



South Africa

UNDP Capacity Development Partnership in South Africa

Monitoring and Evaluation in KwaZulu-Natal

Domestication of Millennium Development Goals

Outcome Evaluation

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by

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ABBREVIATIONS

APP	Annual performance plan
BI	Business intelligence
CFO	Chief Financial Officer
CoGTA	Cooperative Governance and Traditional Affairs
CSOs	Civil society organisations
DDG	Deputy Director General
DHIS	District Health Information System
EIP	Enterprise Intelligence Platform
FBOs	Faith-based organisations
FIFA	Fédération Internationale de Football Association the governing organization of international soccer)
GIS	Geographic Information System
GWM&EF	Government-wide monitoring and evaluation framework
HIV/AIDS	Human immunodeficiency virus and/or acquired immune deficiency syndrome
KwaZulu-Natal	KZN
M&E	Monitoring and evaluation
MAMS	Maquette for MDG Simulations
MARPS	Most at risk populations
MDGR-2010	MDG Country Report-2010
MDGs	Millennium development goals
MECs	Members of Executive Council
MoU	Memorandum of Understanding

NGOs	Non-governmental organisations
NSF	National Skills Fund
NYS	National Youth Service
OLAP	Online Analytical Processing-based
OTP	Office of the Premier
PMS	Project Management System
RBA	Regional Bureau for Africa
SABINET	Southern African Bibliographic Information Network
SAHRC	South African Human Rights Commission
SANGOCO	South African Non-Governmental Organisation Coalition
SASQAF	South African Statistical Quality Assessment Framework
Stats SA	Statistics South Africa
SWGs	Sectoral Working Groups
SWOT	Strength, weakness, opportunity, and threat
TIMS	Transport Information Management System
ToR	Terms of Reference
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme

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EXECUTIVE SUMMARY

The purpose of this evaluation is to determine the outcomes of UNDP's contribution through a support programme to the National and Provincial Departments on Domestication of MDGs, and to the Province of KwaZulu-Natal on monitoring and evaluation systems. The intervention period covers from 2007-2010 and the evaluation is conducted in relation to the stated objectives and outcomes including the effectiveness, relevance and sustainability of the sub-programme. This executive summary gives a brief synopsis of the overall findings of the evaluation by highlighting achievements, challenges, lessons learned, and recommendations.

1. Key evaluation findings

The main strengths, weaknesses and challenges identified during the evaluation include the following.

1.1 Strengths

a) Monitoring and evaluation

- There is a growing acknowledgement of the value and potential contribution of an effective monitoring and evaluation (M&E) system in improving service delivery in the Provincial Departments and the surveyed municipalities.
- After presentation the findings of the M&E Capacity Assessment, the Cabinet Governance and Administration Cluster of KZN passed strong recommendation that M&E should get prominence in terms organisational position, budget, and advocacy.
- The existence of a well organised Provincial M&E in the Office of the Premier to coordinate and lead the M&E system in the province has been instrumental in the institutionalisation of M&E in the Provincial departments.
- The Provincial M&E Unit in the Office of the Premier has a state-of-the-art information system (Nerve Centre) in the country. In the short-term, the Nerve Centre is expected to draw information from Departmental databases, municipalities, Statistics South Africa (Stats SA) and own surveys to create reports for planning and decision-making by

Members of Executive Council (MECs) and Heads of Departments. Depending on its functionality and sustainability, yet to be seen, it is expected to be the model to be replicated in the country.

- The initiative by the Provincial M&E Unit of the Office of the Premier to establish baselines as far back as 2001 is commendable.
- The M&E Forum has become a coordinating mechanism that necessitates the harmonisation of M&E functions in the Province.
- There are some promising signs of championship from top leadership in the Departments that advocate for M&E.
- Most of the Departmental M&E Units in KZN have more or less standardised data collection and reporting templates within their Departments and data flow from sub-reporting units has shown progress. This 'Routine Monitoring' component of the M&E system has got the highest aggregated median score by the respondent M&E Units (see Table 1 & Annex II).

Table 1. Aggregated score of KZN Departmental M&E Units.

	Organisational Structure	Human Capacity	Partnerships	M&E Plan	Costed M&E Work Plan	Advocacy & Communications	Routine Monitoring	Surveys	Databases	Supervision and Data Auditing	Evaluation and Research	Data Dissemination	Overall assessment (median score)
Score	2.5	2	2	2	2	2.5	3	1	2	2	1	2	2

- There are efforts by most Departments to customise reports to different audiences to facilitate communication.
- The initiative taken by the Department of Economic Development to establish an M&E network and train emerging researchers and consultants highlights the prominence of M&E's role in the province and is expected to consolidate M&E partnership.
- In KZN the general awareness of the need of a Municipality-wide M&E and Community-based Outcome Monitoring System is positive.

b) Millennium Development Goals

- The KZN Provincial Departments have adopted the nationally and provincially domesticated Millennium Development Goals (MDGs) and indicators and have become part of their annual performance plans.
- MDG Country Report 2010 was widely consultative and transparent process and the trust that was lost in 2005 have been restored. There was active advocacy and increased participation by the civil society organisations (CSOs) who also organised a Summit on the MDGs and emerged with the Cape Town Declaration on the MDGs. In contrast to this development, in the 2005 MDG Country Report these CSOs complained of been sidelined by the MDG reporting process and produced their own shadow report.
- Majority of the MDG indicators are included in the list of the compendium of national indicators. MDGs are embraced in the national set of ten priorities as integral parts of the South African Government.
- The MDG Country Report-2010 consists of 95 MDG indicators to address the eight goals as opposed to the global 60 indicators, i.e. 35 new domesticated indicators have been added to the Global indicators.
- The MDG Country Report 2010 was based on rational processes and statistical information through the application of the South African Statistical Quality Assessment Framework (SASQAF) on all indicators.
- The combined effect of the MDG domestication and reporting process, and advocacy during the FIFA World Cup 2010, has enhanced awareness among broad spectrum of stakeholders. This is manifested in the continued wide media coverage on MDGs and mainstreaming in the Departmental annual performance plans.

1.2 Weaknesses and challenges

a) Monitoring and Evaluation

- In most Departments M&E Units are not strategically positioned so as to have leverage for data collection, contribution to planning and decision making, and influence on policy. There is no noticeable change in the positioning of M&E units after the M&E

Capacity Assessment of 2009. This is with the exception of the Department of Public works and Msunduzi Municipality that showed improvements. However, the position in the organisational structure by itself doesn't automatically result smooth information flow as some well –positioned Units do not have sufficient mandate to solicit information from programme managers.

- Only few Departments have M&E Units at regional/district level. The unavailability of M&E units in all spheres of government limits data flow and quality.
- There are no M&E Units in the Departments of Community Safety & Liaison, and Treasury for their internal operations, though there is a movement to have one in former.
- The M&E vacancy level is very high as only half of the required M&E staff have been recruited. The recruitment process is very slow, even approved and budgeted posts have not been filled for long time. These vacancies are putting pressure on the existing staff and the M&E system is left to function sub-optimally in many Departments.
- There is improvement in the number of staff in most of the Departments (see Figure 1).

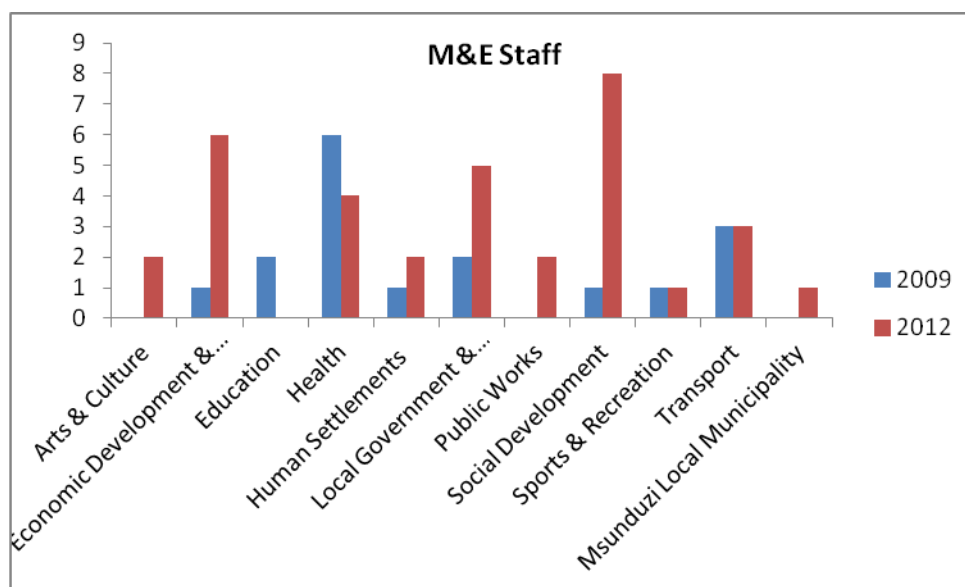


Figure 1. Comparison of staff availability between November 2009 and January 2012.

- Human capacity development plan and implementation is insufficient and M&E training is inadequate in most Departments. As a result there are challenges in ensuring data quality and conducting evaluation.
- The M&E financial allocation of almost all M&E Units is far below the recommended national and international budgetary requirement. Except the Departments of Economic Development & Tourism, and Sports & Recreation, almost all of the Departments have less than 0.1% of their Departmental budgets as opposed to the 5-7% national and international recommendations.

With the exception of the Department of Economic Development which has shown substantial increase there a budgetary decline for the M&E units when compared to 2009 (see Figure 2). (N. B. the budget for the Department of sports and Recreation appears to be bigger, the budget reflected in 2012 includes for the Strategic Management Support Unit. For the Department of Health comparison was not possible because we do not have budget for 2009).

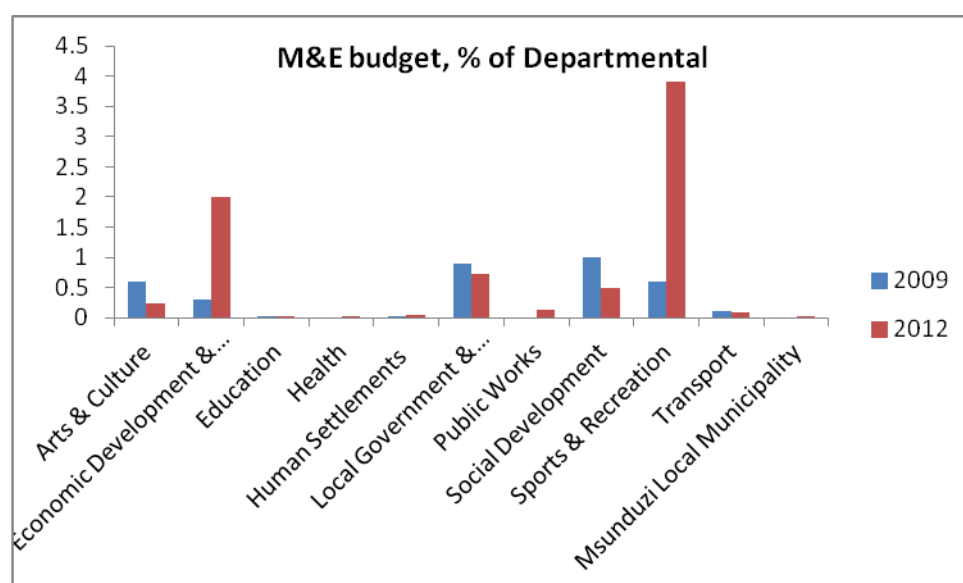


Figure 2. Comparison of budget allocation between November 2009 and January 2012.

- Interdepartmental data and information sharing is sub-optimal although efforts are being made by the M&E Unit of the Office of the Premier (OTP).

- The reporting and relationship link between Provincial Departments' M&E Units and National Departments M&E Units is weak. Not all Provincial Departments' M&E Units report to national departments.
- There is no data flowing from non-governmental organisations (NGOs), CSOs, faith-based organisations (FBOs) and the private sector to the Provincial Departments unless they are funded by the Departments.
- Lack and shortage of baseline data for new programmes/projects are big challenges in the Departments.
- M&E data usage is minimal as perceived by the M&E Units. It is of great concern that only about a quarter of the M&E units feel that their reports feed into the planning and decision making processes.
- Some Units mandated with M&E functions have also additional mandates, that may lead to lack of focus on the M&E functions.
- The insufficiency of M&E advocacy in some Departments has might have contributed in low acceptance of and resistance to M&E as in those Departments M&E is seen as a watchdog, not as a management tool that assists the efficiency and effectiveness of service delivery.
- There are challenges in internal information flow within a Department as some M&E Units do not receive data from some programmes of their own Department.
- The database management system is not up to standard as most Departments do not have sufficiently centralised databases.
- Despite Provincial directive, Departments are not sufficiently conducting citizen satisfaction surveys. Alongside in 'Evaluation and research,' the Departments score lowest in the availability of 'Periodic Survey' component of the M&E system.
- Lack of evaluation was one of the main challenges that Departments attribute to lack of human capacity. The aggregate median score for the 'Evaluation and Research' component of the M&E system is one among the lowest two M&E components.
- Not all Departments make reports available to the public and stakeholders.
- There are limitations in the feedback system especially from National Departments that receive reports from Provincial Departments.

- The recommendations of the UNDP sponsored M&E Capacity Assessment for the Provincial Departments of KZN (2010), and institutionalisation of the Local Municipality-wide M&E and Community-based Outcome Monitoring System of Nkandla Municipality (2011) were not implemented despite being endorsed by the M&E Chief Directorate of the Office of the Premier and the KZN Cabinet Governance and Administration Cluster.
- Data quality supervision and auditing is not sufficiently done by Departments.
- The second-phase of the Local Municipality-wide and community-based outcome M&E system project was not conducted as planned. This project was not completed either by UNDP nor continued by the Province and the outcome could not be realised.
- The overall M&E capacity assessment of the Provincial Departments of KZN is only partly satisfactory as shown in Table 1.
- The aggregated median score for all Departments is lowest in conducting evaluations, supportive supervision and data auditing, and having integrated databases for M&E systems (see Table 2 & Figures 3).
- Overall there are still existing challenges in the KZN M&E system since 2009, most importantly, inadequate of integration of M&E into planning, inadequate M&E skills especially evaluations and data quality auditing, lack of baseline data on outcome indicators, inadequate information flow from programmes Units to M&E Units within the Department, lack of information sharing within stakeholders (government-civil society, and sometimes government-government).

Table 2. Percent of Departments that scored themselves on the M&E components.

Components of a functional M&E system	Percent of Departments that responded:					Total
	Yes- Fully	Mostly	Partly	Not at all	Not sure	
M&E & Organisational Alignment	23%	27%	36%	14%	0%	100%
Human Capacity	5%	24%	33%	33%	5%	100%
Partnerships	21%	20%	29%	30%	0%	100%
M&E Plan	12%	17%	32%	36%	3%	100%
Costed Work plan	18%	27%	14%	41%	0%	100%
Advocacy, Communication & Culture	21%	29%	33%	14%	3%	100%
Routine Monitoring	21%	31%	42%	5%	1%	100%
Periodic Surveys	0%	9%	36%	55%	0%	100%

Departmental databases	15%	15%	27%	39%	3%	100%
Supervision and Data Auditing	12%	12%	58%	15%	3%	100%
Evaluation and Research	18%	9%	9%	64%	0%	100%
Data Use	11%	27%	40%	22%	0%	100%
Overall assessment	15%	20%	32%	31%	2%	100%

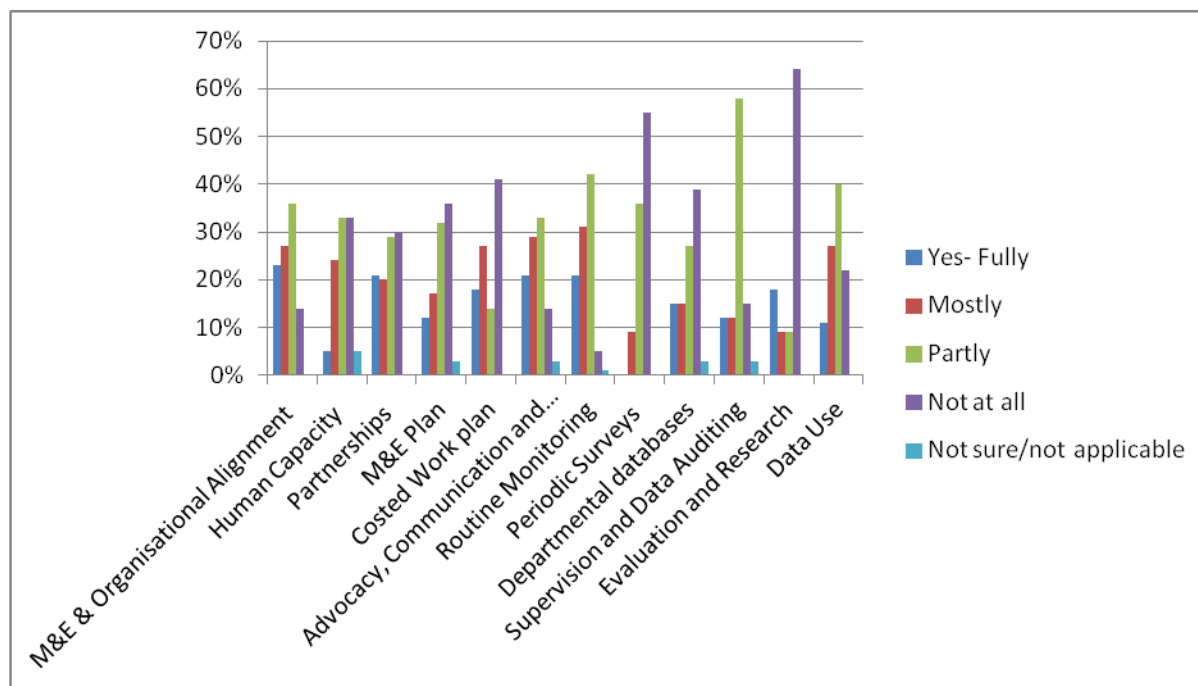


Figure 3. Percent of Departments that scored themselves on the M&E components

b) Millennium Development Goals

- The Sectoral Working Groups (SWGs) that were constituted during the 2010 MDG Domestication and Reporting process are not functional. This Working Group was expected to be a permanent structure to oversee and coordinate MDG related issues in partnership with Stats SA.
- The Draft Project Report for 'Realising the Millennium Development Goals through Socially Inclusive Macroeconomic Policies' initiated by UNDP in partnership with the United Nations Department of Economic and Social Affairs (UNDESA), was finalised in November 2010 and presented to representatives of National Departments of the Government. Thereafter there has not been follow-up on the dissemination and implementation of the recommendations.

- The MDG domestication process in KZN by the service provider has not been completed and is not progressing.

2. Conclusions, lessons learned, and recommendations

2.1 Conclusions

a) Relevance of the interventions:

- There are increasingly reports of underperformance by South African Government organs and subsequent service delivery protests in various parts of the country. These are mainly due including poorly managed state structures, insufficient performance monitoring and accountability that makes UNDP intervention very relevant.
- In the main the domestication of the MDGs is seen as bringing solutions in addressing the human rights issues such as poverty, gender inequalities, and lack of access to basic services such health, education and housing. In this context UNDP's assistance will remain to be extremely relevant for South Africa's development needs.

b) Achievement of objectives and progress towards outcomes:

- Institutionalising M&E systems is a process that requires continuous Government, NGOs, CSOs, private sector and communities' systematic interaction and strategic partnership and political will. UNDP's assistance to this process has created M&E awareness, and more importantly grabbed politician's attention and paved the way towards institutionalising M&E system in the province. Moreover, the Nerve Centre is making progress and drawing much attention of other provinces.
- The MDG domestication process by the service provider in KZN was not complete. However, Departments have domesticated MDGs and are reporting on them due to the fact that UNDP conducted domestication workshop in 2009.

c) Performance of partners:

- The partnership between UNDP and the Office of the Premier in general and the M&E Chief Directorate in particular has progressed well over the years and the cooperation of both parties was commendable. The M&E Chief Directorate welcomed UNDP's assistance and gave full access to all Departments and Municipalities for M&E capacity assessment including coordinating meetings.
- Through its partnership with Stats SA UNDP has created a forum for a broader consultation nationwide around the MDGs.

d) Sustainability of results:

- MDGs have become integral parts of Government's performance plans.
- In the Office of the Premier and most Provincial Departments of KZN M&E has taken root and more or less approaching institutionalisation, given the challenges indicated above.

2.2 Lessons learned

- Without having an institutionalised M&E system at the local level (Local Municipality-wide and community-based outcome M&E system) that embrace government organs, NGOs, CSOs, FBOs, and private sector the Provincial and National M&E system cannot be complete. Data must have local basis and must uninterruptively flow along the hierarchies from local up to the National level irrespective who generates it.
- It is not strategic positioning of an M&E unit that only makes it functional, equally important is incentives given by top management. This strategic position could not automatically result in M&E Units obtaining the required key information from all programmes/projects, and information usage and feedback by top management.
- Without Memorandum of Understanding (MoU) and M&E framework on every intervention between partners, optimal usage of resources including technical assistance and accountability for results can be compromised.

2.3 Recommendations

- M&E Units in all Provincial Departments and Office of the Premier need to be located close enough to directly report to the Head of Departments and Director General.
- It is desirable to have separate M&E Units in regions/districts that directly report to M&E Units in the Provincial Departments. Alternatively Departments need to consider to outreach from Provincial Departments' M&E Units to closely monitor programmes operating at local levels.
- Consider institutionalising M&E at Local Government level by establishing a Local Municipality-wide M&E and Community-based Outcome Monitoring System. The legislative and policy environment in South Africa is conducive to enable all spheres of government to institutionalise M&E systems.
- It is of high priority for the Departments of Community Safety & Liaison, and Treasury to have internal M&E systems that focus on their operations. Given its critical role in training that can include M&E the Public Service Training Academy should consider to have every effort to make its M&E Unit functional.
- As a tool of transparency and accountability M&E reports are expected to be regularly disseminated to relevant stakeholders. This is suggested to be accompanied by the preparation of Citizen Report Card through designing and coordinating annual satisfaction surveys.
- It is to the best advantage for management to basically depend on M&E reports. M&E results need to be continuously reported to decision makers both formally and informally.
- Skills gap analysis is required to be done periodically and respond to the training needs of the M&E staff. Moreover, customised M&E training has to include politicians, programme and project managers, and community monitors (in the case community-based M&E is established).
- M&E budget is suggested to be closer to the nationally and internationally recommended 5-7% of the overall Departmental budget to enable the M&E Units to function optimally.

- Support for M&E should have institutionalised backing for the required role of M&E that does not depend on the whim of current management. For this to happen a systematic advocacy for M&E across the entire Department, and practical incentives for the M&E system are required.
- M&E units should be entitled and empowered to independently solicit information, as part of their routine functions, from the entire programmes/projects run by Departments.
- Departments should have integrated databases managed by the M&E Unit for improved management, planning, and budgeting. The Departmental database should also be linked to municipal (related to their sector) provincial and respective national database to ensure compatibility of data collection and reporting templates.
- For the M&E system to generate information that is credible enough for management to use for decision making data must regularly be investigated for quality. For M&E data to be fit-to-use it has to be accurate, reliable, complete, precise, timely, and of integrity.
- Every programme and project has to be evaluated before, during and after intervention in the appropriate time.
- There should be a strong reporting and information sharing relationship between National and Provincial Departments' M&E Units.
- As custodians of information in Departments, all information in the Department and sub-reporting units must flow to M&E Units for processing, analysis, and reporting. It is therefore highly recommended that electronic databases, knowledge management, and research units of Departments be part and parcel of M&E Units.
- National Departments operating in the province have to share all their M&E related information to the Provincial M&E Unit of the Office of the Premier as soon as it is generated.
- The momentum reached during the 2010 MDG Domestication and reporting process should not only be maintained but has to be elevated to a higher level as a contribution towards the achievement of MDGs.
- UNDP Country Office should consider developing a centralised database system where all programme/project documents are maintained as a basis for knowledge management to enhance institutional memory and facilitate information retrieval.

- For every developmental engagement with any party UNDP must consider to have MoUs and well documented project/programme documents that efficiently retrievable. It can also be highly recommended that M&E framework be developed for every assistance to enhance its evaluability.

INTRODUCTION

This is an evaluation report of UNDP's contribution to the partnership with the Government of South Africa in the area of Monitoring and Evaluation (M&E), and Millennium Development Goals (MDGs). The purpose of this evaluation is to determine the outcomes of UNDP's contribution through a support programme to the National and Provincial Departments on Domestication of MDGs, and to the Province of KwaZulu-Natal on monitoring and evaluation systems. The intervention period covers from 2007-2010 and the evaluation is conducted in relation to the stated objectives and outcomes including the effectiveness, relevance and sustainability of the sub-programme. This executive summary gives a brief synopsis of the overall findings of the evaluation by highlighting achievements, challenges, lessons learned, and recommendations.

In the area of Millennium Development Goals, UNDP partnered with the Government of South Africa in three related processes that were aimed to contribute towards the achievement of the Goals. Firstly, in partnership with the Stats SA, it supported the domestication of MDGs and MDG Country Report-2010 (MDGR-2010) processes during 2009-2010; and in partnership with the Office of the Premier the domestication process in KZN. Secondly, in collaboration with the Regional Bureau for Africa (RBA) it initiated partnership with United Nations Department of Economic and Social Affairs (UNDESA) on a project called 'Realising the MDGs through socially inclusive macroeconomic policies' to support South African Government in pro-poor policies and programmes. Thirdly, in collaboration with other UN agencies it organised a high-level advocacy on MDGs during the 2010 FIFA World Cup that involved renowned African artists.

The report is structured as follows:

Section I: *INTRODUCTION*, this section deals with the background and context of the M&E and MDGs in KZN and South Africa.

Section II: *DESCRIPTION of the EVALUATION*, gives the summary of the extent of the assistance provided and methodological issues to be followed in this evaluation and covers evaluation objectives, scope, and deliverables of the partnership.

Section III: *KEY DELIVERABLES of the INTERVENTIONS*, presents the outputs of the interventions.

Section IV: *KEY EVALUATION RESULTS*, is devoted to the findings of the field visits focused on outcomes where applicable.

Section V: *CONCLUSIONS*, provides overall assessment of the relevance of the intervention, achievement of objectives and progress towards outcomes, and performance of partners.

Section VI: *LESSONS LEARNED and RECOMMENDATIONS*, has essential lessons and recommendations that can be useful for future interventions.

ANNEXES: Terms of Reference¹ (ToR), questionnaires, etc. are included in this section.

¹ This ToR includes for the UNV sub-programme in Limpopo and a separate report has been produced.

Section I: INTRODUCTION

1.1. Background and context

1.1.1. Overview of the socio-economic and M&E system in KZN

KwaZulu-Natal is a provincial region with an area of 94,361 square kilometres and a population of about 10 819 130² inhabitants (South Africa's largest provincial population, i.e. about 21%) on the eastern sea-board of South Africa. KZN is one of the country's most popular tourist destinations. And its port, Durban, is the busiest in South Africa and one of the 10 largest in the world. Agriculture is central to the economy supported by mining, vehicle-manufacturing, vehicle-manufacturing, and tourism. The province has ten districts, one metropolitan and 61 local municipalities. The main languages spoken are isiZulu (81%), English (13%), and Afrikaans (1.5%). Remnants of British colonialism and a mix of Zulu, Indian and Afrikaans traditions give the province a rich cultural diversity. Fifty four percent of this population lives in rural areas, which are characterized by extreme poverty and poor infrastructure (roads, transport and telecommunication). This poses a huge challenge towards ensuring effective delivery of basic services such as health, water and sanitation. Poverty, over-consumption, poor quality of- and poor access to education and limited livelihood options, drought and flooding (linked to climate change), spread of HIV/AIDS (highest prevalence in South Africa) are some of the major sustainable development challenges in the province.

Prior to the development of M&E in KZN, the Provincial Departmental programs contained financial information which relate mainly to inputs such as government expenditure and income patterns. Reporting on performance came after a reform agenda since 1999 with the introduction of the Public finance Management Act (No 1 of 1999).

The earliest M&E Unit in the province was established in the Department of Transport in 2002, and other Departments followed suit and the last to have M&E was the Department of Sports and Recreation in 2009. However, there are still two Departments (Community

²Statistics South Africa. 2011. Mid-year population estimates.

Service and Liaison, and Treasury) that do not have M&E for their internal operations, although they are monitoring other Departments. Most municipalities also do not have M&E units per se.

The M&E Chief Directorate in the Office of the Premier was constituted in 2005 to provide key information for strategic decision-making and better government service delivery based on the Government-wide monitoring and evaluation framework (GWM&EF). The OTP also launched the Provincial Nerve Centre (NC) in 2008 and once full-fledged, it is expected have an automated and integrated information management system.

1.1.2. Overview MDGs in South Africa

South Africa wrote its first country report in 2005. The report was ‘updated’ in 2007 and 2008, with minimal participation from civil society and other key stakeholders. However, the integrity of the reports was questioned by representatives of civil society, the South African Non-Governmental Organisation Coalition (SANGOCO), and the South African Human Rights Commission (SAHRC). Both organisations have labelled the reports as political. SANGOCO compiled a shadow MDG report while SAHRC held a hearing and requested a submission by Stats SA on its role in the MDG process.

MDGs have been mainstreamed in the Government programmes. The priorities of the South African Medium Term Strategic Framework correspond well with the MDGs indicating that the country has already aligned MDGs with its programmes (see Table 3).

Table 3. Linkages between South Africa’s national development planning and the MDGs.

	MTSF STRATEGIC ELEMENTS	RELEVANT MDGS
1.	Strategic Priority 1: Speeding up growth and transforming the economy to create decent work and sustainable livelihoods	MDG 1, MDG 2, MDG 3, MDG 8
2.	Strategic Priority 2: Massive programme to build economic and social infrastructure	MDG 1, MDG 3, MDG 8
3.	Strategic Priority 3: Comprehensive rural development strategy linked to land and agrarian reform and food security	MDG 1, MDG 2, MDG 7
4.	Strategic Priority 4: Strengthen the skills and human resource	MDG 2

	MTSF STRATEGIC ELEMENTS	RELEVANT MDGS
	base	
5	Strategic Priority 5: Improve the health profile of all South Africans	MDG 4, MDG 5, MDG 6
6.	Strategic Priority 6: Intensify the fight against crime and corruption	MDG 2, MDG 3
7.	Strategic Priority 7: Build cohesive, caring and sustainable communities	MDG 2, MDG 3, MDG 7
8.	Strategic Priority 8: Pursuing African advancement and enhanced international cooperation	MDG 8
9.	Strategic Priority 9: Sustainable resource management and use	MDG 2, MDG 3, MDG 7
10.	Strategic Priority 10: Building a developmental state, including improvement of public services and strengthening democratic institutions	MDG 1, MDG 2, MDG 3, MDG 8

Source: Republic of South Africa. 2010. Millennium Development Goals: Country Report 2010.

Section II: DESCRIPTION of the EVALUATION

2.1. *Projects summary*

2.1.1. Monitoring and Evaluation

In collaboration with the Office of the Premier, UNDP provided technical support for the establishment and development of the KZN Provincial Nerve Centre as an automated and integrated information management system. It also conducted M&E Capacity Assessment of all Provincial Departments, two Municipalities in view of institutionalisation of M&E system in the Province.

Furthermore, in 2010 UNDP, in partnership with the Office of the Premier, conducted a rapid assessment on the 'Institutionalisation of Local Municipality-wide M&E and Community-based Outcome Monitoring System' in Nkandla Local Municipality.

The overall purpose of the assessments was to perform a rapid appraisal to identify the challenges facing the institutionalisation of M&E in the Provincial Departments of KwaZulu-Natal (KZN) and Local Municipalities. Specific objectives of the assessments therefore included:

- Determining strengths and weaknesses of the current provincial M&E systems across Departments in the Province
- Developing strategies to improve capacity of provincial M&E systems based on opportunities and threats identified from the assessment
- Producing a Rapid M&E Readiness Assessment report and road map to the institutionalisation of Local Municipality-wide M&E and Community-based Outcome Monitoring System M&E

Capacity assessment³ is a structured and analytical process whereby the various dimensions of capacity are measured and evaluated within the broader environmental or systems

³ Görgens, M and Kusek, J. Z. 2009. *Making monitoring and evaluation systems work: A capacity development toolkit*. The International Bank for Reconstruction and Development/World Bank. Washington, DC.

context, as well as specific entities and individuals within the system. The M&E Capacity Assessment for KZN was adapted from the UNDPs framework of capacity assessment and focused on four dimensions: Institutional arrangements and environmental situations, M&E advocacy, M&E knowledge and skills, and Reporting mechanisms.

The Local Municipality-wide M&E System is a microcosm of the National, and KZN provincial M&E systems with additional features of community-based outcome monitoring system customised to the local municipality context. This system was expected to provide the provincial and national governments with continuous up-to-date information for evidence-based policy-making, policy reviews, planning, budgeting, service delivery and programme implementation at local municipality and ward levels. The system was further envisioned to strengthen bottom-up approach to engage the community during the planning and evaluation processes.

2.1.2. Domestication and reporting of Millennium Development Goals

MDGs are the internationally accepted common global development framework that are guided by targets and indicators. They are the world's time-bound and quantified targets for addressing extreme poverty and worst form of human deprivation in its many dimensions-income poverty, hunger, disease, lack of adequate shelter, and exclusion-while promoting gender equality, education, and environment sustainability.

UNDP defines domesticating the MDGs as 'the process of designing (or adjusting) and implementing local development strategies to achieve the MDGs (or more specifically, to achieve locally adapted MDG targets).' Domestication of MDGs makes local strategies more coherent with national plans and sectoral strategies. It is generally argued that it will be at the local level where real action on the MDGs will be achieved reflecting the actual needs of the community. A local perspective encourages a holistic and integrated approach to address MDG indicators.

It is therefore essential to have an MDG Report as an advocacy tool that can be used to build awareness of development challenges, as well as to encourage government to put in place 'MDG friendly' policies. The report will be a tool with which to monitor progress of development policies. It will also to build alliances both within government, between government and the private sector as well as between government and civil society.

To this end the UNDP in 2009-2010 partnered with Stats SA and the province of KZN to assist in the MDG domestication and reporting process. The 2010 MDG reporting process attempts to make use of the lessons learnt from the earlier MDG reports. Hence, the MDG 2010 project came out with four objectives:

- Sufficient stakeholder participation and ownership
- Trust in the MDGR
- National ownership
- Capacity building

It is intended that by achieving these goals, a MDG Country Report R can be written which can be accepted by all parties and furthermore lead to an enhanced culture of evidence-based decision-making in South Africa.

2.1.3. Advocacy for MDGs during FIFA World Cup 2010

This partnership with the Department of Sports and Recreation was aimed to enhance MDGs awareness among broad spectrum of stakeholders. The MDG advocacy also focused on increasing awareness, access to HIV prevention, treatment and care services especially for the most at risk populations (MARPS). Increasing outreach to disadvantaged schools was also one of the deliverables of the cooperation.

2.1.4. Realizing the Millennium Development Goals through Socially Inclusive Macroeconomic Policies

To address some of the gaps in the achievement of MDGs, UNDP with the collaboration of UNDESA and the World Bank initiated a project entitled 'Realizing the Millennium Development Goals through Socially Inclusive Macroeconomic Policies.' The partnership had two objectives:

- Evaluating and analysing the determinants of achieving the MDGs and generating various strategic options including optimisation of resource allocation for the timely achievement of the MDGs.
- Developing Government capacity on evidence-based policy analysis that would feed into decision making process.

To this end, a dynamic, computable general equilibrium (CGE) model called MAMS (Maquette for MDG Simulations) was used to analyse the budgetary efforts required to achieve the MDGs by taking the relationship between these goals into account within a general economic framework.

2.2. Target partners

The M&E project document identifies the primary target partners as the Provincial Departments, and three municipalities who will benefit from institutionalised M&E systems. National Departments will also benefit from improved reporting as a result of better M&E systems.

Other indirect partners include civil society organisations (CSOs), nongovernmental organisations (NGOs), faith-based organisations (FBOs), and the private sector that can benefit from being part of the overall provincial and municipal M&E system and information sharing among themselves and government entities.

The partners of the MDG domestication process are all government organs, at national, provincial, and local spheres and NGOs that are working on the ground with communities.

2.3. Projects justification

In KZN, like in other provinces, there was widespread failure to address issues of impact or effectiveness and accountability because the focus of Departments and Municipalities was more on activities and outputs, rather than outcomes. M&E capacity assessment was therefore required to identify gaps in their M&E systems in order to institutionalise M&E functions for more effectiveness and accountability in service delivery.

2.4. Purpose of the Evaluation

The purpose of this outcome evaluation is to determine the contribution of the UNDP's assistance in the 'Capacity Assessment of Monitoring and Evaluation in KZN, and Local Municipality-wide Outcome Monitoring System in Nkandla Local Municipality.' The results of the evaluation will be used by all stakeholders to review their M&E capacity against all components of an M&E system to improve service delivery and accountability.

2.5. Evaluation scope and objectives

The scope of the evaluation is to address all the issues regarding the relevance, efficiency, effectiveness, or sustainability of the M&E capacity assessment project in KZN and MDG domestication and reporting. It covers the development intervention from the period of 2007-2010.

The main objectives of the outcome evaluation as detailed in the ToR⁴ (see Annex V) include:

- to analyse and evaluate the effectiveness of the results that the project has been able to achieve against the objectives as stated in the project document;
- to assess the effectiveness of the work and processes undertaken in the project as well as the performance of all the partners involved in the project implementation;
- to assess whether the project is the appropriate solution to the identified problem(s);
- to determine the sub-programme relevance, and sustainability of results and benefits
- to provide feedback and recommendations for subsequent decision making and necessary steps that need to be taken by the stakeholders in order to ensure sustainability of the project outcomes/results;

^{4 4} This ToR includes for the UNV sub-programme in Limpopo and a separate report has been produced.

- to reflect on how efficient the use of available resources has been;
- to document and provide feedback on lessons learned and best practices generated by the project during their implementation;
- to identify unintended results that emerged during implementation (beyond what had initially been planned for);
- to identify other factors that contributed to the outcomes, if any; and
- to identify key adaptations in response to unforeseen circumstances; and
- to ascertain whether UNDP's partnership strategy has been appropriate and effective.

2.6. Deliverables of the evaluation

The deliverable of the evaluation will be a comprehensive analytical report to be submitted to the UNDP M&E Officer for approval and dissemination to relevant parties.

2.7. Organisation and responsibility of the evaluation mission

The evaluation was commissioned by the UNDP Country Office, Pretoria under the supervision of the M&E Officer, Mr Fred Shikweni, and the main coordinator in KZN was the M&E Chief Directorate in the Office of the Premier, Ms Rishila Moonilal. An independent consultant, Dr Faniel Sahle Habtemichael, was appointed to conduct the evaluation and has fulfilled the requirements as stipulated in the ToR.

2.8. Evaluation time frame

The project evaluation was conducted during the end of January 2012 and took 15 working days until the submission of the final report as indicated in Table 4 below.

Table 4. Evaluation time frame.

Main Tasks	Working days required (man days)
Documentation review and data collection for M&E evaluation in KZN (visits to Departments and follow-up telephonic interviews); and MDG related documentation reviews	7
Production of First Draft of the evaluation report	8
Total days	15

2.9. Evaluation methodology

The evaluator developed a methodology that responds to the key issues and the requirements and expectations as set out in the Terms of Reference. This involved formulating an evaluation strategy that best achieved the objectives of the evaluation.

The evidence base for the evaluation included literature review, and interviews, and focus group discussions. The closed-ended questionnaires were used as the basis of discussions while respondents gave ratings to their M&E systems.

The framework of the questionnaire was based on the 12 components of a functional M&E system, namely:

1. Structure and organisational alignment for M&E systems
2. Human capacity for M&E systems
3. M&E partnerships to plan, coordinate, and manage the M&E system
4. M&E plans
5. Costed M&E work plans
6. Advocacy, communication, and culture for M&E systems
7. Routine monitoring

8. Periodic surveys
9. Databases useful to M&E systems
10. Supportive supervision and data auditing
11. Evaluation and research
12. Using information to improve results

The evaluator would have wanted to interview some of the Provincial Department Heads to evaluate M&E from the users side; however, this was not possible due to the constraint of time and difficulty to arrange meeting in short notice.

2.1.1. Documentary review

The evaluator had preliminary meeting at the UNDP Country Office in Pretoria and collected some available project related documents (though not complete) and reviewed them before developing the questionnaire. This included the two project report documents namely, 'Capacity Needs Assessment of Monitoring and Evaluation Systems: KwaZulu-Natal Provincial Departments,' and 'Institutionalisation of Local Municipality-wide M&E and Community-based Outcome Monitoring System in Nkandla Local Municipality'; and minutes from project related meetings.

2.1.2. Sampling approach and data collection

The evaluator had a meeting with the M&E Chief Directorate of the Office of the Premier in Pietermaritzburg (KZN) to discuss about the scheduling of the interviews in the Departments. A contact person was assigned and managed to do the interviews as planned.

No sampling was involved as the evaluator visited all available Departments.

The Departments of Education and Agriculture and Environmental Affairs were not available and later telephonic interview was conducted with the Department of education. All efforts to interview the M&E Unit of the Department of Agriculture and Environmental Affairs was not successful. The telephonic interview with the Public Service Training Academy could not go further as the M&E Unit was not functional. Management of the

Academy was also reached by telephone and email to evaluate the outcome of UNDP's support in capacitating the Training Academy, however, no response could be obtained.

Discussions were conducted with all available M&E staff of each Department, and respondents were further required to score the performance of their M&E Units collectively by consensus.

The evaluation questionnaires were organised along the dimensions of a functional M&E system grouped in themes (see Table 5) as attached in Annexes a) for Departments (closed-ended, Annex III) and b) for M&E Chief Directorate of the Office of the Premier (open-ended, Annex IV). The questionnaire was administered by the evaluator.

Table 5. M&E evaluation theme and respondent categories.

Evaluation Theme	Purpose	Respondent groups
People, partnerships, and planning	To determine the availability of support for data production and data use, i.e. enabling environment for M&E to function	Staff of Departmental M&E Units and M&E Unit of the Office of the Premier
Collecting, capturing and verifying data	To evaluate the capacity of data management processes	
Using data for decision-making	To determine management's readiness to use information generated by the M&E system for decision making	

2.10. Limitation of the evaluation

The following limitations that are critical to the quality of the evaluation are identified:

- The main challenge during the evaluation process was the unavailability of project documents, and MoUs. It was not possible to obtain all required documents for the evaluation from the Country Office of the UNDP and it has constrained the scope of the

evaluation, especially for the intervention in capacitating the KZN Provincial Nerve Centre and KZN Public Service Training Academy as mentioned in the ToR.

- The fact that the M&E capacity assessment reports of 2009 and 2010 had not been disseminated to the Departments and Municipalities on time, also made it difficult to evaluate the outcome of the intervention.
- It was not possible to obtain permission from Stats SA (as the lead Department for the MDG domestication) within the evaluation timeframe to conduct interviews in the National Departments.
- The project 'Realising the Millennium Development Goals through Socially Inclusive Macroeconomic Policies' has not been implemented beyond the production of the report. Hence, there is no tangible outcome to be evaluated; it can only be evaluated once translated into practice.
- The project for the KZN MDG domestication process has not been finalised, and can be evaluated only after its completion.

Section III: KEY DELIVERABLES of the INTERVENTIONS

UNDP's interventions in capacity development in the areas of M&E and MDGs have produced some outputs envisioned to result in development outcomes. This section presents some highlights of the key deliverables (project reports and their key findings and recommendations) that lead to the outcomes.

3.1. Monitoring and evaluation

During the 2009 M&E capacity assessments it was found that most of the M&E units of the Provincial Departments were only 2-3 years old as shown in Table 6. This was with the exception of the Department of Transport which had been in existence since 2000.

Table 6. M&E units in November 2009.

Year of establishment of M&E units and available staff (November 2009)			
Provincial Departments and Municipalities	Year M&E Unit established	Number of key staff available	Percent of departmental budget
Agriculture & Environmental Affairs	2006	3	0.23
Arts & Culture	2007	5	0.6
Community Safety & Liaison ⁶	2004	10	6
Economic Development & Tourism	2006	1	0.3
Education	2007 ⁷	2	0.01
Health	2007	6	?
Human Settlements	2002 ⁸	1	0.03
Local Government & Traditional Affairs	2007	2	0.9

⁵ There is only 1 manager for corporate strategy

⁶ Its M&E is only for monitoring the Police Service

⁷ But it featured in the organizational only in 2008

⁸ Staff were in and out up to 2009

Year of establishment of M&E units and available staff (November 2009)			
Provincial Departments and Municipalities	Year M&E Unit established	Number of key staff available	Percent of departmental budget
Public Service Training Academy	2008	1	5
Public Works	2009 ⁹	0	0
Social Development	2008 ¹⁰	1	1
Sports & Recreation	2009	1	0.6
Transport	2000	3	0.1
Treasury ¹¹	-	-	-
Sisonke District Municipality ¹²	-	1	0
Msunduzi Local Municipality ¹³	2003		-

The Provincial M&E Capacity Assessment identified M&E capacity gaps that include lack of: baseline data; localised MDGs; M&E frameworks and plans; integrated M&E systems to track program inputs and outcomes (focus is on outputs); strategic positioning of M&E units; cooperation between planning and M&E units; mechanisms for community involvement in M&E; public-private-partnership for M&E development; harmonised reporting mechanisms (departments working in silos); sufficient budget; enforcement for timely submission of performance reports; data quality audit; trust in the M&E system; demand and usage for M&E reports; adequate skills in M&E functions; systems approach to M&E; and M&E units (there is no internal M&E unit in the Department of Community Safety and liaison, and Department of Treasury).

Consequently, the Provincial M&E Capacity Assessment came out with key recommendations that include: substantially increasing demand for M&E, elevating M&E

⁹ Policy was approved in 2009, but no staff is assigned so far

¹⁰ It was available on paper in 2007

¹¹ It monitors other provincial departments, it does not have M&E unit for its internal activities.

¹² It does not have M&E unit per se, but some of its units have performance management functions, there is no dedicated unit performing the activity.

¹³ It does not have M&E unit per se, it is a Performance Management Unit that is functioning as M&E.

awareness, repositioning of M&E in the organizational structures to strengthen the role of M&E, increasing the quantity and quality of M&E supply, allocating appropriate budget to M&E units, establishing baseline data and indicators before any intervention, domesticating MDGs and mainstreaming in the Provincial Growth and Development Plan, strengthening M&E stakeholder partnerships, training politicians on M&E, and developing accredited M&E curriculum and building in-house capacity for training (Training Academy).

The Rapid Assessment for the Local Municipality-wide M&E and Community-based Outcome Monitoring System also identified the absence of M&E unit in the Municipality as the main challenge. The information system in the Local Municipality was quite fragmented and data from its departments and government organs operating in the municipality did not efficiently flow to one central system. NGOs in the municipality also did not regularly report to the Local Municipality. Paradoxically, the Local Municipality did not own the data in its own jurisdiction and there was a challenge for the optimal use of information for decisions.

To address the foregoing challenges the report therefore recommended that the following minimum requirements ought to be put in place: establishing M&E Unit and place it in a strategic position to maximise information usage for planning, resource allocation and decision making; committing resources sufficient enough to run the M&E Unit; requiring all government organs, and CSOs operating in Nkandla to regularly report to the Local Municipality on the indicators set in the work plans; conducting service delivery satisfaction surveys; and domesticating and mainstreaming MDGs in the Integrated Development Plans (IDPs).

These recommendations were expected to be feasible because the environmental situation for M&E was changing. The availability of synergistic legal framework and policies, and the adequacy of political support made it conducive to institutionalise M&E in the country and the province. The push for M&E from the Presidency, KZN Premier and MECs, and technical support from the UNDP also laid the ground for huge potential to institutionalise M&E in the Provincial Departments and Local Municipalities.

3.2. MDG domestication and reporting process

The MDG domestication and reporting process was led by the National Coordinating Committee (NCC) that operated through various other structures as shown in Table 7.

Table 7. Governance of the MDG 2010 process.

Governance structure	Main functions
National Coordinating Committee (NCC)	Provide the overall policy direction and steer the MDGs domestication and reporting process
Sectoral Working groups ¹⁴ (SWGs)	<ul style="list-style-type: none">• Facilitate the MDGs domestication of the targets and indicators to the South African context• Ensure the credibility of the data• Prepare the various drafts and final sector reports• Ensure that stakeholder views are integrated into a final draft
Technical Working Committee (TWC)	Provide leadership and support in the preparation, facilitation, access to data/information and ensure credibility of the MDGR-2010 process
The Report Drafting Team (RDT)	Harmonise and consolidate all sectoral reports into the main report in line with international standards and core values
MDG Secretariat (Secretariat)	Manage the MDG domestication and MDGR-2010 project

At a national level, in partnership with the UNDP, Stats SA hosted a series of consultative and methodological workshops during the MDGs domestication and reporting process (see Table 8).

Table 8. National consultative and methodological workshops and meetings.

Workshops and meetings	Objectives
National methodological workshop	To create a consultative platform for stakeholders discuss on how to achieve domestication of MDGs in the country in a way that reflects local context by ensuring that globally designed targets and indicators are in line with the local reality. To encourage stakeholders engagement and participation in the MDGR-2010 preparation process that ensures country ownership.
Inaugural SWGs Workshop	To develop common understanding on the process that need to be followed in the domestication of the MDGs and preparation of the MDG report for 2010 by each assigned SWG, and reach agreement on the key deliverables
NCC (meeting)	To give feedback to members of the NCC on progress around data collection and computation of indicators by SWGs
Validation workshop	To allow the SWGs and other stakeholders to interrogate the proposed draft of Sectoral MDG reports
NCC (meeting)	To present the Sectoral MDG reports
NCC (meeting)	To validate the MDGR-2010
Cabinet meeting	To present the MDGR-2010-2010

Moreover, at provincial and regional levels similar methodological workshops took place that consolidated participatory processes as shown in Table 9.

Table 9. Provincial and regional methodological workshops.

Place	Province represented
Ballito (Durban)	KwaZulu-Natal
Somerset West	Western Cape, Eastern Cape, Northern Cape
Nelspruit	Mpumalanga, Limpopo
Bloemfontein	Free State, North West, Gauteng

As the result of the domestication process in these workshops the following MDGs were domesticated and added to the Official list of the Global indicators of the MDGs (see Table

10). These indicators were reported upon in the Country MDG Report of 2010 which was considered as widely consultative process.

Table 10. Domesticated Goals during the MDG domestication process.

Goal 1	Goal 2	Goal 3	Goal 4	Goal 5	Goal 6	Goal 7	Goal 8
Incidence of severe malnutrition in children under 5 years of age (rate per 1,000)	Adjusted net enrolment ratios primary education, male and female		Immunisation coverage under one year of age	Use of modern contraceptive methods by sexually active women	Number of households sprayed with insecticide	Proportion of land area covered by forest (natural forests, savannah, woodlands, Albany Thicket, commercial Plantations)	Current account balance as percentage of GDP
Percentage children below minimum level of dietary energy consumption	Completion rate of primary Education for 18 year olds		Diarrhoea incidence under 5 years of age		Percentage of people that received an HIV test in the past 12 months and know their status	Number of legally designated landfill sites ⁶⁹	Official development assistance received as percentage of GNI
Gini Coefficient (including salaries, wages and social grants)			Pneumonia incidence under 5 years of age				Official development assistance given as percentage of GNI
Proportion of							Inflation

Goal 1	Goal 2	Goal 3	Goal 4	Goal 5	Goal 6	Goal 7	Goal 8
households with access to free basic services (water, electricity, sewerage & sanitation, solid waste)							n rate (CPI)
Percentage of indigent households receiving free basic services (water, electricity, sewerage & sanitation, solid waste)							Gross domestic expenditure on R&D as percentage of GDP
Number of beneficiaries of Income Support							

In addition, UNDP contracted three consultants to write an Addendum to the MDGR-2010 that could be an integrated report to fill some of the potential shortfalls of the MDGR-2010. The Addendum Report focused on the:

- Implications of food/fuel crises on South African economy and the achievement of MDGs,
- Impacts of the global financial crisis on the realization of the MDGs (with special focus on poverty, education, health and environment) by 2015, and
- Implications of climate change on South Africa and achievement of MDGs,

that did not get detailed coverage in the MDGR-2010.

Furthermore, KZN was expected to be a model for the production of Provincial MDG Report-2010. As the Report had to be preceded by the domestication process¹⁵, upon the assistance from the UNDP, the Office of the Premier appointed a service provider to domesticate the MDGs with similar procedures as followed by the National Domestication process.

However, the service provider did not complete the assignment as per the requirements of the ToR. Among others, SWGs were not constituted and consultative domestication process was not done. Hence, its domestication report was not accepted by UNDP and Office of the premier and is still on hold.

3.3. Advocacy for MDGs during FIFA World Cup 2010

UNDP in collaboration with other UN agencies organised a high-level advocacy on MDGs during the FIFA World Cup 2010 that involved renowned African artists. In particular, the creation of the MDG song, '8 Goals for Africa,' represents the collaboration of a variety of UN agencies. The joint initiative to create and launch the song supports the objective of the Secretary-General and the entire UN system to promote the Millennium Development Goals in the five year countdown to 2015 when they are expected to be achieved.

3.4. Realising the Millennium Development Goals through Socially Inclusive Macroeconomic Policies

The Draft Project Report for Realising the Millennium Development Goals through Socially Inclusive Macroeconomic Policies was finalised in November 2010 and presented to representatives of National Departments of the Government. The project came out with recommendations that include Government spending models in order to efficiently achieve the MDGs. And that was the end of the project, i.e. the recommendations were not disseminated and implemented.

¹⁵ KZN was part of the overall National domestication process, and in particular a domestication workshop was conducted in the Province.

Section IV: Key Evaluation Results

This section presents the outcomes of the project deliverables mentioned in the previous section.

4.1. *Monitoring and Evaluation*

4.1.1. M&E Unit of the Office of the Premier (Provincial M&E)

4.1.1.1. General M&E functions

The Monitoring and Evaluation Unit of the Office of the Premier was constituted in 2005 to provide key information for strategic decision-making and better government service delivery based on the Government-wide Monitoring and Evaluation System (GWM&EF) that will collect, analyze and synthesize service delivery data. The mandate of the M&E Unit in the Office of the Premier includes monitoring and evaluating the performance of government against set goals, targets, and equitableness of resource allocation, effectiveness and efficiency in service delivery across Provincial Departments and Local Governments.

The M&E Unit utilizes the Quarterly Performance Reporting Model to report on planned activities that is further guided by the targets in the Annual Performance Plan. The Monitoring & Evaluation Unit has created monitoring tools to promote accountability in terms of delivery. This has also enabled the Unit to track performance per functional area and to identify challenges and appropriate interventions and control measures.

4.1.1.1.1. *The status of the M&E Unit against components of an M&E system*

Table 11 shows brief assessment of the M&E Unit against the 12 M&E components of the functional M&E system.

Table 11. General overview of the status of the Provincial M&E Unit in the Office of the Premier.

Structure and organisational alignment for M&E systems	The M&E Unit is not located strategic enough to directly report to the Director General as it would ideally be. Currently it is reporting to the Deputy Director General (see Figure 4). The organisational structure also doesn't have provision for more staff.
Human capacity for M&E systems	<p>There is a staffing challenge in the Unit as it requires 20 additional members in order to function optimally. There is also an approved post for a Deputy Director for evaluation that is still vacant.</p> <p>To alleviate M&E staff shortages in the Province, the Provincial Public Service Training Academy has been tasked to develop modules on M&E.</p>
M&E partnerships	<p>Apart with the Provincial Departments there is partnership with including State Information Technology Agency (SITA), SAS, and UNDP to develop M&E systems.</p> <p>With Provincial Departments there is regular and issue-based interaction for information sharing.</p>
M&E Plans	There is comprehensive annual M&E plan with appropriate budget.
Costed M&E Work Plans	The M&E plan is costed.
Advocacy, communication, and culture for M&E systems	The premier is a champion for M&E. there are some advocacy and communication activities though not systematic.
Periodic surveys	There are directives to Departments to do citizen satisfaction surveys. Report cards are also planned to start in 2012.
Routine Monitoring	<p>There are standardised data collection and reporting templates for the M&E system.</p> <p>There are mechanisms for having the same indicator for outputs and outcomes.</p> <p>It regularly reports to the Department of Performance M&E but not to other national Departments. On the job creation it reports to the Presidency, and Coordinating Council every six weeks.</p>
Databases useful to M&E systems	The electronic database system is one of the state-of-the-arts in the country. It is the first of its kind in the country's M&E system. See section 4.1.1.2

Supportive supervision and data auditing	Given the challenges of human capacity, supervision and data auditing has not been done as required though there are thorough checks when capturing into the database system.
Evaluation and Research	There is shortage of capacity and evaluations are outsourced.
Using information to improve results	There is sufficient data use as management mainly refers to its reports for planning and decision making. The Unit is satisfied by the regular feedback it gets from its top management.

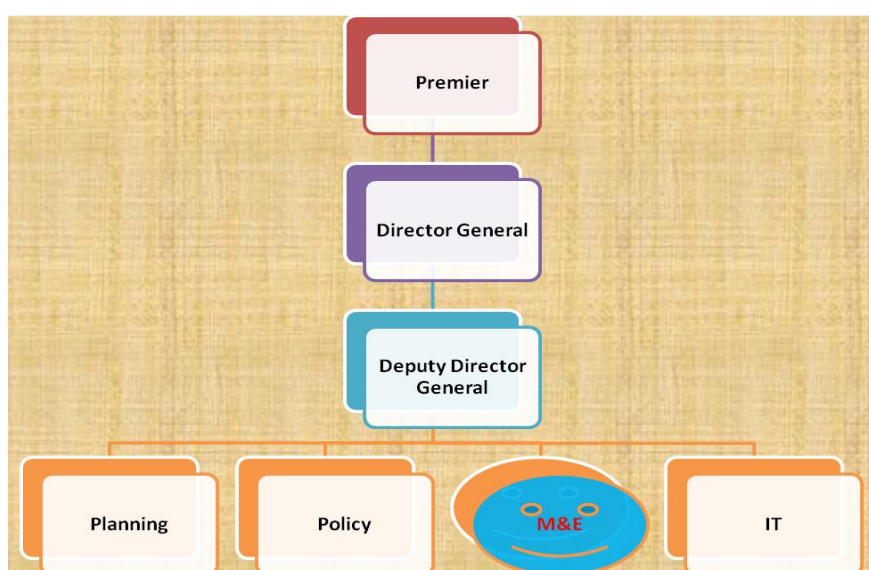


Figure 4. M&E Unit’s position in the organisational structure of the Office of the Premier.

4.1.1.2. Provincial Nerve Centre

This section focuses on the ‘Databases for M&E’ component of the M&E system.

To automate the functions of the M&E Unit and generate information for the Provincial Government, the Office of the Premier launched the Provincial Nerve Centre (PNC) in August 2008. The PNC is expected to provide an automated and integrated information management system complete with reporting and analysis, dashboards and GIS mapping to monitor and evaluate government’s key performance indicators and to promote transparency and accountability.

The Provincial Nerve Centre project is the main information management system utilised by the Office of the Premier to provide a complete and comprehensive view of the delivery performance and effectiveness of public sector services. Furthermore, a programme approach in spatial contexts has been taken by the Chief Directorate (M&E) to comply with the MTSF and the Green Paper on National Strategic Planning (2009). The M&E system ensures that indicators aggregated to geographical areas at local district level, enable localised planning and that specific needs of communities are considered in service delivery (Office of the Premier, 2011)¹⁶.

4.1.1.2.1. Conceptual Framework of the Provincial Nerve Centre 17

- The initiative to establish a Provincial Nerve Centre in KZN was conceived in 2004.
- Moving the Province on the e-governance road and consolidating the information technology infrastructure.
- The main aim of the PNC was to provide an automated and integrated information management system that will help in monitoring and evaluating government service delivery in KwaZulu-Natal.
- In order to fulfil its oversight role the Office of the Premier, the Nerve Centre is being used to store data secured from several data sources such as Departments' administrative data, Stats SA data, and PERSAL for performance evaluation.
- Provincial and Local Nerve centres will be integrated providing for citizenry feedback in respect of government services pointing to continuous flow of information bottom up and downward.
- Feedback and flow of information is particularly important if reflective learning is to be valued in a Performance M&E system.
- Updating Progress On-line: users can enter all M&E project data and submit project progress reports on a regular basis directly through the PNC.

¹⁶ Office of the Premier. 2011. Provincial Government Province of KwaZulu-Natal. Annual Report, 2010-2011.

¹⁷ Moonilal, R., Behari, N. and Tshishonga. 2009. Improving Public Sector Performance Through Monitoring & Evaluation KwaZulu-Natal Provincial Nerve Centre Case Study. Presentation to 10th Annual SAAPAM Conference 2009.

The vision of the Nerve Centre is to provide a complete and comprehensive view of the delivery, performance and effectiveness of public services across the Province, as Provincial Government seeks to fulfil its detailed mandate through the Programme of Action by enhancing the Province's ability to ensure that public sector goals, objectives and development outcomes are achieved through information technology (IT) enabled systems driven by the Office of the Premier in partnership with SITA.

4.1.1.2.2. Key Objectives of the Nerve Centre¹⁸

- Enabling a single view of the Province for the Premier. This single view will transcend departmental boundaries and break down the silo approach to information management.
- Bridging the gap between strategic objectives and the execution on these objectives. The SAS Enterprise Intelligence Platform (EIP) with its various components will help to link objectives to tangible outcomes, thereby improving service delivery.
- The provision of quality reports that will facilitate faster decision making and thereby improve internal and external stakeholders.
- Enabling the OTP to quantify and measure Departmental performance and ensure that current service levels are managed and achieved.
- Providing insight into departmental improvement and integration opportunities, by providing trend analysis on the operational data marts.
- Creating a powerful decision-support tool for high level executives providing a complete workspace with one-click access to up-to-date information and simultaneous viewing of all provincial analytical outputs being displayed through multi level reports using graphics, charts and maps.
- Decisions would be made in holistic context to drive enterprise-wide performance.
- Building organisational intelligence and Knowledge Management for greater social and ethical accountability.

¹⁸ Moonilal, R., Behari, N. and Tshishonga. 2009. Improving Public Sector Performance Through Monitoring & Evaluation KwaZulu-Natal Provincial Nerve Centre Case Study. Presentation to 10th Annual SAAPAM Conference 2009.

- Applying robust data verification measures in partnership with Stats SA.
- Whole suite of M&E applications integrated on the Nerve Centre.

The Nerve Centre will assist the Provincial Government to identify why certain projects did not achieve their desired outcomes. It will also assist in determining where future services should be directed and measures to drive improvements in all sectors. Furthermore, the Nerve Centre will enable the Premier to view progress of all programs to reduce poverty and alert to any issues that crop up. For the data architecture, see Figure 5.

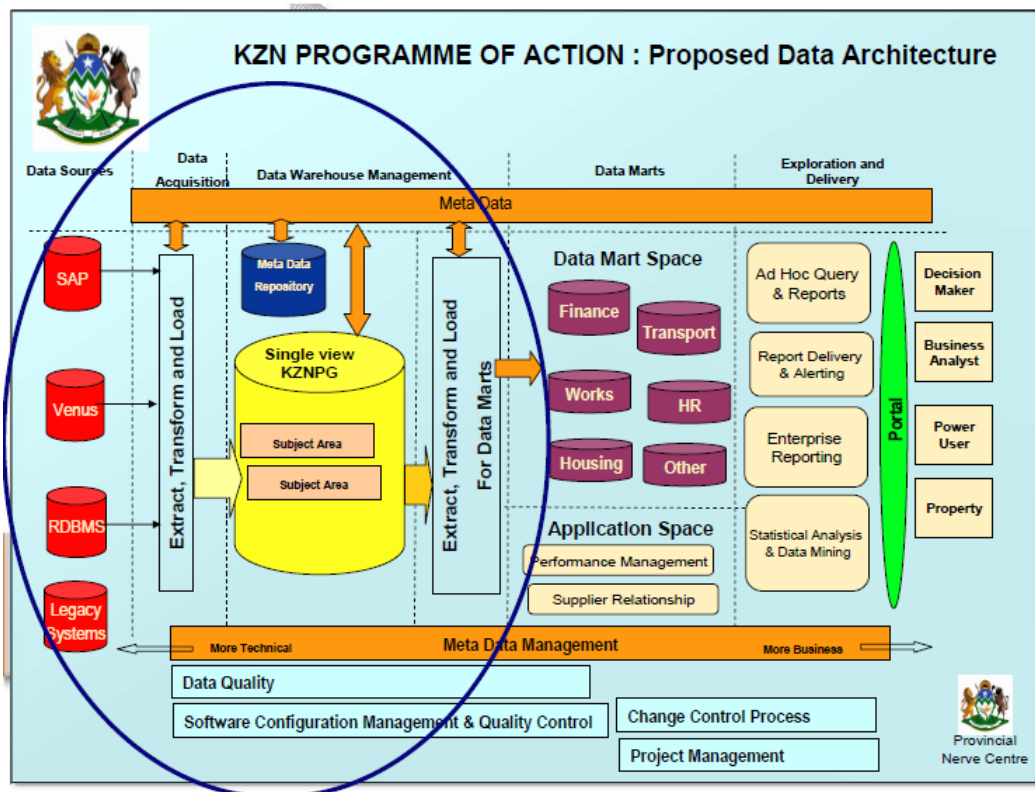


Figure 5. : Proposed data Architecture for the Nerve Centre.

Source: Moonilal, R., and Emslie, S. 2010. The KZN Province's Digital Nerve Centre.

According to the Office of the Premier the Nerve Centre has been developed in phases and it is in its final stages of completion. The development milestones of Phase I of the project were completed in 2009/10 and signed-off. This phase included poverty modelling and a vast range of sector analysis, including the finalised socio-economic stance for KZN, creating a robust poverty watch for the province. Phase II, which includes a Project Management

System (PMS) for the Premier's priority programme, the 'Flagship Programme', was initiated. Subsequent Phases include linking to outcome management system, the 12 National Outcome reporting, and establishing District Nerve Centres by 2013.

SAS is very compatible and interfaces with Excel and Access, and can take information from data mart. The infrastructure in terms of the necessary hardware and software has already been set up installed and is expected to be running fully by September 2012. SAS reports extracted from the Nerve Centre may be simple Online Analytical Processing-based (OLAP¹⁹) reports, for example: how many building projects are underway in a province, grouped by region, within specific time frames. Other reports may answer more complex questions such as; what are the characteristics of the projects behind the schedule?

OLAP dashboards are specifically designed to facilitate ad hoc analysis by providing quick, easy access to data from the original report. The Dashboards provide important indications and vital signs of the health and performance of the enterprise. For the Premier, and then downwards through and across organisational and information hierarchies, Dashboards and Scorecards will provide graphic quickviews of the state of the Province (see Figure 6).

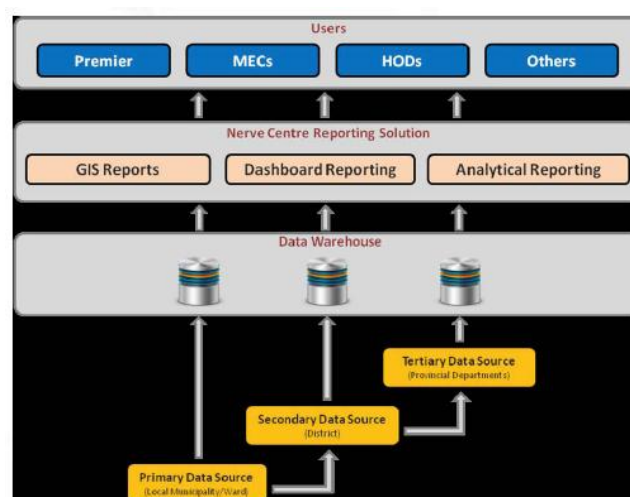


Figure 6. Nerve Centre reporting interface.

¹⁹ An OLAP dashboard, also referred to as a business intelligence, or BI dashboard is a visual display with two or more reports and/or graphs on a single computer screen. OLAP dashboards are used by all levels of management to get an overall picture of various aspects of the business in a single, concise format.

Other benefits of the Nerve Centre include an enhanced citizen focus in the delivery of government services, as well as the strengthening of government-to-citizen, government-to-employee, government-to-business, and government-to-government relationships. In addition, monitoring and evaluation in the province will be strengthened through the use of Geographical Information Systems (GIS). Taken into account these developments, Gydien (the Vice President for Africa and the Middle East, SAS²⁰ said, 'KwaZulu-Natal (KZN) is a province in South Africa that is taking change seriously.'

Furthermore, according to the outlook of the Provincial Nerve Centre (2010 -2014), the SAS system will include:

- a) Emphasis on accountable delivery
- b) Knowledge Based approaches dependent on change behaviour, attitudes and skill
- c) An improved credible data architecture interconnecting Local, Provincial and National spheres using shared service concept
- d) Establishing competency centres linked to war rooms at ward level
- e) Linking planning, monitoring & coordination
- f) Improved public accountability through citizen interactions making citizen scorecard a robust instrument

4.1.1.2.3. Achievements

On its overall assessment the M&E Unit of the Office of the Premier acknowledges that it is well underway towards the achievement of its stated objectives of M&E functions and having an automated M&E system. All achievements cannot be listed but the following indications can highlight some:

- The M&E Unit of the Office of the Premier has been instrumental in coordinating M&E functions in the Province. Through its M&E Forum it plays a leading role to institutionalise M&E system in the Provincial Departments. It created a platform

²⁰ Gydien, R. South African province fights poverty with business analytics.

where Departmental M&E Units share information and assisted to develop standardised reporting templates.

- In partnership with UNDP it facilitated M&E capacity assessment in the Provincial Departments and two municipalities (District and Local). It also initiated, with the support of UNDP, institutionalisation of Local Municipality-wide M&E and Community-based Outcome Monitoring System in Nkandla Local Municipality.
- In its SAS system the Nerve Centre has created templates for monitoring its programmes including the 12 National Outcomes and is populating them with data from the Departments. It has developed outcome indicators and refinement of the indicators is well underway.
- The interface with Information Technology (IT), i.e. establishment of the Nerve Centre, has made the M&E Unit highly visible in the country and attracted 1000 visitors per year from other provinces. It can be presumed that other provinces are watching closely the developments and sustainability of the system before making decisions to follow suit.
- The Chief Director of the M&E Unit had been invited by SAS America and made presentation in the USA about the Nerve Centre's contribution to public service.
- From the First Quarter of 2012 Members of Executive Council (MECs) will have access, but only to their Departments' portfolio.
- The M&E Unit is busy populating data from as back as the year 2000 as its baseline mainly from secondary sources like Statistics South Africa in order to measure progress against interventions. As a trial the Nerve Centre has populated data since 2001 from Stats SA in the system and is busy linking to GIS. Currently the M&E Unit is busy collecting baseline data including from municipalities for the 12 National Outcomes.
- The Nerve Centre is using GIS as an M&E function that influenced Departments and Municipalities to follow suit.

- Specific analysis has been produced by the business intelligence (BI) system on the Outcome Indicators derived from the Electoral Mandate expressed in the Medium Term Expenditure Framework.
- A number of statistical analysis was completed on the Nerve Centre using multivariate analysis, regression and factor analysis showing multidimensional nature of poverty.
- The process evaluation of the Flagship Programme has been completed and fully functional for the collection of household data and tracking of individual household interventions province-wide.
- The Programme of Action has been captured on the Nerve Centre. The Office of the Premier has upgraded the Nerve Centre in terms of software licences to facilitate the analysis of household data and interventions on service delivery programmes.
- Many public sector officials have capacitated on M&E.

4.1.1.3. Provincial Public Service Training Academy

The KwaZulu-Natal Public Service Training Academy was launched²¹ in July 2007 and has been accredited as a delivery and assessment site by the Public Sector and Education and Training Authority (PSETA). The Public Service Training Academy serves as the centre of human capability development, producing public servants who are skilled, productive and dedicated to serving the public in the province. The core business of the Academy will be research, internal consultancy and training.

The Provincial Public Service Training Academy is an institutional mechanism aimed at ensuring a co-ordinated and structured approach to human resource development in KZN. It is a dedicated Unit in the Office of the Premier, whose exclusive function is to provide a specialised training and organisational development service to the officials of the KwaZulu-Natal Provincial Administration. Furthermore, it is a catalyst for change and acts to inspire new behaviour and stimulate growth. It will empower individuals with critical thinking and

²¹ <http://www.info.gov.za/speeches/2007/07062710151001.htm>

decision making skills and build a responsible caring public servant, one that displays behaviour and values necessary for enhanced service delivery.

The Academy is responsible for the following key functions:

- Skills planning, compliance and monitoring
- Research and organisational development
- Generic and functional training
- Quality assurance
- Knowledge management
- Curriculum and learning material development
- Adult basic education and training.

The purpose of the Provincial Public Service Training Academy is to facilitate, coordinate and integrate human resource development in the province and provincial administration. It also develops the capacity of public servants through the delivery of generic, transversal, leadership and management development training programmes.

The learning and development interventions will cover five core areas, namely:

- People Management and Development
- Change and Service Delivery Improvement
- Governance
- Management and Leadership
- General Administration

4.1.1.3.1. Library Service

The Library and Resource Centre, located at the Academy, offer LIBWIN—a system that assists in locating all library materials at the Academy including audio-visual materials as well as SABINET Databases, a package of databases that contain online journals in various topics and thesis.

According to the Office of the Premier (2011) the Training Academy has completed the National Skills Fund (NSF) project which involved the training of 597 learners on apprenticeships, learnerships, and skills programmes in the manufacturing and engineering, transport and logistics and construction sectors, including the National Youth Service (NYS) programmes. In reshaping government's services and knowledge management in the Province, the efforts of the Provincial Training Academy and the Provincial Nerve Centre are noteworthy. Efforts in strengthening capabilities in the Public Sector have been within target.

4.1.1.3.2. Monitoring and evaluation

In 2009 the Public Service Training Academy had an M&E Unit called Compliance, Monitoring and Impact Assessment with one staff member but did not have policy guidelines for its operations. It was located at a low level of the hierarchy and reported to the Skills Planning Unit. Currently, the M&E Unit is not functional, and Figure 7 refers to 2009 organogram that depicts the position of M&E.



Figure 7. M&E Unit's position in the Training Academy's organisational structure.

4.1.2. Departmental M&E Units and Msunduzi Local Municipality

This section deals with the Provincial Departmental and Msunduzi local Municipality M&E Units against the 12 components of a functional M&E system.

All 'Response options' in all Tables of section 4.1.2 do not include Office of the Premier (because discussed in the previous section), Training Academy (also discussed in the previous section), Treasury (do not have M&E Unit), Agriculture and Environmental Affairs (did not participate in the assessment), and Msunduzi Local Municipality (M&E components do not equally apply). The responses from Community Safety & Liaison refer to their external M&E.

The 'Response categories,' therefore, refer only to 11 Provincial Departments: a) Arts & Culture, b) Community Safety & Liaison, c) Economic Development & Tourism, d) Education, e) Health, f) Human Settlements, g) Local Government & Traditional Affairs, h) Public Works, i) Social Development, j) Sports & Recreation, and k) Transport.

4.1.2.1. Structure and Organisational Alignment for M&E Systems

This aspect of the assessment tried to determine if: the position of M&E Unit in relation to other Units in the department is strategic enough to contribute to planning and decision making, there are incentives to conduct M&E, there are vacancies, job descriptions of M&E staff are available, there are departmental commitment developing and sustaining M&E systems, written mandates to enable the M&E Unit to manage the M&E system are in place, and diagnosis has been made for the M&E system (see Table 12).

Table 12. Responses to 'Structure and organisational alignment for M&E Units.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision making?	4	2	4	1	0	11
2.	Are there incentives for M&E system	1	2	5	3	0	11

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
	performance?						
3.	Do you have vacancies in the M&E post?	2	2	7	0	0	11
4.	Is there Job descriptions for all M&E staff?	7	2	2	0	0	11
5.	Is there a defined career path for the M&E staff?	2	3	3	3	0	11
6.	Is there departmental commitment to ensure M&E system performance?	2	3	5	1	0	11
7.	Are there written mandates from the department for coordinating and managing the M&E system?	0	8	3	0	0	11
8.	Have you performed detailed diagnosis of M&E systems in the department in the past two years?	2	2	3	4	0	11
Total²²		20	24	32	12	0	88
%		23	27	36	14	0	100

The overall results of the assessment of the participating Departments in this component of the M&E system are not satisfactory. Majority of the Departments (36%) feel that it is only partly fulfilled, and 24% indicate that it is mostly fulfilled, while 23% are fully satisfied. Minority (14%) indicated that the contributors to the optimal functioning of the M&E Unit do not exist at all. They argue that their M&E Units are not strategically positioned to influence decision-making, there are no incentives for the M&E system to perform as required, staff do not have clear career path in the M&E positions in their Departments, there is lack of commitment by management to M&E, and there is no sufficient diagnosis to

²² All 'Response options' in all Tables of section 4.1.2 do not include Office of the Premier (discussed in the previous section), Training Academy (discussed in the previous section), Treasury (do not have M&E Unit), Agriculture and Environmental Affairs (did not participate in the assessment), and Msunduzi Local Municipality (M&E components do not equally apply). Responses from Community Safety & Liaison refer to their external M&E.

improve the M&E system. Majority of the Departments (7 out of 11) saw the challenge that the M&E Units have either partly or not at all conducted diagnosis of their M&E system. As indicated in Table 13, there is no noticeable change in most Departmental M&E organisational structure when compared to 2009.

Table 13. M&E Position in organisational structure when compared to 2009

Provincial departments and municipalities	M&E Position in organisational structure when compared to 2009
Agriculture & Environmental Affairs	?
Arts & Culture	No change
Community Safety & Liaison ²³	There is movement towards change
Economic Development & Tourism	No change
Education	Worse
Health	No change
Human Settlements	Worse
Local Government & Traditional Affairs	No change/ Worse
Public Service Training Academy	Not functional
Public Works	Improved
Social Development	No change
Sports & Recreation	No change
Transport	No change
Treasury ²⁴	No change
Msunduzi Local Municipality ²⁵	Improved

The details of the 'Structure and organisational alignment for M&E systems' of every Department are described below. N.B. all explanation in section 4.1.2 refer to Table 12.

²³ Its M&E is only external, monitoring the Police service

²⁴ It monitors other provincial departments, it does not have M&E unit for its internal activities.

²⁵ It does not have M&E unit per se, it is a Performance Management Unit that is functioning as M&E.

4.1.2.1.1. Positioning and alignment of Provincial Departments' M&E Units²⁶

a) Arts & Culture

The Performance Management Unit which was established in 2007 does the functions of M&E in the Department. The Performance Management staff fully agree that the Unit is strategically located in the organogram. However, as is seen in Figure 8, the Unit's position is low in the hierarchy reporting to Corporate Strategy which in turn reports to Corporate Governance. The location of the Performance Management Unit still remains as it was in 2009.

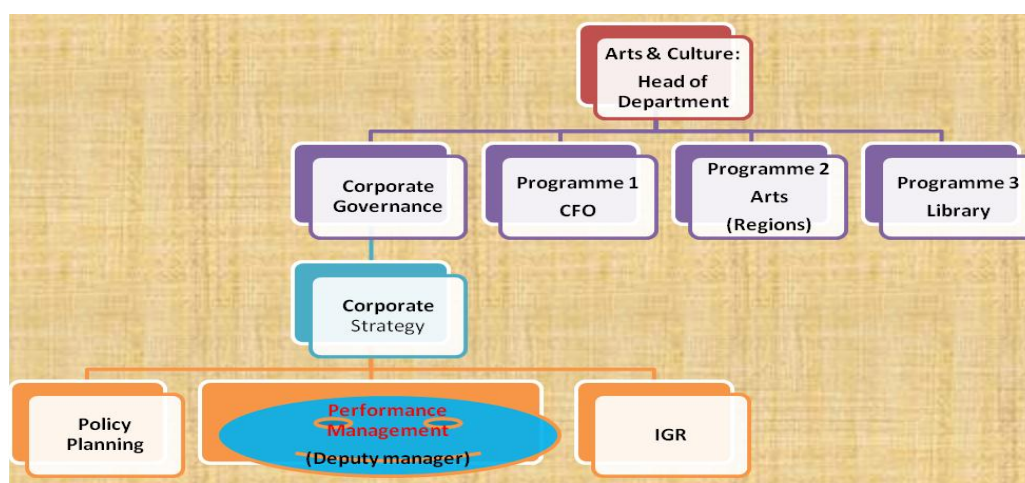


Figure 8. M&E Unit's position in the organisational structure of the Department of Arts and Culture.

In its current position the M&E staff did not perceive any problem in the M&E position because they acknowledge that there is a healthy environment where they usually participate in every management meetings to present M&E reports (see Table 14). This is done irrespective of where M&E is located since there are policies that empower the M&E Unit to collect information from all programmes of the Department. However, the potential challenge with this view is that unless the participation has an institutional basis it may not

²⁶ The organisational structures shown in this paper are meant to show only the positions where M&E Units are located and not the complete structure of the Departments.

be sustainable and may fade away with the change of current top management. It is therefore better to have a structural and institutionalised backing for the required role of M&E that does not depend on the good wishes of incumbents.

The positive aspect of this M&E position is that it reports to the same management as the Planning Unit that can facilitate the use of information for planning.

Table 14. Perception to the position of M&E Unit in the organisational structure of Arts and Culture.

Question	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?	✓				

b) Community Safety & Liaison

The core function of the Department of Community Safety and Liaison is monitoring the Police Service of the Province. As in 2009 the Department did not still establish an M&E Unit for its internal monitoring. The only change it introduced regarding external monitoring was that it established branches in districts in October 2011.

The Department has planned to have internal M&E and has proposed to create two posts as indicated in Figure 9.

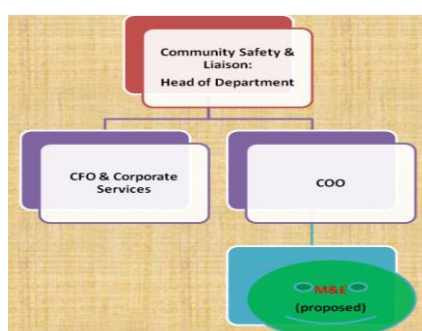


Figure 9. Proposed M&E Unit's position in the organisational structure of the Department of Community Safety and Liaison.

The M&E staff feel that the proposed position of the internal M&E is fully acceptable (see Table 15). However, the proposed position would be more optimal if it was structured to report directly to the Head of Department. The higher the hierarchy of the M&E the better leverage it can have in data management processes.

Table 15. Perception of the position of M&E Unit in the organisational structure of the Department of Community Safety and Liaison.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?	✓				

c) Economic Development & Tourism

The M&E Unit was established in 2006 and falls under the Chief Directorate of Economic Planning. The fact that the Planning, Research and Development, and Knowledge Management, and M&E Units report to the same Chief Directorate of Economic Planning, the usage of the M&E reports for planning purposes stands better chance (see Figure 10).

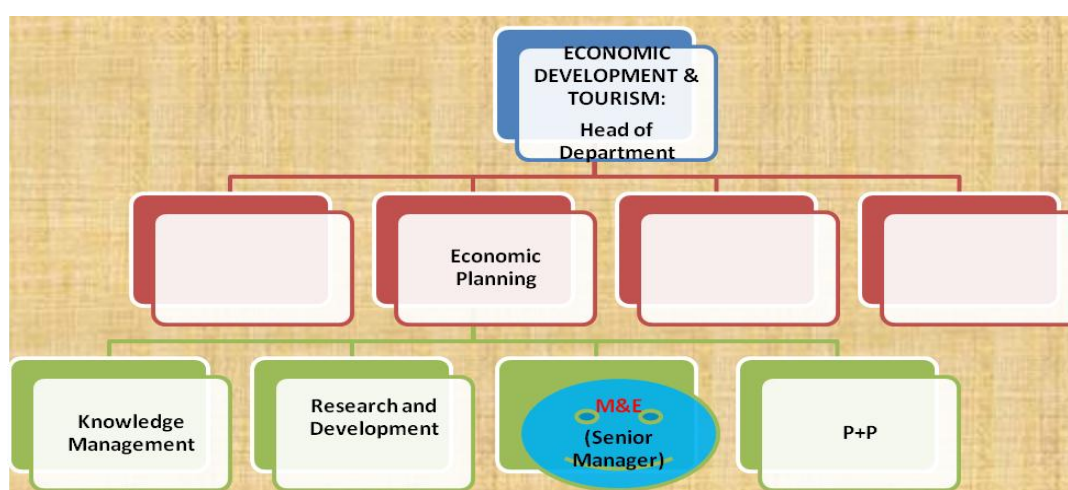


Figure 10. M&E Unit's position in the organisational structure of the Department of Economic Development and Tourism.

As is indicated in Table 16 the M&E staff feels that the M&E Unit in the organisation is not optimally positioned. This perception is legitimate as the Unit could be better positioned one level higher and report to the Head of Department. This positioning is the same as it was in 2009.

Table 16. Perception of the position of M&E Unit in the organisational structure of the Department of Economic Development and Tourism.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?		✓			

The M&E Unit has shown an increase of its M&E staff from one in 2009 to six in 2012. There are two approved posts that are not filled.

d) Education

The M&E Unit of the Department of Education emerged in 2007, but featured in the organisational structure in 2008. There were structural changes regarding M&E since 2009 but the Unit is still located very low in the hierarchy and led by an assistant manager.



Figure 11. M&E Unit's position in the organisational structure of the Department of Education.

This position in the Departmental structure is likely to diminish M&E's role in the data management processes (see Figure 11).

Table 17. Perception of the position of M&E Unit in the organisational structure of the Department of Education.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?			✓		

M&E staff also has similar opinion as the location of the M&E is only partly satisfactory (see Table 17). This organisational structure makes M&E invisible and powerless to conduct its expected standard of M&E functions.

The Department did not hire additional M&E staff since 2009 and still there is one approved post that is not filled. It is of great concern that a department with the budget of 34 billion to be without a properly functioning M&E system.

e) Health

The M&E Unit of the Department of Health was constituted in 2007 and it reports to the Chief Directorate of Health Service Planning which in turn reports to the Head of Department. The Units of M&E, Strategic Planning, District Health Information System (DHIS) are all related and all under the same Chief Directorate that is conducive for information use (see Figure 12).

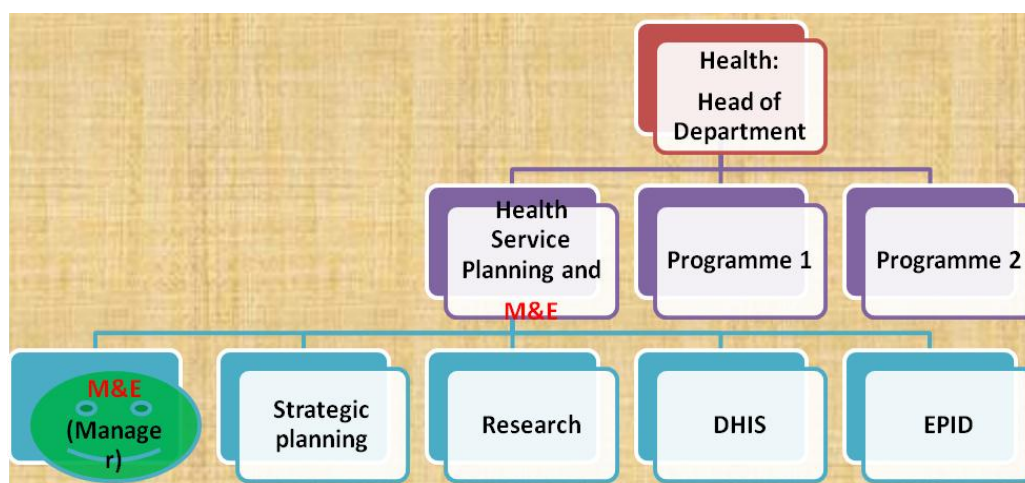


Figure 12. M&E Unit's position in the organisational structure of the Department of Health.

The position of the this M&E Unit in the organisational structure is partly satisfactory as perceived by the M&E staff (see Table 18). The optimal position would be the Unit to directly report to the Head of Department.

Table 18. Perception of the position of M&E Unit in the organisational structure of the Department of Health.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?			✓		

The M&E Unit has shown an increase of two M&E staff since 2009, but it is still looking for five additional personnel in order to conduct its functions properly.

f) Human Settlements

The Department of Human Settlements has an M&E Unit which was established in 2002, but it was only fully organised and became functional in 2011. It reports to the Chief Operating Officer who in turn reports to the Head of Department (see Figure 13). The M&E General Manager has additional functions and gets reports from the Good Governance and Planning

Units. This additional responsibility of good governance may deviate the activities of M&E though the planning aspect encourages the direct usage of information.

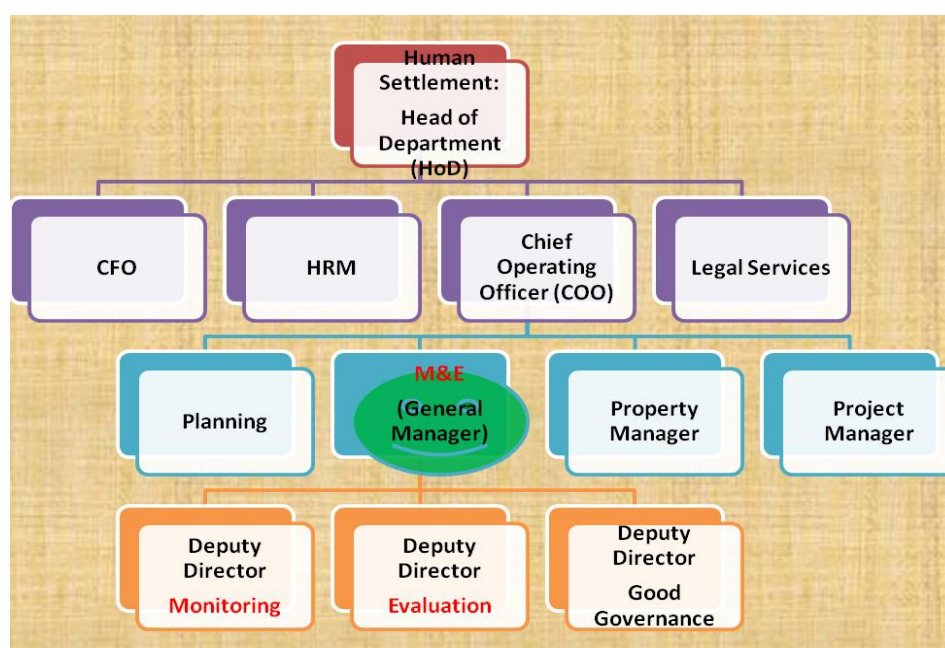


Figure 13. M&E Unit's position in the organisational structure of the Department of Human Settlements.

This alignment of the M&E Unit is perceived as partly satisfactory by the M&E staff because it is not at a strategic position to influence decisions (see Table 19).

Table 19. Perception of the position of M&E Unit in the organisational structure of the Department of Human Settlements.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?			✓		

The M&E Unit has six approved posts that are not yet filled, and still requires four more staff. There is one additional staff since 2009.

g) Local Government & Traditional Affairs

The M&E Unit of the Department of Local Government & Traditional Affairs was established in 2007 and is lead by a Chief Director. The Unit reports to the Chief Financial Officer (CFO) which in turn reports to Deputy Director General (DDG). The Units of Finance, Human Resources, Supply Chain Management, and Legal Services also report to the CFO.

The M&E staff agreed fully that the M&E Unit is strategically positioned (see Table 20). However, this type of structuring overshadows M&E's prominence and diminishes its role though it is appropriately led by a Chief Director. On the other hand M&E should ideally feed information to planning, however, according to this structure it is the other way round (see Figure 14).

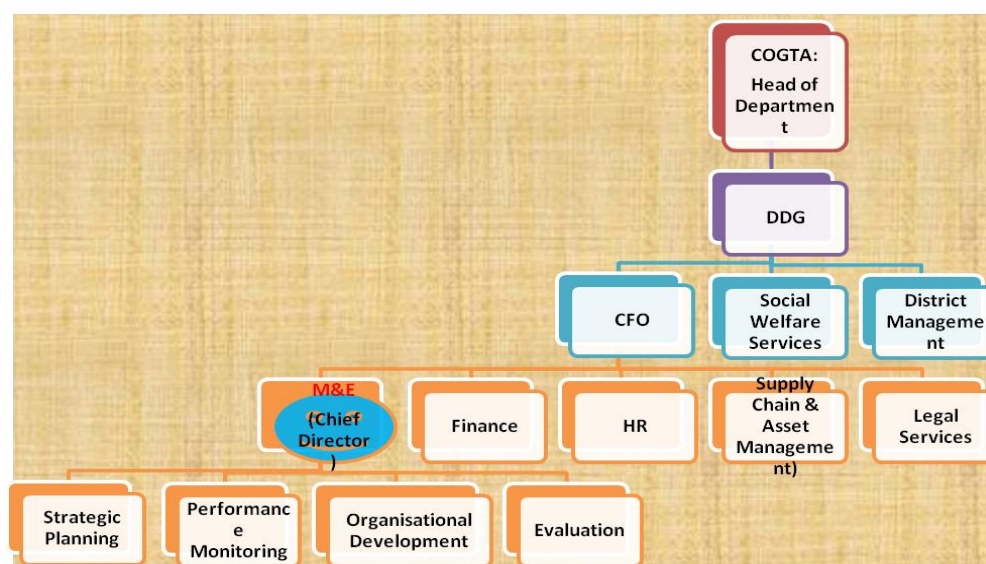


Figure 14. M&E Unit's position in the organisational structure of the Department of Local Government and Traditional Affairs.

The number of staff has increased from two in 2009 to five in 2012, but there is a vacancy of 14 out of which only four posts are approved.

Table 20. Perception of the position of M&E Unit in the organisational structure of the Department of Local Government and Traditional Affairs.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?	✓				

h) Public Works

In 2009 the M&E Unit in the Department of Public Works was not properly constituted. In 2011 two M&E staff were appointed and the Unit is strategically aligned to the other Units and directly reports to the HoD (see Figure 15).

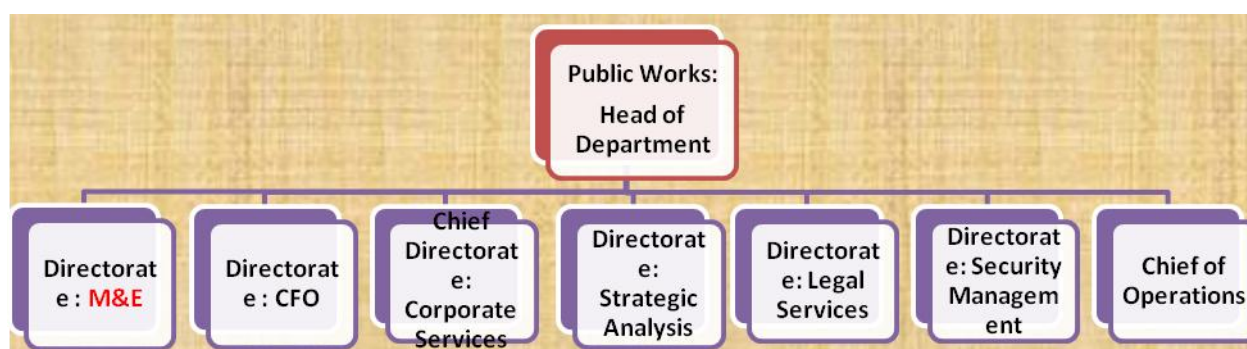


Figure 15. M&E Unit's position in the organisational structure of the Department of Public Works.

The staff perception of the position and alignment of the M&E Unit is partly satisfactory (see Table 21). However, the challenge is not with the position in the organogram; it is mainly with the inadequate attention given to the Unit as to strengthen its role in decision-making. This strategic position does not automatically result in obtaining the required key M&E information as the Unit has no mandate to collect information from districts because they directly report to the Chief Directorate of Operations.

Table 21. Perception of the position of M&E Unit in the organisational structure of the Department of Public Works.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?			✓		

Since 2009 there has been a positive move to the right direction by repositioning the Unit and appointment of permanent M&E staff in the Department. However, there are still four vacancies out of which one is approved.

i) Social Development

The M&E Unit was established in 2002 but was not functional until 2009; even then it was staffed by one person. The position of the M&E Unit and its alignment with the other Units does not give enough leverage to influence planning and decision-making as it does not report to the Head of Department. The Unit reports to the Operations Unit which has Legal Services, Communications, Safety and Security, and Strategic Analysis as sub-reporting entities. In this type of structuring the M&E Unit will not have prominent role in the Department (see Figure 16).



Figure 16. M&E Unit's position in the organisational structure of the Department of Social Development.

The M&E's staff response that the M&E location in the organisational structure not being fully satisfactory reflects that more could be done for the Unit to operate optimally (see Table 22).

Table 22. Perception of the position of M&E Unit in the organisational structure of the Department of Social Development.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?		✓			

In terms of staff there has been dramatic change as it has 8 permanent M&E staff as opposed to one in 2009. However, the Department still requires 27 additional M&E personnel whose posts have already been approved. The challenge is that the procurement process is very slow.

j) Sports & Recreation

According to the staff perception, the M&E Unit is not strategically positioned to play its required role in planning and decision-making (see Table 23). The M&E Unit in the Department of Sports and Recreation is located very low in the organogram (see Figure 17). It reports to the Strategic Management Support Unit which in turn reports to the Corporate Governance. Its location from the Head of Department is far down the hierarchy and this may limit the Unit's capacity to influence top management. Though the Unit participates in management meetings, as long as it is not formal its sustainability is not guaranteed.

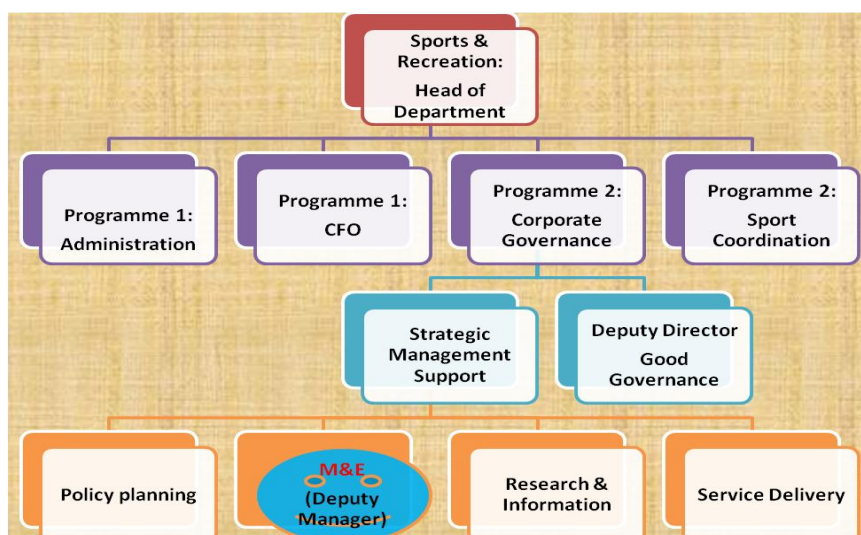


Figure 17. M&E Unit's position in the organisational structure of the Department of Arts and Culture.

There has not been any change regarding staffing since 2009. Four posts have been approved but still they are vacant as the Department is in the process of restructuring.

Table 23. Perception of the position of M&E Unit in the organisational structure of the Department of Sports and Recreation.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?				✓	

k) Transport

The Department of Transport had its M&E Unit from August 2000. There has not been any change since 2009 and M&E staff fully agree that the M&E Unit is well positioned at a high level of the organogram (see Figure 18 and Table 24). However, they still feel that more can be done to place it higher to directly report to the Head of Department.

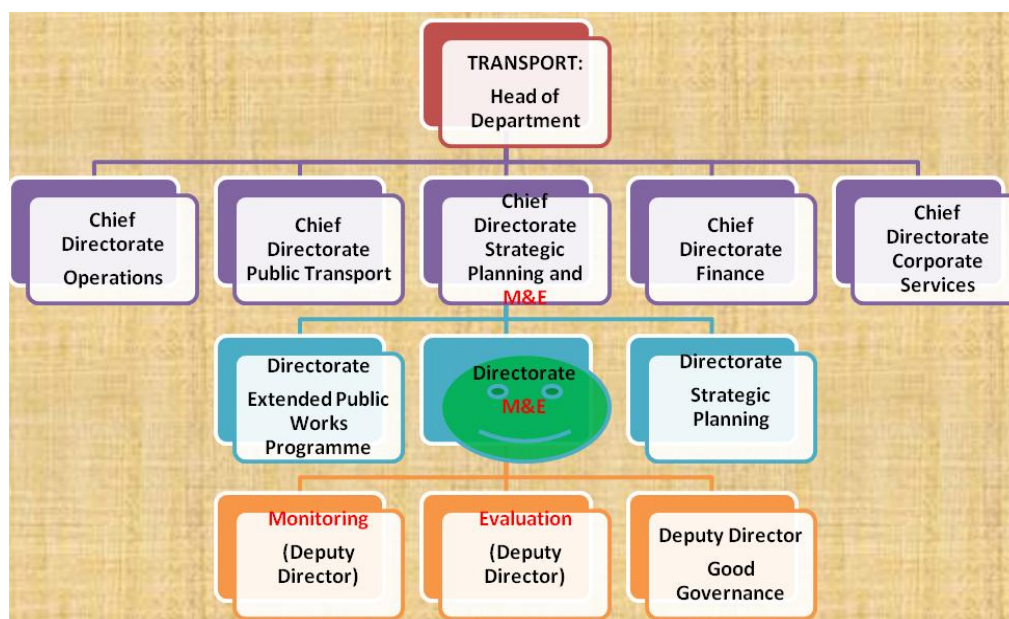


Figure 18. M&E Unit's position in the organisational structure of the Department of Transport.

The Department has one approved post that is not filled and requires four more especially for the monitoring aspect of its activities.

Table 24. Perception of the position of M&E Unit in the organisational structure of the Department of Transport.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?	✓				

I) Treasury

There has not been any change since 2009 regarding M&E functions in the Department. Despite the need for a dedicated M&E Unit the Provincial Department of Treasury does not have M&E structure for its internal operations. It does perform a monitoring function over the Provincial Departments from an expenditure perspective through its Resource Management Unit (see Figure 18). Even its M&E function over the Provincial Departments is

not coordinated as it is done separately through its various Units like Budgeting and Supply Chain.

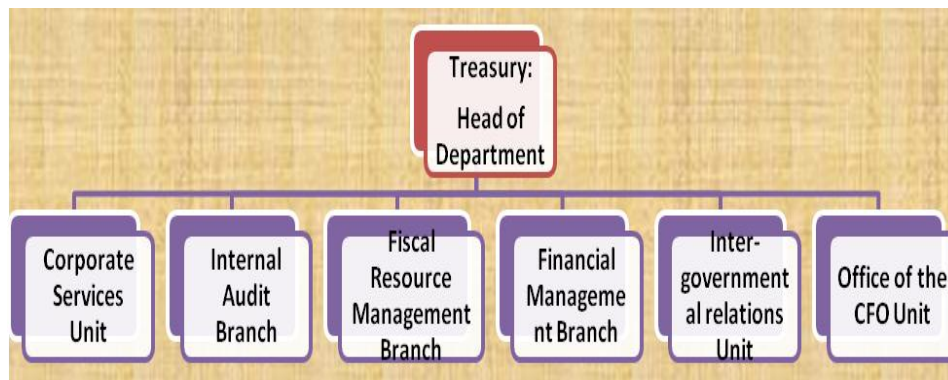


Figure 19. M&E Unit's position in the organisational structure of the Department of Treasury.

m) Msunduzi Local Municipality

In 2009, Msunduzi Local Municipality did not have M&E Unit and the M&E function was more or less done by the Performance Management Unit that reported to the Organizational Development and Research & Analysis Unit. The change since 2009 is notable as the position of the Performance Management Unit, that is, within the Strategic Analysis and Research, has moved up to the Office of the Municipal Manager. This restructuring has given prominence to performance management functions and is believed to have maximised the use of information (see Figure 20).

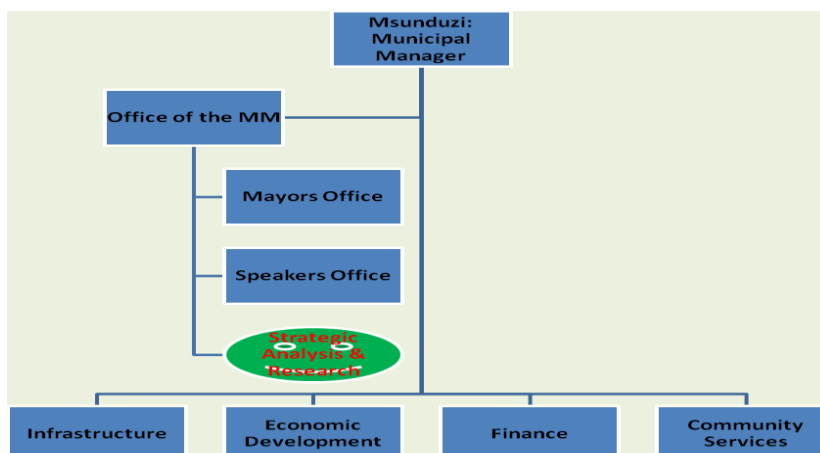


Figure 20. M&E Unit's position in the organisational structure of the Department of Msunduzi Local Municipality.

This positioning of the Strategic Analysis and Research Unit that encompasses performance management functions is fully agreed by the staff as an ideal location (see Table 25).

Table 25. Perception of the position of M&E Unit in the organisational structure of the Department of Msunduzi Local Municipality.

Questions	Response options				
	Yes-Fully	Mostly	Partly	Not at all	Not sure
Is the departmental M&E Unit strategically positioned to strengthen its role in planning and management decision-making?	✓				

There is staffing challenge, however, in the Performance Management Unit as there is only one person who was employed on a temporary basis. On top of this the Unit requires three staff members in order to properly conduct its monitoring functions.

The municipality was put under administration in 2010 and consequently did SWOT (strength, weakness, opportunity, and threat) analysis and showed great improvements in positioning its Strategic Analysis and Research Unit. This had been done prior to the Auditor General's directives that all municipalities to have Performance Management Units and be placed in the Municipal Managers' Offices.

The Municipality reports quarterly to Cooperative Governance and Traditional Affairs (CoGTA), and annually to Treasury and the Auditor General. Information from NGOs and the private sector and other civil society organisations do not regularly flow to the Municipality unless specifically requested.

4.1.2.1.2. Incentives for M&E system performance²⁷

The incentive for M&E in the province is moderate as perceived by the M&E staff. Eight out of 11 (72%) Departments indicated that the availability of incentive for M&E system is either partly or not at all.

It is of some concern that 27% of the Provincial Departments feel that there is no incentive at all. According to the respondents the attention given to M&E is low. One M&E manager said, *'the M&E Unit does not have even a filing cabinet, let alone other incentives, and I have borrowed other furniture from the other office.'* During the evaluation the evaluator saw documents lying on the floor that was a clear indication of the level of attention given to M&E. Many M&E Units in the Departments agree that M&E is there as a matter of compliance to the current government's push for M&E.

4.1.2.1.3. Staff availability and vacancies in the M&E post

Excluding the Departments of Agriculture and Tourism, Public Service Training Academy, Community Safety and Liaison, and Treasury (all for reasons explained in the previous section) the total M&E staff available in the Provincial Departments was 20 in November 2009 and 34 in January 2012. Currently there is a vacancy of 46 approved posts, and 29 more are required the M&E Units as indicated in Table 26. The ratio of available staff to vacant post is almost 1:2.2; that is more than half of the required M&E staff have not been appointed yet. Therefore 75 additional M&E staff for the assessed Provincial Departments, one Local Municipality that have M&E structures, and 20 for the Provincial Government's M&E (Office of the Premier) are suggested to be employed for the optimal functioning of their M&E system.

²⁷ From this sub-section onwards all responses are aggregated from all respondents.

Table 26. Available staff and vacancies.

Provincial Departments and local Municipality	Available M&E staff		Vacancy		
	11/2009	01/2012	Approved posts but not filled	Not approved posts but required	Total
Arts & Culture	-	2	-	-	-
Economic Development & Tourism	1	6	2	-	2
Education	2	-	1	-	1
Health	6	4	-	5	5
Human Settlements	1	2	6	4	10
Local Government & Traditional Affairs	2	5	4	10	14
Public Works	-	2	1	3	4
Social Development	1	8	27	-	27
Sports & Recreation	1	1	4	-	4
Transport	3	3	1	4	5
Msunduzi Local Municipality	3	1	-	3	3
Total	20	34	46	29	75

The main challenges in this component are the vacant posts that compromised the performance of the M&E system, as almost all (82%) of the Departments have pointed out that they are not fully staffed. Majority of the Departments express their views that these vacancies are putting pressure on the existing staff and the M&E system is left to function sub-optimally.

4.1.2.1.4. Job descriptions for all M&E staff

Majority (82%) of the Departments have comprehensive written job descriptions while the rest are not satisfied with what they have.

4.1.2.1.5. Defined career path for the M&E staff

Most of the M&E staff do not have a bright future in the career path of the Departments they work. Only 18% (2 out of 11) have hope in the opportunities they can have in M&E.

4.1.2.1.6. Departmental commitment to ensure M&E system performance

At the Provincial level, the Departments believe that the Premier is the champion of M&E and they have high expectations for the progress that can be made in the area of M&E. The challenge is that many Department heads are not following suit and majority (54%) feel that either there is partial commitment or not at all. Only 45% of the Departments fully or mostly agree that there is commitment from Departments to ensure the optimal functioning of the M&E system.

4.1.2.1.7. Mandates from the department for planning, coordinating and managing the M&E system

None of the Departments fully agree of the availability of written mandates for their M&E Units to plan, coordinate and manage M&E systems. Though some acknowledge the existence of such mandates, 73% of the Departments argue that they are not sufficient enough to give muscles to conduct proper M&E functions that include controlling data quality and information flow in the entire programmes and projects of Departments.

Few of the Departments (27%) complain that they do not have the mandate to solicit information from programmes. Such M&E Units neither proactively ask information nor get routine flow of information from the programme heads.

4.1.2.1.8. Diagnosis of M&E systems in the department in the past two years

Most of the Departments, that is 63%, have either partially or not at all diagnosed their M&E systems, while two Departments have indicated that they have fully, and another two have to a larger extent done diagnosis of their M&E systems during the past two years.

4.1.2.2. Human Capacity for M&E

This Human Capacity component of the M&E system was evaluated with particular reference to skills gap analysis, staff skills, capacity development plans, costed M&E plans, availability of M&E curriculum, and trainings done by the Provincial Departments M&E, Units.

A significant number of Departments, i.e. 66%, indicate that the Human Capacity aspect of the M&E system is either partially or not satisfactory at all. Only 5% expressed that they are fully, while 24% are partially satisfied.

N.B. All of the following explanations of section 4.1.2.2 refer to Table 27.

Table 27. Responses to ‘Human Capacity for M&E’

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Have you performed M&E skills gap analysis in the past two years?	0	1	4	5	1	11
2.	Do you have adequately trained human resources to conduct M&E functions?	1	4	6	0	0	11
3.	Do you have capacity development plan for the M&E staff?	0	3	5	2	1	11
4.	Do you have a costed human capacity building plan?	1	3	1	5	1	11
5.	Do you have a standard curricula to address M&E capacity gaps?	0	2	2	7	0	11
6.	Do you give M&E training to M&E staff?	1	3	4	3	0	11
Total		3	16	22	22	3	66
%		5	24	33	33	5	100

4.1.2.2.1. M&E skills gap analysis

In response to whether any skills gap analysis has been done, 45% of the Departments indicated that 'Not at all', while 36% said it was partially done. However, none of the Departments has done complete skills gap analysis to identify staff skill shortages.

4.1.2.2.2. Skill of M&E staff

One Department's M&E staff state that all of them have sufficient skills regarding M&E, 36% of the Department indicate that most of the staff have the required skills. However, majority (55%) express that they have challenges with data analysis, reporting, data quality assurance, and evaluations.

4.1.2.2.3. M&E capacity development plan

None of the Departments has a complete capacity development plans, according to all respondents. However, 73% of the M&E Units point out that they have either most of the times or partial capacity development plans for their staff.

4.1.2.2.4. Costed human capacity building plan

As indicated above, though 73% have either most of the times or partial capacity development plans, only very few (45%) M&E Units have costed capacity development plans.

4.1.2.2.5. Standard M&E curriculum

In the main Departments do not have standard curricula for their M&E capacity development and most of the training is done on the job and in workshops. Only 18% of the M&E Units acknowledge their M&E curricula are mostly satisfactory, while a significant number of M&E Units (72%) have either partial or not at all.

4.1.2.2.6. M&E training to M&E staff

Majority of the respondents, i.e. 64%, point out that the M&E training given to them is rated as either partially or not at all satisfactory, while 36% feel that training is fully or mostly done as required. Most of the M&E training is done on the job, during workshops, and some by consultants. Some training is also given to district/regional managers on data collection and reporting.

There is some sense of instability as one M&E manager indicates that she is not entitled for training, especially if the training is not provided by government, because she was hired on contract basis for five years. Another senior M&E manager also indicated that he has never got any sort of M&E training in his life and did not get any chance in his current employment.

4.1.2.2.7. Staffing changes since 2009

There is improvement in the number of staff in most of the Departments as shown in Figure 21 below (see also Annex I)

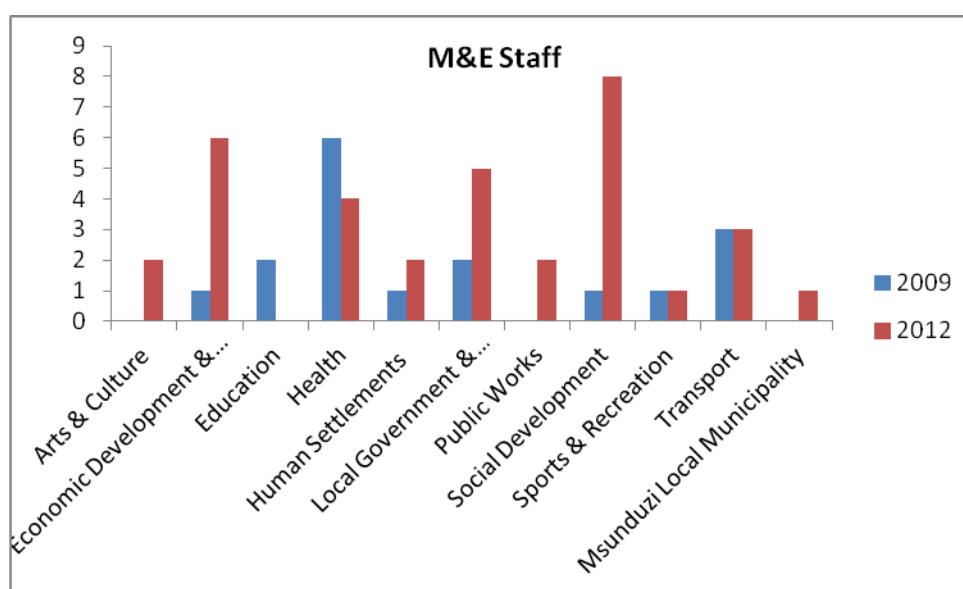


Figure 21. Comparison of staff availability between November 2009 and January 2012.

4.1.2.3. Partnerships to Plan, Coordinate and Manage the M&E System

In this section of the evaluation, the M&E Units in the Departments were asked to reflect on the overall situation of their Units' capacity to form partnerships to plan, coordinate and manage the M&E system. Majority, i.e. 59%, of the M&E Units generally agree that there is either partial or no capacity at all, while 41% indicate that there is either always or most of the times a capacity to manage their M&E systems.

N.B. All of the following explanations of section 4.1.2.3 refer to Table 28.

Table 28. Responses to 'Partnerships to Plan, Coordinate and Manage the M&E System.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have M&E Unit in the district office?	2	0	2	7	0	11
2.	Do you have regular M&E information flow from district offices?	6	3	1	1	0	11
3.	Is there a coordination mechanism with other departments at the district level to minimize fragmentation and duplication of effort in M&E functions?	1	5	1	4	0	11
4.	Is there a coordination mechanism with other departments at the provincial level to minimize fragmentation and duplication of effort in M&E functions?	1	1	6	3	0	11
5.	Is there a routine communication channel to facilitate exchange of information among stakeholders?	2	2	5	2	0	11
6.	Do you collect data related to programme areas from the private sector and/or civil society organisations?	2	2	4	3	0	11
Total		14	13	19	20	0	66

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
	%	21	20	29	30	0	100

4.1.2.3.1. M&E Units in the district/regional office

The sub-reporting Units are districts or regions and only two out of the 11 Departments that participated in the evaluation indicate that there are M&E Units at the district/region level. However, majority (7 out of 11) do not have M&E Units at the district/region level and data is collected and collated by programme managers. In the case of the Department of Human Settlements there are monitors in the regions who collect data and report to the Department, and inspectors who check data quality.

For the Department of Community Safety and Liaison there are 13 District Heads for monitoring the Police Service. Similarly, all hospitals have M&E and facility information officers that report to District Information Officers. And the Provincial Department of Health receives quarterly reports from these districts.

4.1.2.3.2. Information flow from district/regional offices

Most Provincial Departments' M&E Units (82%) agree that they either fully or mostly receive regular information from districts/regions. In the case where there are M&E Units at the district/regional level most line managers directly report to the district/regional M&E. However, where there are no M&E Units in the districts/regions, the programme heads directly report to the Provincial Departments' Programmes, that in turn report to the M&E Units.

Sometimes there is a challenge in internal information flow within the Department. For example, the M&E Unit of the Department of Social Development doesn't receive data from the Department's Call Centre.

4.1.2.3.3. Coordination mechanism for M&E functions at district/region level

The Integrated Development Plans (IDPs) are the coordinating mechanisms at local levels. Almost half of the Departments (54%) acknowledge that there are quarterly meetings at district/regional levels where Departments share information about their programmes. However, 45% of the Departments indicate that there is partial or not at all coordination, especially to M&E related activities aimed at avoiding duplication of efforts in data collection.

4.1.2.3.4. Coordination mechanism with other departments at the provincial level

There is monthly and/or quarterly interaction among Departmental M&E Units and the Provincial M&E Unit of the Office of the Premier for information sharing and guidelines. M&E issues are discussed in this Forum including standardising output and outcome indicators for similar activities. However, its effectiveness to avoid duplication of efforts is perceived as 'Partly' by 55% (6 Departments) of respondents and 'Not at all' by 27% (3 Departments); two Departments expressed either it is fully or mostly effective.

4.1.2.3.5. Communication channel to facilitate exchange of information among stakeholders

63% of the Departments are either partly or not at all happy about the communication channel for information exchange, while the rest are fully or mostly satisfied. There is a danger that some information might be sitting in some Departments while others need it, as in most cases Departments and other stakeholders are working in silos.

On the other hand, one interesting trend in the Department of Economic Development is the movement to establish a network of emerging researchers and M&E consultants at provincial level. The Department has already constituted a working committee and has developed a draft concept of the network.

This network will have membership including from emerging consultants, officials from municipalities, universities, and NGOs. So far it has trained 90 potential members in four cohorts. The network has developed a standardised curriculum and has partnership with the University of KZN and has made contacts with the South African M&E Association (SAMEA). This network will also have a capacity enhancement programme for emerging researchers.

4.1.2.3.6. Data collection from private sector, civil society, and NGOs

There is very limited M&E coordination with the private sector, civil society, and NGOs when there is a project financed by the Departments, otherwise there is no substantive regular data flow from NGOs to the Provincial Departments and vice versa. Most Departments (65%) feel that either the collaboration is partial or non-existent, while the rest acknowledge that they are content with the collaboration.

Provincial Departments express that they would like to collect data from the private sector and NGOs information about job creation, service delivery, health and social services etc. as they are residing in these institutions. For example, data on services rendered by the private sector and NGOs that include HIV/AIDS related intervention, circumcision, distribution of condoms, services given to orphan and vulnerable children do not readily flow to the relevant Departments.

4.1.2.4. Departmental M&E Plan

The assessment of the Departmental M&E Plan was pursued under the dimensions of level of participation in the development of M&E plans, availability of baseline data, linkages to the Provincial M&E system, domestication of MDGs, allocation of financial resources, and implementation of the 2009 recommendations for M&E system institutionalisation.

N.B. All of the following explanations of section 4.1.2.4 refer to Table 29.

Table 29. Responses to ‘Departmental M&E plan.’

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do all sub-reporting entities participate in the development of the departmental M&E plan?	2	2	5	1	1	11
2.	Are baseline values available for all performance indicators?	3	3	5	0	0	11
3.	Is the departmental M&E plan explicitly linked to the provincial M&E system?	0	2	6	2	1	11
4.	Are all MDG targets and indicators domesticated to provincial circumstances?	2	4	5	0	0	11
5.	Are sufficient financial resources allocated to any program or project for purposes of M&E? (Specify what percent of departmental budget: _____%)	0	1	0	10	0	11
6.	Have the recommendations of the 2009 M&E system capacity assessment been addressed in your current departmental M&E plan?	1	0	0	10	0	11
Total		8	12	21	23	2	66
%		12%	18%	32%	35%	3%	100

According to the Departments there are challenges in the overall Departmental M&E plans as 67% of the respondents indicate that the plans are partly satisfactory or not at all as detailed below.

4.1.2.4.1. Participation of sub-reporting entities in the development of the departmental M&E plan

Just over half (54%) of the Provincial Department M&E Units feel that the participation of sub-reporting Units in the development of M&E plans are partly available or not at all. Only 36% indicate that the M&E planning process is fully or mostly participatory to the sub-reporting Units.

4.1.2.4.2. Baseline values available for all performance indicators

For existing programmes, either all or most Departments (54%) have baseline data. However, especially for new programmes many Departments (45%) do not have baselines for their indicators.

4.1.2.4.3. Linkage of Departmental M&E plan to the provincial M&E system

Most of the Departments (55%) indicate that their M&E plans are partly linked to the Provincial M&E system as the result of the M&E Forum. However, more can be done as there are some Departments (18%) that feel there is no linkage at all. Another 18% point out that there are linkages in most of the times.

4.1.2.4.4. Domestication of MDGs

In KZN the MDG domestication process began in 2009 and 54% of the Departments acknowledge that they are aligned to the nationally and provincially localised MDGs. However, the rest of the Departments have only partially domesticated the MDGs.

The UNDP has assisted in the domestication process by facilitating workshops and hiring a consultancy firm. However, the consultancy firm didn't complete the process.

4.1.2.4.5. M&E budget

With the exception of the Department of Sports & Recreation, all Departments indicate that they do not have sufficient financial resources to conduct the required M&E functions (see Table 30 and Figure 22). The M&E budget is far below the recommended national and international budgetary requirement (5-7%) of their overall respective Departmental budget. The M&E Unit of the Department of Sports and Recreation feels that it has sufficient budget for its purposes. The Department of Economic Development & Tourism has a relatively higher budget though not sufficient enough to implement its duties as it would like it to be.

Table 30. M&E budget for 2011as percent of the overall Departmental budget.

	Respondent Provincial Departments	M&E budget (% of departmental)- 2011
1.	Arts & Culture	0.24
2.	Community Safety & Liaison ²⁸	-
3.	Economic Development & Tourism	2
4.	Education	0.01
5.	Health	0.01
6.	Human Settlements	0.04
7.	Local Government & Traditional Affairs	0.73
8.	Public Works	0.13
9.	Social Development	0.5
10.	Sports & Recreation	3.91 ²⁹
11.	Transport	0.08
12.	Msunduzi Local Municipality	0.01

²⁸ The Department doesn't have internal M&E. It is only monitoring the Police Service.

²⁹ The budget is for the Strategic Management Support, not only for the M&E Unit.

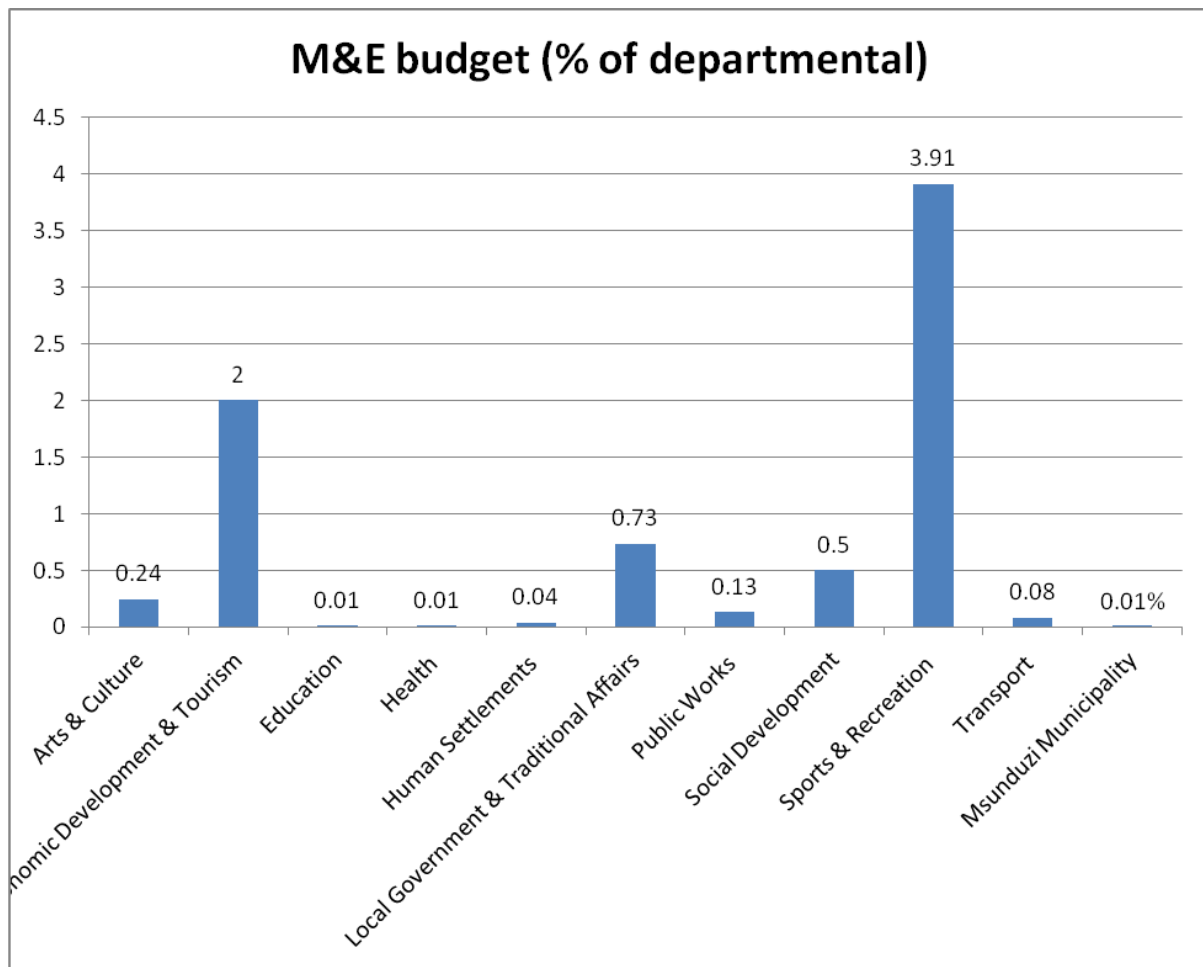


Figure 22. 2011 M&E budget as percent of the overall Departmental budget.

With the exception of the Department of Economic Development which has shown substantial increase, there a budgetary decline for the M&E units when compared to 2009 (see Figure 23). (N. B. the budget for the Department of Sports and Recreation appears to be bigger, however, the budget includes the 'Strategic Management Support Unit'. For the Department of Health comparison was not possible because we do not have budget for 2009).

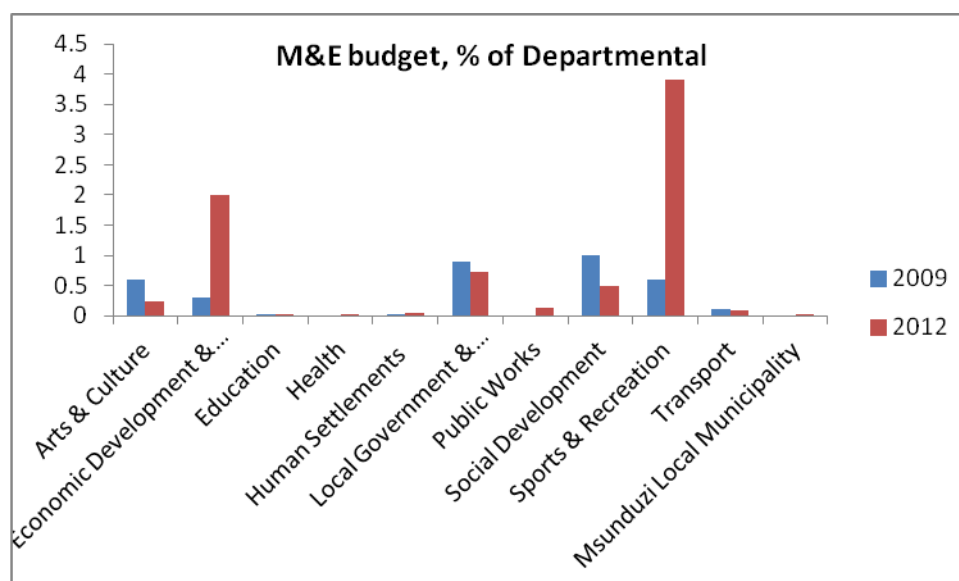


Figure 23. Comparison of budget allocation between November 2009 and January 2012.

4.1.2.4.6. Implementation of the recommendations of the 2009 M&E system capacity assessment

UNDP sponsored the M&E Capacity Assessment for KZN Provincial Departments during October–November of 2009 and report was finalised in January 2010. The report was validated in June 2010 by the M&E Chief Directorate of the OTP, and later presented to the KZN Cabinet Governance and Administration Cluster in April 2011. However, this report was disseminated to the Provincial Departments in January 2012 (during the time this evaluation took place). It is therefore difficult to attribute any changes in the M&E system to the Assessment done in 2009, except that it might have some awareness raising effect, and influence on important decisions taken by the Governance and Administration Cluster in 2011.

The following key decisions were taken by the Governance and Administration Cluster during the April 2011 presentation:

- The issue of M&E capacity must be handled as a matter of urgency at all political and technical levels.
- The findings of the assessment to be referred to the Technical Committee of the Governance and Administration Cluster and Cabinet.

- M&E Units' role to be highlighted and repositioned at a Director level. There should not be any debate on the location of M&E as it is a core function of any department.
- M&E manager should be directly responsible to the Accounting Officer.
- M&E Units to be allocated a respectable budget to conduct their functions properly.
- Institutionalising M&E system should be cascaded down to local municipalities.
- There should be M&E training designed for Members of Executive Councils (MECs) and everyone must be familiar with the basic principles of M&E.
- Every Department must assess itself against the UNDP's M&E Capacity assessment findings.

4.1.2.5. Departmental M&E Costed Work plan

In this section respondents were asked if the Departmental M&E Units have costed M&E plans and if these plans were aligned with the Provincial M&E work plans.

N.B. All of the following explanations of section 4.1.2.5 refer to Table 31.

Table 31. Responses to 'Departmental M&E costed work plan.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have costed M&E work plan with identified funding?	2	4	2	3	0	11
2.	Are the departmental costed M&E work plans aligned with provincial M&E work plan?	2	2	1	6	0	11
Total		4	6	3	9	0	22
%		18	27	14	41	0	100

The overall assessment by the Provincial Departmental M&E Units show that most of them (55%) have either partly or not at all costed M&E plan that is aligned to the Provincial M&E plan as indicated below.

4.1.2.5.1. Availability of costed M&E work plan with identified funding

Given the budgetary constraints a significant number of Departments (45%) either have partial or not all costed M&E plans. Only just over half (55%) of the Departments have either fully or mostly identified funding sources for their M&E plans.

4.1.2.5.2. Alignment of departmental costed M&E plan with provincial M&E work plan

According to most Departmental M&E Units (64%) the alignment of their costed M&E plans with Provincial M&E work plan is either partly or not aligned at all; the rest agree that it is fully or mostly aligned.

4.1.2.6. Advocacy, Communication, and Culture

This advocacy, communication and culture section is pursued under the objective to determine the availability of M&E communication and advocacy plans and the extent of implementation, level of support from high level officials, M&E representation in management planning meetings, and scope of M&E training for politicians and management.

N.B. All of the following explanations of section 4.1.2.6 refer to Table 32.

Table 32. Responses to 'Advocacy, communication and culture.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have departmental M&E communication and advocacy plan?	1	3	3	4	0	11
2.	Are M&E advocacy activities implemented according to the M&E advocacy plan?	0	2	6	2	1	11
3.	Is M&E explicitly referenced in departmental policies and strategic plan?	4	6	1	0	0	11
4.	Are there high-level officials in the department that are	3	3	4	1	0	11

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
	M&E champions to actively advocate for M&E actions?						
5.	Is the M&E Unit represented as part of the management and planning team?	6	3	2	0	0	11
6.	Has there been M&E training to political and management heads in the department?	0	2	6	2	1	11
Total		14	19	22	9	2	66
%		21	29	33	14	3	100

In the overall assessment of this component of the M&E system, half of the Departments point out that the advocacy and communication for M&E is either fully or mostly satisfactory. However, just under half (47%) feel that there is partial or not at all effort to advocate for or communicate about M&E.

4.1.2.6.1. Departmental M&E communication and advocacy plan

Few Departments (36%) indicate that they have either fully or mostly M&E communication and advocacy plans, while a significant number of Departments (64%) have either partial or not at all.

4.1.2.6.2. Implementation of M&E advocacy plan

A large number (72%) of the Departments either partially or does not implement M&E advocacy. This limitation has resulted in low acceptance of and resistance to M&E. In some cases, for example, the Department of Community Safety & Liaison is seen by some members of the Police Service as a watchdog and not as an institution that assists for better performance. Though to a lesser extent, there are similar attitudes in the other Provincial Departments as well.

4.1.2.6.3. Reference made to M&E in departmental policies and strategic plan

It is very encouraging that almost all Departments (91%) make references to M&E reports in their policies and strategic plans.

4.1.2.6.4. Advocacy by M&E champions

Just over half of the Departments (55%) acknowledge the championship and commitment of their Heads of Departments, while the rest 45% feel that there is lack of commitment which is detrimental to M&E.

4.1.2.6.5. Representation of M&E Unit in the management and planning team

With few exceptions, almost all of the Departmental M&E Units (82%) either fully or mostly participate in management planning meetings and provide significant inputs to influence decisions.

4.1.2.6.6. M&E training to political and management heads

M&E training to political and management heads is either partly or not given at all as a significant number (72%) of Departments point out. This is one of the biggest challenges that limits active support to M&E Units.

4.1.2.7. Routine Monitoring

This aspect of the evaluation tries to determine if there are data collection strategies that are linked to data use, defined data collection and reporting mechanisms, guidelines on data maintenance, compatible data collection forms, similar templates for similar services, and regular feedback to sub-reporting Units.

N.B. All of the following explanations of section 4.1.2.7 refer to Table 33.

Table 33. Responses to ‘Routine monitoring.’

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Is the data collection strategy explicitly linked to data use?	3	3	5	0	0	11
2.	Are there clearly defined collaboration and coordination among the different stakeholders for data collection, transfer, and reporting mechanisms?	2	5	4	0	0	11
3.	Are there written departmental guidelines on how data quality should be maintained?	2	4	4	1	0	11
4.	Do entities delivering the same services use standardised or compatible data collection forms?	4	3	4	0	0	11
5.	Do you use the same reporting template for the same service to the provincial government and national departments?	2	2	3	3	1	11
6.	Do you provide regular feedback to all sub-reporting entities on the quality of their reporting?	3	5	3	0	0	11
7.	Do you receive regular feedback from all entities that you report to on the quality of your reporting?	0	2	9	0	0	11
Total		16	24	32	4	1	77
%		21	31	42	5	1	100

Alongside ‘Organisational structure’ and ‘Data use’ most Departments relatively perform better in this aspect of the M&E system than the other components. Just over half (52%) of the Departments express that they have either always or most of the times, while 42% point out that they have partly sufficient tools for their routine monitoring activities. Only 5% noted that their monitoring tools are not sufficient at all.

4.1.2.7.1. Linkages between data collection strategy and data use

According to most Departments, only 54% indicate that all data that is collected is for use. However, 46% of the Departments maintain that data usage is only partial as there is data collected that is not fully utilised.

4.1.2.7.2. Collaboration and coordination among the different stakeholders for data collection and reporting

Majority of the Provincial Departments (64%) feel that there is either full or most of the times coordination in data collection and reporting mechanisms, especially among Provincial Departments, while 36% feel that the coordination is partial.

4.1.2.7.3. Guidelines for data quality

Just over half of the Provincial Departments' M&E Units (55%) indicate that they either have wholly or mostly written guidelines on how data quality should be maintained, while 36% have only partially, and one Department has none at all.

4.1.2.7.4. Standardisation and compatibility of data collection forms

Majority of the respondents (64%) agree that they have completely standardised and compatible data collection forms for similar services, while 36% indicate their forms are only partially standardised.

4.1.2.7.5. Compatibility of reporting templates provincially and nationally

Respondents were asked if they have similar templates for reporting to Provincial and National M&E Units for the same services. Only 36% point out that they use the same, while 55% either have different or partly similar templates. In many cases there are different templates to report to Heads of Departments, Treasury, Office of the Premier, and National Departments.

The incentives for compatibility are not strong, as some Provincial Departmental M&E Units do not report to National M&E Units. In this situation there is no guideline provided from National Departments' M&E Units.

4.1.2.7.6. Regularity of feedback to all sub-reporting entities

Most Departmental M&E Units (73%) either fully or mostly provide feedback to their sub reporting entities. Only 27% indicate that their feedback system is partial. There are also few indications that in the M&E Units of some Departments the data collected is not for use but for sake of compliance and hence the feedback to sub-reporting Units is not satisfactory.

4.1.2.7.7. Regularity of feedback from entities that you report to

With the exception of 18% of the Departmental M&E Units that indicate they get feedback from National Departments and Provincial M&E (OTP), majority (82%) have noted that the feedback is only partial.

One Departmental M&E Unit emphasises the weak feedback system as, *'even if we give our National Department the same report every quarter it will not give feedback.'* More than anything else this assertion indicates that there are serious limitations in the feedback system that requires attention.

4.1.2.8. Periodic Surveys

This section seeks to find out if departments conduct regular citizen satisfaction surveys.

Table 34. Responses to 'Periodic surveys.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you do regular surveys to collect citizen feedback on public services?	1	4	6	0	0	11
Total		1	4	6	0	0	11
%		9	36	55	0	0	100

4.1.2.8.1. Regularity of surveys citizen feedback on public services

Despite Provincial directive to conduct citizen satisfaction surveys, only 45% of the Departments either fully or mostly comply. Just over half (55%) do it sporadically (see Table 34).

4.1.2.9. Departmental M&E Databases

This section was pursued under the objective to determine the integration of Departmental electronic databases for programme/project monitoring data, the linkage of databases within the Department, and integration of different relevant databases within the province/country.

N.B. All of the following explanations of section 4.1.2.9 refer to Table 35.

Table 35. Responses to 'Departmental M&E databases.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have an integrated departmental electronic database for programme/project monitoring data?	2	4	1	4	0	11
2.	Are there linkages between different relevant databases within the department to ensure data consistency and to avoid duplication of effort?	3	1	4	3	0	11
3.	Is there linkages between different relevant databases within the province to ensure data consistency and to avoid duplication of effort?	0	0	4	6	1	11
Total		5	5	9	13	1	33
%		15	15	27	39	3	100

The overall availability and integration of the Departmental databases is understood by majority of the respondents (66%) as either partly or not at all existent; only 30% perceive that it is either fully or mostly satisfactory.

4.1.2.9.1. Integration of departmental electronic database

Most Departments (55%) have either fully or mostly integrated database, while 45% have either partially or not integrated systems. Some Departments (e.g Public Works) do not have a centralised database.

The Department of Transport has developed an integrated web-based information system called Transport Information Management System (TIMS) and it is under piloting. The Department of Sports and Recreation is also developing an integrated web-based data base system that is aligned to Annual Performance Plan (App). However, the Department is not sure if it will be compatible with the Provincial Nerve centre.

4.1.2.9.2. Linkages between different relevant databases within the Department

According to most respondents (64%) the linkages between relevant databases within Departments are either moderate or nonexistent. Only 36% indicate that databases are either fully or mostly linked.

For instance, the District Health Information System (DHIS) is not under the Provincial Department of Health M&E. As data does not automatically flow to the M&E Unit, it has to ask for it, that has become causes of delays to get timely information. Moreover, there is no efficiency when getting information from programme managers.

4.1.2.9.3. Linkages between different relevant databases within the Province

Databases within the province are either partly or not at all linked according to 91% of respondents.

4.1.2.10. Supervision and Data Auditing

The supervision and data auditing component of the M&E system is pursued under the objective of determining availability of guidelines for supportive supervision, data quality improvement action plan, and periodic data quality auditing.

N.B. All of the following explanations of section 4.1.2.10 refer to Table 36.

Table 36. Responses to ‘Supervision and data auditing.’

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have guidelines for supportive supervision visits including data assessments and feedback to reporting entities?	1	1	5	4	0	11
2.	Do you have data quality improvement action plans?	1	2	6	1	1	11
3.	Do you do periodic data quality auditing?	2	1	8	0	0	11
Total		4	4	19	5	1	33
%		12	12	58	15	3	100

The overall assessment of the supportive supervision and data auditing, according to majority of the respondents (58%), is partially satisfactory. Only 24% of the Departments indicate that it is either fully or mostly satisfactory, while 15% feel that it is not at all satisfactory. Details are given below.

4.1.2.10.1. Guidelines for supportive supervision visits

In the effort to get Departments’ views on the sufficiency of guidelines for supportive supervision visits, 82% express that they either have partly or not at all. Only 18% of the Departments indicate that they either always or most of the times have guidelines for supervision. Some of the departments do supervision sporadically only if they want to do data verifications.

4.1.2.10.2. Data quality improvement action plans

64% of the Departmental M&E Units have either partly or not at all, while 27% have either always or most of the times data quality improvement action plans. Ensuring data quality has been difficult because of capacity challenges (manpower and skill).

4.1.2.10.3. Periodicity of data quality auditing

Most of the Departmental M&E Units (73%) acknowledge that data quality auditing is only partially done. Only 27% point out that there is either always or most of the times data quality auditing. Though there are some validations, data quality auditing is not done periodically. In some Departments there is internal auditing that gives them an edge to produce a valid report on performance, but they don't check for data quality.

4.1.2.11. Evaluation and Research

This section looks at whether or not evaluations were done in the Departments during the past two years.

Table 37. Responses to 'Evaluation and research.'

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you have completed and/or ongoing department specific evaluations from the past two years?	2	1	1	7	0	11
Total		2	1	1	7	0	11
%		18	9	9	64	0	100

4.1.2.11.1. Completed and/or ongoing department specific evaluations

There is capacity challenge in the M&E to conduct evaluations. Majority (64%) indicate that they have never done evaluations. However, amidst all the capacity challenges 27% of the

Departments managed to do either to all or most of their programmes (see Table 37). Some Departments are also planning to expand their monitoring functions to practically include evaluations.

4.1.2.12. Using data for decision-making

In this section the evaluator tries to find out the extent to which M&E Units get feedback from management, make their reports available to the public, have information dissemination schedule, tailor their reports to their audiences, and have their reports used for decision-making and planning.

N.B. All of the following explanations of section 4.1.12.12 refer to Table 38.

Table 38. Responses to ‘Using data for decision-making.’

	Questions	Response options					Total
		Yes-Fully	Mostly	Partly	Not at all	Not sure	
1.	Do you get regular feedback from management for your M&E reports?	3	3	3	2	0	11
2.	Are M&E reports related to the program/project activities made available publicly?	2	4	4	1	0	11
3.	Do you have information dissemination schedule to local communities?	1	2	4	4	0	11
4.	Are your M&E information products tailored to different audiences?	0	3	7	1	0	11
5.	Does your report feed into the planning process and decision-making in the department?	0	3	4	4	0	11
Total		6	15	22	12	0	55
%		11	27	40	22	0	100

The overall assessment of the M&E Units in this component of the M&E system is not satisfactory. 62% of the responses indicate that the data usage is either partly or not at all satisfactory, while only 38% point out that it is either completely or mostly satisfactory.

4.1.2.12.1. Regularity of feedback from management for M&E reports

Just over half of the M&E Units (55%) either always or most of the times get feedback from management for their reports. However, the rest 45% get either sometimes or not at all.

4.1.2.12.2. Availability of reports to the public

Most of the M&E Units (55%) either always or most of the times publish programme/project related reports and send to the public. However, 36% of the respondent Departments indicate that they only sometimes make their reports available to the public.

4.1.2.12.3. Information dissemination schedule to local communities

73% of the M&E Units point out that their information dissemination schedule to communities is either partially regular or does not exist at all. Only 27% indicate that either they have always or most of the times schedules for information dissemination.

4.1.2.12.4. Customisation of reports to different audiences

Majority of the M&E Units of the Provincial Departments (63%) sometimes tailor the reports to their audiences to facilitate communication. However, 27% customise their report most of the times and 9% of the Departments make no changes when presenting to the audiences.

4.1.2.12.5. Usage of reports for planning process and decision-making in the department

Despite the end result of information generated by the M&E system being its use for planning and decision-making, a significant number of M&E Units (73%) indicate that their reports are either partly or not at all used by management. It is of great concern that only 27% of the M&E units feel that their reports feed into the planning and decision-making processes.

4.2. Millennium Development Goals related projects

As indicated in the 'Limitations of the evaluation' section (Section 2.10) the findings of the MDG related interventions can only be limited because of lack of access to partners, unavailability of project documents and MoU, unimplemented project (Realising the Millennium Development Goals through Socially Inclusive Macroeconomic Policies), and unfinished project (KZN MDG domestication). However, the following results could be identified:

- a) The KZN Provincial Departments have adopted the nationally and provincially domesticated Millennium Development Goals (MDGs) and indicators and have become part of their annual performance plans.
- b) MDG Country Report 2010 was widely consultative and transparent process and the trust that was lost in 2005 has been restored. There was active advocacy and increased participation by the civil society organisations (CSOs) who also organised a Summit on the MDGs and emerged with the Cape Town Declaration on the MDGs. In contrast to this development, in the 2005 MDG Country Report these CSOs complained of been sidelined by the MDG reporting process and produced their own shadow report.
- c) Majority of the MDG indicators are included in the list of the compendium of national indicators. MDGs are embraced in the national set of ten priorities as integral parts of the South African Government.
- d) The MDG Country Report-2010 consists of 95 MDG indicators to address the eight goals as opposed to the 60 Global indicators, i.e. 35 new domesticated indicators have been added to the Global indicators.
- e) The combined effect of the MDG domestication and reporting process, and advocacy during the FIFA World Cup 2010, has enhanced awareness among broad spectrum of stakeholders. This is manifested in the continued wide media coverage on MDGs and mainstreaming in the Departmental annual performance plans.

Section V: CONCLUSIONS

5.1. Relevance of the interventions

- There are increasingly reports of underperformance by South African Government organs and subsequent service delivery protests in various parts of the country. These are mainly due to poorly managed state structures, one of which include insufficient performance monitoring and accountability. To counter these challenges, the South African Constitution and subsequent legislations require all national departments, provinces, and local governments to develop M&E systems for performance monitoring and evaluation at their level. Similarly, the presidency has sent correct signal on outcome-based monitoring and evaluation and the Auditor General is demanding performance information from Government entities.
- In the main the domestication of the MDGs is seen as bringing solutions in addressing the human rights issues such as poverty, gender inequalities, and lack of access to basic services such as health, education and housing. During the domestication process the issue of disaggregation of data by gender, age, and location was widely discussed. Hence, UNDP's contribution to human rights, and gender equality through its technical assistance to the domestication of MDGs has been prominent in the country. In this context UNDP's assistance will remain to be extremely relevant for South Africa's development needs.

5.2. Achievement of objectives and progress towards outcomes

- Institutionalising M&E systems is a process that requires continuous Government, NGOs, CSOs, private sector and communities' systematic interaction and strategic partnership and political will. UNDP's assistance to this process has created M&E awareness, and more importantly grabbed politician's attention and paved the way towards institutionalising M&E system in the province. Moreover, the Nerve Centre is making progress and drawing much attention of other provinces.

- The MDG domestication process by the service provider was not complete. However, Departments have domesticated MDGs and are reporting on them due to the fact that UNDP conducted domestication workshop in 2009.

5.3. Performance of partners

- The partnership between UNDP and the Office of the Premier in general and the M&E Chief Directorate in particular has progressed well over the years and the cooperation of both parties was commendable. The M&E Chief Directorate welcomed UNDP's assistance and gave unreserved access to all Departments and Municipalities for M&E capacity assessment including full cooperation in coordinating meetings.
- Through its partnership with Stats SA UNDP has created a forum for a broader consultation nationwide around the MDGs.

5.4. Sustainability of results

- MDGs have become integral parts of Government's performance plans.
- Save for some areas where more can be done, in the Office of the Premier and most Provincial Departments of KZN, M&E system has taken root with great prospects to institutionalisation.

Section VI: LESSONS LEARNED and RECOMMENDATIONS

6.1. Lessons learned

As in any development programme there are some lessons learned from UNDP's intervention and are presented below.

- Without having an institutionalised M&E system at the local level (Local Municipality-wide and community-based outcome M&E system) that embrace government organs, NGOs, CSOs, FBOs, and private sector the Provincial and National M&E system cannot be complete. Data must have local basis and must uninterruptively flow along the hierarchies from local up to the National level irrespective who generates it.
- It is not strategic positioning of an M&E unit that only makes it functional, equally important is incentives given by top management. This strategic position could not automatically result in M&E Units obtaining the required key information from all programmes/projects, and information usage and feedback by top management.
- Without Memorandum of Understanding (MoU), and M&E framework on every intervention between partners, optimal usage of resources including technical assistance and accountability for results can be compromised.

6.2. Recommendations

- M&E Units in all Provincial Departments and Office of the Premier need to be located close enough to directly report to the Head of Departments and Director General and clearly mandated to solicit information from every organ of their Departments and Province respectively.
- It is desirable to have separate M&E Units in regions/districts that directly report to M&E Units in the Provincial Departments. Alternatively Departments need to consider outreaching from Provincial Departments' M&E Units to closely monitor programmes implemented at local levels.
- Consider institutionalising M&E at Local Government level by establishing a Local Municipality-wide M&E and Community-based Outcome Monitoring System. At this sphere of government all data generated at the local level, i.e. from organs of state,

NGOs, CSOs, FBOs, and the private sector should flow to the Local Municipality Office, collated and reported to regions/districts and Provincial Departments. Vast information is available with NGOs working on the ground on, for example, condoms distributed, circumcision, orphans and vulnerable children, homecare, etc. that is not sufficiently flowing to the Provincial Departments M&E system. The legislative and policy environment in South Africa is conducive to enable all spheres of government to institutionalise M&E systems.

- It is of high priority for the Departments of Community Safety & Liaison, and Treasury to have internal M&E systems that focus on their operations as the function of monitoring other Departments needs to be monitored as well. It is also for better performance of the Public Service Training Academy for its M&E Unit to be functional as its role is critical in identifying including M&E training needs, and evaluating skills development programmes in the province.
- As a tool of transparency and accountability M&E reports are expected to be regularly disseminated to relevant stakeholders. This is suggested to be accompanied by the preparation of Citizen Report Card through designing and coordinating annual satisfaction surveys. Gauging the level of citizen satisfaction is an integral part of M&E Units' functions to track service delivery performance.
- It is to the best advantage for management to basically depend on M&E reports. M&E results need to be continuously reported to decision makers both formally and informally. This may require tailoring information into the preferred format for each of the decision makers and end users. It is important to report and present information in a format that makes it easy for decision makers to make the best possible decisions. It is therefore imperative to strengthen M&E units in terms of human and financial capacity.
- Skills gap analysis is required to be done periodically and respond to the training needs of the M&E staff. Moreover, customised M&E training has to include politicians, programme and project managers, and community monitors (in the case community-based M&E is established).
- M&E budget is suggested to be closer to the nationally and internationally recommended 5-7% of the overall Departmental budget to enable the M&E Units to function optimally. This may vary depending on the overall size of the Departmental

budget and complexity of activities, but the point is to consider allocating a reasonable budget to the M&E unit to conduct its functions properly.

- Support for M&E should have institutionalised backing for the required role of M&E that does not depend on the whim of current management. For this to happen a systematic advocacy for M&E across the entire Department, and practical incentives for the M&E system are required.
- M&E units should be entitled and empowered to independently solicit information, as part of their routine functions, from the entire programmes/projects run by Departments.
- Departments should have integrated databases managed by the M&E Unit for improved management, planning, and budgeting. The Departmental database should also be linked to municipal (related to their sector) provincial and respective national database to ensure compatibility of data collection and reporting templates. The database should capture data more than just indicators but also data about the 12 components of an M&E system.
- For the M&E system to generate information that is credible enough for management to use for decision-making data must regularly be investigated for quality. For M&E data to be fit-to-use it has to be accurate, reliable, complete, precise, timely, and of integrity. These data quality dimensions and the data management processes (data sourcing, collection, collation, analysis, reporting, and use) have to be of high quality and verified regularly. This has to be accompanied by supportive supervision that focuses on all components of a functional M&E system.
- Every programme and project has to be evaluated before, during, and after intervention in the appropriate time. The evaluation results will be used to inform the planning processes and prioritise resources. They also will help politicians and management decide whether existing programmes/projects or strategies should be continued or modified depending on the lessons learned before it is too late.
- There should be a strong reporting and information sharing relationship between National and Provincial Departments' M&E Units.
- As custodians of information in Departments, all information in the Department and sub-reporting units must flow to M&E Units for processing, analysis, and reporting. It is

therefore highly recommended that electronic databases, knowledge management, and research units of Departments be part and parcel of M&E Units. A centralised database managed by M&E Units avoids fragmentation and loss of information, increases institutional memory, incentives and empowers M&E staff, enhances data quality and reports, and maximises data use by management, etc.

- National Departments operating in the province have to share all their M&E related information to the Provincial M&E Unit of the Office of the Premier as soon as it is generated. For better planning and decision-making they must report frequently and regularly as they do to national Departments.
- The momentum reached during the 2010 MDG Domestication and reporting process should not only be maintained but has to be elevated to a higher level as a contribution towards the achievement of MDGs.
- UNDP Country Office should consider developing a centralised database system where all programme/project documents are maintained as a basis for knowledge management to enhance institutional memory and facilitate information retrieval.
- For every developmental engagement with any party UNDP must consider to have MoUs and well documented project/programme documents that are efficiently retrievable. It can also be highly recommended that M&E framework be developed for every assistance in order to enhance its evaluability.

Annexes

Annex I:
Staff, budget, and structural changes since 2009

Provincial departments and municipalities	Number of key M&E staff		Percent of Departmental budget for M&E		M&E position in organisational structure in 2012 when compared to 2009	Additional remarks
	2009	2012	2009	2012		
Agriculture & Environmental Affairs	3	?	0.23	?	-	Did not participate in the 2012 survey
Arts & Culture	0 ³⁰	2	0.6	0.24	No change	
Community Safety & Liaison ³¹	-	-	-	-	There is movement towards change	No internal M&E
Economic Development & Tourism	1	6	0.3	2	No change	
Education	2	-	0.01	0.01	Worse	
Health	6	4	?	0.01	No change	
Human Settlements	1	2	0.03	0.04	Worse	
Local Government & Traditional Affairs	2	5	0.9	0.73	No change	
Public Service Training Academy	1	-	5	-	Not functional	The M&E Unit is not functional
Public Works	0	2	0	0.13	Improved	
Social Development	1	8	1	0.5	No change	
Sports & Recreation	1	1	0.6	3.91 ³²	No change	
Transport	3	3	0.1	0.08	No change	
Treasury ³³	-	-	-	-	No change	No internal M&E

³⁰ There is only 1 manager for corporate strategy

³¹ Its M&E is only external, monitoring the Police service

³² The budget is for the Strategic Management Support, not only for the M&E Unit.

Provincial departments and municipalities	Number of key M&E staff		Percent of Departmental budget for M&E		M&E position in organisational structure in 2012 when compared to 2009	Additional remarks
	2009	2012	2009	2012		
Msunduzi Local Municipality ³⁴	-	1	0	0.01	Improved	

³³ It monitors other provincial departments, it does not have M&E unit for its internal activities.

³⁴ It does not have M&E unit per se, it is a Performance Management Unit that is functioning as M&E.

Annex II:

Median score³⁵ (in a scale 0-4) of each Department in the components M&E system

Provincial Departments	M&E components												Median score ³⁶
	Organisational	Human	Partnerships	M&E Plan	Costed M&E	Advocacy &	Routine	Surveys	Databases	Supervision	Evaluation and	Data	
Arts & Culture	3	2.5	3	2.5	3	3	3	2	1	2	1	3	2.75
Community Safety & Liaison ³⁷	4	2.5	4	4	4	3	3	3	2	2	3	3	3
Economic Development & Tourism	3	2.5	2	2	2	3	2	1	2	2	4	3	2
Education	2	1	1	2	1	2	2	2	2	1	2	2	2
Health	2	1.5	2.5	1.5	1.5	2	2	2	1	2	1	1	1.75
Human Settlements	3	0.5	2	1.5	4	3.5	3	1	0	2	1	4	2
Local Government & Traditional Affairs	3	2	2	2	2	3	3	1	1	2	1	4	2
Public Works	2	1	2.5	2	1	2	2	1	3	2	1	2	2
Social Development	3	2	1.5	2	3	2	3	1	1	3	1	2	2
Sports & Recreation	2	3	2	1.5	1	2	3	1	1	3	1	2	2
Transport	2	2	2	2	2	2.5	4	2	1	4	4	3	2

³⁵ The score was computed from each Department's M&E Unit responses

³⁶ 4=Yes-fully

3=Mostly

2=Partly

1=Not at all

0= Not sure

³⁷ The Department doesn't have internal M&E. It is only monitoring the Police Service.

Annex III:
M&E System Assessment questionnaire (KZN Provincial Departments)

Please indicate your response by 'X' in the spaces provided

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
Organization al Structures with M&E & Organisation al Alignment	Is the departmental M&E unit strategically positioned to strengthen its role in planning and management decision-making?					
	Are there incentives for M&E system performance?					
	Do you have vacancies in the M&E post?					
	Is there Job descriptions for all M&E staff?					
	Is there a defined career path for the M&E staff?					
	Is there departmental commitment to ensure M&E system performance?					
	Are there written mandates from the department for planning, coordinating and managing the M&E system?					
	Have you performed detailed diagnosis of M&E systems in the department in the past two years?					
Total						
%						
Human Capacity for	Have you performed M&E skills gap analysis in the past two years?					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
M&E	Do you have adequately trained human resources to conduct M&E functions?					
	Do you have capacity development plan for the M&E staff?					
	Do you have a costed human capacity building plan?					
	Do you have a standard curricula to address M&E capacity gaps?					
	Do you give M&E training to M&E staff?					
Total						
%						
Partnerships to Plan, Coordinate and Manage the M&E system	Do you have M&E unit in the district office?					
	Do you have regular M&E information flow from your district offices?					
	Is there a coordination mechanism with other departments at the district level to minimize fragmentation and duplication of effort in M&E functions?					
	Is there a coordination mechanism with other departments at the provincial level to minimize fragmentation and duplication of effort in M&E functions?					
	Is there a routine communication channel to facilitate exchange of information among stakeholders?					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
	Do you collect data related to programme areas from the private sector and/or civil society organisations?					
Total						
%						
Department al M&E Plan	Do all sub-reporting entities participate in the development of the departmental M&E plan?					
	Are baseline values available for all performance indicators?					
	Is the departmental M&E plan explicitly linked to the provincial M&E system?					
	Are all MDG targets and indicators domesticated to provincial circumstances?					
	Are sufficient financial resources allocated to any program or project for purposes of M&E? (specify what percent of departmental budget? _____%)?					
	Has the recommendations of the 2009 M&E system capacity assessment been addressed in your current departmental M&E plan?					
Total						
%						
Department	Do you have costed M&E work plan					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
al M&E Costed Work plan	with identified funding?					
	Are the departmental costed M&E work plans aligned with provincial M&E work plan?					
Total						
%						
Advocacy, Communication and Culture	Do you have departmental M&E communication and advocacy plan?					
	Are M&E advocacy activities implemented according to the M&E advocacy plan.					
	Is M&E explicitly referenced in departmental policies and Strategic Plan?					
	Are there high-level officials in the department that are M&E champions to actively advocate for M&E actions?					
	Is the M&E unit represented as part of the management and planning team?					
	Has there been M&E training to political and management heads in the department?					
Total						
%						
Routine Monitoring	Is the data collection strategy explicitly linked to data use?					
	Are there clearly defined data collection, transfer, and reporting mechanisms, including collaboration					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
	and coordination among the different stakeholders?					
	Are there written departmental guidelines on how data quality should be maintained?					
	Do entities delivering the same services use standardised or compatible data collection forms?					
	Do you use the same reporting template for the same service to the provincial government and national departments?					
	Do you provide regular feedback to all sub-reporting entities on the quality of their reporting?					
	Do you receive regular feedback from all entities that you report to on the quality of your reporting?					
Total						
%						
Periodic Surveys	Do you do regular surveys to collect citizen feedback on public services?					
Total						
%						
Departmental databases	Do you have an integrated departmental electronic database for programme/project monitoring data?					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
	Is there linkages between different relevant databases within the department to ensure data consistency and to avoid duplication of effort?					
	Is there linkages between different relevant databases within the province/country to ensure data consistency and to avoid duplication of effort?					
Total						
%						
Supervision and Data Auditing	Do you have guidelines for supportive supervision visits including data assessments and feedback to reporting entities?					
	Do you have data quality improvement action plans?					
	Do you do periodic data quality auditing?					
Total						
%						
Evaluation and Research	Do you have completed and/or ongoing department specific evaluations from the past two years?					
Total						
%						
Data Use	Do you get regular feedback from management for your M&E reports?					

Aspects of M&E Assessment	Questions	Response options				
		Yes- Fully	Mostly	Partly	Not at all	Not sure
	Are M&E reports related to the program/project activities made available publicly?					
	Do you have information dissemination schedule to local communities?					
	Are your M&E information products tailored to different audiences?					
	Does your report feed into the planning process and decision-making in the department?					
Total						
%						

Annex IV:
M&E System Assessment questionnaire (M&E Chief Directorate, Office of the Premier-KZN)

Please give responses to the following questions in relation to your M&E Unit.

Organizational Structures with M&E & Organisational Alignment	1.	Is the provincial M&E unit strategically positioned to strengthen its role in planning and management decision-making? Do you try to insist Departments also have strategically positioned M&E?
	2.	Have you performed detailed diagnosis of the M&E system and Nerve Centre?
	3.	Do you have vacancies in the M&E approved post? Is there a requirement of more?
Human Capacity for M&E	4.	Do you have skill shortages? How do you address it?
Partnerships to Plan, Coordinate and Manage the M&E system	5.	Is there a coordination mechanism for information exchange within departments?
	6.	Do you collect data related to programme areas from the private sector and/or civil society organisations?
Departmental M&E Plan	7.	Do you make sure that departments have M&E framework?
	8.	Are all MDG targets and indicators domesticated to provincial circumstances? Has Southern Insight completed its task? Has SWGs formed?
	9.	Are sufficient financial resources allocated to any program or project for purposes of M&E? (specify what percent of departmental budget? _____%)?
Departmental M&E Costed Work plan	10.	Is your work plan costed with identified funding?
Advocacy, Communication and Culture	11.	Do you have provincial M&E communication and advocacy plan?
	12.	Are there high-level officials in the department that are M&E champions to actively advocate for M&E actions? Training for them?
Routine Monitoring	13.	Do you receive routine report from departments? Municipalities? Feedback?

	14.	Are there standardising mechanism for having the same indicator for outputs and outcomes?
	15.	Do you report to the Department Performance M&E in the Presidency? Who at the national?
Periodic Surveys	16.	Do you do regular surveys to collect citizen feedback on public services?
Provincial databases	17.	Have the objectives and outcomes of the Nerve centre achieved?
	18.	Do departments' M&E access the Nerve centre? Who else?
	19.	Sustainability of the Nerve centre?
Supervision and Data Auditing	20.	Do you do supportive supervision visits to sub-reporting M&E units?
	21.	Do you do periodic data quality auditing?
Evaluation and Research	22.	Do you have completed and/or ongoing province specific evaluations from the past two years?
Data Use	23.	Do you get regular feedback from management for your M&E reports?
	24.	Does your report feed into the planning process and decision-making in the department?

Annex V:
Terms of Reference³⁸

**Outcome Evaluation of UNDP's Capacity Development Programme for the
enhancement of service delivery through good governance and capacity
development in South Africa**

Background and Programming Context

In 2007, a Common Country Programme Action Plan (CCPAP) was developed by government of South Africa and the UN in consultations with key stakeholders. The Plan was developed based on government national development processes, policies and programmes aimed at improving performance of state services. At the request of government, the UN commissioned national research institutions to undertake research study that identified country's priority needs. The recommendations of the study were reviewed extensively in collaboration with government, NGOs, CSOs, private sector, UN and other stakeholders. This prompted the government to conduct its own Country Analysis (CA) within the context of achieving the MDGs, South Africa's Vision 2014 and national development plans. The CA formed the basis for development cooperation in the country with all stakeholders including the UN. The CA led to the development of United Nations Development Framework (UNDAF) for 2007 – 2010.

UNDP developed a programme for 2007 – 2010 with five outcomes that were within the context of the UN reform processes, changing global aid architecture and global policy perspectives emanated from 2000 millennium summit and commitment to the achievement of the MDGs by 2015. The programme and its outcomes were also aligned to the priorities of the South African government aimed at improving service delivery of basic services particularly to the marginalized and vulnerable groups in the three provinces of Limpopo, KwaZulu-Natal and Eastern Cape.

UNDP has been working with key Ministries providing technical expertise in supporting the service delivery commitments of the government especially at provincial and local levels. UNDP provided

³⁸ This ToR includes other projects that are not covered in this report; there will separate reports for them

technical assistance in assessing service delivery constraints and contributed in strengthening the capacity of the state and its implementing partners in the following areas:

- Institutional and human capacity needs to promote capacity development and sustainability provincial and local levels.
- Strengthen capacity for strategic planning, monitoring and evaluation by providing technical support to enhance capacity for M&E within the Offices of the Premiers.
- Strengthen capacity to implement policy frameworks by providing support for the conceptualization, establishment and management of provincial learning/local government leadership academies as public service delivery development institutions.
- Promote advocacy and mainstreaming of MDGs, human rights and gender equality into Government Development Plans and Processes.

While some programme activities were successfully implemented during the programme cycle, some programme areas were not fully implemented nor started. These were due to various reasons including among others the re-profiling process that took place in 2007, the development of the CCPAP and the resignation of the RR and DRR in 2008, UNEG exercise that was conducted and the appoint of DRR in 2009, and the reposition process that took in 2010 under the leadership of the new RR.

Some of the key achievements of the programme implementation include:

- In collaboration with the StatsSA, UNDP supported the domestication of MDGs which resulted in promoting inclusive stakeholder participation and ownership of the MDGs process and reporting in the country. The production of the MDG Country Report-2010 has been a participatory process that involved national and provincial spheres of government, civil society, and business. To ensure quality of the report, seven MDGs Sectoral Working Groups, and a National Stakeholder Coordinating Committee were constituted to validate the report in collaboration with Cabinet.
- UNDP supported the process of building coalition around the MDGs in the country through the facilitation of a strong partnership between governments, CSOs and the academia on the MDGs. SANGOCO, for instance was involved in the MDGs domestication process.

- UNDP in collaboration with the RBA initiated partnership with United Nations Department of Economic and Social Affairs (UNDESA) on a project called “Realising the MDGs through socially inclusive macroeconomic policies” to support South African Government in pro-poor policies and programmes. The partnership had two objectives. First, evaluating and analysing the determinants of achieving the MDGs and generating various strategic options including optimisation of resource allocation for the timely achievement of the MDGs. Second, developing Government capacity on evidence-based policy analysis that would feed into decision making process.
- UNDP in collaboration with other UN agencies organised a high-level advocacy on MDGs during the 2010 FIFA World Cup that involved renowned African artists.
-
- In KZN, UNDP in collaboration with The Office of the Premier has been providing technical support for the establishment of monitoring and evaluation system essential for tracking progress including MDGs. In 2009, UNDP conducted a comprehensive Capacity Needs Assessment of Monitoring and Evaluation Systems in KwaZulu-Natal including assessment of capacity requirement (human, institutional, and systems) with a view to determining the most appropriate strategies to institutionalize M&E for tracking the MDGs and related development outcomes. In 2010, UNDP also conducted a rapid assessment on community-based M&E capacity in Nkandla Municipality in KZN. The lesson from these processes was expected to pave the way to the possible scaling up to other local government units. As part of the M&E support to the province, UNDP supported KZN to establish the following:
 - the provincial Nerve Centre as an automated and integrated information management system for monitoring and evaluating government service delivery in KwaZulu-Natal and the implementation of the performance management system to promote transparency and accountability, and
 - the KwaZulu-Natal Public Service Training Academy as a centre for human capacity development in the province. The academy has been focusing in research and training to strengthen the co-ordination of developmental assignments, the identification of needs, mentoring and coaching, as wells as knowledge exchange of international best practices
- In Limpopo, UNDP initiated and supported a partnership programme with the Department of Health and Social Development which began in 2002. The aim of this collaboration is to assist the Government of Limpopo in addressing the shortage of health personnel caused by

brain- drain and to building capacity of health professionals to improve service delivery and management of health care in the province. The First two Phases of the programme focused on the recruitment and placement of doctors. An independent evaluation of this programme was conducted in 2009 to assess the strengths and weakness as well as lessons learnt in supporting and promoting volunteerisms in the province. The programme currently has 38 doctors recruited placed in 14 hospitals of the province. About 20 more doctors are expected to join the programme before the end of this year. In this current phase (Phase III) which began in October 2009, in addition to the recruitment and placement of volunteers, the scope of the programme has expanded to include:

- Health Planning Support Programme (Health economics): The purpose of this sub-programme is to strengthen health service planning, capacity of local health personnel at policy and planning level, through the analysis, development and institutionalization of effective Health Planning. A consultant has been recruited and is currently finalizing the implementation as well as waiting for the department to establish a steering committee to support this programme.
- Knowledge management and leadership development: The purpose is to establish a Health Knowledge Management Centre/s to systematically generate, collect, store and utilize information to inform strategic planning processes. This sub - programme, also facilitates “knowledge development and exchange platform”, to enhance knowledge sharing between local and international practitioners. A leadership development programme is being implemented for relevant local Senior Managers to improve on overall departmental performance.
- Monitoring and evaluation, which includes the domestication of MDGs: The purpose of this sub-programme is to establish the provincial Department of Health and Social Development M&E system to improve on service delivery, accountability and strategic planning. It will also assist with the domestication of MDGs within the Limpopo DoHSD. A consulting firm has been recruited to develop the M & E system, and currently UNDP is finalising a contract.

UNDP is currently in the process of soliciting the services of a qualified service provider to conduct an outcome evaluation of its contribution to the Government efforts in improving service delivery in the country. This entails assessing UNDP’s support in strengthening the capacity of the government

of South Africa on strategic planning, monitoring and evaluation, promoting advocacy for mainstreaming MDGs, human rights, south-south cooperation, and gender equality.

2. Purpose of the Evaluation

This evaluation is being undertaken to evaluate the collective outcomes of the four years (2007 - 2010) of UNDP's contribution in **enhancing service delivery through good governance and capacity development in South Africa**. There have been delays in conducting this evaluation due to the repositioning process that took place in 2010 which resulted in the development of a new programme direction based on the recommendation of the 2007 – 2010 UNEG report. The country office is currently implementing the new programme starting from 2011 and ending 2012. The implementation is in line with the extension of the UNDAF process in 2011 to 2012. The evaluation report will present findings, conclusions, good practices, lessons learned, and recommendations. The evaluation results will be used by UNDP to improve its development partnership support services to the Government of South Africa to achieve its national development aspirations including the acceleration of the achievement of the Millennium Development Goals (MDGs) by 2015. The financial and technical resources of this evaluation will be devoted from programmes and projects that are contributing to the achievement and realization of this outcome.

3. Evaluation scope and objectives

This evaluation is expected to assess the outcomes of the programmes and projects that UNDP has been implementing in collaboration with the Office of the Premier in KwaZulu-Natal (KZN) and the Department of Health and Social Development in Limpopo. This will include assessment of the effectiveness, relevance and sustainability of the monitoring and evaluation project in KZN (Provincial Departments and three municipalities, Nerve Centre, and the Public Service Training Academy), and the UNV doctors' project in Limpopo. The evaluation is also expected to assess UNDP's contribution to the MDGs domestication and reporting process led by Statistics South Africa. This will include evaluation of the UN joint MDGs advocacy campaign conducted during the 2010 FIFA World Cup, and the domestication of the MDG targets and indicators at national and provincial levels, Realising the MDGs through socially inclusive macroeconomic policies, mainstreaming of human rights, south-south cooperation, and gender equality in programme implementation. The evaluation will also collate and analyse lessons learned and good practices obtained during the period of implementation that can be further rolled out to other parts of the country. The evaluation will cover a period from 2007 to 2010 of programme implementation.

Specifically this outcome evaluation has the following objectives:

- (i) to analyse and evaluate the effectiveness of the results that the projects have been able to achieve against the objectives, targets and indicators stated in the project document;
- (ii) to assess the effectiveness of the work and processes undertaken in the projects as well as the performance of all the partners involved in the project implementation;
- (iii) to assess whether the programme/project is the the appropriate solution to the identified problem(s);
- (iv) to determine the projects' relevance, and sustainability of results and benefits
- (v) to provide feedback and recommendations for subsequent decision making and necessary steps that need to be taken by the national stakeholders in order to ensure sustainability of the project's outcomes/results;
- (vi) to reflect on how efficient the use of available resources has been;
- (vii) to document and provide feedback on lessons learned and best practices generated by the projects during their implementation;
- (viii) to identify unintended results that emerged during implementation (beyond what had initially been planned for);
- (ix) to identify other factors that contributed to the outcomes, if any; and
- (x) to identify key adaptations in response to unforeseen circumstances; and
- (xi) to ascertain whether UNDP's partnership strategy has been appropriate and effective.
- (xii) to assess sustainability of results and benefits

4. Evaluation questions

The following outcome evaluation questions have been defined to generate appropriate information about the effective implementation of the programmes and envisaged outcomes. The proposed questions would help to provide relevant information to make decisions, take action, and add to knowledge. These outcome evaluation questions include:

- Were inputs sufficient and used efficiently?
- Were stated outcomes or outputs achieved?
- What progress toward the outcomes has been made?
- What factors have contributed to achieving or not achieving the intended outcomes?
- Are there unintended outcomes?
- To what extent has UNDP outputs and assistance contributed to outcomes?

- Has the UNDP partnership strategy been appropriate and effective?
- What factors contributed to effectiveness or ineffectiveness?
- Are the interventions relevant, effective and sustainable?

However, the evaluation team is expected to add and refine these questions in consultation with key stakeholders.

5. Methodology

An evaluation approach is indicated below, however, the evaluation team is responsible for revising the approach as necessary. Any changes should be in-line with international criteria and professional norms and standards (as adopted by the UN Evaluation Group). They must be also approved by UNDP before being applied by the evaluation team.

The evaluation must provide evidence-based information that is credible, reliable and useful. It must be easily understood by project partners and applicable to the remaining period of the project duration.

The methodology to be used by the evaluation team should be presented in the report in detail. It shall include information on:

- Documentation review (desk study) - the list of documents to be reviewed will be provided in advance by the Project Implementation Unit;
- Interviews will be held with the following organisations and individuals at minimum:
 - for the Monitoring and Evaluation, interviews will be held with the manager and staff of the Nerve Centre in the Office of the Premier in KZN; the manager and staff at the Public Service Training Academy in KZN; All KZN Provincial Departments, selected District and Local Municipalities, and selected consultants involved in key project assignments;
 - for the MDGs project, interviews will be held with the National Statistics System Division (staff in Stats SA, the Office of the Premier in KZN, National MDG Sectoral Working Groups, National Coordinating Committee, and Report Drafting Team)
 - in Limpopo, interviews will be held with the Programme Management Unit (PMU) including management staff and consultants, UNV doctors and the designate programme staff in the Department of Health and Social Development in Limpopo
- Field visits;

- Questionnaires;
- Participatory techniques and other approaches for the collection and analysis of data.

The consultants should also provide **ratings** of Project achievements according to Project Review Criteria. Aspects of the Project to be rated are:

1	Implementation approach
2	Country ownership/drivers
3	Outcome/Achievement of objectives (meaning the extent to which the project's development objectives were achieved)
4	Stakeholder participation/public involvement
5	Sustainability
6	Replication approach
7	Cost-effectiveness
8	Contribution to human rights and gender equality
9	Monitoring and evaluation

The ratings to be used are:

HS	Highly Satisfactory
S	Satisfactory
MS	Marginally Satisfactory
MU	Marginally Unsatisfactory
U	Unsatisfactory
HU	Highly Unsatisfactory
NA	Not applicable

6. Evaluation products (deliverables)

The key evaluation products that the evaluation team is expected to produce should include:

- **Evaluation inception report** - An inception report will be prepared by the evaluators before going into the full fledged evaluation exercise. It should detail the evaluators' understanding of what is to be evaluated and why, showing how each evaluation question will be answered by way of: proposed methods; proposed sources of data; and data collection procedures. The inception report should include a proposed schedule of tasks, activities and deliverables, designating a team member with the lead responsibility for each task or product. The purpose of the inception report is to provide an opportunity to verify and share the same understanding about the evaluation and clarify any misunderstanding at the outset.
- **Draft evaluation report** - The programme unit and key stakeholders in the evaluation will review the draft evaluation report to ensure that the evaluation meets the required quality criteria.
- **Final evaluation report.**
- **Evaluation brief and other knowledge products** or participation in knowledge sharing events, if relevant.

7. Evaluation team composition and required competencies

The evaluators selected should not have participated in the project preparation and/or implementation and should not have conflict of interest with project related activities.

The evaluation team will be composed of one Team Leader and one National Consultant. The evaluators shall have prior experience in evaluating similar projects. Former cooperation with UNDP is an advantage.

The selection of consultants will be aimed at maximising the overall “team” qualifications and competencies in the following areas:

- (i) At least Masters education (preferably in Development and Public Management, Public Policy Analysis, or related fields in social science);
- (ii) Recent experience with result-based management evaluation methodologies;
- (iii) Experience applying participatory monitoring approaches;
- (iv) Experience applying SMART indicators and reconstructing or validating baseline scenarios;
- (v) Recent knowledge of the UNDP Monitoring and Evaluation Policy;
- (vi) Recent knowledge of UNDP's results-based evaluation policies and procedures
- (vii) Demonstrable analytical skills;
- (viii) Work experience in relevant areas for at least 8 years;

- (ix) Experience with multilateral or bilateral supported capacity development projects;
- (x) Project evaluation experiences within United Nations system will be considered an asset;
- (xi) Excellent English communication skills (oral and written).

The evaluators must be independent from both the policy-making process and the delivery and management of assistance. Therefore, evaluators who have had any direct involvement with the design or implementation of the project will not be considered. This may apply equally to evaluators who are associated with organisations, universities or entities that are, or have been, involved in the project policy-making process and/or delivery of the project. Any previous association with the project or other partners/stakeholders must be disclosed in the application.

If selected, failure to make the above disclosures will be considered just grounds for immediate contract termination, without recompense. In such circumstances, all notes, reports and other documentation produced by the evaluator will be retained by UNDP.

VI. Evaluation team – specific tasks

The Team Leader will have overall responsibility for the delivery and quality of the evaluation products. Specifically, the Team Leader will perform the following tasks:

- Lead and manage the evaluation mission;
- Design the detailed evaluation scope and methodology (including the methods for data collection and analysis);
- Decide the division of labor within the evaluation team;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);
- Draft related parts of the evaluation report; and
- Finalise the evaluation report.

The National Consultant will provide input in reviewing all project documentation and will provide the Team Leader with a compilation of information prior to the evaluation mission. The National Consultant will perform tasks with specific focus on:

- Review documents;
- Prepare a list of the outputs achieved under project;
- Organise the mission programme and provide translation/interpretation when necessary;
- Participate in the design of the evaluation methodology;
- Conduct an analysis of the outcome, outputs and partnership strategy (as per the scope of the evaluation described above);

- Draft related parts of the evaluation report;
- Assist Team Leader in finalising document through incorporating suggestions received on draft related to his/her assigned sections.

The evaluation will be conducted in accordance with the principles outlined in the UNEG 'Ethical Guidelines for Evaluation:

- Independence
- Impartiality
- Transparency
- Disclosure
- Ethical
- Partnership
- Competencies and Capacities
- Credibility
- Utility

8. Evaluation ethics

The evaluators must read and familiarise themselves with the evaluation ethics and procedures of the UN System to safeguard the rights and confidentiality of information, for example: measures to ensure compliance with legal codes governing areas such as provisions to collect and report data, particularly permissions needed to interview or obtain information about children and young people; provisions to store and maintain security of collected information; and protocols to ensure anonymity and confidentiality.

9. Implementation arrangements

The principal responsibility for managing this evaluation lies with UNDP South Africa Country office. UNDP South Africa will contract the evaluators and ensure the timely provision of per diems and travel arrangements within the country for the evaluation team. UNDP will liaise with the evaluators to set up stakeholder interviews, arrange field visits, coordinate with the Government, etc.

10. Timeframe, resources, logistical support and deadlines

The evaluation will be completed in a period of about 36 days, from the date of commencement. The report shall be submitted to the UNDP South Africa Country Office.

Prior to approval of the final report, a draft version shall be circulated for comments to government counterparts, project team and UNDP South Africa. If any discrepancies have emerged between the findings of the evaluation team and the aforementioned parties, these should be explained in an annex attached to the final report.

Table 1: The activities and timeframe are broken down as follows:

Activity	Timeframe and responsible party
Desk review	3 days by the Team Leader and National Consultant
Briefings for evaluators	1/2 day by the UNDP procurement Unit
Field visits, interviews, questionnaires, de-briefings	4 days by the Team Leader and National Consultants
Preparation of first draft report	4 days by the Team Leader and National Consultant
Review of preliminary findings with project stakeholders through circulation of the draft report for comments, meetings and other types of feedback mechanisms	10 days UNDP South Africa Office and Government Counterparts
Incorporation of comments from project stakeholders and submission of second draft report	2 days by the Team Leader and National Consultant
Review and preparation of comments to second draft report	10 days UNDP South Africa Office, and Government Counterparts
Finalisation of the evaluation report (incorporating comments received on second draft)	2 days by the Team Leader and National Consultant
Stakeholder Validation Workshop of the evaluation report	½ day facilitated by the Team Leader

11. Format of Final Report:

The key product expected from this programme evaluation is a comprehensive analytical report in English that should, at least, include the following contents:

- Title and opening pages
 - Name of the evaluation intervention
 - Names and organizations of evaluators
 - Acknowledgements
- Table of contents
- List of acronyms and abbreviations
- Executive Summary
- Introduction
- Description of the intervention
- Evaluation scope and objectives
- Description of the evaluation methodology
 - Findings and conclusions
 - Programme Relevance
 - Programme Results: Progress towards Programme Outcome
 - Programme Efficiency and Effectiveness
 - Internal programme efficiency
 - Partnership strategy
 - Changes in context and outside of programme control
 - Sustainability of results
- Recommendations
- Lessons Learned (including good practices and lessons learned)
- Annexes: ToRs, field visits, people interviewed, documents reviewed, etc.

All interested applicants should submit: a recent CV; a brief outline of the evaluation approach and methodology; period of availability, a proposed budget for the assignment implementation to:

www.undp.org.za. **Application deadline: 31 October 2011.**