-based and funded” (DHA Annual Report, 2017-18:17).

These findings corroborate with the literature which revealed that effective monitoring and evaluation in public sector organisations should result in “...the achievement of high performance and the enhanced accountability that could as a result lead to the improvement in service delivery” (Mviko, 2015:5).

Despite such positive findings on the implementation of the M&E Framework within the Department, interviews with Operations Managers, highlighted the lack of knowledge about the Framework among Operations Managers, which led to the inability to reflect on the impact that M&E has had on performance service delivery within their areas of work. This is largely due to the fact that no training has been provided on the implementation of the M&E Framework within the Department.

From the findings above, there is a clear indication that with the implementation of the M&E Framework in the Department of Home Affairs, there are improvements in employee and management commitment due to pressure to perform, effective use of resources and improved level of accountability. However, some of the participants explained that the successful accomplishment of monitoring and evaluation of activities in the Department, there are still hindrances which inhibits the successful implementation of monitoring and evaluation.

4.5.2. Effectiveness of the DHA M&E framework in improving service delivery in your operations at the Department of Home Affairs

With this question, the researcher wanted to establish the level of influence of the Monitoring and Evaluation Framework on service delivery. This was done by assessing how utilisation of performance information and the practice of Evaluations in the DHA enhanced service delivery. More specifically, the analysis focused on the utilisation of evaluation results / recommendations in decision-making, the M&E Reporting Processes, where monitoring and feedback is used as part of a learning process and how Institutional Capacity (i.e. M&E Leadership, Training and

Development of DHA staff) contributed to improved service delivery in the Department of Home Affairs.

4.5.2.1 Influence of the Monitoring and Evaluation Framework on service delivery.

Interviews with the M&E unit indicated that the M&E framework is seen as a critical tool that brings performance processes together for enhancement of service delivery. As one respondent pointed out,

“The Department measures its performance through this tool - service delivery and the lack thereof, can be fully understood and the relevant intervention be sought for the improvement of the service delivery”

This was confirmed by some of the Provincial Managers interviewed who highlighted that the current framework assists in efficiently improving services to client in all DHA provincial offices.

In addition to participant responses, the DHA Annual Report (2013-14:40) also revealed that service delivery levels in the Department of Home Affairs, especially for certain key enabling documents such Identity Documents (ID) and VISAs, have shown greater consistency due to the use of operations management principles. For an example, the time that it took for the Department to produce VISAs in the Immigration environment improved significantly. For the period 2016 to 2019, “95.5% of permanent residence for selected categories, 97% of business and general work visas, and 90.50% of critical skills visas’ averages were recorded for immigration permits and visas. All these documents were issued within the set service standards (DHA Annual Report, 2013-14:40).

These improvements are in line with Mviko’s (2015:5) view that Monitoring and Evaluation plays a key role in improving service delivery and that effective monitoring and evaluation in public sector organisations could result in

“improved identification and correction of deviations during programme implementation, the achievement of high performance, improved employee and management competencies, and the enhanced accountability that could as a result lead to the improvement in service delivery”.

These findings reinforce the interpretation of the New Public Service approach which recommends that public managers need to acquire skills to enable them to resolve complex problems in partnership with citizens by being open, accessible, accountable and responsive when serving citizens, (Robinson, 2015:10). Furthermore, the NPS approach emphasised “the importance of public service ethos and the values and motivations of public servants dedicated to the wider public good”, and the importance of motivation of the public in this regard, which corroborates with the findings above.

However, interview with one Provincial Manager pointed out that more still needed to be done in motivating the staff and further taking them through a continuous training programme on client relations which is aimed at improving the quality of client service at its frontline offices. Implementation of the M&E Framework has thus not translated to commitment from staff who continuously need to be motivated and continuously need to be trained on client service matters.

4.5.2.1.1. M&E Performance Information: (i.e. utilisation of performance information)

Interviews with officials within the M&E unit revealed that the usefulness of performance information and the reliability of the reported performance information for utilisation by management in decision making had improved. The officials pointed out that this has also been confirmed by the Internal Audit unit within the Department of Home Affairs throughout the quarterly review meetings. However, the Manager within the M&E unit indicated that how and when that information gets utilised by operations is still to be confirmed. The typical example was made of the non-utilisation of performance information by units such as Strategic Planning in their planning processes, Policy development in their policy development process, and also the Budgeting section in their allocation of budgets for Branches within the Department. This confirms the findings by the study conducted by DPME which highlighted that in the South African public service, the culture is more skewed towards compliance than one that encourages learning and improvement. The application of evaluation as a tool for learning is still sporadic and does not find its way into the planning, policy development and budgeting processes, resulting in weak alignment of M&E to priorities within these areas (DPME, 2007:5).

Interviews with Provincial Managers revealed that the performance information gathered periodically allows for a proper assessment of performance against the set targets, assist to identify areas of need and areas that needs to be improved. Further, the information guides Managers to check if the targeted services are met and also assists in assessing if the service delivery needs of the people are met. However, at operational level, this is not the case. Interviews with Operations Managers indicated that although assessments of performance against the set targets were conducted and areas requiring improvements were identified at Departmental Management and other meetings, the information collected in the monitoring process does not help Operations Managers to measure the efficiency of their operations in ensuring service delivery and making adjustments to inputs where necessary to improve performance. A major reason was advanced by one respondent who specifically mentioned that:

“No M&E information filtered down for utilisation in the improvement of services and performance. This is not helping the Offices in the identification of solutions or improvement on service delivery”

This reveals that the information which the M&E produces becomes less useful because it is not acted upon.

Furthermore, conclusions from respondents show that the information that comes out of the monitoring and evaluation system does not help foster a culture of learning in the Department. Interviews with one Operations Manager highlighted that, the current M&E system does not accurately monitor performance in terms of the entire logical framework or M&E value chain (i.e. in terms of inputs, outputs or outcomes in operations), thus the Department cannot measure their efficiency, effectiveness and overall impact as a national organisation. The lack culture of continuous improvement of services in the Department of Home Affairs results in reporting being done solely out of compliance rather than to assess impact. Without the performance information that M&E collate, it becomes difficult for the department to measure its performance.

Literature indicates that M&E systems should be used as vehicles to facilitate the utilisation of performance information, with the aim of improving the management of the public sector. It therefore becomes critical that governments are capacitate to supply performance information for use in monitoring of performance, facilitating

optimal utilisation of resources, and improvement in the quality of services delivered. in decision-making. Furthermore, literature shows that it is only through the availability of data and information about the problem that problems can be identified and understood better. This will enable the determination of root causes of problems and designing of possible solutions to the problems.

The findings from the interviews indicate that there is limited filtering and utilisation of performance information produced by the M&E system by managers in the DHA, which is in contrast to the ideals of the NPS which emphasises the role of public officials and how they need to be accountable to citizens and ensuring that they serve and respond to their needs. The NPS approach recommends that public managers should acquire skills to enable them to deal with any types of problems in collaboration with citizens. To address the needs of citizens and to respond and provide with service delivery-oriented solutions, issues, “openness, accessibility, accountability and responsiveness” are key elements that governments must consider when serving citizens (Robinson, 2015:10).

4.5.2.1.2. M&E Reporting process: (i.e. use of monitoring and feedback as part of a learning process)

Interviews conducted with the M&E Unit highlighted that reporting in the Department of Home Affairs is mainly done for compliance than improvement of service delivery. It was highlighted that

“thorough performance analysis is not done within the M&E Unit. There is currently no narrative provided on the way the organisation is performing and progressing towards the achievement of its vision”.

“Pertinent performance related issues within the Department are not identified to guide the Accounting Officer of the overall performance, areas of concern and implications, and recommendations on how to improve the overall performance and service delivery within the Department. Rather, reporting is done in the Department for only compliance with the Department of Performance Monitoring and Evaluation reporting requirements”.

Furthermore, the interviews highlighted that the M&E Framework within the Department is not fully implemented, despite having been approved in 2015. An example was made that although the Framework requires that Branches, chief directorates, and directorates must report monthly on the status of the outputs and services rendered within 10 working days subsequent to the end of a particular month, this has never been done. The Director: M&E indicated that,

“Implementation of the Monthly reporting process has just been introduced in 2020”.

This therefore implies that accurate reflection of progress attained during a specific period of time is thus difficult to measure.

Literature indicates that effective application and implementation of the M&E system relies on clear reporting procedures and feedback. M&E Systems should provide continuous feedback and enable governments and organisations to develop a knowledge base of what works, what does not and why, whilst at the same time promoting organisational learning. How information is used triggers knowledge management, which means learning from experience, learning from the results, analysis and analysis of results” (UNESCO, 2016:1).

Literature further revealed that currently the culture in the South African public service is more skewed towards compliance rather than one based on learning and improvement. Furthermore, the above findings of the study corroborate with Gorgens and Kusek (2009:229) who argue that to gain buy-in and support for the M&E system, its relevance, value and contribution to making one’s job easier or achieve their goals, must be well communicated and felt by implementers.

At operational level, the existence of the M&E Framework is not known, with some Operational Managers claiming to have never heard of the Framework before. It was highlighted by one respondent that

“There is generally no knowledge of the Policy / Framework, making it difficult to reflect on the impact that M&E has had on performance and service delivery generally”.

From the interviews, it became clear that Operational Managers are negative about M&E and do not see the relevance and value of it, and how it can help in the achievement of their goals.

In the Department of Home Affairs, the monitoring of the Annual Performance Plan is conducted through the quarterly performance reports. Responses from the M&E unit indicated that quarterly progress report meetings are held to report on achievements of targets both in the Departmental Annual Performance Plan and the Annual Operational Plan. During these meetings, decisions are made and solutions (where the performance is lacking) are provided on how to better service delivery and improve the overall departmental performance.

However, whilst elaborating on use of monitoring and feedback as part of a learning process, Operations Managers revealed that this process is currently not realised to a larger degree. It was stated that despite reporting processes being in place, there is currently no feedback mechanism to communicate decisions made and provide feedback on solutions (where the performance is lacking) provided on how to better service delivery and improve the overall departmental performance from key management structures in the Department such as the Departmental Management Committee (DMC), Quarterly Review Meetings. The lack of feedback was further confirmed by respondents from the M&E unit who highlighted that there were currently no mechanisms in place to provide feedback to Branches and Operations and engage them on service delivery related issues. One Operations Manager mentioned that:

“No feedback received whatsoever from the Quarterly Reviews, DMC and all the other Senior Management Committees”. “No feedback received on targets and how to better improve service delivery and performance”

“There are no lessons learnt from the M&E Reporting Process that can be considered in the improvement of performance and service delivery in operations”

Another Operations Manager further mentioned that:

“No formal measures are put in place to obtain feedback from customers on a continuous basis to improve on performance and service delivery”.

Additionally, with regards to the role and ability of the M&E Framework to influence service delivery at the Department of Home Affairs operations, it was indicated during

the interviews that the Framework is not helping operations to identify solutions or best practices and thus make decisions for improvement of service delivery. One respondent indicated that:

“the monitoring of activities and processes is not done to identify any gaps, weaknesses or areas of improvements”

Literature further indicate that “Learning and accountability are two primary purposes of monitoring and evaluation” and as such, for learning to happen, there must be communication (OECD, 2004: 30)

Another finding from the study relating to the influence of the M&E reporting process on service delivery, more specifically pertaining to the utilisation of monitoring and evaluation feedback as part of the learning process was that because the monitoring of activities by the Monitoring and Evaluation Unit only happens at strategic level, the M&E of operational targets is not done. It was highlighted by one Operations Manager that:

“There is generally a lack of monitoring of operational plans at provincial offices, missing the opportunity to reflect and improve performance and service delivery”.

The lack of monitoring and evaluation at operations was also confirmed by the official in the M&E Unit, stating that:

“monitoring at operational level has never being done in the Department of Home Affairs as it has only been introduced in 2020 but there is currently no plan in place to ensure implementation”.

The interviews with the official in the M&E Unit further highlighted that no physical performance monitoring was done in the Department to confirm the performance as reported by Branches and Provincial Offices and the impact thereof. During the interviews, one Operations Manager said that:

“In the operations we do our own M&E of operational targets but these never get reported anywhere”

Respondents acknowledged that despite the challenges, the reporting processes and assessment of performance against the set targets have a potential to provide valuable lessons that may help to improve services. One Provincial Manager pointed out that,

“This could also assist in further identification of areas of service needs. Ideally, feedback sessions should always be aimed at motivating and encouraging those who achieved their targeted work and also to encourage the non-performers to do more. They should also serve as performance assessments reporting and evaluations of targeted plans the was agreed for a specific period”.

This study established that, like many organisations, the conversion of M&E information into lessons learnt has not been easy for the Department of Home Affairs. Hence organisational learning seems to be the most challenging outcome of M&E. Ideally, the information that comes out of the monitoring and evaluation system should help to foster a culture of learning in an organisation and contribute towards improved service delivery.

4.5.2.1.3. Practice of Evaluations in the DHA (utilisation of evaluation results / recommendations)

Evaluation is viewed as “an opportunity to learn how to do things better, more effectively, with greater relevance, with more efficient utilisation of resources and with greater and more sustaining impact” (DHA M&E Framework, 2015:21). The results of evaluations should serve as contribution to knowledge management and should also enhance the quality of its products and services (DHA M&E Framework, 2015:21). As such, evaluative reports should promote accountability, enhance understanding of projects, identify what works and what does not, learning and improvement and also assist managers to make informed decisions, with the central purpose of delivering a message about “the findings and conclusions resulting from the collection, analysis, and interpretation of evaluation information” (Rist and Kusek, 2004:128).

In the DHA, the culture of evaluation is still only applied sporadically, in the policy development space and to a larger extent, non-existent. In that regard, it is not adequately informing decision-making. The interviews conducted highlighted that the lack of the practice and the non-existence of a culture of Evaluations is still a huge challenge in the Department of Home Affairs. This was confirmed not only through the document analysis conducted during the study but also by all respondents interviewed. Operations Managers highlighted the lack of knowledge of any evaluation studies conducted in the Department and also the non-utilisation of evaluation results in improving service delivery and for learning purposes in their areas of work. The respondents specifically mentioned the following:

“I do not have knowledge of any evaluations conducted around our work or the DHA as a whole”

“I have not utilised any results from any evaluation studies conducted for learning and improving on service delivery in the Department”

There is generally a lack of knowledge of any evaluations conducted by the Monitoring and Evaluation unit of the Department of Home Affairs. Interviews with Provincial Managers further indicated that,

“instead of formal evaluation studies, periodically the Department arranges assessment sessions to examine the successes and failures of some of the planned activities and targets. The assessment results always provide a clear picture of the status of the organisation and an indication of success and or failures of some planned activities throughout a targeted period. The results also clarify and cement the alignment of the budgets to planned targets and also assist in identifying areas of success and areas where wastage of funding is identified”.

Respondents from the M&E Unit concurred that the culture of evaluations is still non-existent in the Department of Home Affairs. The Plan to conduct evaluations in the Department has still not taken off and there is also no demand for evaluations generally. The Director: M&E indicated that:

“DHA is not strong on evaluation, however, if conducted evaluation results / recommendations could reflect strongly on the performance of the department and utilisation of human and financial resources”.

Interviews with Director: M&E further indicate that to date,

‘only one formal evaluation study has been conducted in the Department’.

The utilisation of evaluation results in the public sector has been a challenge. The study found the non-existence of a culture of evaluation practices to be another biggest challenge in the Department of Home Affairs. Currently, in the Department of Home Affairs, there is no formal Evaluation Plan in place highlighting potential evaluation projects underway. In addition, the Department does not have a dedicated or customised Evaluation Policy Framework guiding how evaluations should be conducted in the Department. Over the past five years, the Department of Home Affairs has managed to conduct only one evaluation study around the “Registration of Birth within 30 days”. What is more interesting is the fact that since completion of this evaluation study, there has not been a follow through regarding progress on the implementation of recommendations as per the study. This points to the contribution that M&E has in the learning and reflections by the Department and the lack of demand for evaluations generally (DHA Evaluation Report, 2017:69).

Additionally, a policy on the Registration of Birth within 30 Days by Home Affairs is one of the typical examples where informed decision-making was not made and evidence was not utilised. In terms of the Births and Deaths Registration Act of 1992, “all children born in South Africa must be registered within 30 days of their births” and “if a child birth is not registered within 30 days, it is considered a late registration of birth”. (Births and Deaths Registration Act, 1992:9). This policy, in its formulation did not take into consideration other socio-economic and cultural factors that might affect the ability of mothers to register the births of their children within 30 days. Cultural practices and rites for naming of the child, the availability of the fathers, who might be staying very far from their wives etc., were not considered in drafting such a policy, making it difficult to implement, resulting in many late registration of births. There is no indication of the process that unfolded in deciding on the set number of days for registration of births (DHA Evaluation Report, 2017:24).

The findings above about the non-utilisation of evidence or evaluation results echo the theoretical findings in Chapter Two of the importance of consultations with users of public service about their needs and priorities in order to develop more accessible and responsive arrangements. The findings therefore are in congruence with the literature and highlight the mismatch between supply and demand of M&E, which therefore leads to monitoring masquerading as evaluation. The focus by the Department of Home Affairs on monitoring, highlights the weak demand from decision makers for evidence. This then brings into question, the type of leadership and the technical capacity which the Department has that are critical in promoting the use evidence in carrying out the mandate of the Department and also in making better decision.

4.5.2.1.4. Institutional Capacity (i.e. M&E Leadership, Training and Development of DHA staff)

The study shows that in the past five years there has not been any M&E formal interactive, participative training or refresher course arranged where employees' understanding of policies and procedures is tested throughout the training. Consequently, the lack of awareness of the M&E Policy Framework within the Department was cited as one of the challenges during the interviews with Operations Managers. Participants specifically indicated that:

"I have no knowledge of the Policy Framework / Never heard of M&E Policy before. We just operate"

This was largely attributed to the lack of Training by most respondents, citing that:

"No training provided whatsoever on the Framework and its importance".

"the M&E Framework has not been socialised throughout the Department".

"There is lack of knowledge on the DHA's M&E Framework and this is largely due to the fact that training has not been conducted or offered on the DHA M&E processes and guidelines and how these should be implemented".

This was further supported by interviews with the M&E unit which acknowledged that a majority of officials / managers in the Department do not have any knowledge of the M&E Framework. One M&E official stated that

“The advocacy and communication on M&E Framework has not been done as anticipated”

Interviews with M&E unit further highlighted that no training and development has been provided to staff members regarding the implementation of the M&E Framework and expectations from each of the stakeholders in the past five years. The study further highlighted that as a result, managers are not aware of their roles and responsibilities in the M&E process. The study further revealed that, currently, there are no evaluators / evaluation specialists appointed in the unit and in the Department as a whole.

Institutional capacity will always be a challenge due to lack of resources for Training and Development of DHA staff. There is still a need to capacitate the M&E Unit in order for it to execute its mandate, which includes evaluations activities. In order to ensure that DHA officials are aware and remain up to date with the DHA's M&E Policy Framework, the head of the Learning Academy should drive the process to ensure that all staff in the Department are trained.

According to Gorgens and Kusek (2009), “the Monitoring and Evaluation system cannot function without skilled people who effectively execute the M&E tasks for which they are responsible”. They further argue that “all stakeholders in the M&E system need to have certain competencies in order to effectively execute their part in the operation of the M&E system” (Gorgens and Kusek, 2009:94-95). Therefore, successful implementation of the M&E Framework requires leadership, capacity and concerted action. Literature further shows that “both technical capacity and leadership are critical in harnessing the use of evidence to inform policies and programmes, and therefore better decisions” (Gorgens and Kusek, 2009:94-95).

Furthermore, literature shows that the role of the M&E Unit, its staff complement including leadership play a critical role in ensuring the effective implementation of any Monitoring and Evaluation in any organisation. The results from the interviews show that there is a lack of visible and engaging staff and leadership within the M&E space that should guide on the implementation of the M&E Framework and how this would positively impact on performance and service delivery within the Department. Interviews with Operations Managers highlighted that:

“there is no presence of M&E Leadership in our space of work to guide on the process of and implementing the Framework”.

“There is no interaction of M&E Officials with key internal stakeholders. Instead, the engagements and interactions happen with selected sections or branches of the Department, which therefore impact on service delivery”.

“The role of M&E within DHA is underplayed, impacting negatively on the delivery of services”.

“In the Department, resources are not invested in M&E and its processes”

Interviews with the M&E unit further indicate that senior managers within the Department fail to champion M&E in their areas of work, abdicating their responsibilities to appointed nodal points. Officials from the M&E unit specifically indicated that:

“Tools are being provided but there is generally a lack of support for M&E from individual Branches and Managers in the Department”.

“Management within the Department do not take ownership of M&E activities in their areas of work”.

Interviews with Provincial managers indicate that good leadership within the organisation could assist in ensuring that set targets are achieved and that proper strategies are implemented and where there is a need for corrections such corrections are immediately implemented as guided by the Monitoring and Evaluation reports. Additionally, interviews with the M&E unit further highlighted the non-utilisation of certain key capacities within the M&E unit as a factor that contributes to the ‘ineffectiveness’ of the M&E Unit in general. One respondent indicated that

“Functions or capacities such as Statistical Analysis and Performance Analysis are very critical in the M&E value chain but are not understood and utilised optimally in the Department, including the M&E unit as well”.

This has a huge impact on the influence that the M&E unit should have in the Department and its ability to guide the Accounting Officer of the overall performance

of the Department and how it responds to service delivery issues. What is interesting to note here which is not addressed by the literature is the interrelatedness of the different functions within the M&E working environment that depend on each other to make the implementation of M&E effective and successful. It also points out to the fact that how the M&E unit implement the Framework sets the tone for the entire Department. In essence, understanding the value chain within the M&E unit is key for successful implementation of the M&E Framework. The findings are thus at variance with the tenets of the NPS examined in Chapter 2 which recommends that public managers need to acquire skills to enable them to negotiate and resolve complex problems in partnership with citizens. In responding to complex societal problems, solutions developed need to be “consistent with the public interest, openness, accessibility, accountability and responsiveness are key elements that governments must consider when serving citizens”, (Robinson, 2015:10).

4.5.3. Challenges / factors limiting the effectiveness of the M&E framework and opportunities for improving M&E practice at the DHA

Interviews with respondents highlighted several factors which are limiting the effective implementation of the DHA M&E Framework. These include the inadequate human resource capacity within the M&E unit; lack of more qualified monitoring and evaluation teams at Provincial Level; misunderstanding of the role of monitoring and evaluation by Branches within the Department; Non adherence to formal M&E processes and the Lack of training for senior government officials on M&E issues

4.5.3.1. Inadequate Human Resource Capacity

The participants explained that Home Affairs have a serious imbalance of resources throughout all the structures and Branches. The mandate of the Department is very broad and requires a sizeable human resources capacity which is currently not sufficient. The Monitoring and Evaluation Unit is also understaffed and unable to provide adequate support to all the areas of need within the Branches.

The study participants also revealed that the Department lacks resources to improve the realisation of targets and service delivery. Furthermore, the respondents pointed out that resources within the Department are not effectively invested in M&E.

4.5.3.2. Lack of more Qualified monitoring and evaluation teams at Provincial Level

The study established that qualified monitoring and evaluation teams that should support the provinces are only at Head Office and their capacity is also inadequate to offer meaningful support to all the targeted service delivery areas. The opportunities available stems from a highly committed calibre that the Department have at management level but that does not have the support teams to assist them to ensure realisation of the planned set targets. Home Affairs remain a critical service delivery department and will drastically fail to implement its mandate if serious capacitation considerations are not implemented to improve the delivery of services to the majority of people both inside the country and outside.

Additionally, all Office Managers (5) and Senior Managers in Provincial offices (4) and one official in the M&E unit indicated that there is also a lack of strong Monitoring and Evaluation (M&E) that will evaluate the performance of policies, programmes or projects and identify potential risks and challenges that arise in relation to policies, projects or programmes, and devise a plan to mitigate the risk or rectify the mistakes. A respondent specifically mentioned that

“I do not think the M&E staff are fully experienced and trained to execute the role of M&E. When the monitoring and evaluation process was carried out by untrained and inexperienced persons, the program or project is bound to be time consuming, expensive and the generated results would be irrelevant and impractical.”

4.5.3.3. Lack of Training and Development of Employees on Monitoring and Evaluation related issues

Interview responses indicated that there is generally a lack of a general understanding of the role of M&E and how this is geared towards the improvement of service delivery

and general performance of the Department. The challenge is inherent in the M&E framework, by the very nature that the tool seeks to assess performance. Additionally, a majority of DHA officials still lack understanding of the role and responsibility of the Monitoring and Evaluation unit. The following were some of the responses given

“most of the managers see M&E as a policing unit that is there to expose them”

“the branches feel that the process is to expose their weakness – and then, the issues of compliance becomes difficult”.

Interviews with the M&E unit highlighted a need for a shift of mind-set in how M&E is viewed in the Department. Government leadership need a serious training on the issues of M&E and the benefit thereof.

4.5.3.4. Lack of an effective communication mechanism for M&E results

There is currently no feedback mechanism upon which M&E results are communicated for consideration and betterment of performance and service delivery and also for informing policy, planning, budgeting and decision making.

4.5.3.5. Lack of involvement of all employees in the M&E Process especially at Operational level

Interviews with Operations Managers indicated that M&E activities are limited to strategic level and excludes monitoring of activities at operational level. The M&E of operational targets are done but these never get reported anywhere. There is no presence / visibility of M&E at operations. The framework should be implemented across all the areas of services in the Department.

4.5.3.6. Inadequate application of the formal processes for M&E

The current M&E system does not accurately monitor performance in terms of inputs, outputs or outcomes. Thus the Department cannot measure their efficiency,

effectiveness and overall impact as a national organisation, making the current M&E system not as effective as it should be.

In addition to what the interviewees said, analysis of DHA Annual Reports revealed that despite the Framework being in place and the achievements thereof, the Department continued to experience the recurring service delivery challenges and non-achievement of some of its targets, objectives and goals. Notwithstanding the Department's success in the implementation of the M&E systems to assess its performance, service delivery challenges still persist. The lack of evidence-informed decision making, planning and policy development; lack of demand for M&E; the lack of understanding of the role of M&E and limited utilisation of M&E results is still a huge challenge within the Department, which ultimately affect service delivery. This conclusion was drawn from interviews with Office Managers, Provincial Managers and the M&E Directorate above.

4.6. Conclusion

The following conclusions were drawn from the interviews and documentary evidence conducted.

4.6.1. Relationship between Organisational Performance and M&E

The study revealed that the approval of the M&E Framework resulted in the Department introducing various changes which enhanced and supported accountability, transparency and improved performance. The Department of Home Affairs M&E Policy Framework has enabled the government via the DHA Portfolio Committee, civil organisations etc. to hold the Department accountable in their utilisation of resources allocated by government. The Department's performance has also improved since 2015. This has been attributed to amongst others, clear and stricter monitoring and evaluation processes which promoted utilisation of evidence.

The intensified focus on monitoring and reporting practices in support of annual performance plan targets with specific interventions implemented, where and when required also contributed in the improved performance of the Department.

The M&E Framework has contributed immensely in ensuring proper accountability and improved delivery of services through specific measurable, time-lined, achievable and realistic set targets at operational level in the Department. By implementing the M&E Framework, managers are more responsible and accountable for their areas of work and Branches within the Department are able to plan better and ensure optimal utilisation of resources.

Despite the successful implementation of the Framework, the study further revealed that at operational level, the existence of the M&E Framework is still not known. Some Operational Managers claimed to have never heard of the Framework before. This has made it difficult to successfully implement M&E, and this can be attributed to the lack of M&E Communication and Advocacy Plan in the Department of Home Affairs.

4.6.2. Influence of M&E Framework on Service Delivery

The study indicated that despite the Framework being in place, the Department continued to experience recurring service delivery challenges and non-achievement of some of its targets, objectives and goals. Despite the successful implementation of the M&E framework to assess its performance, service delivery challenges still persist. The lack of the general understanding of the role of M&E unit in the Department, especially at operational level, lack of an understanding of the M&E Framework, lack of demand for M&E; and limited utilisation of M&E results are still huge challenges within the Department. Ultimately this negatively affects service delivery.

Although performance measurement, reporting, and the use of performance information to inform decision-making by management at all levels is considered fundamental to service delivery improvement, sharing of feedback and learning to improve service delivery is still a challenge in the Department of Home Affairs. The study showed that despite strategies such as the joint quarterly performance review sessions, Departmental Planning sessions, Budget Committee and Executive Committee meetings where progress made on the implementation of the strategic objectives are reviewed, the impact of these is not felt at operational level. The feedback coming from these reporting forums has not been successfully cascaded down to operational level for utilisation in decision making and in enhancing service delivery. The study further show that performance information collected in the

monitoring process does not help Operations Managers to measure the efficiency of their operations in ensuring service delivery and making adjustments to inputs where necessary to improve performance.

In the DHA, the culture is more skewed towards compliance rather than one promoting generation of knowledge and how this can be utilised to bring about improvements and learning. Although the usefulness and reliability of performance information utilisation by management in decision making has been confirmed throughout the Departmental quarterly review meetings, what is key is how and when that information gets utilised by operations and other units., which is one area that still needs to be examined.

The lack of communication and advocacy about Monitoring and Evaluation decisions and proposed solutions to service delivery issues and improvement on performance in the Department of Home Affairs makes it difficult for the Department to become a learning organisation. The relevance, value and benefit of implementing the Monitoring and Evaluation Framework on the achievement of their goals is thus not felt by all across the Department.

The presence of the M&E unit at operations level and their role in providing support and guidance on monitoring and evaluation processes at operational level was regarded as non-existent during the study. Operations are not provided with support and assistance in identifying implications for improved service delivery and identifying appropriate and priority indicators. The researcher observed that there is a lack of understanding by Operations Managers of the role they also have to play in ensuring that monitoring and evaluation happens in DHA.

The non-existent culture of evaluation practices and utilisation of evidence in decision making and improvement in service delivery is another biggest challenge in the Department of Home Affairs. This is evidenced by a lack of a departmental Evaluation Plan which should guide how evaluations are conducted in the department. The lack of this Plan is a clear indication of the poor demand for M&E in the Department. Consequently, there is limited demand for evaluations which implies that no evidence is used to inform decision-making and improvement of service delivery; and monitoring masquerading as evaluation.

Within the Department of Home Affairs, the implementation of the M&E Framework is limited by various factors which include amongst others inadequate human resource

capacity, lack of more qualified officials to carry out monitoring and evaluation at provincial offices, misunderstanding of the M&E Directorate's role and responsibilities in the Department, lack of strong Monitoring and Evaluation (M&E), lack of Training and Development of employees on Monitoring and Evaluation related issues, lack of an effective communication mechanism for M&E results to inform decision-making and lack of involvement of all employees in the M&E process especially at Operational level.

CHAPTER FIVE

CONCLUSIONS AND RECOMMENDATIONS

5.1. Introduction

This chapter summarises the study and provides conclusions and recommendations that are drawn based on the findings of the study. The study investigated the influence of the Monitoring and Evaluation Framework on service delivery. It aimed at investigating the relationship between organisational performance and M & E, analysing the effectiveness of the DHA M&E framework in promoting service delivery, describing and analysing the challenges and opportunities for improving M & E practice at the DHA and consequently making recommendations to improve M & E efficiency at DHA.

The study used the qualitative research approach which provided a more comprehensive understanding of the implementation of the M&E Framework within the Department of Home Affairs and how this improved performance and service delivery. Through this method, the researcher was able to understand the topic under study through the experiences of identified officials within the Department of Home Affairs who are actively involved in decision making and monitoring and evaluation activities. Semi-structured interviews were used to collect data. The study research participants were divided into three groups, namely 4 officials from the M&E unit, 5 Provincial Managers and 5 Operations Managers. Purposive sampling was used to select participants for each group, which allowed the researcher to select the number of participants that she wanted.

Before proceeding with conclusions and recommendations of the study, a summary of the chapters is presented.

Chapter One of this study provided the introduction of the study and outlined the aim of the study which involved the examination of the role of monitoring and evaluation in enhancing service delivery within the Department of Home Affairs. The research methodology followed in conducting the study was also outlined under this Chapter,

highlighting research strategy, design, data collection methodologies employed research problems, the ethical considerations and significance for the study.

Chapter Two presented the literature review around public service delivery in the context of Public Administration. This section gave an overview on the nexus between Public Administration and service delivery. The nexus is that Public Administration is responsible for service delivery improvement to better the lives of ordinary citizens. In essence, service delivery depends on the quality of administration practised by all government departments and public institutions. A reflection on both the Public Service and the challenges associated with the delivery of services within the South African Public Service was also provided in this Chapter. The theoretical framework that underpinned the study was identified which assisted in exploring and understanding the influence that monitoring and evaluation has in promoting service delivery.

Chapter Three provided a detailed outline of the implementation of the Monitoring and Evaluation Framework in the South African Public Service. The chapter also explained the Policy Frameworks that guide M&E practice in South Africa, the aims and objectives of the Policy Framework for the GWM&E System, approaches employed in the implementation of the Policy Framework for the GWM&E System in South Africa and the institutional arrangements that have been put in place to support the implementation and the guiding principles for implementation of the Policy Framework GWM&E System. In implementing the Policy Framework for the GWM&E System, all government departments and public institutions must create enabling environments and have in place plans that outline amongst others roles and responsibilities, which must be regularly reviewed against set objectives.

Chapter Four presented the primary findings and discussions of the research. An overview of the Department and its implementation of Monitoring and Evaluation and an analysis on the extent to which M&E has contributed to improved performance and service delivery was provided in this Chapter. The Chapter also deliberated on the challenges / factors limiting the effective implementation of the M&E framework and opportunities for improving M&E practice at the DHA. Generally, the data was analysed and interpreted against the research objectives.

5.2. Findings from the Literature Review

The review of literature highlighted and confirmed the existing relationship between Public Administration and service delivery, specifically how the Public Administration influences the quality and type of service delivery offered to citizens and the extent to which these enhance the lives of ordinary citizens. The review further pointed out the role that all departments in all spheres of government and other related public institutions should play in ensuring provision of quality services to all citizens.

Although there is demonstrable evidence of the progress that the government has made in the provision of services to all since taking over from the apartheid dispensation, there are still persisting factors such as poor leadership, lack of appropriate skills and capacity, non-responsiveness to the needs of the people, political interferences and most importantly, the lack of monitoring and evaluation, which are a threat to the achievement of the goal by government to ensure access to services by all. These unfortunately, result in poor delivery of public goods and services to citizens.

In South Africa, one of the areas that are considered critical in enabling quality service delivery is monitoring and evaluation. Its implementation promotes the effectiveness, efficiency and good governance in service delivery. It is a key element in transforming the public service.

Literature further revealed the different types of monitoring and evaluation and implementation monitoring is considered core to the management processes in the South African Public Service. This type of monitoring forces managers to monitor and evaluate their own areas of work and the progress made on the achievement of set targets and objectives.

What was key to note from the review of literature was the utilisation of monitoring and evaluation outputs (i.e. performance information) in decision-making about service delivery related issues and its role in promoting learning in a quest to improve services provided to the public and also meeting their needs and expectations. Monitoring and evaluation is thus one of the key tools to service delivery improvements.

One of the ways to understand the influence that monitoring and evaluation has on improved service delivery in this study was through the lens of the New Service Delivery approach. With this approach, citizens, communities and civil society are put at the centre and are the focus for public management. The approach is in line with the White Paper on Transforming Public Service Delivery in that emphasis is put the role that public officials have to play in being accountable to citizens and ensuring that they serve and respond to their needs rather than to steer them.

5.3. Findings from Primary Research

Conclusions were drawn, based on the following research objectives:

- a) Investigation of the relationship between organisational performance and M & E.
- b) Analysis of the effectiveness of the DHA M&E framework in promoting service delivery.
- c) Description and analysis of the challenges and opportunities for improving M & E practice at the DHA.
- d) Provision of recommendations to improve M & E efficiency at DHA.

The following conclusions were drawn from the questionnaires, interviews and analysis of documents.

5.3.1. Relationship between Organisational Performance and M&E

Interviews with participants confirmed the existing influence that the M&E Framework has on organisational performance and service delivery. The findings highlighted that improvements in governance practices and the introduction of stringent monitoring and evaluation processes, assisted the Department in the improvement of its performance since 2015.

The introduction of the M&E Framework contributed immensely towards ensuring accountability and improved service delivery. The implementation of the Framework forced managers to be accountable and more responsible in their areas of work whilst

ensuring amongst others, optimal utilisation of resources and commitment from officials.

Despite these achievements, the interviews with Operations Managers highlighted several factors which hindered successful implementation of the Framework. The findings indicated the lack of knowledge of the M&E Framework and the role and relevance in their daily operations as a major obstacle. On This unfortunately made it impossible for Operations Managers to appreciate the value of the Framework and its impact on the performance at their respective operations.

5.3.2. Influence of M&E Framework on Service Delivery

Interviews with participants indicated the utilisation of M&E information as fundamental to service delivery. Although performance information is considered key in decision-making and promotion of learning, the sharing of such information and feedback for utilisation in service delivery improvements is still a challenge in the Department of Home Affairs. The lack of such feedback from management forums does not assist managers at operational level to improve on service delivery.

The findings from the study highlighted the urgent need for the presence of the Monitoring and Evaluation unit at provinces as this would enhance the understanding of the role that the M&E unit plays in the Department, and the relevance of it the daily operations at provinces and the benefits thereof. Communication and socialisation of the M&E Framework is still a huge challenge in the Department.

The non-existent culture of evaluations and the role that these should play in the improvement of service delivery is challenge in the DHA. The lack of a dedicated Evaluation Framework and Plan is a clear indication of the lack of appetite for evaluations in the DHA and the culture of non-evidence based decision making in the improvement of service delivery.

The findings of the study highlighted the various factors that limit the successful implementation of the M&E Framework and these include inadequate human resource capacity to execute M&E at provinces, lack of a communication mechanism for utilisation in conveying M&E feedback.

5.4. Recommendations

Based on the findings, analysis and conclusion of the research study, the following recommendations are made:

5.4.1. The researcher recommends that for the Framework to have an impact and receive buy-in, Monitoring should be conducted at Operational Level across all Branches in the Department. By so doing, the current M&E system will be able to accurately monitor performance at operational level in terms of inputs, outputs or outcomes in operations, resulting in the Department's ability to measure its efficiency, effectiveness and overall impact as a national organisation. If M&E of Operations is not done, it will be difficult to reflect on the impact that it has had on performance and service delivery.

- The department needs to strengthen the support services within the Monitoring and Evaluation teams and also to expand the structure to ensure that there are structures at a Provincial and local level.
- The applicability and Application of the M&E Framework should be all-encompassing and not skewed towards certain areas – currently it is more skewed towards strategic level rather than operational. As a result, Monitoring should be done at operational level where processes are monitored to identify loopholes and improvements for service delivery and improved performance.
- Daily operations should be effectively monitored

5.4.2. Advocacy and Communication are effective tools to overcome misconceptions or lack of information about M&E. The lack of knowledge of the M&E Framework within the Department is a huge concern. The researcher therefore recommends that an M&E Advocacy and Communication Plan be developed by the Department of Home Affairs to enhance and popularise the M&E Framework with emphasis on roles and responsibilities for each of the affected stakeholders. The implementation of this will also help in mainstreaming M&E as one of the Department's main functions and will also help in establishing a positive culture within the Department. Additionally, in order to ensure that DHA officials are aware and remain up to date with the DHA's M&E Policy Framework, the Head of the Department's Learning Academy should assist in

driving the process to ensure that all staff in the DHA either attend a formal training or refresher course.

A well-functioning performance feedback system with adequate tools is required in order to determine whether policies, programmes or projects are achieving the desired results

5.4.3. Performance Information produced should be used at all times to inform decision-making, planning, policy development and enhancement of service delivery. The research recommends that a plan be put in place to monitor utilisation of performance information. By having this in place will ensure that the development of policies, planning, decision making is evidence-based and that effective service delivery will be determined through comparison of performance against budgets and service delivery plans, and taking corrective action when required.

5.4.4. Due to the non-existent culture of evaluation practices within the Department, the researcher recommends that the development of an Evaluation Framework should be prioritised. The Framework should identify the strategies, policies, regulations and services which need to be evaluated over the agreed upon period. Both Implementation and impact evaluations should be prioritised as these will assist the Department identifying what is working well and what is not working well and how implementation of regulations and services should be improved and also in identifying the broader impacts of strategies, policies, regulations and/or services on citizens and the economy.

5.4.5. The involvement of employees in M&E value chain:

- It is suggested that Provinces and local management be involved during the development process for them to have ownership and also to understand and support the framework.
- Un-pack all the deliverables and ensure that all relevant stakeholders have an input and understanding of their role and responsibilities to ensure that the process becomes effective and assist in improving performance of the department.

- Creation of awareness and understanding of the benefit of the M&E should be championed by senior leadership of the Department, particularly the Director-General.

5.4.6. Provision of Training and Development on M&E

- Training should be provided on M&E and how this should be implemented in the entire Department. This would enhance the general understanding of M&E in the Department. The training should include clarification of the roles and responsibilities in the practice of M&E.

5.5. Implications for Future Research

This study serves as input not only to the academic body of knowledge but also in enhancing the general understanding of the role and importance of monitoring and evaluation in promoting service delivery in the Department of Home Affairs and the impact this has on effective and efficient delivery of public services.

Based on the empirical assessment of the implementation of the M&E Framework and how M&E operates in the Department of Home Affairs, a study can be conducted across all local offices in all nine Provinces, to assess and identify monitoring and evaluation needs. Also, future research can be conducted on the interrelatedness of the different functions within monitoring and evaluation and how these contribute to organisational performance.

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Appendix 1: Survey Questionnaire: Office Managers

I, Ms Lettie Masilo am a Master of Public Management and Policy student at the University of Pretoria. The title of my study is: An investigation into the role of the Monitoring and Evaluation Framework in promoting service delivery in the Department of Home Affairs.

The purpose of the study is to examine the influence of the Monitoring and Evaluation Framework on service delivery in the Department of Home Affairs (the “DHA” or “the Department”).

Note to the respondent:

- ❖ I would appreciate your willingness to assist in this research project.
- ❖ Your contributions to the interview will remain private and confidential and no one will be able to trace your responses back to you as an individual.
- ❖ Your permission to use these responses is required for the purpose of this Master’s degree.

SECTION A: BIOGRAPHICAL INFORMATION

Main Category	Sub-Categories	Please mark with an (X) where applicable
Gender	Male	
	Female	
Position Level	Management	
	Middle Management	
	Senior Management	
Department	Corporate Services	
	Operations	
	M&E	
Age	18-25 years	
	25-35 years	
	35-45 years	
	45 -55	
	55-65	
Education Level	Primary	
	Secondary	
	Tertiary	
Years of Work Experience at DHA	1-3 years	
	3 – 5 years	
	5-10 years	
	10 years and above	

- 1. To what extent has the M&E framework which is used in the process of monitoring and evaluating the activities influenced the improvements in the performance of your operations in the Department of Home Affairs?**

- 2. In your opinion, how effective has the DHA M&E framework which is used in the process of monitoring and evaluating the activities been in improving service delivery in your operations at the Department of Home Affairs?**

- 2.1. M&E Performance Information: (i.e. utilisation of performance information)

- 2.2. M&E Reporting process: (i.e. use of monitoring and feedback as part of a learning process)

- 2.3. Practice of Evaluations in the DHA (utilisation of evaluation results / recommendations)

- 2.4. Institutional Capacity (i.e. M&E Leadership, Training and Development of DHA staff)

3. What, in your opinion, are the challenges / factors which are limiting the effectiveness of the M&E framework and opportunities for improving M&E practice at the DHA?

4. What can be done to improve upon the efficiency of the DHA's M & E framework?

Thanking you for your Participation.

Appendix 2: Survey Questionnaire: Provincial Managers

I, Ms Lettie Masilo am a Master of Public Management and Policy student at the University of Pretoria. The title of my study is: An investigation into the role of the Monitoring and Evaluation Framework in promoting service delivery in the Department of Home Affairs.

The purpose of the study is to examine the influence of the Monitoring and Evaluation Framework on service delivery in the Department of Home Affairs (the “DHA” or “the Department”).

Note to the respondent:

- ❖ I would appreciate your willingness to assist in this research project.
- ❖ Your contributions to the interview will remain private and confidential and no one will be able to trace your responses back to you as an individual.
- ❖ Your permission to use these responses is required for the purpose of this Master’s degree.

SECTION A: BIOGRAPHICAL INFORMATION

Main Category	Sub-Categories	Please mark with an (X) where applicable
Gender	Male	
	Female	
Position Level	Management	
	Middle Management	
	Senior Management	
Department	Corporate Services	
	Operations	
	M&E	
Age	18-25 years	
	25-35 years	
	35-45 years	
	45 -55	
	55-65	
Education Level	Primary	
	Secondary	
	Tertiary	
Years of Work Experience at DHA	1-3 years	
	3 – 5 years	
	5-10 years	
	10 years and above	

5. To what extent has the M&E framework which is used in the process of monitoring and evaluating the activities influenced the improvements in the performance of your operations in the Department of Home Affairs?

6. In your opinion, how effective has the DHA M&E framework which is used in the process of monitoring and evaluating the activities been in improving service delivery in your operations at the Department of Home Affairs?

- 6.1. M&E Performance Information: (i.e. utilisation of performance information)

- 6.2. M&E Reporting process: (i.e. use of monitoring and feedback as part of a learning process)

- 6.3. (Is the information cascaded down to operations as part of the learning process)

- 6.4. Practice of Evaluations in the DHA (utilisation of evaluation results / recommendations)

- 6.5. Institutional Capacity

- 6.5.1. (i.e. do we have the right M&E Leadership / Staff to ensure successful implementation of the Framework?)

- 6.5.2. (Do you think you were adequately trained around M&E related issues or implementation of the M&E Framework?)

- 6.5.3. (Training and Development of DHA staff)

- 7. What, in your opinion, are the challenges / factors which are limiting the effectiveness of the M&E framework and opportunities for improving M&E practice at the DHA?**

- 8. What can be done to improve upon the efficiency of the DHA's M & E framework?**

Thanking you for your Participation.

Appendix 3: Questionnaire for M&E Unit

I, Ms Lettie Masilo am a Master of Public Management and Policy student at the University of Pretoria. The title of my study is: An investigation into the role of the Monitoring and Evaluation Framework in promoting service delivery in the Department of Home Affairs.

The purpose of the study is to examine the influence of the Monitoring and Evaluation Framework on service delivery in the Department of Home Affairs (the “DHA” or “the Department”).

Note to the respondent:

- ❖ I would appreciate your willingness to assist in this research project.
- ❖ Your contributions to the interview will remain private and confidential and no one will be able to trace your responses back to you as an individual.
- ❖ Your permission to use these responses is required for the purpose of this Master’s degree.

SECTION A: BIOGRAPHICAL INFORMATION

Main Category	Sub-Categories	Please mark with an (X) where applicable
Gender	Male	
	Female	
Position Level	Management	
	Middle Management	
	Senior Management	
Department	Corporate Services	
	Human Resource	
	Operations	
	M&E	
Age	18-25 years	
	25-35 years	
	35-45 years	
	45 -55	
	55-65	
Education Level	Primary	
	Secondary	
	Tertiary	
Years of Work Experience at DHA	1-3 years	
	3 – 5 years	
	5-10 years	
	10 years and above	

- 9. To what extent has the M&E framework which is used in the process of monitoring and evaluating the activities, influenced the improvements in the performance of the Department of Home Affairs?**

- 10. In your opinion, how effective has the DHA M&E framework which is used in the process of monitoring and evaluating the activities, been in improving service delivery in the Department of Home Affairs?**

- 10.1. M&E Performance Information: (i.e. utilisation of performance information)

- 10.2. M&E Reporting process: (i.e. use of monitoring and feedback as part of a learning process)

- 10.3. Practice of Evaluations in the DHA (utilisation of evaluation results / recommendations)

- 10.4. Institutional Capacity (i.e. M&E Leadership, Training and Development of DHA staff)

- 11. What, in your opinion, are the challenges / factors which are limiting the effectiveness of the M&E framework and opportunities for improving M&E practice at the DHA?**

12. What can be done to improve upon the efficiency of the DHA's M & E framework at the DHA?

Thanking you for your Participation.

Appendix 4: Consent Form to Participate in Research Study

My name is Mmacheneke Lettie Masilo, a Masters student at the University of Pretoria. To fulfil the requirements of my academic qualification, I am required to conduct a research study for a Masters of Administration in the Field of Public Management and Policy at the University of Pretoria's School of Economic and Management Sciences.

This interview therefore, forms part of my research study to examine the role of the Monitoring and Evaluation (M&E) Framework in promoting service delivery at the Department of Home Affairs (DHA). The general objective of the study is to examine the role of the Monitoring and Evaluation Framework in promoting service delivery at the Department of Home Affairs.

The study aims to investigate the relationship between organisational performance and M & E and the effectiveness of the DHA M&E framework in promoting service delivery. The study further intends describing and analysing the challenges and opportunities that there exist for improving M & E practice at the DHA and make recommendations to improve M & E efficiency at DHA.

You have been chosen in your capacity as a manager with direct experience on the subject within your area of work, together with the other 13 participants in the study. Your identity would be kept confidential in this thesis. You are requested to answer and discuss the questions raised only in terms of your own experience. I am requesting to have your permission to make detailed notes of our discussion.

If you agree to participate in the study, please tick. X

	Please mark with an (X)
Voluntarily Agree	
Disagree	

By Voluntarily agreeing to participate in the study:

- I understand that even if I agree to participate now, I can withdraw at any time or refuse to answer any question without any consequences of any kind.
- I have had the purpose and nature of the study explained to me and I have had the opportunity to ask questions about the study.
- I understand that I will not benefit directly from participating in this research.
- I understand that all information I provide for this study will be treated confidentially.
- I understand that in any report on the results of this research my identity will remain anonymous.
- I understand that I am free to contact any of the people involved in the research to seek further clarification and information.

Signature: _____

Date: _____

Appendix 5: Approval Letter



home affairs

Department:
Home Affairs
REPUBLIC OF SOUTH AFRICA

ENQUIRIES: Rittah Monama Tel: 012 406 7114 Email: Rittah.Monama@dha.gov.za

Ms Lettie Masilo
University of Pretoria
Arcadia
PRETORIA

Dear Ms Masilo

RE: REQUEST FOR PERMISSION TO CONDUCT RESEARCH IN THE DEPARTMENT OF HOME AFFAIRS ON “ANALYSING THE INFLUENCE OF THE MONITORING AND EVALUATION FRAMEWORK ON SERVICE DELIVERY WITHIN THE DEPARTMENT OF HOME AFFAIRS”

Your request to conduct research in the Department of Home Affairs on “analysing the influence of the Monitoring and Evaluation Framework on service delivery within the Department of Home Affairs” has reference.

The Department of Home Affairs, through the Research Management unit in the Chief Directorate: Policy and Strategic Management, has approved your request to conduct research in the Department to fulfill the requirements of your academic qualification. The approval is based on value and relevance of your study to the Department.

It is our understanding that the research will be conducted using the data collection tool submitted to the Department to ensure that the security of the Department is not compromised. Upon completion of your studies, the Department of Home Affairs requests that you furnish the Research Management unit with a copy of your approved research report, which will be shared with the entire departmental staff.

The Department wishes you all the best in your studies.

Regards


Signature

DEPUTY DIRECTOR GENERAL: INSTITUTIONAL PLANNING AND SUPPORT

DATE: 30 APRIL 2020