

Diagnostic Review of the Province-wide Monitoring and Evaluation system



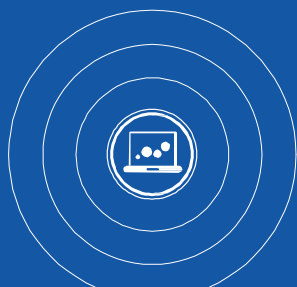
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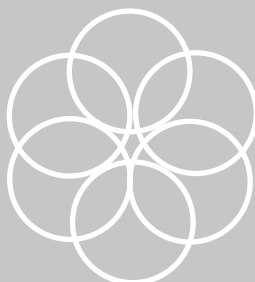
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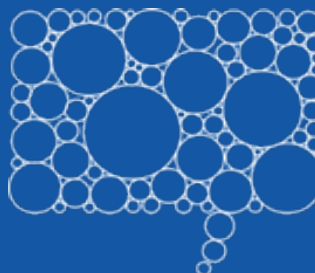
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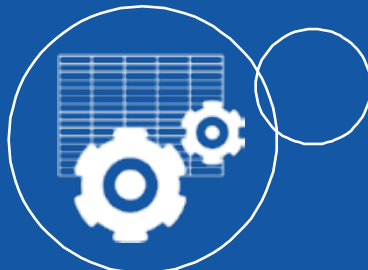
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POLICY



SUSTAINING THE M&E SYSTEM



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A diagnostic review of the Province-Wide Monitoring and Evaluation System

Document Number LTD DOTP/03/2016

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EXECUTIVE SUMMARY

The Western Cape Government (WCG) has embarked on an important milestone in the development of its Provincial Wide Monitoring and Evaluation System (PWMES). After the compilation of its first PWMES framework in 2009, the system has matured through a number of phases. It has reached a stage where there is widespread awareness of the importance of Monitoring and Evaluation (M&E) and Results-Based Management (RBM) that has been integrated in M&E approaches and information management tools.

With the purpose to well inform the following phase, a diagnostic review was commissioned. This review report describes the developments and achievements of the Department of the Premier (DotP); and in particular that of the Chief Directorate: Strategic Management Information (CD: SMI); that has been mandated with developing and steering the development of the PWMES. The report identifies opportunities for further development of the PWMES and presents concrete suggestions on how to take these forward.



The conceptual model underpinning this diagnostic review has been informed by international practice in analysis of M&E systems as well as the PWMES results-chain developed by the CD: SMI. It focuses on M&E “building blocks”, which provide the vision, mandates and resources for M&E activities and include: culture, policy, people, technology and finance for M&E. These building blocks support the M&E “processes” of the PWMES. The processes include: availability of and access to

relevant and good quality data; extracting insights and lessons through analysis and evaluation; strategic decision-making and sustaining the PWMES. It is assumed that the building blocks are largely within the sphere of control of the Premier’s department, whereas M&E “processes” stretch into the sphere of influence as they extend beyond the boundaries of the Department of the Premier, and are very much dependent on the motivations and capabilities of WCG staff members’.

The diagnostic review process followed a participatory approach in that the CD: SMI participated in the formulation of the diagnostic review questions, the design of aspects of the diagnosis and report writing. This contributed to ownership of the process and findings of the diagnostic review by the WCG. A mixed-methods approach was used involving an electronic survey, key-informant interviews and focus group discussions. The main findings were included in a SWOT analysis, which informed the final recommendations.

Findings

The Western Cape Model pursues a strong drive towards Results-Based M&E (RBME) through the integration of management information and improving access and quality of performance and strategic information. It offers a solid foundation to further build on. This includes a policy framework for PWMES, a sophisticated IT information system (integrated Business Intelligence tools), and a central technical coordination unit (CD: SMI) in The Premier's department that coordinates and expands progress in evidence-based decision-making. Furthermore, financial resources are committed to support this process and the WCG professionals welcome the efforts made in supporting evidence-based decision-making in the Province.

Besides these strengths of the PWMES, some weaknesses were identified. There is room for strengthening incentive mechanisms for using M&E so that it is no longer regarded as a compliance exercise. A substantial segment experiences M&E as a control function and refers to a "fear for failure". In addition, improvements in the BI infrastructure are perceived to be supply driven. Regarding the M&E function it was found that there are no clear M&E roles and responsibilities formulated resulting in an unknown number of staff performing M&E functions in the Province. This also relates to a lack of insight into total spending on M&E in the WCG.

As a result of the efforts made in developing a sophisticated IT infrastructure and through supporting RBME, the WCG has gained valuable insight into the actual business processes within its complex organisation. This provides an important opportunity for addressing systemic changes and improvements within the PWMES. One of these relates to the incorporation of the BI system in the organisation through developing a demand driven online BI-strategy providing relevant data to users. Another relates to rewarding RBME processes, especially evidence-based decision-making. Increased insight in business processes coupled with the role out of BI systems also offers the opportunity to identify capacity needs and gaps for strengthening the implementation of the PWMES. Significant budget cuts urge the WCG to make a strong business case for province-wide integration of M&E. This could in turn benefit buy-in and actual use of M&E processes and information in the Western Cape Province.

In order for the PWMES to be sustained, it is important that there remains strong leadership in pursuing M&E in the Province. Especially with reference to the utilisation

of M&E information, lack of trust and supportive leadership may feed reluctance to share data. It has been noticed that this applies to both Departments outside the DoTP as well as within the DoTP, where limited coherence and cooperation exists between Strategic Policy development, Data Systems and M&E functions. Another area for concern relates to the duplication and lack of acceptance of changes in systems and processes. This is compounded by the threat of budget cuts which creates further uncertainty about the importance and relevance of M&E.

Recommendations

In order to grow and sustain the PWMES across the levels of government and sectors, more attention should be given to strengthen linkages between management information systems (ICT infrastructure), roles and mandates across departments and levels of government (policy), supporting organisational change and incentive mechanisms (culture), capacity development and responsibilities (people), and securing sustained financial support for M&E (finance).

Further development and the operationalisation of BizBrain, which is one of the major investments made in the past years, provides an opportunity to address the required business processes in information generation (standards), security issues and trust that support sharing of information and use thereof for strategic decision-making as well as ensuring that adequate resources and skills for M&E are secured and maintained.

In addition to this rather general comment on using improvement in business intelligence technology to further strengthen the other M&E system building blocks, some more specific recommendations follow from the review.

On policies: Whilst the broad lines of M&E responsibility are described, the policies are less clear on who or what units in the departments are responsible for implementing institutional M&E. The roles of the various platform or committees that support the PWMES need further specification and explanation.

On people: Mandates and roles of the units within the DoTP and in other departments should be better defined so that staff knows: who is responsible for integrating M&E; when and how M&E information should assist in reviewing performance; how the new system links to existing management and decision-making systems and what the relation is between the M&E information products and planning and reporting cycle(s). An important addition to the M&E framework should be a capacity building plan. Also important is to develop a Human Resource Plan for M&E detailing how the institution will put in place the human capacity to fulfil its M&E functions.

On culture: The focus on strategic information is very strong and very strongly related to the mandate of the CD: SMI. Whilst this has great advantages in that it allows for and supports a strong focus on M&E information and information systems, it does

seem to strengthen a focus on data management; and less on embedding a practice and culture of critical analysis of monitoring *and* evaluation information for learning and policy making. This phase could be included in the PWME model and be supported by a learning strategy.

On finance: No guidance is given with regards to securing financial resources for the development of IT systems, conducting evaluations and M&E capacity development of staff. The WCG could introduce targets in terms of percentages of spending on M&E or evaluations. Another or perhaps complimentary approach could be to incentivise expenditure on M&E through means of bonuses for better informed programmes and proof of critical assessment and learning.

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Abbreviation	Description
APP	Annual Performance Plan
BI	Business Intelligence
CBM	Citizen-Based Monitoring
CD	Chief Director
CD: SMI	Chief Directorate: Strategic Management Information
D	Director
DAC	Development Assistance Committee
DDG	Deputy Director-General
DEA&DP	Department of Environmental Affairs and Development Planning
DotP	Department of the Premier
DPSA	Department of Public Service and Administration
ETWG	Evaluation Technical Working Group
EXCO	Executive Committee
FOSAD	Forum of South African Directors-General
FSDM	Frontline Service Delivery Monitoring
GWMES	Government-wide Monitoring and Evaluation System
HOD	Head of Department
ICT	Information and Communication Technology
IDP	Integrated Development Plan
JPI	Joint Planning Initiative
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MEC	Member of the Executive Council
MPAT	Management Performance Assessment Tool
MTEC	Medium Term Expenditure Committee
NEPF	National Evaluation Policy Framework
NES	National Evaluation System
OECD	Organisation for Economic Co-operation and Development
PCAS	Policy Coordination and Advisory Service
PEP	Provincial Evaluation Plan
PID	Project Initiation Document
PSG	Provincial Strategic Goal
PSM	Provincial Strategic Management
PSP	Provincial Strategic Plan
PTMS	Provincial Transversal Management System
PWME	Province-wide Monitoring and Evaluation
PWMES	Province-wide Monitoring and Evaluation System
RBM	Results-Based Management
RBME	Results-based Monitoring and Evaluation
RSA	Republic of South Africa
SASQAF	South African Statistical Quality Assessment Framework
SDG	Sustainable Development Goal
ToR	Terms of Reference
SWOT	Strengths, Weaknesses, Opportunities, Threats
WCG	Western Cape Government
WCG PEP	Western Cape Government Provincial Evaluation Plan

1. INTRODUCTION

1.1 Purpose and rationale for doing the diagnostic review

The Western Cape Government (WCG) strives to improve service delivery and foster accountability. In order to be able to account for efforts made in improving service delivery and to demonstrate results achieved, the province has developed a Province-wide Monitoring and Evaluation System (PWME). The system is evolving from a means to account for money spent, activities undertaken and for outputs directly under the control of the province into one that allows for assessing the province's contribution to development results; and the impact it makes on people's lives. This results-based approach¹ aims to support the province in accounting for its investments and achievements and to make well-informed strategic decisions based on what is known about what works and what does not: hence relating to evidence-based decision-making.

The Chief Directorate: Strategic Management Information (CD: SMI) within the Department of the Premier, has recently published the WCG Strategic Framework for Province-wide Monitoring and Evaluation (PWME) 2016-2020. This is the second PWME framework² produced by the WCG since 2009, when the National Government-wide Monitoring and Evaluation System (GWME) started to find its way into the provincial structures. Whilst the first PWME Framework (2009) focused on the introduction of the Results-Based Monitoring and Evaluation (RBME) approach, the second framework focused more on the data and information products and establishing a business intelligence information solution and norms and standards for data quality improvement (commonly known as Data Governance) to support evidence-based decision-making.

The improvement of Monitoring and Evaluation (M&E) in the WCG does not only require high level management support, but also requires the financial means for strengthening or cementing the building blocks of the WCG PWME. In order to support the development of a financial plan for the further development of the system, it was decided to first conduct a diagnostic review of the current province-wide system. This diagnostic review aims to provide suggestions for the implementation of the 2016-2020 PWME framework that has recently been developed by the CD: SMI in 2015. Furthermore, the diagnostic review should provide

¹ The results-based management approach focuses on the results of development initiatives and shifts away from focusing on resources and procedures required when implementing projects, policies or programmes (Spreckley, 2009: 3). The Development Assistance Committee (DAC) coined results based management as "a broad management strategy aimed at achieving important changes in the way government agencies operate, with improving performance (achieving better results) as the central orientation." It also notes that, "while performance measurement is concerned more narrowly with the production or supply of performance data, performance management is broader. It is equally concerned with generating management demand for performance information – that is, with its uses in management decision-making processes and with establishing various organizational mechanisms and incentives that actively encourage its use. In an effective performance management system, achieving results and continuous improvement based on performance information is central to the management process" (Binnendijk, 2000: 3).

² An M&E Framework is defined in this report as a document that describes the M&E system.

the WCG with a report on the major Monitoring and Evaluation developments over the past years, the current status of the framework and suggestions for improvements in the future institutionalisation of the framework. This process should support the CD: SMI in taking M&E within the WCG to the next ambitious level.

The diagnostic review report describes how the PWMES has advanced over the past decade within the context of national and provincial policy changes affecting M&E within South Africa. Following a description of the current M&E framework, the diagnostic report presents a review of the key M&E processes and building blocks, which are summarised within the context of a SWOT analysis. The report concludes with recommendations for improvements and suggestions for the further institutionalisation of the updated 2016-2020 WCG PWME framework.

It is the intention to develop a strategic funding plan based on this diagnostic report. Due to current budget constraints throughout government, the WCG seeks to develop a strategy to raise funds to sustain and further develop and institutionalise the WCG PWMES. The diagnostic review aims to provide clarity on what is required from the PWMES to support delivery on a 24/7 basis to its stakeholders and the Western Cape citizenry, on what should be improved or strengthened within the framework; and how much and what kind of effort and resources will be required to further institutionalise this framework (see also the ToR in Annexure 1).

1.2 Structure of the report

The introductory chapter of this report explains the conceptual model underpinning the diagnostic review and how the review was conducted within certain limitations.

Chapter two presents the main findings. It commences with a historical overview of key changes in the national and provincial M&E systems. This is followed by analyses of specific components of the system and M&E processes based on qualitative and quantitative research using primary and secondary data.

Following a SWOT analysis of the PWMES, recommendations for improvement are provided in chapter three of this report. The report is further complemented by a strategic funding plan that aims to take some of these conclusions and recommendations forward for implementation.

1.3 Definition of PWMES and scope of the diagnostic review

The PWMES encompasses a broad range of M&E related regulations, resources, management information systems, practices, and products that serve as key elements that can also be referred to as building blocks and processes. In delineating the scope and focusing on the diagnostic review, a working definition for the M&E system was identified. The diagnostic uses Nigel Simister's (2009) definition of an M&E system: 'a series of policies, practices and processes that enable the

systematic and effective collection, analysis and use of monitoring and evaluation information'.³

This definition is closely related to the one presented in the Policy Framework for the Government-wide Monitoring and Evaluation System (2007): 'a monitoring and evaluation system is a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables national and provincial departments, municipalities and other institutions to discharge their M&E functions effectively. In addition to these formal managerial elements are the organisational culture, capacity and other enabling conditions which will determine whether the feedback from the M&E function influence the organisation's decision-making, learning and service delivery'.⁴

The reason for using Nigel's definition is that it more clearly distinguishes actual M&E practices (collection, analysis and use of M&E information), from its building blocks, that Nigel refers to as being "a series of policies, practices and processes". This definition helps in delineating the scope of the diagnosis; it defines the subject of the diagnosis in the absence of a definition by the WCG.

The following 13 WCG Departments are included in this diagnosis:

- Department of the Premier
- Department of Agriculture
- Department of Community Safety
- Department of Cultural Affairs and Sport
- Department of Economic Development and Tourism
- Department of Environmental Affairs and Development Planning
- Department of Human Settlements
- Department of Local Government
- Department of Provincial Treasury
- Department of Social Development
- Department of Transport and Public Works
- Department of Health
- Western Cape Education Department

The diagnostic review covers the institutionalisation of the 2009-2014 PWME framework with the aim to provide suggestions for institutionalisation of the updated 2016-2020 M&E framework. In effect, the review covers the period 2009 up to July 2016.

³ Nigel Simister (2009). Developing M&E Systems for Complex Organisations: A Methodology. M&E paper 3. INTRAC.
<http://www.intrac.org/data/files/resources/663/Developing-ME-Systems-for-Complex-Organisations.pdf>

⁴ Policy Framework for the GWME (2007).
<http://www.dpme.gov.za/publications/Policy%20Framework/Policy%20Framework%20for%20the%20GWME%20system.pdf>

1.4 Conceptual framework

In order to guide and structure the diagnostic review, a conceptual framework for reviewing M&E systems has been formulated in collaboration with the CD: SMI. Since there is not a generally accepted M&E systems review model or a set of criteria to review government M&E systems against – neither in South Africa nor beyond its boundaries – it was decided to define one specifically for the diagnosis of the PWMES.

The conceptual framework used for the diagnostic review is partially based on internationally accepted or dominant views on when an M&E system is functioning well. These typically include approaches proclaimed by the World Bank and the Development Assistance Committee (DAC) of the Organisation for Economic Co-operation and Development (OECD) that both strongly influenced the South African GWMES and the WCG PWMES. The other major source for the conceptual framework used in the diagnostic review is the WCG's concept of the PWMES. As will be shown below, the WCG PWMES follows a straightforward logic from building blocks of the system to M&E processes and results of M&E. This provides a useful approach for conceptualising the mechanisms of the M&E system.

The international and provincial perspectives have been combined and resulted in an easy to understand conceptual model that distinguishes *M&E processes* from *system building blocks*. This conceptual model is used to present the findings of the review. Prior to these being explained in more detail, the international views on how to review an M&E system and the conceptual presentation by the WCG of its PWMES are presented.

1.4.1 International approaches in reviewing M&E systems

In collaboration with the WCG it was decided to follow the guidance provided by Lopez Acevedo, Krause and Mackay (2012). In their review of various national monitoring and evaluation systems they identify three (3) characteristics of successful M&E systems: Utilisation, Data quality and Sustainability.⁵

According to these authors, an M&E system is successful when:

1. M&E information is being used for decision-making and learning;
2. The quality of data adheres to acceptable levels or norms and standards; and
3. The M&E system is integrated into other management processes and information systems and regularly reviewed and adapted to changing requirements and situations. The levels or degree of utilisation, data quality and sustainability will be central to the diagnostic review.

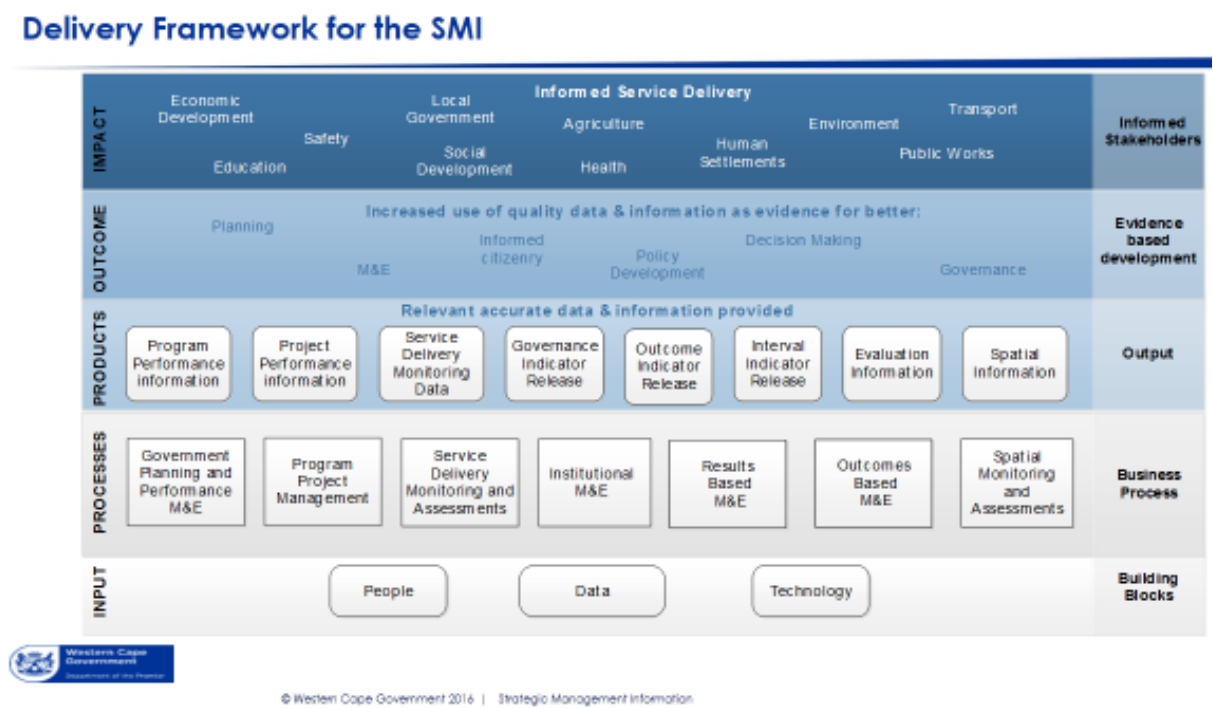
⁵ Keith Mackay (2012). Conceptual Framework for Monitoring and Evaluation. In Lopez Acevedo, Gladys. Philipp Krause, Keith Mackay, Building better policies: the nuts and bolts of monitoring and evaluation systems. International Bank for Reconstruction and Development / International Development Association or The World Bank, Washington DC, p.21-31.

Geoffrey Shepherd (2012) proposes concrete, **key topics to cover in a diagnosis** of an M&E system.⁶ It should be noted that these topics are fairly broad and more systems oriented than those that are covered, for instance in the well-known OECD / DAC tool for reviewing *evaluation* systems.⁷ The topics, presented in Annexure 2, have been operationalised through key questions covering different aspects of Utilisation, Data Quality and Sustainability.

1.4.2 The Results Chain of PWMES

Another way of reviewing the PWMES is by looking at the intended outcomes of the system and the pathway through which it intends realising these. This could also be referred to as a Theory of Change or logic model approach. Figure 1 reveals the logic behind the PWMES as presented in WCG Strategic Framework for PWME 2016-2020. It presents a simple results chain that includes inputs, processes, outputs, outcomes and impact.

Figure 1: Result-chain logic PWMES



The results chain demonstrated in Figure 1 can be overlaid by the concepts of utilisation, data quality and sustainability, by linking utilisation to outcome and data quality to one of the outputs; and by including sustainability as a vertical dimension linking inputs to outputs and outputs to outcomes and outcomes to impacts.

⁶ Geoffrey Shepherd (2012). Conducting Diagnoses of M&E Systems and Capacities. In Lopez Acevedo, Gladys. Philipp Krause, Keith Mackay, Building better policies: the nuts and bolts of monitoring and evaluation systems. International Bank for Reconstruction and Development / International Development Association or The World Bank, Washington DC, p.47-62.

⁷ DAC Evaluation Network (2006). Evaluation Systems and Use - a Working Tool for Peer Reviews and Assessments. <http://www.oecd.org/dac/evaluation/dcdndep/35857765.pdf>.

1.4.3 PWMES diagnostic review lens

Based on the international views on M&E systems, the diagnosis thereof, and the results chain of the PWMES as presented in the Strategic Framework for the PWMES (2015), a comprehensive conceptual framework for the diagnostic review was developed that includes the key success factors of M&E systems and the elements presented in the PWMES results chain.

The diagnostic review focuses on fundamental “building blocks” of M&E systems that include the building blocks presented in Figure 1. In addition it focuses on key M&E “activities” or “processes” that cover the other elements of the results chain (data generation, evaluations and utilisation of M&E information). The building blocks and processes are presented in Figure 2 below.

Figure 2: M&E system building blocks and processes



The fundamental building blocks (in silver) include:

- Dominant organisational culture in terms of the purposes and practices of M&E;
- Policies related to M&E at a provincial level and the local and national levels;
- People involved in the M&E supply and demand sides;
- Technology supporting information management; and
- Financial resources for M&E building blocks and processes.

The M&E processes (in blue) include:

- Ensuring availability of and access to relevant and good quality data;
- Extracting insights and lessons through proper analysis of data and evaluation of interventions;

- Strategic decision-making through using insights and lessons learnt; and
- Sustaining the M&E system through investments, incentivising and coordination.

The reasoning or logic behind this model is that culture, policy, people, technology and finance provide the vision, mandates and resources for M&E activities. The M&E activities or processes in turn, cement and reinforce the M&E system. The process of sustaining the M&E system especially aims to strengthen and coordinate the building blocks and processes.

In terms of results chain reasoning one could say that M&E “building blocks” are largely within the *sphere of control* of the Premier’s department, and the M&E “process” move towards the *sphere of influence* since M&E is a transversal function stretching beyond the boundaries of the Department of the Premier. Moreover, the actual M&E activities depend strongly on the capabilities and motivation of WCG staff members to apply and use the PWMES. These are not easily changed or managed.

The questions asked as part of the diagnostic review of the WCG PWME framework addresses: how well developed the M&E building blocks are; how efficient and effective the M&E processes are and to what extent the building blocks and M&E activities reinforce the functioning of the M&E system.

The process of ensuring availability of and access to relevant and good quality data and information, typically involves activities such as the selection of data to be collected or assembled and methods for doing so, data collection and assembling processes, aggregation and disaggregation of data, data distribution and communication.

Before good quality and relevant data can be used in decision-making, the data need to be well understood and analysed in an evaluative process. Analysis and evaluation serve to translate data into useable and useful information. A very important question relates to whether the programmes and projects that are being or might be undertaken are actually relevant in achieving the high level strategic goals that focus on improved provincial service delivery and good governance. Another important question relates to whether the interventions of the WCG are effective and efficient. This step is often overlooked, implicitly included in M&E information use or encapsulated in the step of data collection and making it available. It however became apparent during the diagnostic review process that this step is very important and requires to be distinguished as a separate process within the M&E system.

The intended primary result of having M&E information is the utilisation of M&E information in decision-making. Once the answers to questions on how well certain strategies and programmes work and why, have been given, it becomes a matter of

using these insights when making decisions about (dis-)continuation, or down- or up scaling of the interventions. Strategic planning should be informed by insights in what programmes or projects works and why. The WCG has adopted the Results-Based Management (RBM) approach, which gives further definition to the processes followed in planning and M&E.

The M&E system is neither a new nor a temporary mechanism for supporting the WCG in achieving its goals and objectives. It is expected to support the (results-based) management of the organisation and its interventions. Coordination of M&E processes and continued investments in the key recommended building blocks is required; and hence it is essential for the M&E system to be sustained.

2 Diagnostic review approach

The WCG PWMES has been reviewed in terms of its development and functioning of its building blocks and processes. Each component (building blocks and process) has been reviewed on its own and in relation to the other building blocks and processes. Various types of analysis and methods were used to achieve this.

2.1 Types of Analysis

The diagnostic review provides first a historical overview of the development of the building blocks and processes of the PWMES. It does this against the background of developments within the GWMES of South Africa.

The analysis of the building blocks of the PWMES provides an overview of the users and producers of M&E information. It demonstrates who the various stakeholders of the PWMES are and what their work environments (culture, policies, infrastructure and finance) constitute. To this end an environmental scan has been conducted.

The M&E processes (related to data, learning, utilisation, and sustaining M&E) have been reviewed as part of a needs analysis that identifies the gaps between actual and intended M&E processes; and the building blocks that should ideally support M&E.

The results of the various types of assessments of the PWMES building blocks and process informed the SWOT analysis. The SWOT analysis fed into suggestions for improvements of the PWMES, taking into account current as well as foreseen needs for supporting and strengthening the M&E system, and served as motivation for the funding proposal. With regard to the funding approach, the funding proposal links the proposed system changes to investments and roles and responsibilities of the various groups of stakeholders.

2.2 Data collection methods

The historical analysis, environmental scan and the needs analysis are based on various methods (qualitative and quantitative) and types of data (primary and secondary) that aim to secure triangulation of the findings. These include a document review, in-depth individual and group interviews as well as the completion of an electronic survey by WCG staff.

The document review involved a review of national and provincial policies, frameworks, strategies and plans, including various M&E products, such as the compendium of indicators, indicator frameworks and guidelines. In addition, existing reviews and assessments both at provincial and national levels were used (e.g. WCG RBM&E maturity assessments and MPAT analytics and assessments). See the bibliography for all the documents that have been consulted in the review process.

Semi-structured individual interviews have been conducted with the Director – General of the WCG, the Head of Provincial Treasury, nine (9) of the Heads of Departments, and key executive officials within the Department of the Premier. Focus group interviews were held with service providers that currently work with the DotP, the Data Governance Technical Committees, the departmental M&E officials and Information Communication and Technology (ICT) experts that work in the unit 'Transversal Applications' within the WCG domain. This was done over a one (1) week period in July 2016 with additional discussions held with officials within the CD: SMI before and after the selected interview period.

The diagnosis includes individual and group interviews with:

- Members of DotP EXCO;
- ICT experts of the unit 'Transversal Applications' that is tasked with building the Biz Systems;
- Data Governance Technical Committees;
- Service providers;
- Provincial Heads of Departments;
- Provincial departmental Monitoring and Evaluation officials; and
- Department of Planning, Monitoring and Evaluation (DPME)

Annexure 3.1 provides the list of interviewees and annexure 3.2 the interview schedules. A structured questionnaire was sent via Survey Monkey to all the Departments on 7 June 2016. In total 145, 69 (54%) valid responses were received by 21 July. The questionnaire was designed to assess stakeholder experiences with the PWMES and perceived strengths and weaknesses among a wide group of users and producers of M&E information. Preliminary results of the survey were used to elicit discussions in the focus group discussions and final results have been included in the review of the building blocks and processes.

2.3 Review approach

A participatory approach has been followed in the design and implementation of this diagnostic review. The PWMES included stakeholders from different areas of specialisation, who were able to contribute information that was important to the review. Moreover, in order to stimulate an understanding of the M&E system and uptake of proposed changes within the system, it was essential to ensure participation of key “change makers” and decision-makers as well as users of the PWME system.

The CD: SMI participated in the formulation of the diagnostic review questions and the design of aspects of the diagnosis. It also contributed to the report writing. This contributed to ownership of the process and findings of the diagnostic review by the DotP.

A steering committee was established to provide an external, expert opinion on the approach adopted, progress and content related to the diagnostic review. The steering committee was also part of the validation workshop.

2.4 Presentation of findings and conclusions

The diagnostic review findings focus firstly on the development of the PWMES over the past decade; and then on the current building blocks of the system: the policies affecting the M&E system, the people who use and create the system, the organisational culture, its infrastructure and financial resources supporting the system. Lastly, it presents findings regarding the actual processes or ‘results’ in M&E, including generating, learning from and using M&E information and sustaining these processes.

The conclusions include the SWOT results and recommendations for improving the institutionalisation of the PWMES. In addition, this review presents the strategic funding proposal. The proposal explicates the funding strategy with the proposed changes, in for instance, IT infrastructure, capacity, and incentive and control systems. It does not include system changes that are outside the control of the WCG province.

2.5 Limitations

The broad scope of the diagnostic review allowed the review to be comprehensive in the sense of reviewing all the required various building blocks and processes. Simultaneously, the review had to be efficient and conducted within a limited period of time. Not all facts and figures of the building blocks and processes may have been addressed. The relatively evident facts, perceptions and experiences have been captured in the review.

The preliminary findings of the interview were extracted and presented immediately after the conclusion of the interviews. The preliminary findings were reviewed in a

workshop with the Steering Committee held on Monday 22 August 2016 with the aim to establish relevance of the preliminary findings from the interviews conducted.

3 FINDINGS

In order to contextualise the findings of the diagnostic review, this chapter starts with a brief historical background of the Government-wide Monitoring and Evaluation System (GWMES), as this provides the foundation upon which the provincial M&E systems in South Africa have been developed. The first part of the presentation of findings provides detail on the evolution of the WCG PWMES using the Results-based M&E model. The second part of the presentation of findings provides detail on the building blocks of the WCG PWMES and the key M&E processes.

The Western Cape provincial M&E system finds its origins in a national drive towards institutionalising M&E functions at national, provincial and local levels of government. This drive led to the establishment of a Department of Planning, Monitoring and Evaluation (DPME) within the Presidency in 2010. This establishment took approximately five (5) years since the Cabinet approval to develop a GWMES in 2005.

The Presidency introduced the GWMES in 2005. It was initially managed by an inter-departmental task team in the national Department of Public Service Administration (DPSA) and later by the Policy Coordination and Advisory Service (PCAS) Unit located within the Presidency.⁸ The GWMES was envisaged as a 'system of systems' in which each department would have its own autonomous functional monitoring system from which the necessary information could be extracted. An important departure point was that existing M&E capacities and programmes in line function departments should as far as possible be retained, linked and synchronised within the framework of the GWMES.⁹

The Policy Framework for the Government-Wide Monitoring and Evaluation System (2007) is the main policy document for M&E in South Africa. It outlines the objectives of the GWME System¹⁰ and promotes:

- Improved M&E of outcomes and impact across the whole of government;
- Sectoral and thematic evaluation reports;
- Improved M&E of provincial outcomes and impact in relation to Provincial Growth and Development Plans as well as other Provincial Strategic Plans;
- Improved quality of performance information and analysis at programme level within departments and municipalities (inputs, outputs and outcomes);
- Projects to improve M&E performance in selected institutions across government; and

⁸ Abrahams, M.A., 2015, 'A review of the growth of monitoring and evaluation in South Africa: Monitoring and evaluation as a profession, an industry and a governance tool', *African Evaluation Journal* 3(1), Art. #142, 8 pages. <http://dx.doi.org/10.4102/aej.v3i1.142>

⁹ Ibid.

¹⁰ Policy Framework for the Government-Wide Monitoring and Evaluation System. Presidency, 2007, p. 7

- Capacity building initiatives to build capacity for M&E and foster a culture of governance and decision-making which responds to M&E findings.

The GWMES aims to facilitate all the stages of a policy or project, namely adoption, design, implementation and evaluation, to ensure that service delivery is effective and meeting the needs of the people.¹¹ For this purpose, the DPME, who is the national champion for monitoring and evaluation in South Africa, has established three (3) main planning, M&E subsystems focusing on:

1. national priority outcomes;
2. a national evaluation system; and
3. management performance assessments of departments.

Besides the 2007 GWME framework, the establishment of the GWMES is supported by a range of other policies and guidelines. These policies and guidelines directly related to the development of the M&E system include the Framework for Managing Programme Performance Information (2007), the South African Statistics Quality Assessment Framework (2010), the National Evaluation Policy Framework (2011), and the Framework for Strengthening Citizen Involvement in Monitoring Government Service Delivery (2013).

In addition to these regulations, DPME has produced several guidelines for implementing and developing M&E systems at various levels. The most relevant ones in this review include:

- *The role of Premiers' Offices in government-wide monitoring and evaluation: A good practice guide* (DPME 2008);
- *Generic functions of monitoring and evaluation components in the Offices of the Premier* (DPME 2013); and
- *Generic roles and organisational design considerations for M&E components in provincial government departments* (DPME 2013).

These government-wide objectives, regulations, guidelines and systems of the GWMES have strongly influenced the development of provincial M&E systems. Relevant guidelines for the diagnostic review are presented in DPME's guideline 3.1.6: *Generic functions of monitoring and evaluation components in the Offices of the Premier*. This is because it is this Office (the Department of the Premier [DotP] in the WCG) that leads or champions the implementation of the PWMES.

The expectations of the role of an M&E component in the DotP refers to the following:

- Coordinate planning and monitoring of national government priorities at provincial level;

¹¹ Ibid p. 5

- Province-wide M&E coordination and support (policies, indicators, Provincial Strategic Goals (PSGs), M&E system development, capacity development, transversal information management systems);
- Coordinate planning of evaluations, provide technical support in implementation and follow-up and communicate findings externally;
- Assess performance of provincial Departments and coordinate the Management Performance Assessment Tool (MPAT);
- Monitor the implementation of Frontline Service Delivery monitoring;
- Support departments in citizen-based monitoring and provide feedback to citizens on findings;
- Coordinate and link within the province M&E, planning, research and IT related activities;
- Monitor alignment in M&E by various transversal institutions, including ensuring that Integrated Development Plans (IDPs) and Service Delivery and budget Implementation Plans are aligned with Delivery Agreements between the national Ministers and provincial MECs.

The guideline also stipulates that M&E staff should have good skills in M&E, M&E leadership, facilitation processes and knowledge of the public sector environment.

It should be noted though that these are guidelines and not a policy. Moreover, none of the frameworks prescribe detailed responsibilities and structures of M&E functions. The Province-wide and Departmental M&E frameworks are supposed to provide more detail on this.

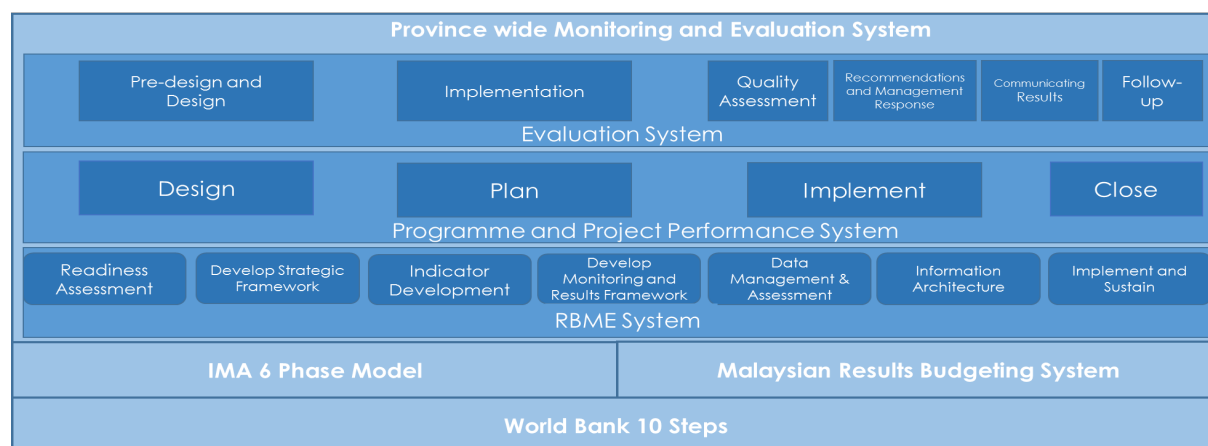
Clearly, an impressive amount of work has been done over the past 10 years in South Africa. However, as Kusek and Rist (2004, p.2) have observed in various contexts, institutionalising an M&E system in an organisation is a long process that requires continuous work by all stakeholders. In South Africa this is no different. During the early days of institutionalising South Africa's GWMES, it was acknowledged that the lack of political will, inadequate leadership, management weaknesses, inappropriate institutional design, misaligned decision rights and a lack of a performance, monitoring and evaluation culture affected South Africa's ability to achieve successful policy objectives (DPME, 2009: 3). This was echoed in a study by Phillips et. al. (2014) that concluded that 'key helping factors include political commitment, strong programme leadership and some strong institutions. Inhibiting factors include the predominant compliance culture of M&E, poor programme planning and the production of poor administrative data.'¹²

At the WCG level, similar hindering and helping factors playing themselves out can be observed. As indicated in the sections to follow, we also see major progress over time and diversity within the WCG with some really good examples.

¹² Sean Phillips, Ian Goldman, Nolwazi Gasa, Ismail Akhalwaya & Bernadette Leon (2014) A focus on M&E of results: an example from the Presidency, South Africa, Journal of Development Effectiveness, 6:4, 392-406.

3.1 The evolution of the 7 Phases of the PWMES using the Results-based M&E model.¹³

The section of the presentation of findings provides detail on the evolution of the WCG PWMES using the Results-based M&E model. The available documents that have been archived has been reviewed. In this regard, a brief synopsis is provided according to reference periods. The initial years is referred to a 'talking M&E'; the period 2014-2015 is referred to as the 'doing M&E' whilst the current is on its related evolvement.



Phase1: Readiness Assessment and Stakeholder Engagements:

2007 - 2009: Talking M&E

- During this period the focus was on conducting a Province-wide audit to determine the status of the current reality of Monitoring and Evaluation (M&E) in the Western Cape Government (WCG), conducting a stakeholder analysis both internally and externally; as well as convening workshops with reference to a monitoring and evaluation approach to implement the Provincial Growth Development Strategy. The results of this audit produced the first readiness assessment report.
- Officials and project team members of the then Chief Directorate: Provincial Monitoring, Evaluation, Review and Reporting embarked on an international, exploratory, fact finding and capacity building mission. The realization at this stage was that the WCG had all the required building blocks in place to institutionalise a RBM&E system; but however required to package the relevant processes for buy-in and application.

2010 - 2014: Doing M&E

- This period heralded the start of the development on the RBM&E model; and in this regard, a seven phase Model became known as the WCG Model for

¹³ The 7 phases of the PWMES this section is a contribution by the CD: SMI.

Province-wide M&E. This was followed by the development of a transversal Work Programme and the establishment of a Technical M&E forum for the Province. Capacity gaps across the M&E focus areas were identified; and at this stage M&E was merely a function of those officials with the responsibility of populating the quarterly performance targets of the Annual Performance Plans for submission to Provincial Treasury. Simultaneously within the Department of the Premier, the Organisational Performance component dealt with individual and budget programme performance information as key in determining whether performance took place within departments

- The RBM&E message became important in that service delivery results are dependent on the 'So What' question; which in turn is dependent on the measuring of results. Capacity building initiatives relating to RBM&E with M&E officials commenced across WCG departments. The WCG designed the case study story for understanding RBM&E and the initiative was conducted with IMA International and the South African Labour Development Research Unit (Saldrú), situated at the University of Cape Town.
- This period concluded with a combined forum for Programme and Project Managers and M&E officials across government departments. A formalised Terms of Reference (ToR) served as a platform for an expanded M&E mandate. This was mainly due to the introduction of the WCG modernization process where Programme and Project Management inclusive of its methodology was introduced as a governance initiative to improve performance.
- With the establishment of the Chief Directorate; Strategic Management Information, the M&E mandate became an ends to another means and translated into that the M&E processes became a method of approach to deliver on strategic management information. In this regard, a forum for Spatial Information was also established for collaboration with the Geographic Information System (GIS) community in the WCG. Furthermore, with the design of the National Evaluation System and the roll-out of the National Evaluation Policy Framework, an Evaluation Technical Working Group was constituted to manage the provincial evaluation system in a structured manner. The establishment of other technical working groups followed; such as the WCG Provincial Steering Committee for the Management Performance Assessment Tool (MPAT). These forums were useful to strengthen RBME and build partnerships within the WCG.

2015 - 2020: Evolving M&E

- The WCG stakeholder participation also evolved to national and international levels. The evolvement of M&E resultantly impacted on a wider stakeholder audience. With the transitional shift of the Statuary, Planning and Reporting function from the Provincial Treasury to the Department of the Premier, it thus

became necessary to establish a Programme Performance Information forum. The main purpose of this forum relates to the stakeholders working on strategic programme and project performance; and engages as well on the budget programme performance. Further developments here relate to the Data Governance Forums.

Phase 2: Development of M&E frameworks

2007 - 2009: Talking M&E

- During this period the first conceptual framework on M&E was compiled which was quite technical, followed by an abridged version of this framework for easier understanding; considering the targeted beneficiaries of the WCG M & E fraternity. The drafting of the Provincial Growth and Development Strategy (PGDS) was underpinned by the drafting of the first structured M&E framework and a related strategy.

2010 - 2014: Doing M&E

- Lots of M&E learning has taken place during this period. A Glossary of M&E terminology and a RBME manual for stakeholders were key to ensure a foundation in the understanding and application of M & E activities. The emphasis was placed on indicator and data quality guidelines; as well as the compilation of an advocacy document for promoting the use and sharing of administrative data. This period introduced the development of a data governance approach underpinning the collection of data for strategic management information.
- At a provincial level and in line with the new policy trajectory, a revised strategic framework for M&E and Spatial Information was developed for the period 2010-2014.
- The introduction of the national outcomes system by the DPME resulted in that the WCG developed an implementation protocol and framework demonstrating alignment of the provincial and national priorities. The introduction of the National Evaluation System (NES) led to the development of the first provincial evaluation plan through which reporting relating to the plan was done through an annual evaluation update. Furthermore, the introduction of Institutional Monitoring led to the development of a WCG guideline for the Management Performance Assessment Tool (MPAT) and a Standard Operating Procedure for Frontline-line Service Delivery.

2015 - 2020: Evolving M&E

- With the expansions of institutional mandates and the M&E scope increase; it became necessary to update the Province-wide M&E Framework. As the

WCG M&E processes matured, the CD: SMI delivered a number of publications; and participated at national and international levels. The evolvement of the NES at a provincial level saw WCG departments developing departmental evaluation plans as well as a guideline for the institutionalization of the NES.

- The work effort led to the evolvement of the RBM&E approach embedded into the recent Strategic Framework for Provincial -wide Data Governance.

Phase 3: Indicator Development

2007 - 2009: Talking M&E

- During this time the first development of a compendium of indicators for the PGDS green and white papers was conceptualized. This was followed by the development of indicator frameworks for lead interventions and legacy projects. The State of the Province Address was also supported with a relevant indicator framework

2010 - 2014: Doing M&E

- During this period and based on an in depth indicator analysis, an indicator framework for the Provincial Strategic Objectives (PSOs) were developed. This work was strengthened by the documenting of the methodology for the indicator development process. Interest from the Cabinet and Executive Committees ensured that the indicators are tracked and reported on a six (6) monthly basis.
- The demand for customized indicators linked to the Medium Term Strategic Framework (MTSF) with relevance to the National Development Plan (NDP) ensured a broader thinking that development of indicator frameworks should be premised on the universal statistical themes used for data production. However, this application was also developed for piloting and internal purposes.

2015 - 2020: Evolving M&E

- This period introduced the setting of standards for indicators and measurements for the NDP. It gave effect to the approach of the application of universal themes for data production. Furthermore, it culminated in an indicator framework database within the context of the universal themes and relevance to government priorities (such as the NDP and the Provincial Strategic Goals (PSG). This work ultimately fed into the metrics related to the Sustainable Development Goals (SDGs); and the institutionalisation of norms and standards across WCG departments as part of the Province-wide Data Governance intervention.

Phase 4: Monitoring and Results frameworks

2007 - 2009: Talking M&E

- In line with Phase 3 the first Indicator and Monitoring and Results Frameworks for the PGDS were conceptualised; this was followed by Indicator and Monitoring and Results Frameworks for the lead interventions and legacy projects. The results frameworks were critical in providing additional attributes to the Indicator Frameworks. Further conceptualization was done through indicator analysis and technical engagements across departments.
- The State of the Province Address (SOPA) was supported with a Results framework; as well as the five (5) year Strategic Agenda of the Province.

2010 - 2014: Doing M&E

- This period commenced with the setting up of an M&E system at the time of drafting the PSOs for the WCG. In depth technical engagements took place on developing Monitoring and Results frameworks for each of the initial ten (10) PSOs which then expanded to 12 PSOs. Each PSO was supported / grounded with outcome indicators that relates to the socio economic environment with a clearly defined problem statement. A number of iterations and revisions relating to the outcome indicators occurred prior to the tabling of this compendium of outcome indicators at Cabinet in 2013. Simultaneously indicators were supported by sound baselines and data sources for metrics. This period concluded with an indicator development process for PSO 12; specifically within the governance context and with the final revisions based on the merging of PSOs 9 and 10.

2015 - 2020: Evolving M&E

- The indicator development process evolved with the new strategic plan based on five (5) strategic goals (PSGs); but with a different focus. The core business related to the analysis of the indicators through the development of norms and standards. This is noted as the outcome indicators were developed for PSGs, external to the CD: SMI.
- The process evolved within a more strategic and global context. The Chief Directorate: Strategic Management Information developed indicators based on government priorities; notwithstanding taking into consideration policy priorities, with a long term vision of building sustainable indicator trends and databases. This was key; as the lesson learnt from developing indicators per policy objective had a resultant effect of having disparate indicator databases. Furthermore, this evolution takes the SDGs and national and provincial priorities into account, as well as exploring the regionalisation of indicators.

Phase 5: Data management and assessment

2007 – 2009: Talking M&E

- The Annual Performance Plan (APP) of 2006/7 requested the development of a Core Directory of Common Data Sources for the establishment of the PWMES. For ease of reference, this Core Directory of common data sources was in the conceptual phase at the time the APP was drafted and tabled. The Chief Directorate: Monitoring Evaluation, Review and Reporting then commenced with an intervention to assess the data source requirements for potential indicators based on the PGDS. This included an understanding of the official and administrative data source requirements needed for credible and reliable metrics relating to trends demonstrated through the outcome indicators. A ToR for a data assessment process was developed; and the first data assessment report produced. This provided the first ever view, understanding and documentation of the number and types of data sources in use by the WCG. This process landed the first Core directory for common data sources which was called Part 1 (mainstream) and Part 2 (admin). The period concluded with the commencement of obtaining insight into the research reports. Further work included a summary of the indicator development and a document on data quality dimensions.

2010– 2014: Doing M&E

- This period commenced with revisiting the Core Directories by strengthening the data quality criteria and linking it directly to the PSOs. It also included the development of Core Directory Vol. 3 for Spatial Data Sources; as well as having a catalogue of all spatial information products. With the institutionalisation of the NES, a dictionary of all evaluations was developed through a country-wide audit of evaluations conducted between 2005 and 2011. These products contributed to advocacy material and efficiencies; - users in the community of M&E, Spatial Information as well as policy development were given sound reference material to ensure that correct data sources are used for further application. This process lead to an enhanced discussions such as sharing of data and reducing duplication and savings on licenses when purchasing from data source agencies.
- The data management and data assessment discussions expanded into a data governance initiative. This included the development of norms and standards for indicators and data sources, as well as research on operations of national statistical organisations. This work informed models for effective data co-ordination across departments and hence informing the content for a Province wide Data Governance framework.

2015 - 2020: Evolving M&E

- This period saw the first draft Province-wide Data Governance Framework developed that was consulted with all key stakeholders across WCG. This was complemented by an Implementation Roadmap that outlined four priority (4) streams.
- This period also saw the evolution of the Core Directories feeding into the Province-wide Business Intelligence. In this regard, the data profiling criteria served as norms and standards for data profiling in the Province. The realisation here was that business progressed to a point where they had a well document process for data profiling and standards, but the location of data sources was not well documented or understood. In this regard, the data often resided in informal systems.

Phase 6: Information Architecture

2007 - 2009: Talking M&E

- The 2006/07 APP requested the establishment of the Province-wide Monitoring and Evaluation System (PWMES). The PWMES Business Requirements Specifications (BRS) document was produced which documented requirements for a Province-wide Business Intelligence system. At this time the project team commenced with the documentation of the information architecture to support the PWME system.

2010 - 2014: Doing M&E

- The BRS was further developed for sub-elements of the PWMES, namely the Annual Performance Assessment System (APAS) and a Programme and Project Management System. These covered Programme Performance Information; as well as performance aspects of PWME relating to Budget and Strategic programmes. An additional BRS was then developed for Business Intelligence (BI) to address requirements for a common data platform, inclusive of storage of evaluations, research reports, socio-economic data and historical data trends, both external and internal. As a pilot initiative, the PWME was used to implement the Province-wide BI strategy.
- The development of the Biz Systems officially commenced during this period. BizPerformance and BizProjects were prioritised while the vision for BizBrain was being completed. BizPerformance was piloted in six (6) departments and additional requirements were incorporated in a subsequent system release. The BizProjects system was pilot d in a number of departments across the Western Cape Government.
- The Information and Communication Technology (ICT) plans highlighted BI as a top priority across all departments. The BI vision, scope and functional specifications, as well as a document presenting information integration flow requirements across the Biz Systems was developed. The initial BI dashboards

tracked indicator progress against some of the PSO. The BI development scope also expanded to include organisational performance monitoring of finance and people management, institutional monitoring of the Management Performance Assessment Tool (MPAT) and Frontline Service Delivery Monitoring (FSDM), as well as conceptualising a provincial spatial data observatory (SDO). The latter ensured that there would be integration between BI and Geographical Information Systems (GIS).

2015 - 2020: Evolving M&E

- The BizProjects system was developed and officially institutionalised along two (2) tracks, namely Transversal Strategic projects and Department-specific projects. Development of a further two (2) BizProjects streams were piloted in the Departments of Human Settlements and Transport and Public Works.
- BizPerformance was implemented and all performance information was captured centrally to ensure that the transfer of the business function to the new unit responsible for the business process transitioned smoothly. Various reports that can be used in strategic documents such as the Annual Performance Plan, quarterly performance reviews, and annual report were developed.
- During this time the BI scope expanded to include departmental requirements. A BI presence and web-view was developed for every department; and additional operational BI solutions were developed as required. The integration and link from GIS to transversal BI through a semantic layer was also enhanced. The SDO has through this process become a lens to the BI solution and a wide range of data. A mobile dashboard of the performance data was developed using the Microsoft Datazen product. As part of the BI solution, much was done in the background to ensure that the information architecture was secure, reliable, and resilient. Some of the technical aspects worked on include the Data Dictionary, Conformed Bus Matrix, Master Data Management and a Data Security Model.
- It became evident during the design and development of BI solutions that the administrative data, and other required data sources would need to be managed efficiently to ensure relevant and reliable data to inform better, faster and more relevant decision-making. A Province-wide Data Governance project was initiated to ensure that this happens. A number of steps were taken to ensure that there is better data governance, including data profiling and metadata, standard operating procedures that host data management processes and a data production plan.

Phase 7: Implement and Sustain

2007 - 2009: Talking M&E

It is well noted that during this period, there was no coherent approach or directive that determined the M&E reporting requirements; with a resulting effect that sundry reporting and national reporting became the order of the day. Reporting on Presidential Imbizos was a core focus; the development of bi-annual report cards on the Local Government Strategic Agenda; as well as periodic reporting on the African Peer Review Mechanism (APRM) were also instituted. In line with the reporting on the State of the Nation Address; the WCG developed cluster report cards for the Provincial Program of Action that emanates from the commitments made annually at the time by the government of the day.

- At a provincial level, the initial focus was on monitoring of the policy themes that address gender and youth; hence the focus on monitoring reports related to Gender and Youth Responsive budgeting. In line with the RBM&E focus, the WCG commenced with setting baselines for the PGDS; and the first indicator data release aligned to the Millennium Development Goals (MDGs) for Provincial Parliament. This then set the scene to commence with the development of five (5) year report cards.

2010 - 2015: Doing M&E

The monitoring of Gender and Youth Budgeting expanded into the monitoring of Gender, Youth, Disability and Children Budgeting; as well as the very first evaluation on this focus area. The introduction of the DPME led to institutional monitoring reports in the areas of the Management Performance Assessment Tool (MPAT), the Forum of South African Director-Generals (FOSAD) and Frontline-Service Delivery Monitoring (FSDM). This introduced the annual release on governance indicators. Furthermore, an annual release was disseminated on measuring results using Key Outcome Indicators. In line with the RBM&E approach the indicator and data management was strengthened to deliver on five (5) year data trends and 20 year data trends respectively.

- This period saw the introduction of project level monitoring and reporting using the first project dashboard developed for the WCG that was also referred to as Executive dashboard reports.
- The demand and use for spatial mapping became a key source of evidence and a decision making tool as it relates to spatial planning and spatial policy analysis. This culminated into the development of periodic spatial monitoring and assessment products.
- The period concluded with a coherent set of M&E product outputs produced on an annual basis. These speak to the three (3) data domains of the GWM&E within a provincial context; namely Programme/Performance information

(WCG information), Evaluation information (WCG information) and Socio-Economic data (External)

2015 - 2020: Evolving M&E

- This period saw a renewed energy and focus on integration of data sets and information, with a clear set of deliverables informed by sound methodologies and quality assurance; to deliver on the outcome 'the increased use of quality data and information as evidence for better planning, policy development and governance, ultimately for evidence-based development and integrated service delivery for informed stakeholders'. The focus is indeed on the utilisation of data and information and its value-add, as well as making better use of rich administrative data sources for evidence-based decisions. The provincial focus of the three (3) data domains of the GWME is continuously expanding and deepening, so much so that a fourth domain, namely provincial administrative data (Socio-Economic and Governance data) has evolved.

3.2 Fundamental Building blocks



The second part of the presentation of findings provides detail on the building blocks of the WCG PWMES and the key M&E processes.

In 2008, just before the development of the PWMES had formally started, the Chief Directorate: Monitoring, Evaluation, Review and Reporting in DotP had developed a draft Province-wide M&E framework. Three (3) of its 12 Departments at the time had a dedicated M&E unit. There was no central repository of data and no information system linking performance data from the Departments. A strong need was expressed for: (1) the production of better quality data; (2) M&E capacity building; and (3) coherence of research projects among provincial departments.¹⁴

3.2.1 Policies



As from 2006, in collaboration with other provincial Departments represented on the M&E forum that was established in 2005, the

14. Department of Planning and Economic Development, 2008, The role of Premiers' Offices in government-wide monitoring and evaluation: A good practice guide.

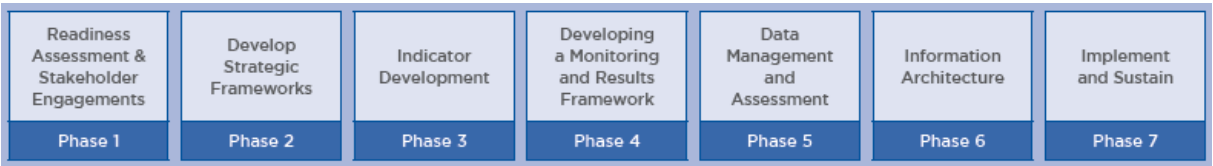
DotP formulated the contours of a Province-wide M&E system. The first major achievement in this regard was the approval of the PWM&E Framework in 2009. This set the stage for a systematic endeavour to develop a transversal, provincial-wide M&E system. The objective was to have a PWMES that is able to collect, interpret, analyse and disseminate data and information to key stakeholders that adds value to the performance management and decision-making processes of the Provincial Government.¹⁵

The PWMES has the following key mandates, according to the 2009 framework:

- Develop and implement Province-wide M&E policies, strategies and programmes for M&E at implementation and results-based levels;
- Ensure compliance with the GWMES;
- Ensure continuous Province-wide M&E of the PSP and Provincial Strategies by focusing on measuring the results on implementation and results-based levels.

The framework (with an accompanying strategy) introduced a model that provided for a phased approach to establishing an M&E system. The Western Cape Model, as it is called, consists of seven (7) interdependent phases. The phases are presented in Figure 3.

Figure 3: The 7 phases of the PWMES



From its inception, the 7-phased WCG model has been strongly influenced by a need for results-based management and results-based M&E approaches. It was also largely based on the Ten steps to Results-based Monitoring and Evaluation model developed by the World Bank and the Malaysian Governance System with its results-based budgeting approach.

Province-wide M&E in the WCG started in 2005 with a scoping exercise. This lead to the establishment of the Chief Directorate Provincial Monitoring, Evaluation and Review and Reporting in the DotP and the development of an M&E forum in the Province. The said Chief Directorate led the development of the first comprehensive conceptual framework for M&E and a readiness assessment that was conducted in 2007. A number of capacity building interventions were organised to gain an understanding of RBM&E. The development of outcome indicators with core directories followed taking the policy agenda into account. Engagements with Information Technology was only in its conceptual stage at the time. Together with the international learnings, it informed the PWME ‘Western Cape Model’. The first PWME framework was then developed during 2008/2009.

¹⁵ Department of the Premier: Chief Directorate: Monitoring, Evaluation and Review, PWME framework, p.7.

Great efforts have been made over the past years to improve the quality of indicator frameworks. A concerted effort went into the development of a compendium of outcome indicators. In addition, advocacy on how to lift the Departmental Annual Performance Plans and Strategic Plans from an output to an outcome level. Results-based management and RBM&E seem to have taken root in the province (see also next section on Results-Based M&E). This was accompanied by capacity building efforts (see the section on building blocks: people).

In 2011, the PWMES was complemented by a Strategic Framework for Spatial Information; and in March 2013, the WCG approved the WCG Provincial Evaluation Plan (WCG PEP) 2013/2014 – 2015/2016. This provincial plan is aligned to the National Evaluation Policy Framework (NEPF) that guides the establishment of a National Evaluation System (NES) and a resultant provincial evaluation system. The WCG PEP focuses on the importance of evaluation in policy-making as well as linking evaluation to the planning and budgeting processes. The section on M&E processes: *learning* presents the achievements in realising evaluations.

In 2015, the second PMWE framework was designed, compiled and approved. This Framework presents a revision, update and replacement of earlier strategic frameworks for the Province. It focuses more strongly on the integration and automatisisation of strategic management information; and the role of the CD: SMI in this process than the previous framework.¹⁶ It states that *'the mandate of the CD: SMI is to ensure that the Provincial Executive Policy development, strategic planning, and programme and project implementation initiatives are informed by appropriate and reliable strategic management information.'*

The 2015 framework also describes a broader range of PWMES data and information products with reference to the results-chain logic. See section 3.2.1 for more details on these products.

Currently, the enhanced development of the PWMES is focused on phases 5 and 6. The 2015 framework introduces an advanced information management system, namely the Biz Systems, into the business of M&E in the Province that consists of three (3) systems. BizProjects is an enterprise programme and project management solution that supports progress and reporting on financial and non-financial targets linked to the projects. BizPerformance helps departments record the Annual Performance Plan's strategic goals, objectives, indicators and targets; and these targets are monitored and reported against continuously during the financial year. BizBrain is the provincial portal to relevant and accurate data and information linked to strategic goals and outcomes of the WCG. The solution provides this data and information in a variety of reports and self-service analytical tools.

¹⁶ The CD: Monitoring, Evaluation, Review and Reporting became the CD: Strategic Management Information through the modernisation process.

In order to improve the monitoring and evaluation of the strategic context and service delivery, the quality of the data and information that informs these needs are to be improved on. The CD: SMI has embarked on a Province-wide Data Governance project as a solution to improve the quality of provincial administrative data. This will include institutionalising data governance processes and norms and standards to ensure the level of data quality is improved on. These norms and standards will be in line with the South African Statistical Quality Assessment Framework (SASQAF).

Over the years, the phases of the PWMES have been further shaped and reshaped into 'subsystems' or 'components' related to key outputs of the system or M&E products. It also linked to the core business process and support processes of the functions of the CD: SMI. Each of the phases is continuously updated and reviewed to address the strategic agenda of Government's development trajectory. The model adapts and develops as needs and mandates change and insights develop.

3.2.1.1 Results-based management: M&E aligned with the Strategic Agenda

A key objective of the PWMES is to support evidence-based decision-making. More specifically, the RBME approach of the PWMES for the WCG aims to enable the province to report on and produce:

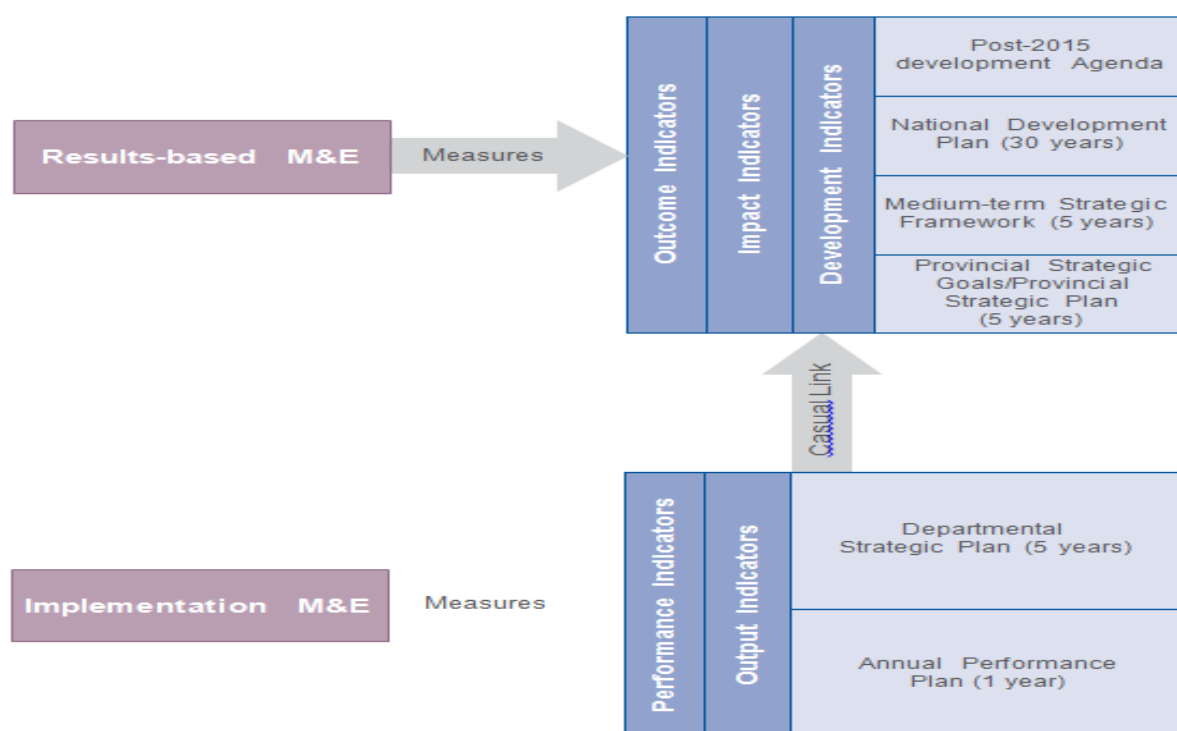
1. Programme Performance Information;
2. Evaluation Information on achievements against policies, programmes and projects;
3. Data on Socio, Economic and Governance Indicator trends; and
4. Spatial Statistics.

In the 2009 PWME framework, a clear distinction is made between “**implementation M&E**” and “**results-based M&E**”. It also made reference to the provincial policy and the national imperatives as well as taking into account global imperatives such as the former Millennium Development Goals (MDGs); now translated globally in Strategic Development Goals (SDGs). Relevant indicators were clustered and aligned to key policy areas and statistical themes. This approach informed the guideline ‘A Results-based Monitoring and Evaluation Manual for Directors, Deputy Directors and Line Managers’ which was developed in 2012 to further explain and support implementation of the RBME model.

The 2015 Strategic framework for PWME links the RBME approach to the international, national, provincial and departmental agenda's, strategies and plans.¹⁷ Figure 4 illustrates that M&E of implementation of departmental strategies and programmes supports M&E of results of strategies; and that this also relates to different types of indicators (performance, output, outcome, impact and higher level development indicators).

¹⁷ Including: Post 2015 Development Agenda; National Development Plan; Medium-term Strategic Framework; Provincial Strategic Plan; Departmental Strategic Plans; Department Annual Performance Plans (APPs).

Figure 4: M&E alignment to Strategic Agenda



A very insightful overview of the PWMES is presented in the Strategic framework for PWME (2015). It shows how RBME has been translated to the functioning of the PWMES from its building blocks up to its contribution to service delivery. It portrays the PWMES as a M&E results chain from inputs (building blocks), processes (business process), outputs (products), outcomes (evidence based development) to impacts (informed delivery). Also see Figure 1 in the previous chapter.

3.2.1.2 Departmental M&E frameworks

All except one of the WCG provincial departments have an M&E framework.¹⁸ According to the RBME maturity assessment conducted in 2015/16, most of the M&E frameworks lack a results-based approach. Most provincial departments focus on output level performance; and not on development results related to Strategic objectives and goals that relates to the outcome level.

Table 1: RBME Maturity Assessment: M&E Framework

Key Performance Area	Score per Key Performance Area	
	2014/15	2015/16
2. RBME Frameworks and Strategies	3.15	3.58
Performance Standard	Score per Performance Standard	

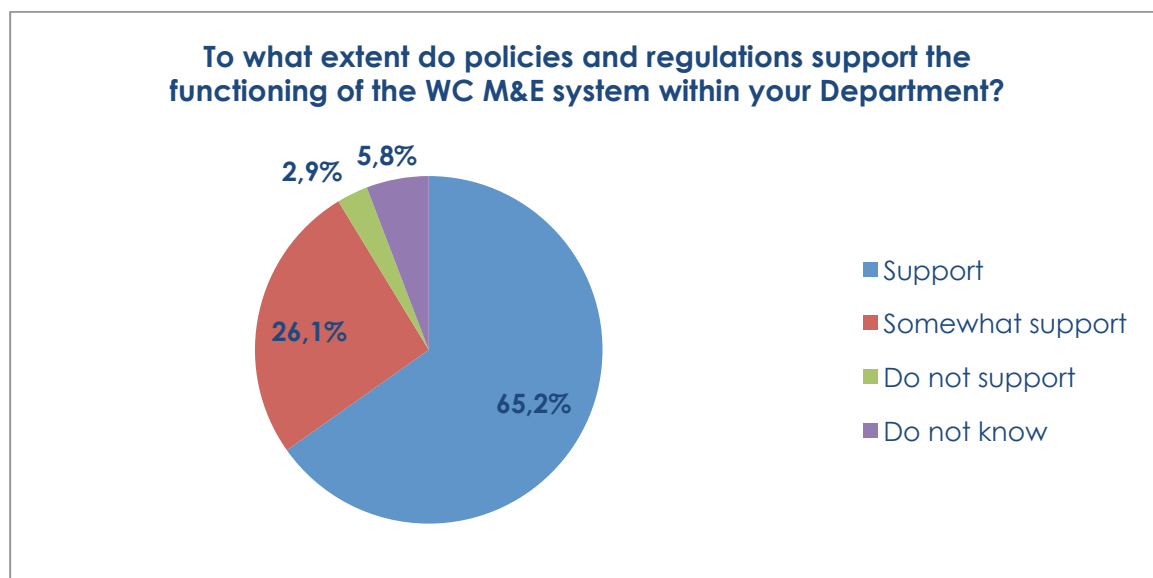
¹⁸ DEA&DP has no M&E framework and no M&E unit.

Key Performance Area	Score per Key Performance Area	
	2014/15	2015/16
2.1 Policy and Strategic Annual Planning	3.15	3.46
2.2 M&E Framework and connection between policy outcome measures and Departmental performance measures	3.15	3.69

3.2.1.3 Perceived support to M&E provided by policies

The electronic survey among WCG staff showed that a fair majority of over two-thirds are of the opinion that policies and regulations do support the functioning of the M&E system within their Departments (see Figure 5). Still, over a quarter of the respondents believe that these only somewhat support provincial M&E.

Figure 5: Perceived support to M&E through policies and regulations



In disaggregating the responses for staff interviewed in the DotP (18 respondents) and those in other Departments (51 respondents), the data (responses) suggest that staff within the DotP are somewhat more critical of the support provided by the policies and regulations than are staff in the other Departments (see Table 2).

Table 2: Perceived support to M&E through policies and regulations within and outside the DotP:

	Not DotP	DotP
Support	68.6%	55.6%
Somewhat support	23.5%	33.3%
Do not support	2.0%	5.6%
Do not know	5.9%	5.6%

The survey also elicited a number of relevant remarks regarding packaging and communicating the M&E approach. Some respondents commented that there is a need for simplification; and an increased understanding of the M&E requirements, practices and processes. Others state that there should be more advocating for M&E

and awareness creation of the Province-wide M&E system. As one respondent indicated: "Although the WC M&E system satisfies all criteria to generate relevant M&E information, I think that there should be additional thoughts on how this is communicated at large. If nobody knows of the great work and the intention of that work, then how do we provide knowledge, not just internally, but also give civilians an understanding of what goes on behind the scenes in service to them?"

Related to this it was mentioned that the M&E system should also be relevant to the users. Some respondents have indicated that the user perspective is missing. This was also something that was repeatedly mentioned in the face-to-face interviews by people in various functions and positions that were interviewed.

3.2.2 Responsibilities for institutionalisation of province-wide M&E



In the Western Cape, the champion for the institutionalisation of monitoring and evaluation in the Provincial Government was always the Political Executive who strongly advocated for efficiency and improvement in the delivery of public services within the Province. This is evident in the various State of the Province Address Speeches which reference good governance and a strong performance culture; as well as the focus on development outcomes and service delivery impact.

DotP led the development of the Province-wide M&E system. The Chief Directorate (CD) Provincial Monitoring, Evaluation and Review and Reporting was tasked with coordinating the institutionalisation of monitoring and evaluation throughout the WCG. This CD was established in 2006, alongside the CD Policy Development and the CD Policy Implementation Support. These three (3) CDs were located in the Branch: Governance and Integration in DotP. This was believed to be a suitable placement of the M&E unit, given that M&E is aimed at supporting both the process of policy development and implementation. It was also based at the time, on the design and development of the GWMES for which guidelines, tools and processes were not developed yet at that stage.

In practice, this drive towards institutionalisation of M&E was mostly focused on putting the M&E business processes in place. The emphasis was on generating buy-in for M&E at the provincial level among the provincial stakeholders. The *Provincial Monitoring* component (the other components were Provincial Evaluation and Provincial Reporting and Review) took the lead in the development of a Province-wide M&E System. The unit also took the lead in a centralised transversal approach to measure and monitor outcome indicators. The *Provincial Evaluation* function took a while to be established; as the focus at the time was on conceptualisation of an Evaluation approach. The management of the evaluation function across government was unstructured and uncoordinated; and were done in the absence

of any evaluation guidelines. The *Review and Reporting* function mainly focused on Local Government reporting as per the five Key Performance Areas of the Local Government Strategic Agenda.

According to the 2010 Annual Performance Report, soon after assuming office in 2009, the Premier, Helen Zille “identified serious capacity gaps within the project management domain, monitoring and evaluation and policy coordination across the Province”. The introduction of an IT-based ‘dashboard’ system was designed to plug these gaps and assist the Premier and the public in holding the Executive and officials accountable.” As part of the ‘modernisation process’, the CD Provincial Monitoring, Evaluation and Review and Reporting transformed into the Chief Directorate: Strategic Management information.

The functions of the CD: SMI included the functions of the Directorates Programme and Project Performance, Provincial Monitoring, and Spatial Information. It resided within the Branch Provincial Strategic Management together with the CD: Policy and Strategy. This structural change in 2010 expressed the enhanced focus on improving performance and the provision of and quality of strategic information management. It also meant that the function of Monitoring resided within the CD: SMI, whilst the Evaluation function was situated within the Chief Directorate: Policy and Strategy. The branch transformed into Provincial Strategic Management (PSM).

The CD: SMI focused on the following functions:

- Monitor and report on the progress of provincial programme and project implementation;
- Monitor and report on the outcomes of WCG policies, strategies, programmes and projects; and
- Support provincial policy development, data governance and strategic planning with regard to provincial spatial information.

Separating the monitoring and evaluation functions might not have proved beneficial for linking M&E information to improved performance in relation to the Provincial Policies, and more specifically in relation to the Provincial Strategic Objectives.

The primary mandate of the CD: SMI was to support the Executive in governing the Province through the provision of accurate strategic management information, by measuring the results of the implementation of the provincial strategic objectives and its outcomes; and representing data spatially in the form of maps. This meant that the CD was responsible for generating and integrating provincial strategic data and information. The integration of the provincial strategic data and information involved the improved linking of various sets of socio-economic and spatial data

directly to the demand of the Provincial Strategic Plan. It also meant a stronger emphasis on coordinating methodologies and data quality standards.

As from 2013, the CD: SMI also assumed the responsibility for the implementation of the WCG Provincial Evaluation Plan. Conclusively, the CD: SMI at the time reported directly to the Director-General of the WCG. This shift led to that the CD: SMI could strengthen its approach to lead development of RBME for the provision of relevant and accurate data and information within the broader PWMES. Based on the demand for an integrated and automated system, the CD: SMI was identified as a business owner.

The domain of Province-wide Monitoring and Evaluation in the context of GWM&E continued to broaden. There was the requirement for strengthening of M&E initiatives from DPME impacting on the extension and expansion of the current institutional mandate of the CD: SMI. There was also the responsibility for Government's planning regime that shifted from National Treasury to the national Department of Planning, Monitoring and Evaluation (DPME).

Evident to this is the shift of the Planning and Monitoring processes from Provincial Treasury to the Department of the Premier and more specifically to the CD: SMI. In 2014/15, the transitional shift occurred with initially joint collaboration until where the CD: SMI is assuming overall responsibility for the provincial coordination of strategic plans, annual performance plans and the generation of budget programme performance information.

To date, the CD: SMI leads the generation of four key data domains across departments namely; programme (strategic and budget) performance information, evaluations; socio, economic and demographic spatial statistics and relevant administrative data. The CD: SMI also leads the institutionalisation of Province-wide Data Governance towards coherence in the data use and production across provincial departments within WCG.

A key challenge facing the CD: SMI is that the approved organisational set-up is outdated. It is out of touch with the demand of the WCG business needs. This means that it does not have departmental stakeholders in each department that have a direct relationship to M&E functions in terms of mandates and well-defined roles.

3.2.2.1 Staffing and M&E responsibilities across the WCG

The DotP is central in tracking the WCG provincial performance and measuring results of the related government priorities. The Department, through the operations of the CD: SMI, leads the development of RBME for the provisioning of relevant and accurate data and information within the PWMES.

The WCG ICT Transversal Applications Team and ICT Business Analysis serve as another important support component for the PWME system. This relates to data and information management. The ICT support team is also part of the Data Governance Team that focuses on the management of Data and Information Systems.

In order to institutionalise the PWMEs across the WCG, several M&E forums have been established: These include:

- The Provincial M&E Forum (2005) which met on a quarterly basis;
- WCG MPAT Steering Committee (2012) which meets weekly, every consecutive week or monthly, depending on the relevant MPAT phase;
- WCG Evaluation Technical Working Group (2012/13 which meets quarterly; and
- Data Governance Committees focusing on the clusters (social, economic and governance (2015/16) which meets monthly.

The role of the Departments in M&E is not described in the PWMEs frameworks. Each Department has its own M&E strategy or framework. According to the GWMEs policy, Departments should play an active role in M&E of policy, programmes and projects; establishing and running performance information systems within their sections; using performance information to make decisions and reporting and analysing the performance of their units (DPME, 2012).

The responsibility for the design and management of indicators and for data collection, collation and verification processes within the departments is not clearly allocated to specific officials. This can be confirmed through the content presented in the departmental M&E frameworks of those WCG departments who have compiled one. The interviews with WCG staff confirmed there is uncertainty about roles and responsibilities in relation to departmental M&E. A respondent to the electronic survey indicated: "Assist by defining roles and responsibilities clearly and placing the function in one unit and staffing it appropriately."

Each Department has an average of 4 M&E officers. According to the RBME maturity report; and this was further confirmed in the interviews with WCG staff, there is disparity within the M&E units of the various provincial departments - both in terms of the level of the unit and the functions performed by the unit. In addition, some departments do not have dedicated M&E units; the M&E functions are found in various units across the department.

3.2.2.2 Competencies

According to the RBME Maturity Assessment report, the Departments 'People Resource Capacity' scored on average 3.38, both in the 2014/15 and 2015/6

financial years respectively (see Table 3). This means that the scores averaged between the following two ratings:

3. **Advanced skills with limited Sustainable people resource capacity** for monitoring and evaluation methods and standards; indicator and data management.
4. **Limited Technical skills with Sustainable people resource capacity** for monitoring and evaluation methods and standards; indicator and data management.

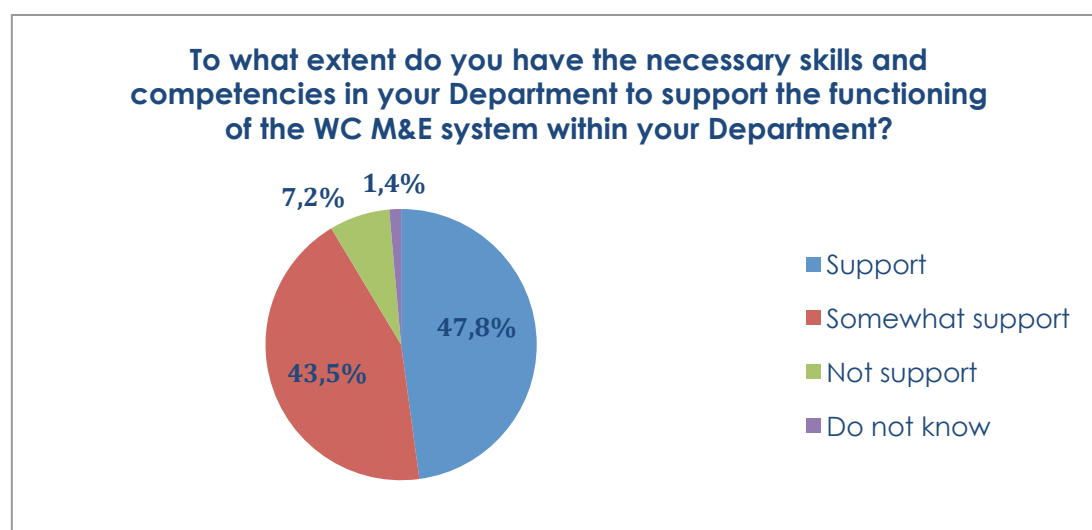
Table 3: Maturity Assessment People Resource Capacity.

Key Performance Area	Score per Key Performance Area	
	2014/15	2015/16
1. RBME Capacity	3.56	3.67
Performance Standard	Score per Performance Standard	
	2014/15	2015/16
1.1 Organisational leadership or Champion driving Results-based M&E	3.31	3.46
1.2 Senior and Middle management Stakeholder representation and participation	4.00	4.15
1.3 People Resource Capacity	3.38	3.38

The Maturity Assessment shows that most departments either do have very few skilled staff in their respective M&E components and few positions secured, or have secured some positions; but staff members have limited M&E skills. Neither of these options present a close to optimal situation. This was also apparent from the feedback from the people interviewed via the electronic survey and the face-to-face interviews.

The results of the electronic survey among WCG staff indicated that staff differ in their assessment of the availability of the required capacity in their Departments to support the WCG M&E operations. As is shown in Figure 6, about half of the respondents feel that their Department does have the required skills and competencies for this, and about half feels it does only 'somewhat support' the functioning of the M&E system within their Departments.

Figure 6: Perceived availability of the required skills in Departments to support the WC M&E



Disaggregation of the responses of staff working within the DotP and those staff working within the other departments, suggests that within the DotP the perceptions of skills and competencies are a bit less positive than in the other departments. Just over one third of the DotP respondents feels that skills and competencies support the WCG M&E operations within their Department, Within the other Departments this is just over half (see Table 4).

Table 4: Perceived ability of the Departments to support the WCG M&E operations (among staff within and outside the DotP).

	Not DotP	DotP
Support	51.0%	38.9%
Somewhat support	39.2%	55.6%
Not support	7.9%	5.6%
Do not know	2.0%	0.0%

3.2.2.3 M&E Capacity development

According to the RBME Assessments, people resource capacity for RBME is addressed. It states that this is done through training in DPME focus areas and through learning partnerships i.e. data management as part of the development of the IT systems as projects in the CD: SMI. M&E advisors from the DotP provide support to these Departments in implementing the PWME framework; and through the M&E fora they are informed about developments and requirements. All departments do participate in the M&E forums which dedicates a fair amount of time to capacity building initiatives, provincially, nationally and global. The level of representation in terms of designation on these fora however varies significantly.

Especially with regard to the introduction and institutionalisation of the WCG Provincial Evaluation Plan (PEP) there was a demand for capacity development amongst provincial departments. Introduction sessions were organised and the DotP developed a 'Guideline for standard institutionalisation of the National Evaluation

System (NES) at a provincial departmental level' for the WCG. The WCG Evaluation Technical Working Group (ETWG) was constituted inclusive of an Evaluation Steering Group within the DotP; whose main function related to supporting the further institutionalisation of the provincial evaluation function with a focus on promoting the use of the evaluation results; and the quality of evaluations that are commissioned and conducted.

What is less clear from the documentation (both in planning and in reports) is a who is trained, at what levels, the focus of training, frequency and also the quality of this training / capacity building is not elaborated on. The departmental M&E frameworks do not shed light on this either. An M&E capacity development strategy has not been developed.

A need for stronger capacity development support also surfaced from comments made via the electronic survey. This related partly to communication of how the PWMES works and how it benefits the Departments. As one respondent commented: "Communication and education to departments pertaining to the M&E systems should be improved in order for better use of the systems and a better understanding of how the systems will enable and support the business."

Other departments mentioned the need for skills development in an integrated manner across Departments: "The WCG M&E system is still in its development phase. Where it can it offers great support and direction. Data sharing and establishing the procedural support within departments is lacking due to capacity constraints. It would be good for the WCG M& E system to support this identified need in an integrated way to the provincial departments."

3.2.3 Information architecture

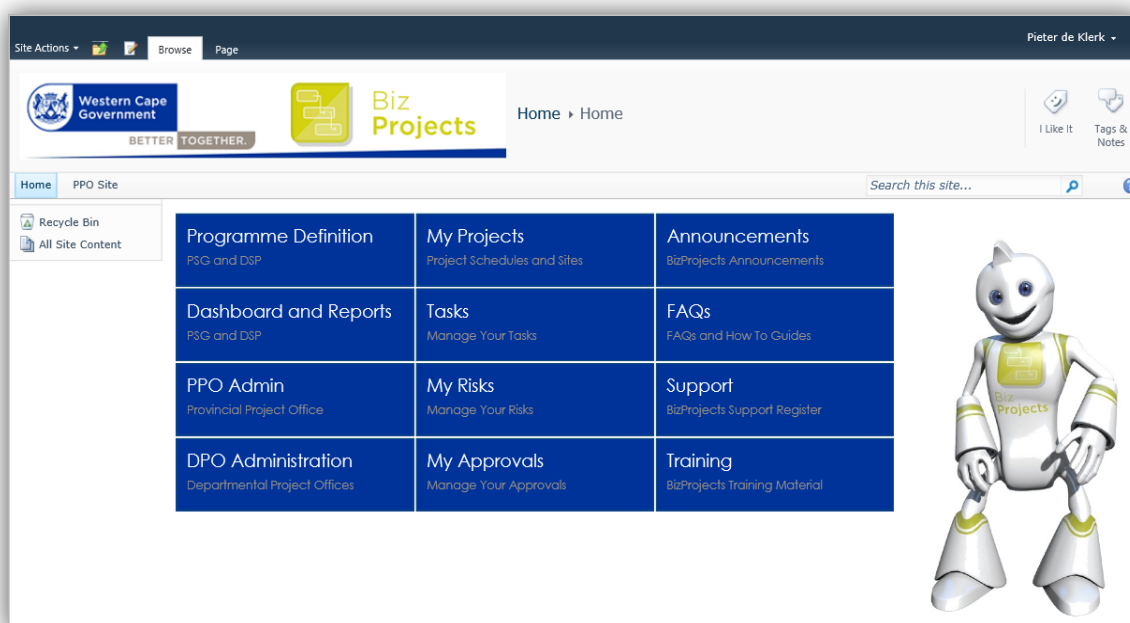


The information architecture is high on the M&E agenda as the PWMES moves towards phase 6. This is not to say that M&E information management systems have only recently received attention. From the start of the development of the PWMES, integration of M&E information in data repositories and linking information architecture has been planned for and implemented consistently. The WCG has over 360 different IT application systems in place. Insight into this abundance of incompatible, unconnected systems, often duplications that placed large demands on financial resources and users, led to a serious effort to improve the information infrastructure in the Province. This included those systems related to M&E information.

As part of the enhancements relating to Phase 6 of the PWMES; and in an effort to promote the integration of departmental data producing systems to support RBME, the DotP is leading the development of an M&E solution branded as the Biz Systems. This consists of three distinct, yet interrelated systems namely:

1. An Annual Performance System¹⁹ (BizPerformance) that has been introduced across the 13 WCG departments. This system aims to support the management of Provincial Performance Information and promotes the easier generation of performance reports. BizPerformance can also produce the required tables for Annual Performance Plans, Quarterly Performance Reports and Annual Reports. The system will assist departments to record the strategic goals, objectives, indicators and targets related to the respective Annual Performance Plans.

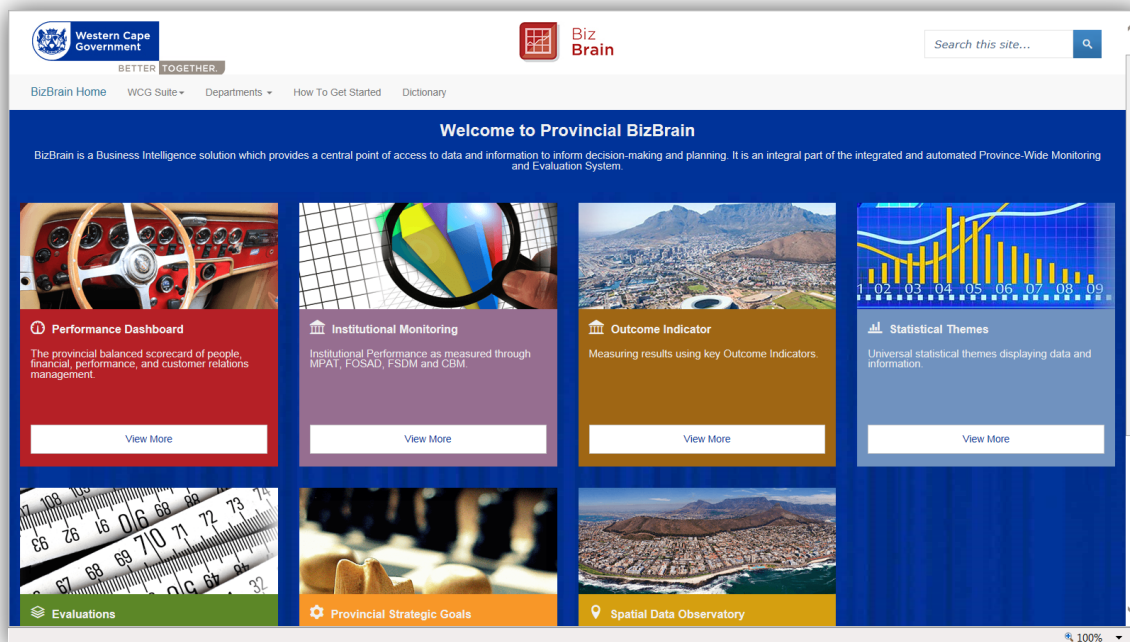
2. Enterprise Project Management (BizProjects) has been introduced across the 13 WCG departments. This system supports the management of programme and project performance data and the project management of strategic and department-specific projects. It provides for a programme and project management methodology that includes defining the rationale and getting approval for projects, as well as the monitoring of projects to generate project performance data. A total of 142 projects have been managed via BizProjects for the 15/16 financial year. Few of these directly relate to Provincial Strategic Goals and not all Departments are capturing Department-specific projects as yet.



3. The Business Intelligence system (BizBrain) aims to be a single source of data and information to support evidence-based decision-making and planning in the WCG. BizBrain also has both a transversal focus as well as a department-specific focus. A compilation of data against key indicators from various data and information sources are organised into easy-to-understand thematic areas. BizBrain provides a dashboard that allows for high level analysis of government performance and its

¹⁹ BizPerformance was previously known as the Annual Performance Assessment System (APAS). It is a centralised system.

related results. Over the longer term, it is envisaged that BizBrain will translate into the integrated and automated PWMES.²⁰



In terms of the required technical infrastructure, most provincial departments have the necessary infrastructure with applications in place, but a challenge relates to that the required data is not yet integrated. Provincial departments are slowly integrating relevant evidence-based data requirements into a centralised provincial system; BizBrain.

One of the key challenges relating to the integration of data relates to the quality of data and a variety of data norms and standards that are being applied. Additionally, security, confidentiality and legal issues relating to access to data also prevail. There is also a reluctance or fear of sharing information, as it is presumed that it may expose substandard quality information and / or performance. The DotP is currently assessing quality and data norms and standards related to different types of data and data sources in order to inform strategies for addressing these issues. This process is conducted under the auspices of Province-wide Data Governance; which is currently a key focal area of the CD: SMI.

In addition to the Biz Systems, the WCG is developing a Spatial Information system called the Western Cape Spatial Data Observatory (WCSDO). The WCSDO aims to spatially represent and map planned service delivery interventions against, demographic-, environmental-, economic- and social information. This spatial representation, and especially its alignment to the Joint Planning Initiative (JPI),²¹

²⁰ 2015/16 Annual Plan DotP.

²¹ The Joint planning Initiative: The Integrated Development Planning (IDP) Indaba is an annual platform where the three (3) spheres of government (national, provincial and local government) and parastatals agree on joint priorities and commit resources to implement these priorities. The IDP Indaba is to advance integrated sustainable service delivery. The IDP Indaba ushered in the third generation IDPs, which state that IDPs can no longer be individual,

provides relevant and useful information from various data sources. It is here where the data from different levels of government and sectors connect and are integrated. This essential process needs to be highlighted, as valuable lessons emanate from the analyses that inform evidence-based decision-making.

According to the RBME Maturity Assessment report, whilst the systems are maturing rapidly, they are also placing emphasis on enhancing data quality and the provision of accurate and reliable strategic management information. The 2015/16 financial year saw the start of the drive for improved data governance in the province. A framework for data governance has been developed and consulted during 2015/16. The initial implementation roadmap and related structures has been finalised. In terms of the latter, these refer to the Data Governance Committees established in 2016.

The systems and efforts or processes to integrate different types of data and data sets, is supported by an analysis of the business processes related to data management. Additionally, this gives insight into actual practices in the different aspects and stages of data management. This includes data production or acquisition, quality assessment and control, security, dissemination, ethics and responsibilities around data, the required skills to manage and interpret data and other tasks. This process is also complimented by support from change managers, who review the impact of the related business processes on staff and how to safely navigate the change.

The Directorate: ICT Change Navigation was created within the Chief Directorate: Organisation Development and this Directorate is very lightly capacitated to address the ICT changes within the WCG. The Biz Systems are also not the only systems being implemented within the WCG. The project plans for the three (3) Biz Systems had change management incorporated; and in some instances assigned change management resources. As the budget was reduced, one of the first functions to be cut was however change management.

BizPerformance is aligned to the business processes and it was assumed that the system would replace the manual processes used currently. Unfortunately, not enough was done to scope the actual impact the system would have on the administrators and users. This translates into that not enough change management was done to support the implementation of BizPerformance.

BizProjects has developed a programme and project management methodology, which is institutionalised as part of the Provincial Transversal Management System

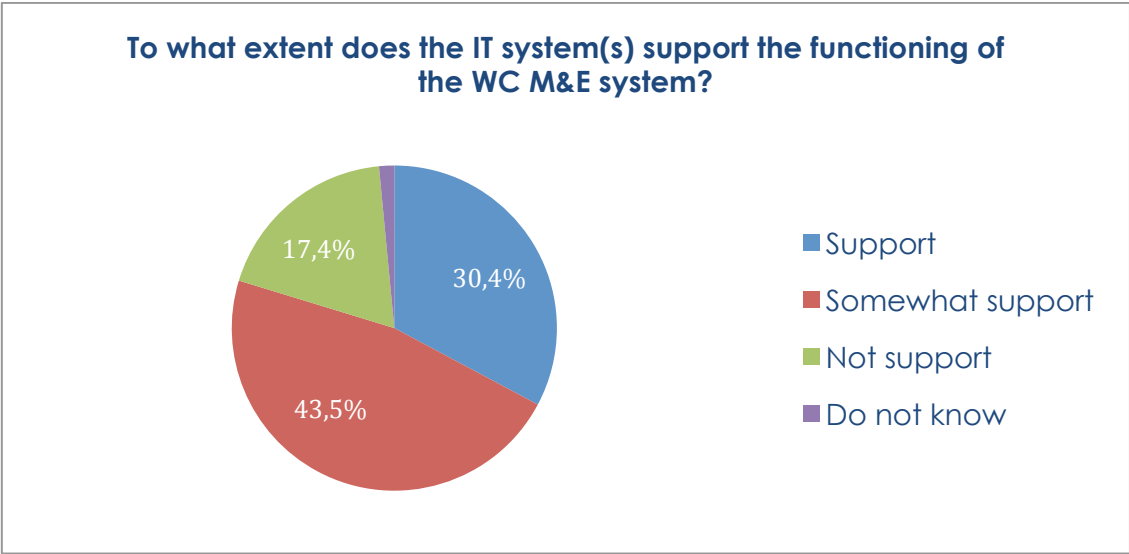
inward looking, and municipal plans but outward focused strategic plans that reflects and guides investment decisions of all spheres through collaborative planning. The Western Cape uses its Intergovernmental Planning and Budgeting Framework (IPBF) as a means of institutionalising the IDP Indaba in general and the IDP Indaba platforms specifically in the province. This is a first of its kind and sets a benchmark for the other provinces in the country

(PTMS)²². This methodology together with the BizProjects system is presented to users. The Provincial People Empowerment unit that trains all WCG staff, has also incorporated the methodology in their project management learning programmes.

3.2.3.1 Perceptions of the information systems

In response to the question ‘to what extent does the IT system support the functioning of the WCG M&E system’, the findings of the diagnostic evaluation indicate that about one third of the sampling group feels that the IT system does support the WCG M&E system (Figure 7).

Figure 7: IT system support in relation to the WCG M&E system



There was not much of a difference in perceptions between staff within the DotP and staff in other Departments (see table 5). The largest proportion of respondents, both within the DotP (50%) and in the other departments (43.5), however indicated that the IT system somewhat supports the functioning of the WCG M&E system. Most negative about the level of support provided by the IT system was staff from outside the DotP, with almost a quarter indicating that the IT system does not support the WCG M&E system.

Table 5: Does the IT system support the WC M&E system? Perceptions within and outside the DotP.

	Not DotP	DotP
Support	29.4%	33.4%
Somewhat support	43.5%	50.0%
Not support	23.6%	0.0%
Do not know	1.4%	16.7%

The three (3) newly developed IT systems that aim to support the WCG M&E system are not used by all relevant stakeholders yet, and for some, the systems are more relevant than to others. This is also reflected in the responses to the survey questions.

²² PTMS – A transversal management system to manage the implementation of the Provincial Strategic Plan and the achievement of the Provincial Strategic Goals.

Of the 69 respondents, 17 (25%) indicated that they do not use BizPerformance, and 12 (17%) do not use BizProjects. BizPerformance has been centralised in 2016/17 to address performance issues and to ensure that the performance data is correctly captured. It will be decentralised from 2017. Since BizBrain has not yet been widely launched, it was not included in the survey.

Of interest is that among those respondents who have indicated that they do not use BizPerformance or BizProjects, some do have M&E related functions. Some directors and deputy directors who indicated they are responsible for supporting their departmental M&E function, spatial information or impact evaluation process, reflected that they have not used these systems to date.

Further analysis among those with access to the BizProjects and BizPerformance systems (those who did not indicate whether they do not use the systems), revealed that the majority is positive about the systems. About a quarter of the respondents however rated the systems as poor. Ratings of the systems do not differ much with Biz Performance ratings being only slightly more positive than those of Biz Projects (see Figures 8 and 9).

Figure 8: Ratings of BizPerformance

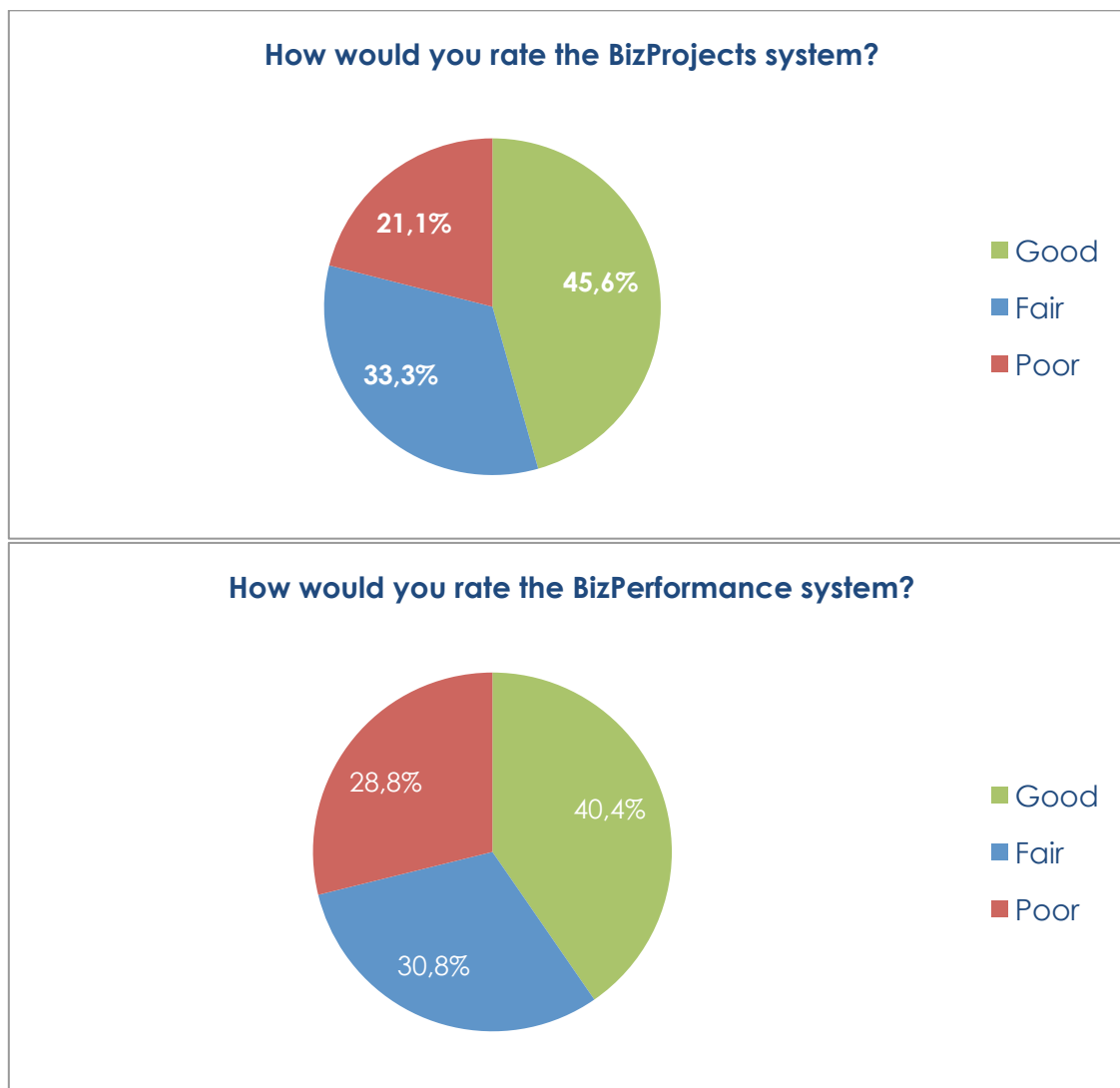


Figure 9: Ratings of BizProjects

One of the interviewees commented: "Systems need to be kept simplistic without compromising on features and functions to address core business needs. Support of and utilisation of these systems needs sufficient required capacity to keep abreast with support demands in order to meet client expectations Value needs to be measured accurately to ensure relevance to all stakeholders. Systems and process are to be embedded and allowed to normalise within the organisation. Constant change hinders buy-in and adoption."

From the overall system developers as well as current and future users at different ends of the Biz Systems value chains, there is a strong call for ensuring more explicit benefits to users of the systems. It is not clear if and what Incentive mechanisms are or will be in place to address this need.

Some other suggestions from respondents included:

“Get IT to acknowledge the value of social media - we need this in order to get to our clients - government is lagging behind because it is scared to manage social media access and use by officials!”

“I think we underestimated the amount of change management that would be required to fully implement the systems. For example, the Biz systems did not replace any processes, we simply did both. If the implementation of the Biz Systems was part of everyone's performance agreements (at the appropriate level) it would help with the change management.”

“We should achieve better alignment between Biz systems and the compliance reports required - if possible your compliance reports should be generated in the prescribed format via Biz as opposed to the current systems running and having to be maintained at the same time.”

3.2.4 Financing for M&E



According to the Provincial Evaluation Plan (PEP) Update No. 2 (2014/2015), implementing departments have factored the funding of evaluations in their 2013/2014, 2014/2015 and 2015/2016 departmental strategic planning processes; and have used the respective Medium-term Expenditure Committee (MTEC) processes as a vehicle to table requests for funding the evaluations proposed in the consecutive WCG Provincial Evaluation Plans. The Department of the Premier worked in collaboration with the Department of Provincial Treasury to ensure that all implementing WCG departments utilised a part of their overall budget to conduct the evaluations as contained in the consecutive plans.

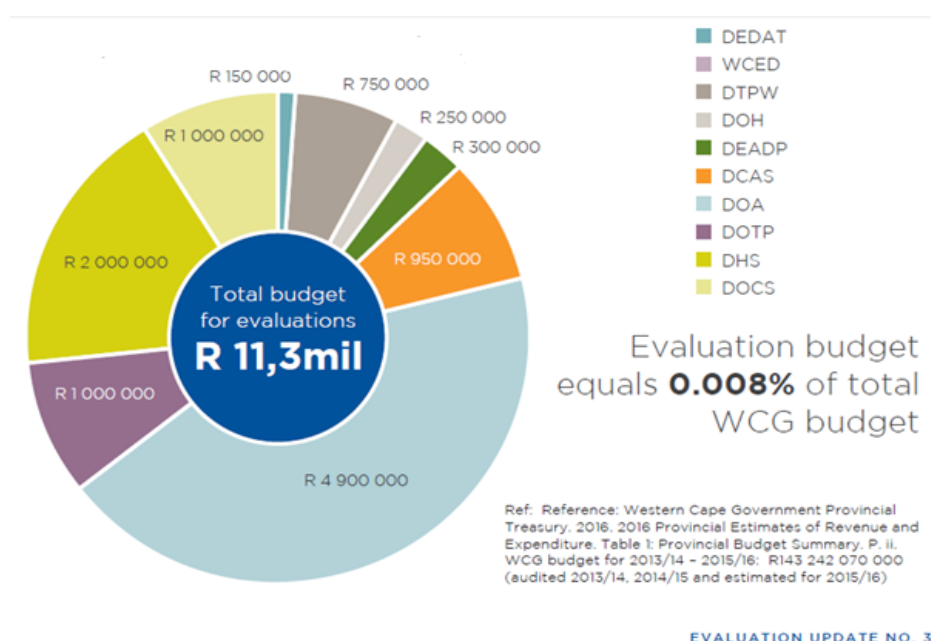
The findings related to this diagnostic evaluation indicates that 10 out of the 13 WCG provincial departments, have or are implementing evaluations. The Departments of Social Development, Local Government and Treasury have to date not submitted any evaluation concepts for implementation since the inception of the WCG provincial evaluation system.

As indicated in the PEP Update No.3 (2016/17), the 'call for evaluations' for the period 2013/14 to 2015/16 yielded a total of 23 evaluations, of which 21 were implemented. Figure 10 below demonstrates that the total budget for these evaluations amounted to R11.3m which equals 0.008% of the total WCG budget. Essential points highlighted here include that 10 out of 13 departments participated in the institutionalisation of the first WCG provincial evaluation process; and that the Department of Agriculture had the highest spend of R4 900 000 for commissioned evaluations over the said three (3) year period.

It also reveals the actual amounts and proportions that have been budgeted for WCG evaluations over the multi-year period:

- The total budget for planned evaluations within 2013/14 amounted to R4.5m which equals 0.01% of the total WCG budget.
- The total budget for planned evaluations within 2014/15 amounted to R3m which equals 0.006% of the total WCG budget.
- The total budget for planned evaluations within 2015/16 amounted to R3.8m which equals 0.007% of the total WCG budget.

Figure 10: WCG Budget for evaluations 2013/2014-2015/2016



Largely because of the PEP, most departments do have a dedicated budget for evaluations; and this relates to a recommended percentage of the overall budget for the specific unit of analysis (be it a programme or a project) that forms part of the PEP. Budgeting for evaluations is however mostly done in an ad hoc manner; and this situation is further perplexed through the introduction of austerity measures relating to government budgets. There is no fixed percentage set aside for evaluations in the WCG.²³ Some evaluation units even run without a budget for evaluations.

The comments interviewees gave regarding budget allocation for evaluation were in line with the caution made by a review of M&E systems in South Africa in 2012.²⁴ If there is no dedicated budget, it is possible for M&E to be amongst the first casualties when budgets need to be cut.

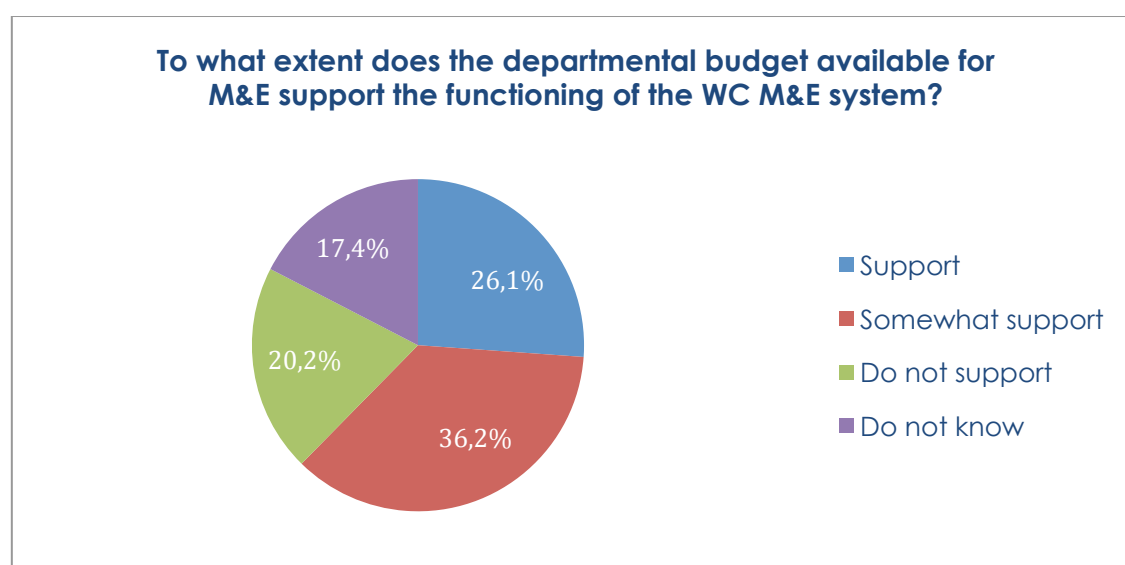
²³ There is a national recommendation that it be $\pm 5\%$ of the total programme budget. It would be interesting to see if some Departments have a fixed % allocated for research.

²⁴ Umlaw, F. & Chitepo, N., 2015, 'State and use of monitoring and evaluation systems in national and provincial departments', African Evaluation Journal 3(1), Art. #134, 15 pages. <http://dx.doi.org/10.4102/aej.v3i1.134>

Some officials, including three (3) of the HoDs interviewed, are of the opinion that research and evaluation are actually especially crucial in situations where shortages require increased attention to the strategic use of resources. This does not mean however that their department also budgets for it. This raised the question as to what the most important determinants of budgeting for M&E actually are.

In response to the question 'to what extent does the Departmental budget available for M&E support the functioning of the WCG M&E system', only one quarter of the WCG staff that responded said that it does support the WCG M&E system. One fifth of the respondents indicated that the budget does not support the M&E system; and a third thinks it does somewhat support M&E. Figure 11 presents a substantial proportion of respondents (17%) who do not know if the budget supports the WCG M&E system. Responses among staff within and outside the DotP were fairly similar.

Figure 11: Budget support for the WC M&E system



A Director for Impact Assessment manages a very small evaluation unit with no dedicated evaluation budget. The unit engages in evaluation as requested by the services or top management. A pertinent response relates to that: "We do not interact much with the WCG M&E system; but keep ourselves abreast of their activities through attending the meetings hosted by the responsible unit."

The budget cuts in the WCG seem to have a rather negative effect on spending on evaluation. "Limited budget has put pressure on our capacity to deliver in the M&E area as some posts had to be frozen," said one of the respondents. According to the respondent, the successful implementation of the WCG M&E system is dependent on sufficient capacity and resources.

The RBME Maturity Assessment does not include ratings regarding funding for M&E.

3.2.5 M&E culture



The major changes towards M&E system development in the WCG have to a large extent been driven by a broader emerging culture for “good governance” in the South African public sector in the late nineties and during early 2000. One side of this focuses on controlling resources and accountability and another on results-based, strategic management and evidence-based policy

making.

The PWMES is strongly guided and to large extent also motivated by the introduction of the GWMES, which is a national initiative to instil and strengthen RBME culture(s) in South African provinces. It is a hierarchical and top-down process. Nonetheless, the provinces do have a large degree of autonomy in how to structure and implement the directives of the GWMES driven by the DPME. In addition, the DPME also engages with the provinces and other M&E stakeholders to learn from good examples and improve the institutionalisation of the GWMES.²⁵

One of the first steps undertaken to bring about reform was the Modernisation Process, which for the M&E function implied an urge and opportunity to develop systems that provide an overview on performance by the provincial departments. It strongly focused on data management and architecture to support the integration of data and easy access to strategic information for high-level management.

Whilst ostensibly M&E got and still has strong support from both the national government and the DotP, it has not been embedded in the organisational culture. M&E is seen by many as ‘the enemy’; a function of control, compliance and oversight; rather than one of serving the purpose of departments and programmes, namely facilitating delivery of services to the public.

The resistance to engage in PWME is well illustrated by the following comment made by a Director of M&E in one of the provincial departments: “There is general reluctance from line management to implement and support M&E as they don't want to be policed on their delivery activities.”

On the other hand, some officials do believe in the need for control and compliance and the role of M&E in this process. According to one of the HoDs, “We need to close the current gap that exist between policy and implementation. Too often members of the executive are frustrated by the fact that departmental policy decisions are not reflected at the operational level - my view is that people mostly do what is inspected, and not what is expected. Therefore the need to increase our M&E systems, processes and reviews.”

²⁵ The DotP and the CD: SMI have on several occasions contributed to DPME RBME and evaluation guidelines and partakes in pilots to test and improve the rolling out of components of the GWMES at a provincial level.

In addition to the 'policing' factor attached to M&E, there is also the element of 'fear for failure'. This fear was mainly expressed by senior management staff. There seems to be little room for 'brilliant failures'; learning from mistakes is not something that is generally encouraged. In the same vein, 'safe space' was often mentioned. There is a need for a safe space to constructively reflect on performance and results. The focus is on avoiding mistakes and the reporting thereof. Generally, evaluation is seen as a risky business that could attract negative publicity.

Related to a lack of trust in the M&E function and purpose; and perhaps also linked to an avoidance strategy, is the fact that many see M&E as a function that is being executed by M&E officers or by the DoTP; and not directly related to any senior management function. Integration of M&E functions in Senior Management profiles and performance agreements is an important aspect that warrants attention.

3.3 Diagnosis of M&E processes



3.3.1 Data availability and quality



The key information products of the PWMES delivered by the DoTP include:

- **Programme Performance Information:** The Strategic Plans, the Annual Performance Plans, Quarterly Performance Reports, and Annual Reports of the WCG departments;
- **Project Performance Information:** Progress reports on Strategic Projects managed through the BizProjects System
- **Governance Indicator Release:** the publication entitled 'Measuring Results using Key Governance Indicators' tracks and reports on the FOSAD indicators, Frontline Service Delivery indicators (since 2012), Citizen-Based monitoring indicators (since 2014/15) and Evaluations (since 2012/13).
- **Outcome Indicator Release:** The publication entitled 'Measuring Results using Key Outcome Indicators' tracks and reports on all outcome indicators developed.
- **Interval Indicator Releases** are produced at five (5), 10 and 15 year intervals respectively.
- **Evaluation Information:** Multi-year Provincial Evaluation Plans, inclusive of updates produced through an annual call for evaluations to departments

and Annual Evaluation Updates reporting on progress relating to the institutionalisation of evaluations contained in the Provincial Evaluation Plans.

- **Spatial Information:** Spatial data inventory, Core Directory of Common Data sources Volume 3: Spatial data sources for the Provincial Strategic Goals and Geographical Information Systems, Spatial Information Maturity assessment report and Micro-level analysis of Violence Prevention through Urban Upgrading (VPUU)/RSEP areas.

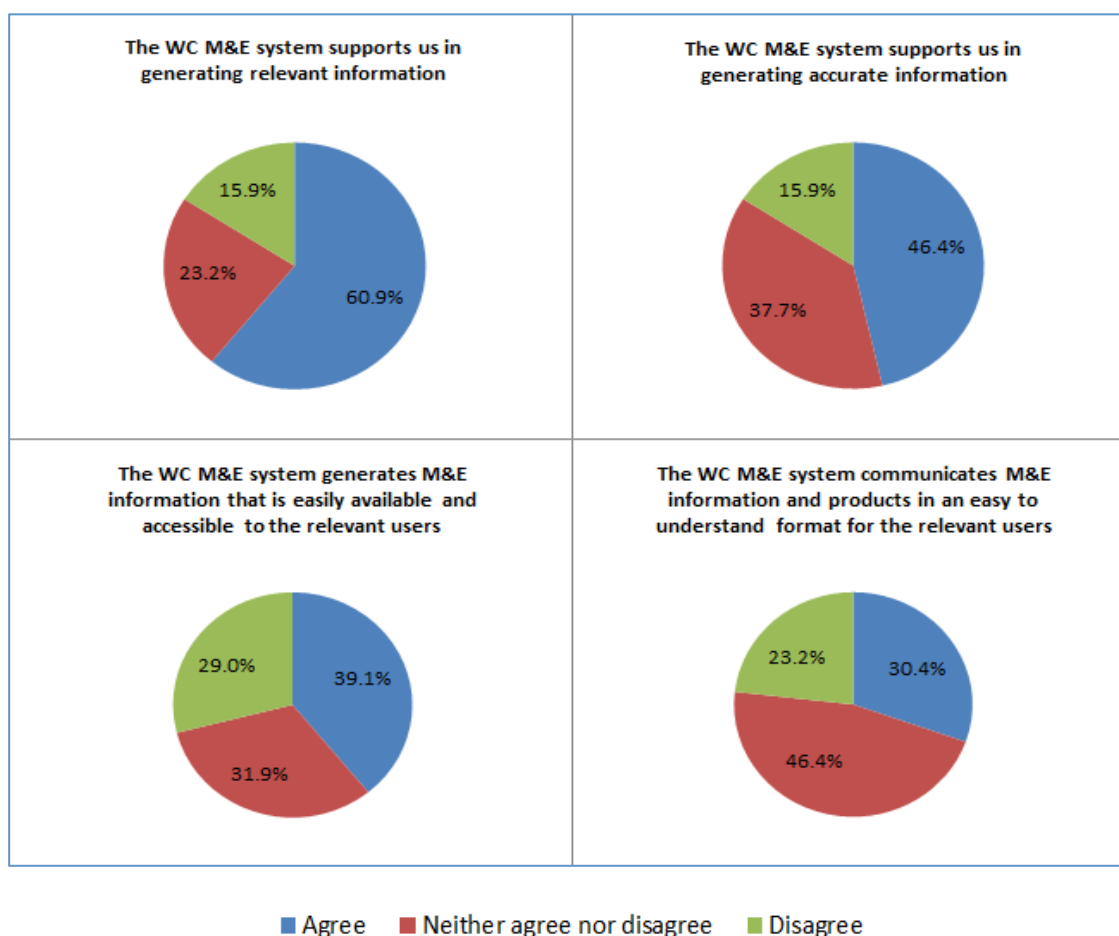
The results of the RBME Maturity Assessment 2015 showed that in terms of Policy and Annual Strategic Planning, all departments show alignment through the well-developed performance information management system. Outcome indicator monitoring does not always however take place and the practise of conducting evaluations is still evolving in most departments. This thus indicates that there is a lack of availability and / or use of strategic information within the province.

According to the RBME Maturity Assessment report, departments do not have Indicator Frameworks outside of their Annual Performance Plans (APPs) as this is not a legislative requirement. There is also a misconception amongst WCG departments that evaluations serve as the only tool to measure impact. Therefore, no impact and outcome indicator or monitoring and results frameworks are developed with the intention of continuous monitoring of outcomes.

This continues in the sense that the 2015/16 financial year saw the finalisation of the development of the PSGs as the provincial strategy, of which all provincial departments serve as contributors. As part of the process, a set of outcome indicators for each PSG was identified and will be monitored continuously. At a provincial level, the indicator frameworks translate into a Monitoring and Results Framework.

The responses to the electronic survey on the relevance, accuracy, accessibility, and presentation of M&E information indicate that especially with regard to the presentation of M&E information and accessibility; there is room for improvement according to the WCG staff. Over a quarter of the respondents feel that this is not well supported by the WCG M&E system.

Figure 12: Assessment of relevance, accuracy, accessibility, and presentation of M&E information



The process of ensuring availability of relevant and good quality data, typically involves activities such as the selection of data to be collected or assembled and methods for doing so, data collection and assembling processes, aggregation and disaggregation of data, data distribution and communication.

The CD: SMI compiles a compendium of indicators inclusive of an overview of data sets used in the province on a regular basis. These M&E products assist in making data more accessible. As was previously explained, one of the main challenges relates to the vast number of data sets within the province and at local municipal level; and the difficulty that the province encounters in improving availability and access to data. These data sources partly overlap, are not all of good quality, use different geographical boundaries, may be outdated, differ in frequency of data collection and are often not shared.

Coordination of data collection, integration of data and agreements on data quality requirements including the sharing of data would be some of the means to improve this situation. For this purpose the CD: SMI has started a data governance improvement process; and this includes a review of indicators and the quality of

data with the aim to introduce province wide data quality standards and norms. This proposal relates to strengthening the M&E related policy.

Furthermore, the spatial data observatory that combines all kinds of spatial information used in the different departments and its entities is being developed. This technology improvement looks promising as it will allow users to conduct spatial analysis of developments in the Western Cape and of government interventions. It provides a more user friendly format for M&E information than lengthy reports and complicated tables.

Little has been done thus far in terms of capacitating people to collect-, assure quality and manage data and information. Within the DotP, this function is performed by the CD: SMI as part of the transversal data governance process for business intelligence and the spatial data observatory.

In collaboration with departmental programme and project staff, M&E staff provide assistance in the planning of the APP; and then collect and assemble monitoring data to report on APPs on a quarterly and annual basis. The number and levels of M&E staff vary significantly between the departments; and it is believed that this requires attention.

Once the norms and standards for data have been accepted and the key areas for data quality improvement have been identified, a capacity development strategy could be developed and implemented.

There is buy-in to the process of improving data quality and access. Access via a digital application on one's mobile phone to performance data is much appreciated especially by Cabinet members and HoDs.

Departments and entities often appear to be reluctant to share data. Various reasons such as fear of releasing poor quality data and the inability to protect personal information are given.

3.3.2 Analysis and Evaluation



Before good quality and relevant data can be used in decision-making, the data need to be well understood and analysed within an evaluative process. Analysis and evaluation serve to translate data into useable and useful information. Once relevant good quality information is supplied, decision-makers can use this information for strategic decision-making purposes.

One of the most significant changes in this M&E process has been the introduction of the WCG Provincial Evaluation Plan (PEP) and the WCG Evaluation Technical

Working Group. In line with the National Evaluation Plan, the WCG has placed the priority on the evaluation of existing interventions and on those that are:

- A provincial priority;
- Linked to the 12 Provincial Strategic Goals (PSGs)
- Large (with a budget of over R50 million with a wide footprint covering over 10% of the population; and
- Strategic, where it is important to improve and to learn.

Additional features that were considered include those interventions that are:

Innovative;

- Signify a keen public interest;
- Have not been evaluated recently;
- At a critical stage, where decisions need to be taken for which an evaluation is required in order to provide the necessary data and information;
- Have monitoring data and or spatial information in order to inform the evaluation process; and
- Have a potential budget for evaluation.

In support to the introduction of the WCG PEP process, various capacity development initiatives were facilitated and external lessons learnt within this process were shared.

According to the PEP Update (June 2016), and in terms of the status of evaluations, there were 23 approved evaluations from 2013/14 – 2015/16. From these 23 approved evaluations, 21 evaluations have been completed and two (2) evaluations remain incomplete due to various reasons beyond the control of the respective departments. A total of 14 evaluations have been subjected to an independent quality assessment process based on specific criteria resulting in a quality assessed score ranging from 1-5. All the evaluations were rated of sufficient quality.

No. of evaluations in the PEP	Approved Concept notes and ToR's	Evaluations still being implemented	Approved Reports	Evaluations Quality Assessed	Improvement Plans being implemented	Evaluations on hold/dropped	Evaluations stuck
23	23	1	17	14	8	2	1

All completed evaluation reports are sent to the WCG Business Intelligence (BI) site and archived in a WCG Evaluation database. An Evaluation Dictionary in which all completed WCG PEP evaluations are profiled has been compiled as this is updated as evaluations are completed; and then stored in respective folders with all meta data relating to the evaluation.

For the duration of the 2nd WCG PEP 2016/17 to 2018/19, the focus of the WCG provincial evaluation system will shift to:

- Focusing on the use of evaluation key findings and recommendations to improve policies and programmes within the WCG;
- Reporting on the tracking of evaluation recommendations and demonstrating how the evidence have been used;
- Engaging the Executive on critical analyses relating to the value of evaluations and findings;
- Further strengthening the RBME approach towards achieving outcomes of provincial priorities;
- Leading evaluations within the broader data governance discussion currently taking place within the WCG through the institutional architecture, overcoming fear on embarking on evaluations and matching the demand for evaluation data directly with production. This will enable the WCG to manage the implementation of the policy agenda for the province with better evidence, and this in turn will lead to improved data co-ordination across the WCG environment.

The interviews with senior managers revealed that some departments conduct evaluations mainly to fulfil the national government evaluation requirements; and not out of a need for answering strategic questions. The primary purpose of evaluations does not seem to be learning or accountability. An exception in this regard is the provincial Department of Agriculture that provides a very good example of learning, which is also evident from its major investments in evaluation over the past years.

Partly because of the recent budget cuts, departments indicate to invest less in evaluation. They rather focus on maintaining service delivery levels on the shorter term than investing in learning; and with that the potential for smarter development in the longer term. Some departments however indicate increased interest in conducting evaluations. On the one hand, this is to provide insight into the potential losses and risks of stopping or down-scaling existing programmes and projects. On the other hand, evaluations are seen as instrumental in identifying more efficient and effective strategies for service delivery by identifying what works well and what doesn't. Overall, evaluation is seen as a risky business that could attract negative publicity.

3.3.3 Information use in decision-making

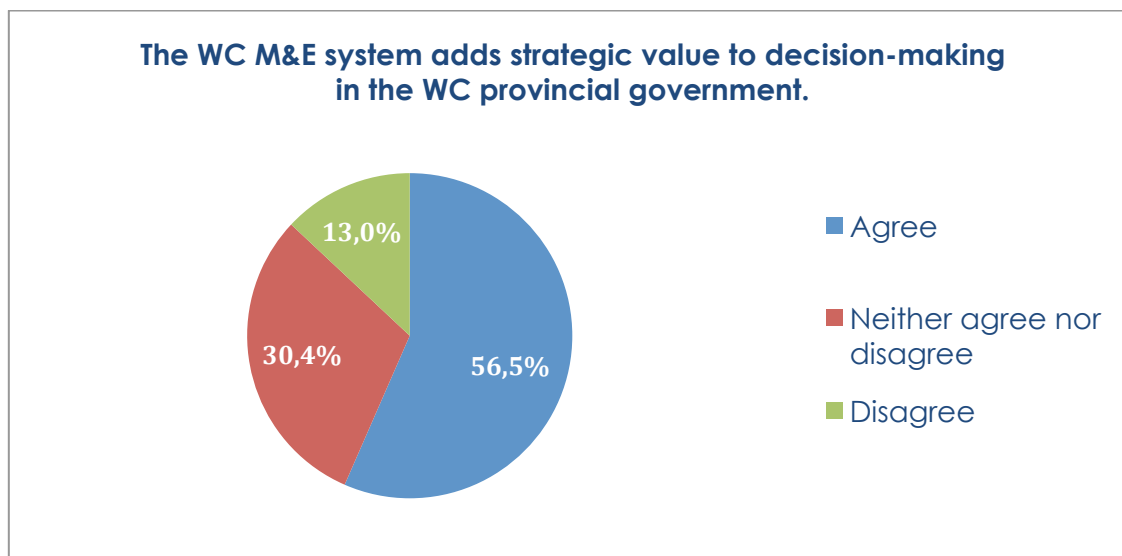


The primary intended result of having M&E information is the utilisation of M&E information in decision-making. Monitoring information is often used to distil trends and to set targets. Evaluation information is often expected to inform strategies and policies. Planning for service delivery and good governance that are important goals in the Western Cape Province, should be informed by insights into what programmes work and why. This means using the insights gained instrumentally through proper analysis of monitoring

information and extracting lessons from evaluations. The question here relates to whether this is actually happening. We also look into how this might relate to a demand for M&E information and to other factors, such as capacity for instance.

The results of the high level scan through the electronic survey suggest there is still work to do in this regard. Almost half of the respondents indicated that they do not fully agree with the statement that the WCG M&E system adds value to provincial decision-making (see Figure 13).

Figure 13: WC M&E system adds value to decision-making in the WCG



On the other hand, over half of the respondents agree that the WCG M&E system does add value to decision-making.

With regard to monitoring information, we see that the main issue remains to ensure that results and indicators at outcome and impact levels are used in planning and reporting that are evidence-based. This requires an integrated planning approach in order for programmes and projects to speak to departmental, provincial, national and international goals. The DotP is currently working hard to bring this to fruition.

With regard to evaluations we see that departments that do participate in the WCG PEP process perceive evaluations as useful tools to inform and argue for stopping, down- or up-scaling or changing government programmes. They do attach instrumental use to evaluations. This is also shown by the improvement plans that are part and parcel of the evaluation process. From the 21 evaluations, eight (8) improvement plans are currently being implemented. The same principle stands for Frontline Service Delivery where improvements have been produced.

Evaluation information is currently mainly used for adjusting departmental programmes. It could be that as the departments focus on departmental specific evaluation instead of having an interdepartmental focus, evaluation does not

necessarily take place within a transversal environment in an attempt to reach the province's strategic goals and elevated policy levels.

In the same vein, the provincial versus national focus of evaluation, as they are initiated and managed within provincial departments, forfeits the opportunity for learning across spheres.

While the planning of evaluations and related progress is discussed in the Evaluation Technical Working Committees at a cluster level, none of the evaluations in the WCG PEP 2013-2016 is part of a joint evaluation either across levels of government or across departments. The Joint Planning Initiative is in a position to provide an obvious proposal in this regard.

Inspection of the Departmental Annual Performance Plans 2015/16 reveals that very few Departments mention using or learning from evaluations and how this has influenced their Annual Planning process. Some of the plans however indicate the planning for M&E activities. None of the APPs have devoted a separate section to M&E or to evaluations, and mention budget in relation to M&E. If we look at the scores of the RBME maturity assessment, and we focus on the best and the worst performers, it seems that better performance is closely related to planning for M&E. One way to improve utilisation of M&E information for strategic purposes is to actually plan for M&E.

This resonates with the Policy framework for the GWMES, which also suggests how to facilitate this process. M&E entails gathering and using information and knowledge in order to improve accountability and enhance service delivery. This cannot be successfully achieved unless an explicit, sustained effort is made to find out what information is needed to improve government performance in terms of accountability and service delivery. Finding this out requires personal consultations with the key stakeholders that are involved. Such consultations must be undertaken regularly and the findings reflected in institutional M&E strategies. Details regarding these consultations, such as interview dates and findings should be attached in an Appendix to the M&E strategy (p.13).

The need to focus more on the demand for M&E and less on compliance, was expressed by many of the interviewed officials. In order to stimulate the use of M&E information and processes, the benefits of this should be made explicit. This is well illustrated by the statement: "Define exactly what the purpose of the M&E system will be - if it is compliance driven, then it will meet resistance. If it will enable ease of doing business, it has the potential to get buy-in and productive use of it to inform service delivery, policy making and decision-making. It has to be outlook focused and not just based on the state of current affairs."

The comment presented in the section on culture, that 'too often are members of the executive frustrated by the fact that their policy decisions are not reflected at operational level', brings out another dimension. A focus on strategic decision-making is located at high management levels; but the operational cadres are not able or willing to implement such directives. Clearly, the need for continued investment in RBME does not stop at the top.

3.3.4 Sustaining the M&E system



The M&E system is neither a new nor a temporary mechanism for supporting the WCG in achieving its goals and objectives. It is expected to support the (results-based) management of the organisation and its interventions. Coordination of M&E processes and continued investments in the key building blocks is required. This is also reflected in the PWMES that has a built in phase 7: Implement and Sustain. This means that the elements of the system are to be updated and reviewed annually; and that it is expected to ensure a sustainable and effective indicator system.

Another instrument for sustaining the system is the institutionalisation of M&E responsibilities. As we have discussed under "people", this is currently mainly done through the M&E forums, but needs more attention.

One of the indicators representing the levels of sustainability that could be used is the result of the RBME Maturity assessment, which intends measuring over time the establishment of an RBME approach and system. When we look at the overall score over the past two (2) years, we do see a positive trend in all the Key Performance Areas that are included in the assessment (see Table 6).

Table 6: RBME Maturity Scores 2014-2016

Key Performance Area	WCG Score per KPA	
	2014/15	2015/16
RBME Capacity	3.56	3.67
RBME Frameworks and Strategies	3.15	3.58
Indicator Development	2.08	2.27
Data management and Data Governance	2.72	2.90
Information Architecture	2.90	3.56
Overall	2.88	3.15

The RBME Maturity Assessment report makes some other relevant observations. According to the report, very few M&E staff in departments are part of the bigger strategic focus of the province. In other words, M&E staff are not involved in strategic planning processes. The report states that this situation has remained the same over the past years and poses a risk for the implementation of the Provincial Strategic Plan. One could also add the risk it poses for sustaining an M&E system.

Another useful source of information on sustainability of the WCG M & E system is the Management Performance Assessment Tool (MPAT). MPAT provides insight into the state of management practices within a department (see Table 7). Under the auspices of the first of its four Key Performance Areas, Strategic Management is a relevant indicator included in Indicator 3 on M&E information use.

Table 7: MPAT scores WCG over 2012-2014

		WCG Average Score		
		MPAT 2012 final	MPAT 2013 final	MPAT 2014 final
Key Performance Area	KPA 1	3.52	3.48	3.77
	KPA 2	2.85	3.63	3.59
	KPA 3	2.51	2.84	2.91
	KPA 4	3.00	2.94	3.50
Overall MPAT score		2.97	3.22	3.44

Further interrogation of this data indicates that all departments improved over the period 2012-2014. This was also during the time when the use of M & E information was focused on; except for one (1) department that scored lower than three (3) and did worse in 2014 than in the previous years.

Based on the RBME Maturity assessment and the MPAT scores, the PWMES seems to be fairly well anchored in the management practice; and over time comparisons suggest that this is further improving. The most critical observation is that M&E is not well linked to planning. This poses a risk to the PWMES. As the DPME guideline on the role of the Offices of the Premier in M&E (2008) states: "M&E is not an end in itself or merely there to serve compliance or external reporting purposes, but to improve how the public institution's policy outcomes are achieved through conducting its core business" (p.4).

"I don't directly work with M&E, I am more on the Planning side of things", was the most exemplar statement on this issue made by one of the respondents in the diagnostic review process.

Sustainability is also dependent on the degree to which the system is actually able to link the M&E process and practices between different departments and levels of government. If the linkages are too weak, the system loses its function of a Province-wide system that connects and integrates information; and facilitates learning across the horizontal and vertical boundaries of departments and government levels.

The current Biz Systems development is a means to connect government levels and departments in terms of information architecture. This is a major step forward, but also a daunting one as it requires serious change management, capacity development and financial resources. Care should be taken to not focus too strongly on the Information and data management process at the cost of other critical elements of the PWMES. As the reviews of the building blocks: policy, finance, culture

and people suggest; information systems on their own will not ensure the sustainability of the PWMES.

More effort seems to be required to ensure that people are willing to share information, are able to translate data into strategic information and have the mandate and means to learn and inform policy and strategy. The importance of sustaining the system in all buildings blocks is important.

The importance of the user perspective in sustaining the system is one of various approaches that could be further explored. This aspect is well illustrated by the following cautionary notes of one of the WCG staff: “In my view, we have overemphasised loading projects, Project Initiation Documents (PIDs), indicators, IT ability etc. (technical requirements), but what we actually want is for users to understand the power of using the information strategically. This aspect seems to be missing from the conversation. If you want true value you need to speak to implementers at the receiving end of the system, the ones actually running the projects and programmes. They need to believe in it if you want true value. If the system is only designed so that others can monitor implementation, it is not reaching its true strategic value.”

3.4 Strengths Weaknesses Opportunities and Threats



3.4.1 Strength

- Policy: There is **policy** (Province wide data governance framework) to start supporting evidence-based strategic decision-making. (Supply)
- Technology: A province wide business intelligence (BI) solution is being developed to support data integration, monitoring and data information management. Overall these developments are received positively. A **high-speed Internet** and **data intelligence** is identified as a game-changer to improve 24/7 service delivery in the Western Cape Province.
- Culture: Western Cape management acknowledges that decision-making, in strategy formulation and operations should be more **evidence-based**. Most professionals acknowledge evidence-based decision from reliable and accurate data, as a sustainable solution for achieving **more with less**. (There is a demand)
- People: there is a strong commitment from the **central technical coordination unit (CD: SMI)** in The Premiers offices that coordinates and expand progress in evidence-based decision-making. All Departments have appointed M&E officers.
- Finance: Finance for M&E comprises standards, indicators, data systems development including support, staffing of M&E officers and evaluations. (The WCG has also committed a substantial part of its budget to realise high-speed Internet to ensure connection for all and between all government entities.)

3.4.2 Weakness

- Policy: M&E related policy is not always understood. This is partly due to the need for clear definitions and descriptions of the M&E system and its components, and partly to limited communication and training. M&E policy lacks incentive mechanisms for using M&E and is regarded as a costly, **compliance** (tick the box) exercise with too much duplication.
- Technology: Developing the integrated BI tool is mostly **supply driven** (instead of demand driven).
- Culture: The benefits of a business intelligence tool (as part of M&E) that is being developed is not being perceived (by all yet) as a useful management tool over and above what management is currently using. Within senior management M&E is often seen as **'The Enemy'** and not as input for smart decision-making. A large segment experiences M&E as a control function and refers to a "fear for failure".

- **People:** There are **no clear M&E** roles and **responsibilities formulated**. Job-descriptions and salary scales are not consistent. M&E people are often regarded as administrators who produce compliance reports and not as people who support strategic management. This means that it is not known how many staff are actually undertaking M&E functions in the Province.
- **Finance:** There is no insight into total spending on M&E in the WCG. The need for financial investment in M&E and its return on investment are not well defined and communicated. There is **no substantial and sustainable budget** allocated to M&E.

3.4.3 Opportunity

- **Policy:** M&E policy reviews offer the opportunity to **strengthen a systems approach** in M&E that is underpinned with sound data governance. Specify how elements of the M&E system connect and support strategic decision-making and the operationalisations thereof (shared standard and definitions, roles and responsibilities, infrastructure and resources). Such policy change should be well communicated. (Create a safe space)
- **Technology:** Further **involve the departments and other levels of government** in BI development and in finding solutions to ensure BI is linked to strategic decision-making (goals and objectives). Develop a **demand driven** online BI-strategy, one that only provides **relevant data** to users.
- **Culture:** Develop incentive mechanisms that **reward evidence-based decision-making** and support to and engagement in M&E, sharing of information, and evidence-based decision-making (e.g. recognition programme, focus on good examples, enhanced efficiency in planning, monitoring, evaluation and learning).
- **People:** Focus on **continuous capacity development** in M&E while further developing the M&E system, including BI systems (e.g. practical guidance on how to use M&E information in decision-making; training in strategic leadership, securing analytical capacity).
- **Finance:** Facing significant budget cuts, develop a business case (prove of concept) that **shows return on investment** in evidence-based decision-making, including improved data governance, province-wide integration of M&E and inclusion non-state users/providers. (Triple-helix)

3.4.4 Threats

- Policy: **Continuation of leadership** in M&E related policy. Much depends on a few individuals. Coherence in policy understanding, acceptance, and use across departments and tiers.
- Technology: **Duplication and lack of acceptance** of changes in systems and processes.
- Culture: Distrust between government levels and departments. Lack of trust and supportive leadership may feed **reluctance to share data**.
- People: **Limited coherence and cooperation** between units and people working in strategic policy development, data systems and M&E functions.
- Finance: Investing in Business Intelligence is **seen as costs**, not as savings. Decrease in overall WCG budget and increases in budgetary demands. This period of budgetary and resources constraints creates more **uncertainty about importance and relevance of M&E**.

4 Conclusions

The 2009 and 2015 frameworks and strategies provide a comprehensive overview of the design, the implementation and products of the PWMES. From these policies it is clear what the PWMES aims to achieve and how this relates to provincial needs and national directives. The Western Cape Model - the 7-phased approach to building the PWMES - guides the development and implementation of the PWMES and also allows for monitoring progress in this processes.

Furthermore, the PWMES framework clarifies how RBME is embedded in PWME and it also provides direction to RBME. In particular, its steps towards integration of data (spatial, performance, outcomes and impacts) and making strategic information available and accessible through an improved business intelligence mechanism and systems are now displaying major advancements in the maturation of the PWMES.

The fact that the CD: SMI directly reports to the Director-General means it is able to steer PWME towards the generation of strategic management in the Western Cape Province. Moreover, it also reflects and promotes buy in at the highest level of the WCG.

In summary, impressive progress has been made over the past years in developing a province-wide M&E system. The Western Cape Model pursues a strong drive towards RBME through integration of management systems and access and quality of performance and strategic information. It offers a solid foundation to further build on.

The findings of the review also show that in order to grow and sustain the PWMES across the levels of government and sectors, more attention should be given to

strengthen linkages between management information systems (ICT infrastructure) and roles and mandates across departments and levels of government (policy), supporting organisational change and incentive mechanisms (culture), capacity development and responsibilities (people), and securing sustained financial support for M&E (finance).

Further development and operationalisation of BizBrain, which is one of the major investments made in the past years, provides an opportunity to address the required business processes in information generation (standards), security issues and trust that support sharing of information and use thereof for strategic decision-making as well as ensuring that adequate resources and skills for M&E are secured and maintained. In addition to this rather general comment on using improvement in business intelligence technology to further strengthen the other M&E system building blocks, some more specific recommendations follow from the review.

On policies: There are some areas in which the policies are less well developed. These mainly relate to implementation of some of the processes. Whilst the broad lines of responsibility are described, the policies are less clear on who or what unit in the DotP is responsible for implementing institutional monitoring and evaluation. The roles of the various platform or committees that support the PWMES need further specification and explanation.

On people: The previous recommendation relates to the linkages between the units within the DotP and between the DotP and other departments. Who is responsible for integrating monitoring and evaluation? When and how does M&E information assist in reviewing performance of the Province? This also relates to a need for more insight into how the new system will link to existing management and decision-making systems and the relation between the M&E information products and planning and reporting cycle(s).

Another important addition to the M&E framework should be a capacity building plan, detailing how the institution will put in place the human capacity to fulfil its M&E functions. In this respect, the policies do mention the importance of capacity development, but capacity development needs and not all the measures that the Province undertakes in this regard have been made explicit. It is mentioned that the Province liaises with several stakeholders and that the CD: SMI has provided training in RBME and evaluation related aspects though.

On culture: Focus on strategic information is very strong and very strongly related to the mandate of the CD: SMI (see Strategic Framework for PWMES 2015). Whilst this has great advantages in that it allows for and supports a strong focus on M&E information and information systems, it does seem to strengthen a focus on data management; and less on embedding a practice and culture of critical analysis of

monitoring and evaluation information for learning and policy making. This phase could be included in the PWME model and supported by a learning strategy.

On finance: Also no guidance is given with regards to securing financial resources for the development of IT systems, conducting evaluations and capacity development of staff. The WCG could introduce targets in terms of percentages of spending on M&E or evaluations. Another, or perhaps complimentary approach, could be to incentivise expenditure on M&E through means of bonuses for better informed programmes and proof of critical assessment and learning.

Annexure 1: Terms of Reference

Annexure 2: Geoffrey Shepherd Checklist

Annexure 3.1: Interview schedules

Annexure 3.2: Respondents and participants

Annexure 4: Bibliography

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