Monitoring and Evaluation:
Orientation Course Manual

The South African Management Development Institute (SAMDI)
Welcome to the three day Orientation to Monitoring and Evaluation course offered by the South African Management and Development Institute (SAMDI).

Monitoring and evaluation ideas are not new – everyone applies monitoring and evaluation practices to some extent in their work and home lives. However, we are currently witnessing an increase in the amount of systematic attention and study being applied to the field of monitoring and evaluation (M&E) both internationally and within South Africa. This is a very interesting and exciting development as the practice of M&E can contribute to sound governance in a number of ways: improved evidence-based policy making (including budget decision making), policy development, management, and accountability. Many governments around the world have realised much of this potential, including most first world countries and a small but growing number of developing countries.

It is for this reason that the South African Government has placed increasing importance on M&E during its third term of office since democracy. There are a number of strategic priorities but key amongst these has been the challenge of increasing effectiveness, so that a greater developmental impact can be achieved. One important way in which to increase effectiveness is by concentrating on M&E. This is because M&E is a central competency that has the positive effect of improving policies, strategies and plans, as well as improving performance and optimising impact.

The imperative to focus on M&E was highlighted in the President in the State of the Nation Address in 2007, with the call by President Mbeki to “strengthen monitoring and evaluation capacity across all spheres of government”. The drive to improve public M&E practice has also been emphasised by the Minister of Public Service and Administration - Minister Geraldine Fraser-Moleketi - at various media briefings.

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In response to these directives The Presidency has developed a Government Wide Monitoring and Evaluation System (GWMES). The overall objective of the GWMES is to ensure that an integrated framework of M&E principles, practices and standards is in place and is used throughout Government, thereby delivering M&E products that are useful to the end users.

This Orientation M&E workshop is one step in making the GWMES a living document, and in ensuring that you have the skills to participate and benefit from a powerful public sector monitoring and evaluation system.

**OBJECTIVES OF THE ORIENTATION TO MONITORING AND EVALUATION COURSE**

The objectives of this orientation workshop are threefold:

- Firstly, basic M&E terms and concepts will be explained and discussed over the next three days. During this time you will have the opportunity to apply these terms to your work.
- Secondly, the course will provide you with knowledge and skills that you can use in managing interventions within the public sector.
- Finally, the workshop will relate generic M&E concepts to the public sector specifically.

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LEARNING OUTCOMES

After completing the three day course you should have an understanding of the following issues relating to Monitoring, Evaluation and the Government Wide Monitoring and Evaluation System:

Monitoring

- Differences and similarities between evaluation, monitoring and research
- Primary and secondary data sources
- Qualitative and quantitative data collection methods
- Be able to develop and select appropriate indicators for measuring programme outputs, outcomes and impact
- Comprehend concepts of baseline and performance targets
- Be able to apply the steps required to develop a monitoring and evaluation system
- Be aware of the three key uses of monitoring data – for project management, feeding into evaluations and sharing and reporting to others

Evaluation

- Be familiar with process and outcome evaluations
- Be able to develop appropriate research questions for an evaluation
- Know what questions to consider when planning an evaluation

Government Wide Monitoring and Evaluation System

- The link between monitoring systems and the Government Wide Monitoring and Evaluation System
- The key roles of government institutions in performance information management
- The importance of monitoring as a management tool
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   1.4 Intervention
   1.5 Monitoring and Evaluation System
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   2.1 Four Key Uses of M&E Information
   2.2 Practices that Promote Useful M&E Systems: Some thoughts for discussion

3. OVERVIEW: Six Steps to Developing an M&E System

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   4.1 Understand the Problem and Context
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   4.3 Plan Activities: What we do
   4.4 Establish the Inputs: What we use to do the work
   4.5 Conceptualise the Expected Results

Summary of Day One

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Developed by Insideout: M&E Specialists for the South African Management Development Institute (SAMDI)
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# LIST OF ABBREVIATIONS

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<th>Description</th>
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<tr>
<td>GWMES</td>
<td>Government Wide Monitoring and Evaluation System</td>
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<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
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<td>SASQAF</td>
<td>South African Statistical Quality Assessment Framework</td>
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DAY ONE: CONTENTS

08:30 Welcome and Introductions

Pre-assessment

Definitions: Monitoring and Evaluation

Why is Monitoring and Evaluation important?

Overview: Six Steps to Develop a Monitoring and Evaluation System

Step One: Specify the Intervention

Understand the Context

Develop Goals and Objectives

Decide on the Activities

Establish the Inputs

Conceptualise the Expected Results

Summary of Day One

Daily Evaluation

17:00 End
1. DEFINITIONS

The discipline of monitoring and evaluation is often confusing because of the multitude of terms and definitions that are used by practitioners. In response to this problem definitions for monitoring and evaluation have been proposed the South African Management Development Institute (SAMDI) (2007).

1.1 Monitoring

Monitoring is an integral part of day-to-day operational management to assess progress against objectives.

- It involves the tracking of inputs, processes, activities, outputs and outcomes against indicators, and the modification of these processes and activities as and when necessary.
- The aim of monitoring should be to support effective management through reports on actual performance against what was planned or expected.
- Monitoring tools are essentially used for the early identification of problems and the solving of these problems as and when they occur.
- Monitoring is based on information collected before and during the operations.
- Information required for monitoring may be entered into and analysed from a project management system (PMS) or a management information system (MIS) or any other similar tool.
- The accuracy of the information collected for monitoring purposes, and ways to assess the accuracy of the information are important aspects of monitoring.

Monitoring usually precedes, leads up to and forms the basis for evaluation, that findings from monitoring may be used as part of evaluation, but evaluation tools may also be used for monitoring. [SAMDI, 2006]

1.2 Evaluation

Evaluation is a decision-making tool to be incorporated into the planning cycle and the performance management of government.

- Evaluation is a systematic assessment of the strengths and weaknesses of the design, implementation and the results of completed or ongoing interventions.
Its aim is to help to improve these interventions.

The main objective of evaluation is to supply information on lessons learnt from work already done to influence future planning.

Evaluation is a systematic process with key indicators or criteria against which to evaluate the work done.

Inputs, activities, outputs, outcomes, and impacts are components of the evaluation process. Ways to evaluate inputs, activities, outputs, outcomes, and impacts are essential components of M&E.

Various phases of an intervention may need to be evaluated, for example evaluation of a project at a particular ‘milestone’, at the end of a financial year, or at the end of the entire project. Impact evaluation may need to take place at a specified period in time after a project has ended. [SAMDI, 2006]

1.3 Research

Research is the systematic process of collecting data using methods such as surveys, focus groups, in-depth interviews, case studies and analysing the data in order to increase our understanding of the phenomenon about which we are concerned or interested. [Adapted from Johnson, G. Research for Public Administrators, 2002]

Basic research is concerned with studying the relationship between variables, while applied research usually attempts to apply the methods and findings of basic research to a given situation. Evaluation is a branch of applied research that attempts to ascribe cause-effect relationships within a specific context. [SAMDI, 2006]

1.4 Intervention

An intervention is defined as a programme, project or service, implemented at all levels of government, which aims to benefit specific target groups or the population as a whole. Immunisation services offered by the health authorities, a project to build a school in a location where there are none, or a programme to eliminate corruption in the civil service, are examples of interventions. [SAMDI, 2006]
1.5 Monitoring and Evaluation System

A Monitoring and Evaluation System is a set of components, for example indicators, targets, activities and processes, where each component is related to the other component within the structure and where they all serve a common purpose of tracking the implementation and results of an intervention. [Adapted from SAMDI, 2006]

1.6 Government Wide Monitoring and Evaluation System

The Government Wide Monitoring and Evaluation System is an overarching framework for collecting information within government. Although there are various existing systems gathering valuable information there are also a number of gaps in the information needed for planning the delivery of services and for reviewing and analysing the success of policies. The GWMES therefore aims to synchronise existing systems and fill any gaps in the information that is collected.

It is important to note that within this context “system” does not refer to an IT-based concept but rather to a systematic consolidation of all the various data collection processes within government. [Adapted from Framework for Managing Programme Performance Information, National Treasury, 2007]
## Comparison between Monitoring and Evaluation

<table>
<thead>
<tr>
<th>Monitoring</th>
<th>Evaluation</th>
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<tbody>
<tr>
<td>Conducted: Ongoing</td>
<td>Conducted: Periodic</td>
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<tr>
<td>Focus: Tracking performance</td>
<td>Focus: Judgement, learning, merit</td>
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<tr>
<td>Conducted internally</td>
<td>Conducted externally or internally, often by</td>
</tr>
<tr>
<td></td>
<td>another unit within the organisation</td>
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<tr>
<td>Answers the question: “What is</td>
<td>Answers the question:</td>
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<td>going on?”</td>
<td>“Why do we have the results indicated by the</td>
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<td>monitoring data?”</td>
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**Text box 1:** Comparison between Monitoring and Evaluation
[OtherWise and Insideout; 2006]
2. WHY IS MONITORING AND EVALUATION IMPORTANT?

Government’s major challenge is to become more effective. Monitoring and Evaluation (M&E) processes can assist the public sector in evaluating its performance and identifying the factors which contribute to its outcomes. M&E helps to provide an evidence base for public resource allocation decisions and helps identify how challenges should be addressed and successes replicated.

In summary, the table below illustrates the value that can be derived from monitoring efforts in the public sector:

<table>
<thead>
<tr>
<th>The Power of Measuring Results:</th>
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<tr>
<td>• If you do not measure results, you cannot tell success from failure</td>
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<tr>
<td>• If you can not see success, you cannot reward it</td>
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<tr>
<td>• If you cannot reward success, you are probably rewarding failure</td>
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<tr>
<td>• If you cannot see success, you cannot learn from it</td>
</tr>
<tr>
<td>• If you cannot recognise failure, you cannot correct it</td>
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<tr>
<td>• If you can demonstrate results, you can win public support</td>
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Text Box 2: The Power of Monitoring


2.1 Four key uses of M&E information


1. M&E can support **budgeting and planning** processes when there are often many competing demands on limited resources – in this way M&E can assist in setting priorities. Terms that describe the use of M&E information in this manner include evidence-based policymaking, results-based budgeting, and performance-informed budgeting.

2. M&E can help government Departments in their **policy development and policy analysis** work and in programme development.

3. M&E can aid government departments to **manage activities** better. This includes government service delivery as well as the management of staff.

4. M&E enhances **transparency and supports accountability** by revealing the extent to which government has attained its desired objectives.

Remember, M&E is only valuable if the information is used!

**Discussion: Uses of M&E information**

- Can you think of examples to illustrate each of the four key uses of M&E information listed above?
2.2 Practices that promote useful M&E systems: Some thoughts for discussion

The M&E system:

- Generates information that is shared within the organisation. One way of doing so is the use of M&E Forums which are being successfully used in some provinces, although there are other mechanisms available, such as learning circles among others.\(^6\)

- Is integrated with existing management and decision-making systems.

- Includes an inventory of the institution’s current M&E systems, describing their current status and how they are to be improved as well as mentioning any plans for new M&E systems.

- Encompasses the organisation’s approach to implementing the Programme Performance Information Framework in preparation for audits of non-financial information, as well as to implementing SASQAF standards (where relevant)\(^7\).

- Fits with the organisational structure. The optimal organisation structure for M&E will differ from organisation to organisation. Some organisations may prefer a centralised, specialised M&E unit. Others may opt to decentralise M&E functions to components within the organisation.

- Has sufficient prominence within the organisation. Sufficient authority to officials with M&E responsibilities can ensure that M&E findings inform policy and programmatic decision-making and resource allocation.

- Is built on good planning and budgeting systems and provides valuable feedback to those systems. How M&E processes relate to planning, budgeting, programme implementation, project management, financial management and reporting processes are clearly defined.


The role of government departments in promoting useful M&E systems is:

- To provide adequate **training** for the custodians of the system and end-users including related IT responsibilities\(^8\). Training for M&E is part of the institution’s skills development strategy.

- To practice appropriate **HR practices** such as recruitment in order to attract scarce M&E skills. An effective retention strategy is also crucial to maximise staff continuity and preservation of institutional memory.

- To ensure that M&E **roles and responsibilities** are included in job descriptions and performance agreements to link individual performance to the institutional M&E system. The institutional framework for reward and recognition should take M&E achievements into account.

- To promote an **organisational culture** that supports M&E. In other words, is the managerial culture defensive, blaming and dismissive of M&E findings? Or are M&E findings regarded as an opportunity to explore problems openly and engage in critical but constructive introspection? Much of this depends on the tone set by the political heads and senior officials of institutions. Without a management culture, which demands performance, M&E systems could degenerate into superficial “tick the checklist” exercises which comply with the letter of *GWM&E Policy Framework* but undermine its spirit\(^9\).

**Discussion:** Practices that promote useful M&E systems

- Please share your experiences - if any - of when M&E has been useful and when it has not. What are the common elements that make M&E useful for decision-making?

- A number of organisational practices that contribute towards M&E information being useful and used are listed above in section 2.2. Based on your experience, can you think of examples to illustrate any of these practices?

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3. **OVERVIEW: Six Steps to Developing an M&E System – Diagram 1**

**STEP ONE**
Specify the intervention:
Agree on what you’re aiming to achieve and specify the inputs, processes, activities, outputs, outcomes and impacts. This is called the **programme logic** of the intervention.

**STEP TWO**
Develop the most appropriate **indicators**. These should be measurable.

**STEP THREE**
Develop a **data collection strategy** – use existing information sources or develop new tools.

**STEP FOUR**
Collect **baseline** and set realistic **performance targets**.

**STEP FIVE**
Monitor the implementation of your intervention by collecting data on your indicators.

**STEP SIX**
Use the monitoring data for evaluation, planning and management, and reporting.
4. **STEP ONE: Specify the Intervention**

This training manual and the content of this course is based on “Diagram 1: Six steps to developing an M&E system” on the previous page. We will move logically from the first step up the “ladder” of sequential steps. As we do so you will have the opportunity to apply the concepts presented to the case study that you choose in your working group.

The first step in developing a monitoring system is to agree on the nature of the problem that government seeks to address. Based on an understanding of the problem, what is the solution? Or expressed in social terms, what would society look like if the desired changes could be effected?\(^\text{10}\)

Specifying the intervention essentially means clarifying **what** you intend to do, **how** you are going to do that, and what you expect to see as a **result** of your activities. This requires working through a number of steps, namely:

- Understanding the **problem** that you are attempting to address and the context in which you are working
- Developing **goals and objectives** for the intervention
- Conceptualising the expected **results**
- Planning the **activities**
- Establishing the **inputs**

4.1 Understand the Problem and Context

4.1.1 Understanding the Problem: Developing a Problem Tree

Diagram 2: Problem Tree

**ACTIVITY: Steps in Developing a Problem Tree**

In your groups develop a problem tree for the intervention that you have chosen. Use the following steps to guide the process:

1. **Identify** what is the **priority problem** or issue that the intervention is trying to address.

2. **What are the possible causes** of the main problem? Consider levels of causes.
   When developing the levels of causes ask yourself the question “Why?” For example if your priority problem is: *A lack of skilled professionals*, start by asking the question:
   - **Why?**
     - Because few learners participate in FET
   - **Why?**
     - Because there is inadequate or no career guidance and subject advice offered
   - **Why?**
     - Because there is insufficient training of teachers

   In this way you will develop the levels of possible causes.

3. **What are the possible consequences** of the main problem? Consider levels of consequences.
   In a similar way, to develop levels of consequences you would ask yourself “What happens” because of the priority problem, and what happens because of each consequence? For example, if your priority problem is: *A lack of skilled professionals*, start by asking the question:
   - **So what happens?**
     - Lack of infrastructure and Low economic growth
   - **So what happens?**
     - Unemployment
   - **So what happens?**
     - Continuing poverty
Note that what you have done in the above exercise is to spell out the assumptions that you and your team hold about the problem you are addressing. This is a valuable exercise as we all have assumptions about the way in which the world works. However, these assumptions must be made explicit – only then can we monitor our assumptions to see if they are indeed correct!

While the causes and consequences of our Problem Tree can be based on assumptions which we will monitor, the priority problem can not be an assumption. We need to know that the priority problem is in reality a problem as our intervention is going to direct a great deal of effort and resources in addressing this problem. How do we know that the priority problem is a fact? We need to conduct research to establish this and one way of doing this is to conduct a situational analysis.

4.1.2 Understanding the Context: Conducting a Situational Analysis

Conducting a situational analysis is a way of systematically establishing the core problem that has been identified. A situational analysis seeks to identify:

- Gaps in service delivery – where there is a lack of services or services are not being delivered in the manner planned;
- The extent of the problem and the needs of the target audience;
- The most effective strategy for implementation.

Examples of useful situational analysis questions:

- What services are currently available in the community to address the problem you are seeking to solve?
- What is the capacity of the services available to adequately address the problems and meet the needs of the community?
- What is the extent of the problem, its causes and consequences within the community?
- What does the community say they need?
- What is the relative need for treatment services across different regions or communities?
- What types of services are needed and what is the necessary capacity?
- Are existing services co-ordinated and what is needed to improve the overall level of system functioning?
- How many people in the community need the service?
The challenge when conducting a situational analysis is to ensure that you are establishing the actual needs in a systematic way, rather than compiling a list of perceived needs or wants.

Example:

An hypothetical example for the Department of Education can be used to illustrate the topic of a situational analysis. It might be that the Department is concerned about the low number of learners enrolled at Further Education and Training (FET) institutions around the country as this is thought to contribute to the shortage of skilled professionals. As a result the Department would like to develop a strategy for increasing the number of learners who leave school and go on to study further at FET institutions. Before designing their strategy (and work plans) it is necessary to establish the exact nature of the problem. One way of doing so is to conduct a situational analysis. In the example of FET the situational analysis research could involve establishing the exact number of learners who are currently enrolled in FET institutions. An analysis of the gender and race of the learners could also be made to assess the demographics of the student population. For example, it may be found that there is not a representative number of female learners accessing FET - especially in the fields of Maths, Science and Technology (MST). The nature of the Department’s intervention could then be tailored to encourage female learners in particular to pursue further education, especially in the MST subjects.
Discussion: Understanding the Problem and Context

a. Why is it important to establish the factual nature of the core problem identified in the problem tree?

b. What is the difference between a situational analysis and a baseline study?

4.2 Develop Goals and Objectives

4.2.1 The Goals and Objectives

Various organisations structure their plans in different ways. However, all structures follow a hierarchical design of goals, objectives and activities. In the diagram below the broad goal is further defined and broken down into more specific objectives which are then broken down into detailed and focused activities. This shows the logical links between your activities, objectives and goals, i.e. if you conduct the activities you plan, you assume that you will achieve a specific objective and if you achieve all the objectives you have set it means that you will attain your goal.
An intervention’s goals, objectives and activities fit together into a hierarchy in the following way:

| STRATEGIC GOAL |
|----------------|----------------|----------------|
| **Measurable Objective 1** | **Measurable Objective 2** | **Measurable Objective 3** |
| Activity 1 | Activity 1 | Activity 1 |
| Activity 2 | Activity 2 | Activity 2 |
| Activity 3 | | Activity 3 |
| | | Activity 4 |

Diagram 3: Goals and Objectives

4.2.2 Terminology for Goals and Objectives

The diagram below outlines some of the frequently used terms and indicates the hierarchical relationship between strategic goals, strategic objectives, measurable objectives and activities.

Note what is referred to as the “golden thread” that runs through all four levels. This “thread” is the linkage between all of the levels. In other words it should be immediately obvious how the activities are linked to the measurable objectives, and how the measurable objectives will contribute towards achieving the strategic objectives, and ultimately how the strategic objectives support the realisation of the strategic goal. The different levels of goals and objectives should form a coherent and logical strategy for your department.
Diagram 4: Link between Goals and Objectives


**Strategic Goals and Strategic Objectives: What do we aim to change?**

Well-defined strategic goals and strategic objectives provide a basis from which to develop suitable programmes and projects, as well as appropriate indicators. A strategic goal is a general summary of the desired state that an intervention is working to achieve. Strategic goals should meet the following criteria:

- **Forward looking**: Outlining the desired state toward which the project is working.
- **Relatively General**: Broadly defined to encompass all project activities
- **Brief**: Simple and succinct so that all project participants can remember it.

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The strategic objectives, while still general in nature, help break the large strategic goal down into smaller and more detailed parts. Strategic objectives specify the various steps that will be required to realise the strategic goal.

*To illustrate, in the FET example introduced earlier the strategic goal could be: “To increase the number of skilled professionals in the province”*

*One of the strategic objectives could be: “To promote the participation of learners in FET institutions”*

**Discussion: Designing a Strategic Goal**

In your group write one strategic goal for your intervention that meets the three criteria provided above.
**Measurable Objectives: What do we wish to achieve?**

Measurable objectives are specific statements detailing the desired outcomes of an intervention. If the project is well conceptualised and designed, realisation of a programme or project’s objectives should lead to the fulfilment of the strategic objective and ultimately the strategic goal. A good measurable objective meets the following SMART\(^\text{14}\) criteria:

- **Specific**: The nature and the required level of performance can be clearly identified.
- **Measurable**: The required performance can be measured.
- **Achievable**: The target is realistic given existing capacity.
- **Relevant**: The required performance is linked to the achievement of a goal.
- **Time-bound**: Achievable within a specific period of time.

In addition to the SMART criteria, it is very helpful to state your objective in terms of the change that you would like to see instead of just specifying an activity. For example, referring back to the FET example it is better to write the objective as:

“To ensure that 80% of students in financial need are supported to attend an FET institution” rather than: “To provide 80% of students in financial need with bursaries”. The second objective looks very much like an activity and does not specify the change that is intended.

**Activity: SMART Objectives**

Consider the following objectives and decide if they meet the SMART objectives outlined above:

“To ensure that all teachers are able to provide quality career guidance and subject choice advice to learners by March 2009”

“To ensure that most teachers are able to provide quality career guidance and subject choice advice to learners”

Discussion: Designing Objectives

In your group write two SMART objectives for your intervention.

4.3 Plan Activities: What we do

Activities are specific actions or tasks undertaken by staff designed to reach each of the intervention’s objectives. A good activity meets the following criteria:

- **Linked:** Directly related to achieving a specific objective
- **Focused:** Outlines specific tasks that need to be carried out
- **Feasible:** Accomplishable in light of the project’s resources and constraints
- **Appropriate:** Acceptable to and fitting within site-specific cultural, social, and biological norms\(^{15}\).

For example, the activity “Train teachers” meets the criteria listed above:

**Linked:** Training teachers in career guidance and subject choice is directly linked to the measurable objective “To ensure that all teachers are able to provide quality career guidance and subject choice advice to learners by March 2009”

**Focused:** The activity clearly specifies what is required, namely training of teachers

**Feasible:** Training is a reasonably feasible option provided the project has the necessary resources available

**Appropriate:** Training is an appropriate and obvious option for equipping teachers with the skills to provide quality career guidance, and most teachers are available to attend training.

---

Activity: Planning Activities

In your group decide on the activities that are required to attain each of the measurable objectives that you have specified for your intervention.

4.4 Establish the Inputs: What we use to do the work

Inputs are all the resources that contribute to the production and delivery of outputs. Inputs are "what we use to do the work". They include finances, personnel, equipment and buildings. In managing for results, budgets are developed and managed in line with achieving the results, particularly the output level results.\(^{16}\)

Specifying appropriate outputs often involves extensive policy debates and careful analysis. The process of defining appropriate outputs needs to take into consideration what is practical and the relative costs of different courses of action. It is also important to assess the effectiveness of the chosen intervention.\(^ {17}\)

*Examples of inputs that would be needed in order to provide training to educators on career guidance could include finances, personnel (facilitators), and materials (training manuals, paper, and stationery).*

Discussion: Inputs

- Based on the budget provided by the facilitator, what are your priorities and how does your intervention change?

• How could monitoring data help you to set priorities? Specify what information would be helpful.

4.5 Conceptualise the Expected Results

Monitoring and evaluation terminology can be confusing, particularly the meanings of the words input, output, outcome and impact. This is partly due to the fact that there is not always consistency in how various donors and government bodies use and define the words. What is important to remember is the logic of the process: in other words, does the sequence of results that you have developed logically flow one from the other?

Below is a table that visually links the terms inputs, activities, outputs, outcomes and impacts.

Diagram 5: Key performance information concepts


Continuing with the FET example, the table below illustrates possible output, outcome and impact results that could flow from the activity of training teachers in the skills and knowledge required to provide quality career guidance and subject choice advice to learners.

---

### Discussion: Conceptualising Expected Results

In your group develop logical sequences of results that you expect to be achieved by the measurable objectives that you have developed for your intervention.

<table>
<thead>
<tr>
<th>Activity</th>
<th>Output</th>
<th>Outcomes</th>
<th>Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Train teachers</td>
<td>Teachers trained</td>
<td>Teachers provide advice on subject choice and career guidance to all learners in Grade 9</td>
<td>Learners equip learners with the skills to make appropriate subject choices</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Teachers equip learners with the skills to make appropriate subject choices</td>
<td>Learners are accepted into FET</td>
</tr>
</tbody>
</table>
### Summary of Day One's Learning

We started today off by discussing the **definitions** of the terms monitoring and evaluation and the value that can be derived from undertaking M&E activities - in the public sector specifically.

Thereafter much of the focus of today was on gaining a better understanding of the interventions with which you are involved – we call this the **programme logic**. The programme logic that you have developed today clearly links:

- the **problem** that the intervention is trying to address
- the **strategic goal** and strategic objectives
- the measurable **objectives**
- the intended **results** of these objectives
- the **activities** that are undertaken in order to meet the objectives
- the **inputs** or resources available

There are essentially three categories of results. We call these **outputs** (the short term result that indicates whether or not delivery has taken place); **outcomes** (intermediate results that indicate whether or not we have achieved what we set out to do) and **impact** (long term results that tell us if we are on track to achieve the desired change). [National Treasury (2007) Framework for Managing Programme Performance Information.]

Tomorrow we will discuss how we know if we have achieved our results –that is by developing clear **performance indicators**. We will also cover relevant M&E concepts such as **performance targets** and **baselines**.
DAY TWO: CONTENT

08:30  Review of Day One

Step Two: Indicators
  Definition
  Guidelines for Writing Indicators
  GWMES Criteria for Indicators
  Setting Monitoring Priorities

Step Three and Five: Data Collection
  Quantitative and Qualitative Techniques
  Primary and Secondary Data
  Data Management

Step Four: Baseline and Performance Targets
  Daily Evaluation

17:00  End
5. STEP TWO: Developing Indicators

5.1 Definition: Indicators

“An indicator is a pre-determined signal that a specific point in a process has been reached or result achieved. The nature of the signal will depend on what is being tracked and needs to be very carefully chosen. In management terms, an indicator is a variable that is used to assess the achievement of results in relation to the stated goals/objectives.”

5.2 Guidelines for developing indicators

We are now moving onto the second of the six steps outlined in “Diagram 1: Six Steps to Developing an M&E System” earlier on page 21, namely developing the most appropriate indicators for measuring the results of your work.

When trying to find an indicator or sign of change, start with the question: “How will I know or what will I see if this specific result has happened?” There are a number of guidelines that can assist you in developing useful indicators. Four useful guidelines are that indicators should:

1. Begin with a measure;
   - There are various measures you could choose to use – a number, a percentage or a ration.

For example:

Incorrect: Learners in need of financial assistance
Correct: Number of learners in need of financial assistance or % of learners in need of financial assistance
2. **Indicators are neutral in terms of what should be achieved.** In other words:
   - Do not specify a direction in which you would like to see the change occur, for example increase or decrease.
   - Do not specify quantities - these are specified in your target

For example:

Incorrect: Increased number of learners enrolled in FET institutions or 80% of learners enrolled in FET institutions

Correct: Number of learners enrolled in FET institutions

3. **Specify just one result per indicator:**
   - Do not combine two results in one indicator

For example:

Incorrect: Number of teachers trained and career guidance resources distributed Number of learners who have received career guidance and been awarded a bursary.

Correct: Number of teachers trained Number of career guidance resources distributed

4. **Indicators are specific and unambiguous:**
   - Do not use “suitcase words”: unpack them.

For example:

Incorrect: Number of demoralized teachers

Correct: Number of teachers reporting burnout

In addition, the Government Wide M&E System specifies a number of criteria for indicators.

**An indicator should be:**

- **Reliable:** the indicator should be accurate enough for its intended use and respond to changes in the level of performance.
- **Well-defined:** the indicator needs to have a clear, unambiguous definition so that data will be collected consistently, and be easy to understand and use.
- **Verifiable:** it must be possible to validate the processes and systems that produce the indicator.
- **Cost-effective:** the usefulness of the indicator should justify the cost of collecting the data.
- **Appropriate:** the indicator should avoid unintended consequences and encourage service delivery improvements, and not give managers incentives to carry out activities simply to meet a particular target.

- **Relevant:** the indicator should relate logically and directly to an aspect of the institution's mandate, and the realisation of strategic goals and objectives\(^\text{20}\).

There are two cases of special indicators that deserve mention – namely proxy and perverse indicators.

### Proxy indicators

Proxy indicators are used to measure phenomenon or conditions for which no direct information is available.

For example, a proxy indicator for increased income would need to be developed for an income generation project implemented in communities where it may be considered rude to ask respondents questions regarding their income. It might be, for example, that in some communities members buy new furniture if they have additional income. The number of households buying new furniture could be used as a proxy indicator to assess increased household income.

Another example of a proxy indicator is the number of TB infections or the number of opportunistic infections as an indicator of HIV infection in cases where people are not likely to accurately report on their HIV status due to stigma.

### Perverse indicators

One of the dangers of indicators and targets is that they can end up driving implementation - there are many examples of indicators and targets that unintentionally end up driving actions that work against other social, economic and environmental goals.

For example, imagine a situation where after five years of justice sector reform the time spent awaiting trial has been reduced and the number of alleged criminals processed through the system each year has increased by 200%.

This looks positive, yet these indicators could risk providing a perverse incentive to police and prosecuting authorities to wrongly arrest people and have them released by the courts – to keep numbers processed high. To address this efficiency alone is not an indicator of justice - it must be combined with qualitative indicators of the fairness of trials. Using several indicators to measure the same outcome can also help explain why the change is occurring and prevent the problem of perverse indicators.

In addition, it should be emphasised that just because an indicator might start with the word “number” does not mean that it can not also measure issues of quality. Below is an example of how quality can be can be included in indicators.

**Measuring quality in indicators**

These are indicators designed to measure the quality of your activities or services. For example indicators can assess the quality of housing, education and transport services.

For example, indicators for a quality transport system could include criteria or attributes such as:

- **Reliable**: Number of trains arriving punctually at scheduled stops
- **Fast**: Average travelling time
- **Accessible**: Number of bus routes
- **Comfortable**: Number of public transport users reporting comfort when travelling
- **Safe**: Number of accidents involving public transport vehicles

When designing indicators to measure quality it is best to brainstorm the various attributes of quality and then narrow it down to two or three key attributes to measure. Alternatively, what is meant by quality can be defined in standards and criteria that may be specified in a guideline document.

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5.3 Hierarchy of Indicators

The terms inputs, activities, outputs, outcomes and impact were presented on Day One in the section “Conceptualising Expected Results”. **Diagram 5** illustrates the relationship between the different terms commonly used in M&E.

**Diagram 6** below builds on **Diagram 5** by illustrating how each of these terms should have relevant indicators. The way in which inputs are used to conduct activities is a measure of **economy**. How activities are translated into outputs is a measure of **efficiency**. The move from output results to outcome results is a reflection on **effectiveness**. Finally, translating outcomes results into impact results is a measure of addressing issues of **equity**.

![Diagram 6: Indicators of economy, efficiency, effectiveness and equity](source)

Examples of indicators within this hierarchy include the following:

<table>
<thead>
<tr>
<th>Level</th>
<th>Example: Health</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equity</td>
<td>National and International Strategic Goals</td>
</tr>
<tr>
<td></td>
<td>Reduce child mortality</td>
</tr>
<tr>
<td></td>
<td>Child and Infant Mortality Rate</td>
</tr>
<tr>
<td></td>
<td>Under five mortality rate</td>
</tr>
<tr>
<td>Effectiveness</td>
<td>Departmental Strategic Objectives</td>
</tr>
<tr>
<td></td>
<td>Strengthen primary health care, EMS and hospital service delivery systems</td>
</tr>
<tr>
<td>Efficiency</td>
<td>Programmes</td>
</tr>
<tr>
<td></td>
<td>Strengthening PHC:</td>
</tr>
<tr>
<td></td>
<td>• Improved quality of care in PHC programme</td>
</tr>
<tr>
<td></td>
<td>• Improved reporting on financial management</td>
</tr>
<tr>
<td></td>
<td>% of clinics who are able to meet the demand for PHC with quality care</td>
</tr>
<tr>
<td></td>
<td>% of clinics with a complaints officer</td>
</tr>
<tr>
<td></td>
<td>% of districts submitting quarterly financial reports on time</td>
</tr>
<tr>
<td>Economy</td>
<td>Projects</td>
</tr>
<tr>
<td></td>
<td>Improving access to services:</td>
</tr>
<tr>
<td></td>
<td>• Transport</td>
</tr>
<tr>
<td></td>
<td>• Drug Distribution</td>
</tr>
<tr>
<td></td>
<td>% of EMS road ambulance fleet deployed</td>
</tr>
<tr>
<td></td>
<td>% of tracer drugs available in PHC facilities</td>
</tr>
</tbody>
</table>

Table 1: Examples of hierarchy of indicators

[Source: Millennium Development Indicators, 2003]
**Activity: Improving Indicators**

**HEALTH EXAMPLES**

**Objective:**
To increase the percentage of youth in the province who practice STD/HIV prevention and control by 2010.

**Indicator:**
Youth report using condoms
*(Hint: This is not written as an indicator, but a result)*

**Improved indicator:**

**Objective:**
To reduce HIV incidence by 50% among youth by 2012.

**Indicator:**
60% HIV incidence rate among youth
*(Hint: Expressed as a target)*

**Improved indicator:**

**EDUCATION EXAMPLES**

**Objective:**
To provide financial assistance to 70% of learners from previously marginalised groups who require support by December 2009

**Indicator:**
% of learners who access FET
*(Hint: The indicator is not specific to financial assistance and need)*

**Improved indicator:**
Objective:
To ensure that all teachers provide quality career guidance and subject choice advice and information to learners by March 2009

Indicator:
Percentage of teachers who provide career guidance lessons and distribute career guidance booklets
*(Hint: You need to develop two indicators)*

Improved indicator:

------------------------------------------------------------------------------------------

SOCIAL DEVELOPMENT EXAMPLE

Objective:
To increase the household incomes within an identified community by 20% by December 2009.

Indicator:
Number of income generation projects established
*(Hint: Develop an outcome indicator for the objective above)*

Improved indicator:

------------------------------------------------------------------------------------------

Objective:
By December 2005, a sustainable income generating programme will exist in district X.

Indicator:
% of sampled households participating in vegetable farming projects.
*(Hint: The indicator is not measuring whether the programme is ‘sustainable’)*

Improved indicator:

------------------------------------------------------------------------------------------
Discussion: Developing indicators

In your group develop indicators for your output, outcome and impact results.

5.4 Setting Priorities for Monitoring and Evaluation

When selecting what to monitor, two aspects need to be considered. Firstly, what key results should be measured and secondly what assumptions should be monitored. These two aspects are discussed below.

5.4.1 Selecting which results to monitor and evaluate

There is no need to measure every aspect of service delivery and outputs. Departments should select indicators that measure important aspects of the service that is being delivered, such as critical inputs, activities and key outputs. When selecting indicators, it is important to keep the following elements in mind:

- **Clear communication**: the indicators should communicate whether the institution is achieving the strategic goals and objectives it set itself. The indicators should also be understandable to all who need to use them.

- **Available data**: the data for the chosen indicators needs to be readily available.

- **Manageability**: the number of indicators needs to be manageable. Line managers would be expected to track a greater number of indicators pertaining to a particular programme than, say, the head official of the institution or the executive authority.

- **Accountability reporting**: The set of indicators selected for accountability reporting ought to provide a holistic view of the institution's performance. In the case of concurrent functions, national departments need to identify a core set of indicators that need to be reported by provincial and local governments to ensure comparability.  

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5.4.2 Identifying which assumptions to monitor and evaluate

**Key Assumptions** are the assumptions that we make about the external factors for which the intervention is not responsible, but that are very important for the realisation of the intervention’s results. Although these factors fall outside of the intervention’s direct control, they are vital for achieving successful implementation.\(^{25}\) It is therefore very important that these assumptions are monitored.

For example in a programme that aims to increase food security through improved agricultural practices, ‘enough labour to harvest the rice production’ is an external factor on which the success of the project depends. If the farmers do not make sufficient effort to harvest the higher yields, then the assumption is considered a ‘killer’ assumption because it can result in the death of the intervention\(^{26}\).

**Killer Assumptions** make a successful implementation of an intervention impossible. In the case of a killer assumption the concerned part of the intervention design should be reviewed. For instance, the government may be required to launch an ‘awareness programme for division of labour’. The actual launching of such a programme may be put as a precondition. Preconditions are external factors that have to be met before the start of the intervention\(^{27}\).

**Example: Increased food security through improved agricultural practices**

**Expected results:**
- Agricultural production improved or at least stabilised
- Fewer people immigrate from neighbouring districts

**Key/Killer Assumptions:**
- There is sufficient labour to harvest the rice production
- Access roads are in good condition
- Traders continue to supply inputs (seeds etc.)
- Social relations permit farmers to organise themselves\(^{1}\)

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\(^{26}\) Ibid
\(^{27}\) Ibid
6. STEP THREE and FIVE: Data Collection

So far in the course we have covered the first two steps outlined in “Diagram 1: Six Steps to Developing an M&E System” on page 21, namely Step One (Specify the intervention) and Step Two (Develop indicators). It is now necessary to develop a data collection strategy (Step Three) as data will need to be collected on the indicators that have been developed during the implementation of the intervention. Developing a data collection strategy involves deciding if

6.1 Primary and Secondary Data

6.1.1 Definitions: Primary and Secondary Data

Primary data collection is necessary when a researcher cannot find the data needed in secondary sources. Primary data can be collected on demographic/socioeconomic characteristics, attitudes/opinions/interests, awareness/knowledge, intentions, motivation, and behaviour. Three basic means of obtaining primary data are observations, surveys, experiments and quasi experiments. The choice will be influenced by the nature of the problem and by the availability of time and money.28

Experiments and quasi experiments are rigorous scientific ways of collecting primary data that control for external variables in order to show with a certain degree of probability that the intervention has resulted in specific outcomes and impacts. An important way of trying to control for these external variables is the use of control/comparison groups (groups which do not receive the intervention) and experiment groups (groups receiving the intervention).

Secondary data refer to information that already exists and is available from national and local agencies, academic institutions or published in papers and books.29 In government secondary sources include PERSAL, the population register, the register of births and deaths, Vulindlela, SOCPEN, hospital and clinic records, school attendance records, among many others.

6.1.2 Common Primary Data Collection Methods

There are different ways in which primary data can be collected depending on the project needs, skills levels, time and budget. Data can also be collected from individuals or from a group of people.

Examples of ways of collecting primary data include:

- **Individual based** – for example questionnaires, surveys, and interviews
- **Group based** – for example focus groups and group interviews
- **Observations**

The various methods have different strengths and weaknesses, related to the skills and resources required for their implementation.
**Interviews**

There are different types of interviews and the main difference between structured, semi-structured and unstructured interviews is how the questions are asked. The table below explains these differences in further detail.

**Types of interviews:**

<table>
<thead>
<tr>
<th></th>
<th>Structured</th>
<th>Semi – Structured</th>
<th>Unstructured</th>
</tr>
</thead>
<tbody>
<tr>
<td>Usefulness</td>
<td>Useful when numerical information is needed.</td>
<td>Useful where some quantitative and some qualitative information or descriptive information is needed.</td>
<td>Useful to explore new or sensitive topics in depth.</td>
</tr>
<tr>
<td>Questions</td>
<td>Questions must be asked in a standard way.</td>
<td>Questions may be asked in different ways, but some questions can be standard.</td>
<td>More like a conversation – no standard questions, just topic areas.</td>
</tr>
<tr>
<td>All questions</td>
<td>All questions must be asked.</td>
<td>Questions can be left out and others added.</td>
<td>Follow (or ask) the respondent to establish what is important to discuss.</td>
</tr>
<tr>
<td>Answers</td>
<td>Most questions have pre-set answers to choose between.</td>
<td>Include a mix of types of question – some open and some closed.</td>
<td>Open-ended</td>
</tr>
<tr>
<td>Analysis</td>
<td>Results easy to analyse.</td>
<td>Analysis is fairly straightforward.</td>
<td>Analysis requires time and skill.</td>
</tr>
<tr>
<td>Rules</td>
<td>Follow many of the same rules as questionnaires.</td>
<td></td>
<td>Follow many of the same rules as focus groups.</td>
</tr>
</tbody>
</table>

**CONTINUUM OF STRUCTURE IN INTERVIEWING**
Unstructured and semi-structured interviews

Unstructured interviews which will consist of very open-ended questions. Such questions are designed to probe and stimulate the respondent to think rather than just giving quick answers.

Purpose

Unstructured interviews are most useful when:

- We need to know about peoples’ experiences or views in depth.
- We are able to rely on information from a fairly small number of respondents
- The issue is sensitive and people may not be able to speak freely in groups.
- Our respondents will not be able to express themselves fully through a written questionnaire.

Strengths and limitations

<table>
<thead>
<tr>
<th>Unstructured Interviews – Strengths</th>
<th>Unstructured Interviews - Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Depth of information – You can gain insights into why people act as they do, and the feelings behind an issue, from interviews</td>
<td>Time – consuming</td>
</tr>
<tr>
<td>The individual respondent is able to tell their own story in their own way.</td>
<td>Analysis can be difficult with less structured interview information</td>
</tr>
<tr>
<td>Can reach people who would not be happy to take part in groups or fill in questionnaires</td>
<td>Interviewer effect - the interviewer will have an effect on the responses that you get.</td>
</tr>
<tr>
<td>Respondents usually enjoy interviews – people like the rare opportunity to be listened to at length.</td>
<td>Interview information tells you what people say they do - you may need to check how this relates to what they can be observed to actually do.</td>
</tr>
<tr>
<td>For questions about what people would like to see different, a group setting may give more confidence, and interplay of ideas, which is not available in a one-to-one situation.</td>
<td>There is potential for invasion of privacy – tactless interviewing can be upsetting for respondents.</td>
</tr>
</tbody>
</table>
**Structured interviews**

Structured interviews are conducted using questionnaires, i.e. a written list of questions, mostly closed-ended, or pre-coded, either given or posted to respondents.

**Purpose**

Structured interviews are useful when:

- We need information from large numbers of respondents.
- We know exactly what information you need, which you have established through other research methods. E.g. interviews.
- The information you need is fairly straightforward, and you want it in a standard format.
- Our respondents are able to read and write and are comfortable with filling in a questionnaire.

**Strengths and limitations**

<table>
<thead>
<tr>
<th>Structured Interviews - Strengths</th>
<th>Structured Interviews - Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>A relatively cheap way of collecting information from large numbers of people.</td>
<td>Response rates can be low.</td>
</tr>
<tr>
<td>Easy to analyse, if mainly pre-coded questions are used.</td>
<td>Pre – coded questions can slant the finding towards the researcher’s view of the world rather than the respondents’ – the questions asked determine the range of responses which are possible.</td>
</tr>
<tr>
<td>Self – completion questionnaires remove any “interviewer effect” from the picture, so respondents are reacting to a standard package.</td>
<td>“Tick – boxes” can frustrate respondents and put them off participating. On the other hand, some people will find them easier to deal with and more attractive.</td>
</tr>
<tr>
<td>People who cannot read or write can only be included by making special arrangements.</td>
<td>There is little opportunity to check the truthfulness of the responses, especially with postal questionnaires.</td>
</tr>
</tbody>
</table>

Focus Groups

A group interview, where six to 12 people are brought together for a discussion. It is not a series of individual interviews conducted in a group – the interaction between group members is part of the process and should be encouraged.

Purpose

Focus groups are useful when:

- You need in-depth information about how people think about an issue – their reasoning about why things are the way they are, why they hold views they do.
- You need guidance in setting framework for some larger-scale research, about what people see as issues for them.

Strengths and limitations

<table>
<thead>
<tr>
<th>Focus groups - Strengths</th>
<th>Focus groups - Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accessible to people who cannot read or write.</td>
<td>Information can be complex to analyse.</td>
</tr>
<tr>
<td>The group situation can reduce the power of the researcher, with participants feeling some “strength in numbers” and having greater control of the process.</td>
<td>A skilled (preferably independent) facilitator is needed.</td>
</tr>
<tr>
<td>Enjoyable for participants</td>
<td>May be difficult to recruit for – asks a lot of the respondents in terms of time and effort.</td>
</tr>
<tr>
<td>Very rich data is generated.</td>
<td>Can exclude people who are not comfortable (or accepted) to speak in public, so minority voices may not be heard.</td>
</tr>
</tbody>
</table>

Observations

Observation involves observing objects, processes, relationships, or people and recording these observations.

Purpose

Observation is useful when the information we want is about observable things and/or we need to cross-check peoples’ accounts of what happens.

Strengths and limitations

<table>
<thead>
<tr>
<th>Observations - Strengths</th>
<th>Observations –Limitations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Directly records what people do as distinct from what they say they do</td>
<td>Focuses on observable behaviour and therefore sheds no light on peoples’ motivations</td>
</tr>
<tr>
<td>Can be systematic and rigorous</td>
<td>Danger of leading to over – simplification or distortion of the meaning of the situation</td>
</tr>
<tr>
<td>Can produce large amount of information in a fairly short time</td>
<td>The presence of the observer cannot help but influence the setting they are observing to some extent</td>
</tr>
<tr>
<td>Can generate information which can then form the basis for discussion of those observed</td>
<td>Costly</td>
</tr>
</tbody>
</table>

6.1.3 Limitations and advantages of using secondary data

Limitations:

- **Inadequacy:** If some of the required data is not in the existing reports or data sets, it is usually not possible to go back to the same sources to get the missing data.

- **Potential for poor quality:** Secondary data is collected by others and sometimes the means and circumstances of data collection are not recorded. Thus, the intervention using the secondary data may not be sure how it was collected and has no control over its quality.

- **Variation in concepts:** There can be differences in definitions of indicators (e.g., some studies may use 10-19 years as the ages of adolescence, others use 13-24; some studies may have one definition for a ‘commercial’ farmer or a ‘cash crop’, while another study may have a different definition.

- **Data may be outdated:** The information may exist, but it may be old.

- **Inaccessibility:** Some government agencies, organisations, or individuals may not allow access to their data.

Advantages:

- **Saves money:** Secondary data may be available which is appropriate and adequate to draw conclusions and answer the question. Sometimes primary data collection simply is not necessary.

- **Saves time:** The time involved in searching secondary sources is much less than that needed to complete primary data collection.

- **Can be more accurate:** Secondary sources of information can yield more accurate data than that obtained through primary research. This is not always true but where a government or international agency has undertaken a large scale survey, or even a census, this is likely to yield far more accurate results than custom designed studies based on relatively small sample sizes.

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6.1.4 Assessing Data Quality: Primary and Secondary Statistical Data

What is the quality of the available secondary information? Is it from a reliable source? Are the data collection methods adequately explained? Is the information confirmed by other independent source? Is the information current?

The South Africa Statistics Quality Assessment Framework (SASQAF) covers the various quality aspects of data collection, processing and dissemination. It specifies four categories or levels of data quality and how each level of information can be utilised. This applies only to quantitative data.

<table>
<thead>
<tr>
<th>Levels</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level Four – Official Statistics</td>
<td>• Designated as officials statistics – Statistics that meet the quality requirements</td>
</tr>
<tr>
<td></td>
<td>• Deductions can be made and they can be used</td>
</tr>
<tr>
<td></td>
<td>• Highly developed statistical activities were used with respect to the corresponding indicator</td>
</tr>
<tr>
<td>Level Three – Acceptable Statistics</td>
<td>• Statistics that meet most, but not all the quality requirements</td>
</tr>
<tr>
<td></td>
<td>• Designated as acceptable – despite their limitations, deductions can be made and they can therefore be utilised</td>
</tr>
<tr>
<td></td>
<td>• Moderately well developed activities with reference to a particular indicator</td>
</tr>
<tr>
<td>Level Two – Poor Statistics</td>
<td>• Statistics that meet few of the quality requirements</td>
</tr>
<tr>
<td></td>
<td>• Poor statistics – very limited deductions can be made and they are therefore difficult to use</td>
</tr>
<tr>
<td></td>
<td>• Activities that are developing but still have many deficiencies</td>
</tr>
<tr>
<td>Level One – Questionable Statistics</td>
<td>• Statistics that meet none of the quality requirements</td>
</tr>
<tr>
<td></td>
<td>• Questionable statistics – no deductions can be made and they are therefore unusable</td>
</tr>
<tr>
<td></td>
<td>• Activities that are underdeveloped</td>
</tr>
</tbody>
</table>

Table 2: SASQAF Prerequisites and rating scale

6.2 Quantitative and Qualitative Methodologies

There are two main types of information produced by the data collection process: qualitative and quantitative. The most obvious difference between the two is that quantitative data are numerical (for example amounts, proportions) and qualitative data gives information which can best be described in words or diagrams and pictures (for example descriptions of events, observed behaviours, direct quotations, maps).

Text Box 5: Summary: The difference between qualitative and quantitative data

**Quantitative methods** directly measure the status or change of a specific variable, for example changes in crop yield, kilometres of road built over a period of time, or number of hours per week that women spend fetching water. Quantitative data are collected when a number, rate, ratio or proportion related to the target population should be estimated or a variable (such as crop production) should be measured.

**Qualitative methods** gather data by asking people to explain what they have observed, do, believe or feel. Qualitative data are needed when the attitudes, beliefs, and perceptions of the target population should be known in order to understand its reactions and responses to intervention services.

Text Box 5: Summary: The difference between qualitative and quantitative data

Most M&E systems require the collection of both quantitative and qualitative data. Interventions need qualitative data about the nature of results (for example beneficial or harmful effects, intended or unintended impacts). Interventions also need quantitative data (for example about the distribution or intensity of the results) to ensure the accuracy and representivity of the analysis.

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Whether the data we collect is numerical or textual/descriptive is determined by the type of questions we ask in our tools. Detailed qualitative data can be obtained by asking open-ended questions, whereas numerical data can be obtained by asking closed-ended questions.

Mixed research is research in which quantitative and qualitative techniques are mixed in a single study. For example, a study could use a qualitative method such as focus groups as well as a quantitative method such as a questionnaire survey to collect data. Alternatively a research instrument could use a mix of open-ended (qualitative) and closed-ended (quantitative) questions in collecting people’s responses.

**Discussion: Application of qualitative and quantitative methodologies**

- Which, if any data collection methods have you used before?
6.3 Data Management

6.3.1 Definition: Data Management

Data management is the process of managing data collection, its capture, storage and its use for example in: advocacy, future planning, taking management decisions and being accountable to the public.

Data management entails:

- Continually assessing whether the information needs are met
- Managing data collection and ensuring data is captured on time
- Analysing and using the information on time
- Disseminating information to ensure its use

An important way of ensuring quality data is collected is to train those who will be collecting and capturing the information. It is also potentially valuable to involve them in the design of the data collection tools as they could provide assistance in the design process to ensure easy capturing of data once it is collected.

Remember that when deciding on what data collection tools and methods to use you should be specific and assign responsibilities.
6.3.2 Data management Scenarios

Organisations are confronted with many information management problems and issues. Below are four possible data management scenarios which illustrate such challenges.

**SCENARIO ONE:**
INFORMATION COLLECTED WAS NOT SUFFICIENTLY DETAILED, INACCURATE OR INCOMPLETE

You receive completed interview schedules and find that most of the open ended questions do not provide sufficiently detailed information for you to analyse and make any worthwhile recommendations. For example, you want respondents to tell you what is most significant change the project has had on their lives and you are interested to hear their stories. However, most answers of the answers you get back are similar to these examples:

- *I have been helped a lot by the community workers who are always available to answer my questions.*
- *It really has made such a difference to my life, they (the project) are great!*

What you were hoping to obtain by asking that question was information regarding what the beneficiaries’ life was like before the intervention and specific details of how the project has changed their lives. You wanted rich descriptive information!

**SCENARIO TWO:**
NO BACK UP INFORMATION WAS STORED

Your team has collected information on all your indicators for the past year. Your monitoring system is working well. Just before a deadline for a report, your computers are attacked by a virus sent via email and your office’s hard drive crashes!
SCENARIO THREE: DIFFERENT UNDERSTANDINGS OF RESPONSIBILITIES AND TIME FRAMES

As the Director of the Directorate, you have to submit a report to National Treasury by the end of the month. You ask the official responsible for managing three relevant programmes to please provide you with the relevant information on the indicators, which you assumed would have been collected, captured and analysed every quarter. However, the official informs you that the information was not captured, but all completed data collection tools (questionnaires) are in the file and that they were never told that it was their responsibility to ensure the information is captured and analysed quarterly.

SCENARIO FOUR: THE WRONG PEOPLE WERE INTERVIEWED

You are collecting information on your outcome indicators and the officials responsible for collecting the data have spent a month in the field visiting households in the community. Only when you receive the data do you realise that they only visited households during the day which meant that they collected information from the women only - as most of the men in the households were working - and this project's target group is men.

Discussion: Data Management Scenarios

• How could each of these challenges be avoided in the future?
The following table should be part of your monitoring framework providing details on exactly who is responsible for the different task and by when tasks should be completed.

<table>
<thead>
<tr>
<th>How will information be collected?</th>
<th>Who will collect the information?</th>
<th>When will information be collected?</th>
<th>How and by whom will information be captured?</th>
<th>Who will analyse the information?</th>
<th>When will analysis take place?</th>
<th>Who will produce the report/feedback?</th>
<th>When will the report be completed?</th>
<th>How and to whom will information be disseminated?</th>
<th>Who will disseminate the information?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information collection tools and methods</td>
<td>Specify person(s)</td>
<td>Specify information</td>
<td>Protocol for information capturing</td>
<td>Specify person(s)</td>
<td>Specify date</td>
<td>Specify person(s)</td>
<td>Specify date</td>
<td>Specify reporting format for each stakeholder</td>
<td>Specify person(s)</td>
</tr>
</tbody>
</table>
7. STEP FOUR: Baseline and Performance Targets

7.1 Baseline

Please refer to “Diagram 1: Six Steps to Developing a Monitoring System” on page 21. In the course so far we have covered Step One (Specifying the intervention), as well as Step Two (Developing indicators) and Step Three (Developing a data collection strategy). Having identified goals, objectives, results, activities, indicators and methods to collect information we can now move on to Step Four, which involves collecting baseline data and setting performance targets.

7.1.1 Definition: Baseline

Once a set of suitable indicators has been defined for an intervention, the next step is to specify what level of performance the institution and its employees will strive to achieve. This involves specifying suitable performance targets relative to current baselines.

The baseline is information on the current situation that the intervention aims to improve. In the case of annual plans, the baseline may shift each year and the first year's performance could become the following year's baseline. Where a system for managing performance is being set up, initial baseline information is often not available. This should not be an obstacle - one needs to start measuring the existing situation in order to establish a baseline.\(^{35}\)

7.1.2 The importance of Baseline

You could start collecting information on the indicators you developed, but in order to measure change you have to have something to measure it against. Baseline information serves as a point of comparison.

For example, imagine that you are implementing a programme aimed at preventing teenage pregnancies and your expected long-term outcome is to reduce teenage pregnancies by X %. You find that 50 of teenagers in your target population have fallen pregnant in the last year. However, you cannot assess whether there has been a decrease or increase in teenage pregnancies if you do not have information about the number of teenage pregnancies before the intervention commenced. You would therefore need some form of baseline information against which to assess the information you have collected. The best you could do without baseline information is to present this result as a percentage of your target population and compare it to the rate of teenage pregnancies in the entire population should you have this information.

Should you not have collected baseline information you could start doing so once you implement your monitoring plan. Next year you would have information on which to measure progress.

There is sometimes confusion between the situational analysis (which assesses the problems that exist in an area) and a baseline “study”. Baseline is not a general, broad assessment but rather the specific measurement of the indicators within your monitoring system.

With regard to collecting baseline information, you have the following options:

1. Compare the indicators measuring the situation "before the intervention started" with the situation at a specified period "after it started".
2. Compare changes in areas where the intervention has taken place with those in similar locations, but where the intervention has not taken place.
3. Compare the difference between similar groups – one that has been exposed to the intervention and a so-called control group that is not within intervention influence36.

36 Insideout Newsletter: M&E In's & Out's: Issue # 4:March/April 2006
7.2 Performance Targets

7.2.1 Definitions: Performance Targets and Performance Standards

**Performance targets** express a specific level of performance that the intervention is aiming to achieve within a given time period\(^{37}\). The initial step in setting performance targets is to identify the baseline, which may be the level of performance recorded in the year prior to the planning period.

**Performance standards** express the minimum acceptable level of performance, or the level of performance that is generally expected. These should be informed by legislative requirements, departmental policies and service-level agreements. They can also be benchmarked against performance levels in other institutions, or according to accepted best practices.

The decision to express the desired level of performance in terms of a target or a standard depends on the nature of the performance indicators. Often standards and targets are complementary. For example, the standard for processing pension applications is 21 working days, and a complementary target may be to process 90 per cent of applications within this time\(^{38}\).

Performance standards and performance targets should be specified prior to the beginning of a service cycle, which may be a strategic planning period or a financial year. This is so that the institution and its managers know what they are responsible for, and can be held accountable at the end of the cycle. While standards are generally "timeless", targets need to be set in relation to a specific period. The targets for outcomes will tend to span multi-year periods, while the targets for inputs, activities and outputs should cover either quarterly or annual periods.

An institution should use standards and targets throughout the organisation, as part of its internal management plans and individual performance management system\(^{39}\).

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7.2.2 How to develop realistic targets

When developing indicators there is always a temptation to set unrealistic performance targets. However, doing so will detract from the image of the institution and staff morale. Effective performance management requires realistic, achievable targets that challenge the institution and its staff. Ideally, targets should be set with reference to previous and existing levels of achievement (i.e. current baselines), and realistic forecasts of what is possible. Where targets are set in relation to service delivery standards it is important to recognise current service standards and what is generally regarded as acceptable.

The chosen performance targets should:

- Communicate what will be achieved if the current policies and expenditure programmes are maintained
- Enable performance to be compared at regular intervals - on a monthly, quarterly or annual basis as appropriate
- Facilitate evaluations of the appropriateness of current policies and expenditure programmes\(^\text{40}\).

**Discussion: Baseline and Performance Targets**

- What options are available if you do not have baseline data?
- How do you set realistic targets?

Summary of Day Two’s Learning

The focus of today was on **performance indicators** – how to develop indicators, how to prioritise what to monitor (key and killer assumptions) and how to collect the data that you require for the indicators.

The topic of **data collection** included a brief discussion of **primary and secondary data** and **qualitative and quantitative methods**. Once data has been collected it then needs to be properly managed. We spent some time exploring some common **data management** problems and ways to prevent such difficulties from occurring.

After indicators and data collection we moved on to two related M&E concepts – **baselines** and **performance targets**. During the course of yesterday and today you have learnt about and applied the following M&E concepts:

- Goals
- Objectives
- Inputs
- Activities
- Results
- Performance indicators
- Performance targets

Tomorrow you will take all of these concepts and design a monitoring framework for the project that you are working on in your group.
DAY THREE: AGENDA

08:30 Consolidation of learning

   Developing an M&E system
   How monitoring fits in with other management functions

   **Step Six:** Using monitoring data
   Planning and making management decisions
   Evaluating and exploring emerging issues more deeply
   Sharing the information with others/reporting

   Overview: Government-Wide M&E System

   Post training assessment

   Evaluation of training

17:00 End
8. CONSOLIDATION OF LEARNING

8.1 Complete an Intervention’s Monitoring System

Activity: Developing a monitoring system for your intervention

In your groups complete the monitoring system for your intervention. Your monitoring system should include the following information about the intervention:

- The strategic goal
- Measurable objectives
- Results – at an output, outcome and impact level
- Activities
- Performance indicators/ Performance measure
- Baseline
- Performance targets
- Data source
- Time frame

When designing monitoring systems, remember that:

- Indicators must be very specific
- Outcomes are not linked to an activity in the system
- Each line of the system must have its own time frame
- Timeframes should preferably include a month, not just a year
- Impact results are linked to the goal
- Outcome results are linked to the objective
- Ensure data for your indicators are accessible
- Each indicator must have a baseline and a target
- The measure used in the indicators (whether percentage, number etc) must be used consistently across all related indicators
8.2 How monitoring fits with other management functions

Management is the process of planning, organising, directing and controlling. M&E is an important part of this process.

The diagram below visually depicts the relationship between planning, budgeting and reporting and how M&E supports this cycle. At any given time within government, information from multiple years is being considered: plans and budgets for next year; implementation for the current year; and reporting on last year’s performance. Although performance information is reported publicly during the last stage, the performance information process begins when policies are being developed, and continues through each of the planning, budgeting, implementation and reporting stages41. M&E is a means of ensuring that implementation is occurring in line with what was planned and is within the allocated budget. It also potentially provides accurate information on which to report.

Diagram 7: Planning, budgeting and reporting cycle

9. STEP SIX: Using Monitoring Data

During the Orientation course we have moved from Step One to Step Five as outlined in Diagram 1 on page 21. This brings us to the sixth and final step which involves ensuring that monitoring data is used.

There are three main ways in which the monitoring data that has been collected can be used. Monitoring data is used for:

- Planning and management functions
- Evaluating and exploring emerging issues
- Sharing information with others and reporting

Each of these three uses will be explored in more detail in the sections that follow.

9.1 Using Monitoring Data: Planning and Management functions

Regular monitoring and reporting of performance against expenditure plans and targets enables managers to manage their work by providing the information needed to take decisions required for keeping service delivery on track. Quality monitoring information assists managers to establish:

- What has happened so far?
- What is likely to happen if the current trends persist, say, for the rest of the financial year?
- What actions, if any, need to be taken to achieve the agreed performance targets?

Measuring, monitoring and managing performance in this way are integral to improving service delivery\(^{42}\).

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Using Monitoring Data as a Management Tool

However, in order to use monitoring data for planning and management it is first necessary to analyse the raw data and make sense of what it means for the intervention. In brief this is done by following the steps below.

- **Make sure that all the indicators have baseline data** and that data have been collected as planned.
- **Check for data quality** – the quality will influence how and with what degree of confidence you are able to interpret the data.
- **Compare the actual data with the starting point** (baseline measurement) and the target. Is the intervention on track?
- **Reflect on the findings** with other staff, M&E team members or participating information users/stakeholders. Different perspectives can help clarify puzzling issues and strengthen conclusions. Multiple perspectives are also more likely to generate solutions and recommendations that are feasible and relevant.
- **Make conclusions and recommendations as specific as possible** as this will increase their usefulness. Be very clear about who will be responsible, by what time an action is expected to have taken place, and how will it be evident to the management (or other information users) that a response has occurred.
- **Take action**: hold staff accountable, praise them, follow up with an evaluation, re-strategise, share lessons learnt, etc.
These steps are illustrated in the Health-related example in the table that follows.

<table>
<thead>
<tr>
<th><strong>Objective</strong></th>
<th>To ensure that 75% of staff at clinics in the North West province receive in-service training</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Output level indicator</strong></td>
<td>% of staff members who receive in-service training</td>
</tr>
</tbody>
</table>
| | Numerator:  
Number of staff members who receive in-service training per year |
| | Denominator:  
Total number of staff |
| **Baseline** | 15% of staff have received in-service training |
| **Target and Time** | 75% of staff within three years (increase by 20% per year)  
Calculated as 75% (target) - 15% (baseline) = 60% divide by 3 years (time) = 20% |
| **Actual: end of first year** | 20% of staff at clinics in the North West province have been trained |
| **Analysis** | Progress: 5% more staff within one year have received training – this is 15% less than the expected target. |

Table 3: Health-related example of making using monitoring data as a management tool
Discussion: Using Monitoring Data as a Management Tool

- If you were a manager in the above Health-related example above, how would you explain the less than expected progress of the in-service training intervention?
- What plan of action/response would you suggest?
- Please share your experience of using monitoring data that was helpful for management decision-making.
- What can be done to ‘close the loop’?

9.2 Using Monitoring Data: Evaluating Emerging Issues

Most projects can benefit from an evaluation if the research is appropriately and professionally conducted. It might be decided to conduct an evaluation when the monitoring data sheds light on unexpected results. In this case and evaluation is a helpful means of uncovering the reasons for the unexpected developments. Equally, one might like to explore the reasons for the intervention’s success – what aspects of the intervention’s implementation and context are contributing towards the results achieved?

At other times the development stage of the intervention might indicate the need for an evaluation – either early in the life of the intervention to document how it is being implemented (as in a process evaluation) or to document the possible changes brought about by the intervention once the intervention is more established and has had time to be effective (outcome evaluation).

A brief overview of two types of evaluations – process and outcome evaluations - are presented below.

9.2.1 Types of Evaluations

Process Evaluations

Process evaluation focuses on how a programme was implemented and how it operates. It is usually conducted earlier in the life of the programme. Process evaluation describes how the programme...
operates, the services it delivers and the functions it carries out, how efficient the programme is and what outputs were achieved. Like monitoring, process evaluation addresses whether the programme was implemented and is providing services as intended. By documenting the programme’s development and operation, it allows an assessment of the reasons for successful or unsuccessful performance and provides information for potential replication\(^{43}\).

**Outcome Evaluations**

An outcome evaluation answers the question: "What difference did the programme make? What were the results?" When process evaluation shows that the programme was implemented properly, there is often interest in measuring the effectiveness of the actual programme. It provides staff with information regarding the results of the programme (outputs and outcomes) after a specified period of operation, i.e. when the programme expects to have achieved its output and outcome results. This type of evaluation provides knowledge about: the extent to which the problems and needs that gave rise to the programme still exist, ways to prevent negative unintended results and enhance desired results, as well as recommendation for future programme design\(^ {44}\).

Below is a table to summarise the differences between outcomes and process evaluations.

<table>
<thead>
<tr>
<th>PROCESS</th>
<th>OUTCOMES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Activities/Outputs</td>
<td>Objectives/Outcomes</td>
</tr>
<tr>
<td>Implementation</td>
<td>Results</td>
</tr>
<tr>
<td>“Are we doing what we planned?”</td>
<td>“Changes for beneficiaries?”</td>
</tr>
<tr>
<td>“Are we reaching the target group?”</td>
<td>“What are the results?”</td>
</tr>
<tr>
<td>“How is the context influencing implementation?”</td>
<td>“What difference are we making?”</td>
</tr>
<tr>
<td>Efficiency</td>
<td>Effectiveness</td>
</tr>
<tr>
<td>Strengths and Weaknesses</td>
<td>Achievements</td>
</tr>
<tr>
<td>Time: earlier in the life of the intervention/programme</td>
<td>Time: later in the life of the intervention/programme</td>
</tr>
</tbody>
</table>

Table 4: Summary of the Differences between Process and Outcome Evaluations

\(^{43}\) http://www.health.state.mn.us/divs/hpcd/chp/hsptkit/text/eval_types.htm

\(^{44}\) http://www.ojp.usdoj.gov/BJA/evaluation/glossary/glossary_s.htm
**Activity: Identify possible evaluation questions**

Based on the presentation of process and outcome evaluations, consider what questions would be helpful for an evaluation of your intervention to answer. List up to five questions that you would want a process evaluation to answer and then repeat the exercise for a possible outcome evaluation.

<table>
<thead>
<tr>
<th>POSSIBLE EVALUATION QUESTIONS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is conducting a PROCESS evaluation</td>
</tr>
<tr>
<td></td>
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<tr>
<td></td>
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<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
9.2.2 Planning an Evaluation

Below are a few examples of some of the questions that should be considered when planning an evaluation. The answers to these questions will be helpful in determining what research methodology is the most appropriate for a specific project evaluation.

- Who has to buy-in to the results?
- Who wants the results?
- Who is going to use the results?
- How much time is there?
- How much money is there?
- Is breadth or depth more important?
- Do you want to know if it is effective or efficient?
- Do you prefer qualitative or quantitative data?
- Are you looking for outputs, outcomes or impacts?
- How much information do you already have?45

9.3 Using Monitoring Data: Sharing Information with Others and Reporting

As mentioned before, a useful monitoring system is one that feeds the results of the monitoring to all stakeholders who require the information. There are numerous ways of sharing information but the most common way is by means of written reports.

The Framework for Managing Programme Performance Information (2007) is a framework developed by National Treasury that provides guidance on managing performance to national, provincial and local government.

Performance information is only useful if it is consolidated and reported back into planning, budgeting and implementation processes where it can be used for management decisions, particularly for taking corrective action.

This means **getting the right information in the right format to the right people at the right time**. Institutions need to find out what information the various users of performance information need, and develop formats and systems to ensure their needs are met\(^\text{46}\).

Below is a list of Accountability cycles of the three spheres of government:

<table>
<thead>
<tr>
<th>Accountability cycle</th>
<th>Accountability documents</th>
<th>Performance information</th>
</tr>
</thead>
<tbody>
<tr>
<td>National and provincial</td>
<td></td>
<td></td>
</tr>
<tr>
<td>departments and public</td>
<td>Policy documents</td>
<td>Identify baseline information informing policy</td>
</tr>
<tr>
<td>entities</td>
<td>• Explanatory memoranda accompanying bills</td>
<td>Set out desired effect of policy</td>
</tr>
<tr>
<td>Policy development</td>
<td>Strategic plans</td>
<td>Indicate outputs to be produced</td>
</tr>
<tr>
<td></td>
<td>• Corporate plans</td>
<td>Specify performance indicators</td>
</tr>
<tr>
<td>Strategic planning</td>
<td>Operational plans</td>
<td>Set performance targets</td>
</tr>
<tr>
<td></td>
<td>• Budgets</td>
<td>Indicate available resources</td>
</tr>
<tr>
<td></td>
<td>• Performance agreements</td>
<td>Allocate responsibilities</td>
</tr>
<tr>
<td>Operational planning</td>
<td>Monthly budget reports</td>
<td>Report progress with implementation of plans and budgets</td>
</tr>
<tr>
<td>and budgeting</td>
<td>• Quarterly performance reports</td>
<td></td>
</tr>
<tr>
<td>Implementation and in-year</td>
<td>Annual reports</td>
<td>Report on performance against plans and budgets</td>
</tr>
<tr>
<td>reporting</td>
<td></td>
<td></td>
</tr>
<tr>
<td>End-year reporting</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Municipalities and municipal entities

<table>
<thead>
<tr>
<th>Activity</th>
<th>Policy development</th>
<th>Strategic planning</th>
<th>Operational planning and budgeting</th>
<th>Implementation and in-year reporting</th>
<th>End-year reporting</th>
</tr>
</thead>
<tbody>
<tr>
<td>municipal and municipal entities</td>
<td>• Policy documents</td>
<td>• Identify baseline information policy</td>
<td>• Indicate outputs to be produced</td>
<td>• Report progress with implementation of plans and budgets</td>
<td>• Report on performance against plans and budgets</td>
</tr>
<tr>
<td>• Explanatory memoranda accompanying ordinances</td>
<td>• Set out desired effects of policy</td>
<td>• Specify performance indicators</td>
<td>• Municipal budgets</td>
<td>• Monthly budget statements</td>
<td>• Performance agreements</td>
</tr>
<tr>
<td></td>
<td>• Explainatory memoranda accompanying ordinances</td>
<td></td>
<td>• Service delivery and budget implementation plan</td>
<td>• Mid-year and performance assessments</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Performance agreements</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Table 5: Accountability cycles of the three spheres of government**


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### Activity: Assessing the quality of a report

In your groups analyse the report that you have been given and decide:

- Does the report provide comprehensive information on the topic? How is this done, or what is missing in order for the report to be complete?

- Are you able to tell from reading the report how the data was collected and analysed?

- Does the report discuss activities only or does it include discussion of results?
  - If results are included what level of results are these?
  - If the focus is only on activities what would be needed to move to a results-orientated report?
10. Government Wide M&E System

10.1. The Policy Context

The Policy Framework for the Government-wide M&E System (The Presidency 2007) is the overarching policy framework for monitoring and evaluation in the South African Government. It sketches the policy context for supporting frameworks, such as National Treasury’s Framework for Managing Programme Performance information and Statistics South Africa’s South African Statistics Quality Assurance Framework. It is further supplemented by an outline of the legislative mandates of the various stakeholders charged with its implementation. It also provides a section on principles which will guide future implementation initiatives. This Policy Framework is applicable to all entities in the national, provincial and local spheres of government.

10.2 System Overview

Although there are various existing systems gathering valuable information within government, there are also a number of gaps in the information needed for planning the delivery of services and for reviewing and analysing the success of policies. The Government-Wide Monitoring and Evaluation System (GWMES) seeks to enhance these delivery systems by describing them and explaining how they relate to each other.

The system has three component parts:

- Programme performance information
- Social, economic and demographic statistics
- Evaluations

Each of these components is referred to as a “data terrain” which can essentially be understood as sources of data.

The following figure illustrates the relationship between these components. It highlights that there will be frameworks dealing with each component:
• The *Framework for Managing Programme Performance Information* deals with the management of the programme performance information component.

• Statistics SA is in the process of finalising the *South African Statistics Quality Framework (SASQAF)* which speaks to Social, Economic and Demographic Statistics that may be used for M&E.

The main features of each of the data terrains are summarised below in extracts from the Policy Framework for the Government-wide M&E System:\footnote{The Presidency (2007) Policy Framework for the Government-wide M&E System}

\begin{itemize}
  \item DATA TERRAIN 1: PROGRAMME PERFORMANCE INFORMATION

The lead institution responsible for performance information is the National Treasury. Role players in this area include every government institution which is required to put in place appropriate primary information structures, systems and processes to manage their performance information.

  \item DATA TERRAIN 2: SOCIAL, ECONOMIC AND DEMOGRAPHIC STATISTICS (make this more concise)

The focus of this component is on information that is collected by Statistics South Africa through the census and other surveys, as well as on statistics collected by other government institutions.

  \item DATA TERRAIN 3: EVALUATIONS

The focus of this component is on the standards, processes, and techniques of planning and conducting evaluations and communicating the results of evaluations of government programmes and policies.

The responsible institution is the Presidency. Other crucial role players include DPSA and the Office of the Public Service Commission.

\end{itemize}

\section{10.3 Linking the GWMES with other management systems}

It is important that the three components of the GWM&E be understood to be integrated with and applied to other processes within government such as:

\begin{itemize}
  \item MTEF, and In-Year-Management,
  \item Human Resource Planning,
\end{itemize}
• Annual Reporting and Monitoring such as the Public Management Watch Programme (at national and provincial level) and IDPs and institutional performance management systems (at municipal level)\(^48\).

### 10.4 Defining roles and responsibilities

The GWMES also defines the role that public sector bodies and officials should undertake in implementing the system.

<table>
<thead>
<tr>
<th>Responsibilities</th>
<th>WHO</th>
<th>WHAT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Legislators and councillors</td>
<td>As representatives elected by South Africa’s voters, Government and all its structures are accountable to legislatures and municipal councils. Legislators and councillors should exercise consistent and informed oversight of the bodies accountable to them, using insight gained from M&amp;E systems.</td>
<td></td>
</tr>
<tr>
<td>Executive authorities</td>
<td>Should use M&amp;E findings in the political oversight of institutional performance and for ensuring that desired outcomes and impacts are achieved. Also provide the bodies to which they are accountable with detailed regular reports on the institutions under their control.</td>
<td></td>
</tr>
<tr>
<td>Accounting officers and accounting authorities</td>
<td>Accountable for the frequency and quality of M&amp;E information and the integrity of the systems responsible for its production and utilisation. They need to ensure that prompt managerial action is taken in relation to M&amp;E findings.</td>
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</tr>
<tr>
<td>Programme managers, other line managers, and officials</td>
<td>Establishing and maintaining M&amp;E systems, especially collecting, capturing, verifying, and using data and information.</td>
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</tr>
<tr>
<td>Designated M&amp;E units</td>
<td>Ensuring the implementation of M&amp;E strategies by providing expertise and supports as well acting as a service hub for related initiatives.</td>
<td></td>
</tr>
</tbody>
</table>

Table 6: Defining roles and responsibilities


Discussion: GWMES

• What is your understanding of a "system"?

• Can you see how you would fit into the GWMES?

• What information do you already collect, and what is new information that you will need to start collecting?
Summary of Day Three’s Learning

We begun today by **consolidating** the work covered on day one and day two – first by completing a monitoring framework, and secondly by linking M&E to the broader cycle of planning, budgeting and reporting.

We then moved onto considering ways in which the information generated by M&E can actually be **used**. There are three **primary uses** for the information that is generated by an M&E system. These are:

- Using the information for planning and making management decisions
- Evaluation and exploring emerging issues more deeply
- Sharing the information and writing reports

Once you were familiar with the concepts and uses of M&E we then introduced the M&E systems of which all of you are a part – the **Government Wide Monitoring and Evaluation System (GWMES)**.

We hope that the time you have invested in learning about M&E over the past three days will assist you in understanding the M&E requirements currently in place in the public sector as well as enable you to benefit from the value of M&E. The training manual is intended to be a resource for you in the future and includes a glossary (as provided by the South African Government) of many of the M&E related terms.

**Text Box 7**: Summary of Day Three’s Learning
# 11. GLOSSARY

<table>
<thead>
<tr>
<th>Term</th>
<th>South African Government</th>
<th>European Union</th>
<th>World Bank</th>
</tr>
</thead>
<tbody>
<tr>
<td>Policies</td>
<td>Policies are statements of what government seeks to achieve through its work and why.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategies</td>
<td>Strategies are sequentially structured descriptions of how these policies will be enacted.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Programmes</td>
<td>Programmes (outside of the budgeting context) are high-level, big-picture plans showing how strategies will be implemented.</td>
<td>Can have various meanings, either: (i) a set of interventions put together under the overall framework of a common Overall Objective/Goal; (ii) an ongoing set of initiatives/services that support common objectives (i.e. a Primary Health Care Programme); or (iii) a Sector Programme, which is defined by the responsible government’s sector policy (i.e. a Health Sector Programme)</td>
<td></td>
</tr>
<tr>
<td>Interventions</td>
<td>Interventions are specific conceptually-linked sets of activities intended to achieve particular results that will lead to the achievement of programme goals.</td>
<td>A intervention is a series of activities aimed at bringing about clearly specified objectives within a defined time-period and with a defined budget.</td>
<td></td>
</tr>
<tr>
<td>Intervention</td>
<td>An intervention is defined as a programme, intervention or service, implemented at all levels</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
M&E Orientation Course

<table>
<thead>
<tr>
<th>M&amp;E System</th>
<th>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&amp;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&amp;E function influence the organisation’s decision-making, learning and service delivery.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evaluation</td>
<td>Analysis of efficiency, effectiveness, impact relevance and sustainability. Evaluation is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making</td>
</tr>
<tr>
<td></td>
<td>A periodic assessment of the efficiency, effectiveness, impact, sustainability, and relevance of a Measuring changes in outcomes and evaluating the impact of specific interventions on</td>
</tr>
<tr>
<td>Monitoring</td>
<td>A systematic management activity that involves the analysis of efficiency and effectiveness (actual vs. planned) deliverables.</td>
</tr>
<tr>
<td>Performance Indicator</td>
<td>Identify specific numerical measurements that track progress towards achieving a goal.</td>
</tr>
<tr>
<td>Indicator</td>
<td>Definition</td>
</tr>
<tr>
<td>-----------</td>
<td>------------</td>
</tr>
<tr>
<td>Indicator</td>
<td>A variable that is used to assess the achievement of results in relation to the stated goals/objectives.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Target</th>
<th>Definition</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Target</td>
<td>A desired goal that may be more ambitious than a standard. Specific quantitative or qualitative goals against which actual outputs or outcomes will be compared.</td>
<td>Monitoring and evaluation practitioners at all levels in government may acquire new skills or improve existing skills through studying M&amp;E in terms of these themes. Senior and middle managers, project managers, parliamentarians and other users of information for decision-making and planning in government.</td>
</tr>
<tr>
<td>The group/entity who will be positively affected by the project at the Project Purpose level.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The specific individuals or organisations for whose benefit the development interventions are undertaken.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Baseline</th>
<th>Definition</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Baseline</td>
<td>The current performance levels that an institution aims to improve when setting performance targets.</td>
<td>A description of the status quo, usually statistically stated, that provides a point of comparison for future performance.</td>
</tr>
<tr>
<td>A baseline from which to measure is critical in any monitoring and evaluation process, as it provides the following: a base from which the measures can be taken and a yard stick against which measures/indicators can be compared.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>An analysis describing the situation prior to a development intervention, against which progress can be assessed.</td>
<td></td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Benchmark</th>
<th>Definition</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Benchmark</td>
<td>Reference point or standard against which performance or achievements can be assessed.</td>
<td>A benchmark refers to the performance that has been achieved in the recent past by other comparable organisations. Or what can be reasonably inferred to have been achieved in the future.</td>
</tr>
<tr>
<td>Input</td>
<td>Activities</td>
<td>Beneficiaries</td>
</tr>
<tr>
<td>----------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>The resources that contribute to production and delivery of outputs.</td>
<td>The process or actions that use a range of inputs to produce desired outputs and ultimately outcomes. In essence, activities describe “what we do”.</td>
<td>The individuals, groups, or organisations whether targeted or not that benefit directly or indirectly from the development intervention.</td>
</tr>
<tr>
<td><strong>M&amp;E Orientation Course</strong></td>
<td></td>
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<tr>
<td>-----------------------------</td>
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</tbody>
</table>

**Output**
- The goods and services produced by the institution for delivery.
- Outputs are the final products, goods and services produced for delivery. Outputs may be defined as “what we produce or deliver.”
- Inputs are financial, human, technical and material resources that are used to run the intervention.
- The products, capital goods, and services that result from a development intervention.

**Outcome**
- The medium-term results for specific beneficiaries that are the consequences of achieving specific outputs.
- Outcomes are the medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution’s strategic goals and objectives set out in its plans. Outcomes are “what we wish to achieve”. Outcomes are often further categorised into immediate/direct outcomes and intermediate outcomes.
- The likely or achieved short-term and medium-term effects or changes of an intervention’s outputs.

**Impact**
- The results of achieving specific outcomes.
- Impacts are the results of achieving specific outcomes, such as reducing poverty and creating jobs. Impacts are “how we have actually influenced communities and target groups”.
- The effect of the intervention on its wider environment, and its contribution to the wider sector objectives summarised in the intervention’s Overall Objective, and on the achievement of the overarching policy objective in the EU.
- The long-term consequences of the programme, may be positive and negative effects.

**Results-based management**
- This approach to management is based on four pillars:
  - definition of strategic goals which provide a focus for action;

Developed by Insideout: M&E Specialists for the South African Management Development Institute (SAMDI)
| Evidence-based decision making | Evidence-based decision making is the systematic application of the best available evidence to the evaluation of options and to decision making in management and policy settings. Evidence can come from any of the three data terrains outlined in the GWM&E system:  
- programme performance information,  
- evaluation and  
- census data/statistics – as well as from research studies and local community information. |
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Data</td>
<td>Data are any fact or figure.</td>
</tr>
<tr>
<td>Information</td>
<td>Information consists of data presented in a context so that it can be applied or used.</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Knowledge</td>
<td>Information becomes knowledge when connections and links to other information items are analysed to facilitate critical thinking and reasoning. M&amp;E exercises are more useful when they provide information, not raw data, and when they support the development of knowledge.</td>
</tr>
</tbody>
</table>

Table 7: Glossary
12. REFERENCES


http://europa.eu/geninfo/query/resultaction.jsp?page=1

http://www.health.state.mn.us/divs/hpcd/chp/hpkit/text/eval_types.htm

http://www2.stats.govt.nz/domino/external/web/prod_serv.nsf/874ea91c142289384c2567a80081308e/473e321743f9cbbcc256eb50003fa87

Insideout (2006) SAMDI M&E Training manual

Insideout Newsletter, Issue #5 June/July 2006

Insideout Newsletter: M&E In's & Out's: Issue # 4:March/April 2006


Millennium Development Indicators, 2003


National Treasury (2007) Development Indicators


Patton, M. (2002) Qualitative Research and Evaluation Methods, Page 10


SAMDI (2007) Monitoring and Evaluation: Capacity-building within the public sector General outline


World Bank Monitoring and Evaluation: Some Tools, Methods and Approaches:
## 13. APPENDICES

<table>
<thead>
<tr>
<th>INPUT</th>
<th>ACTIVITY</th>
<th>RESULTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>What do we need to do the work?</td>
<td>What are we going to do? PROCESS How do we link activities together in a coherent way?</td>
<td>And what was the first thing that happened? And then what happened? So what? I would mention intended and unintended consequences. For example more employment opportunities for some who were part of the intervention, compared to fewer opportunities for others who were not</td>
</tr>
</tbody>
</table>

- Resources that are the basic materials for the programme/project.
- Examples include: time, money, people, office space, equipment and supplies

- Dependencies and risks
  - Essential to monitoring. For example if X does not collect data on the intervention, then the system can fail.

- Specific activities, processes and projects that directly result from inputs
  - Direct consequences of inputs
  - The final products, or goods and services produced by government departments and municipalities. Outputs may be defined as "what we produce or deliver".

- Direct consequences or results that follow from an output
  - Intermediate results
  - Change in behaviour, living conditions or life circumstances
  - The medium-term results for specific beneficiaries which are the consequence of achieving specific outputs. Outcomes should relate clearly to an institution's strategic goals and

- Longer set of results at the population level
  - Implications for society as a whole.
  - Change in behaviour
  - The results of achieving specific outcomes, such as reducing poverty and creating jobs. Impacts are "how we have actually influenced communities and target groups".
Outcomes are objectives set out in its plans. Outcomes are "what we wish to achieve". Outcomes are often further categorised into immediate/direct outcomes and intermediate outcomes.

**Table 8: Output, Outcome and Impact Results**

<table>
<thead>
<tr>
<th>INPUT</th>
<th>RESULTS</th>
</tr>
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<tbody>
<tr>
<td></td>
<td>Output</td>
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</table>

**Table 8: Output, Outcome and Impact Results**

Objectives set out in its plans. Outcomes are "what we wish to achieve". Outcomes are often further categorised into immediate/direct outcomes and intermediate outcomes.
Examples of Log frame SMART and Results-based (GWM&E approved) indicators

<table>
<thead>
<tr>
<th>SMART Indicator</th>
<th>Results-based approach</th>
</tr>
</thead>
<tbody>
<tr>
<td>80% of 200 Department of Health nurses, regional HIV and AIDS coordinators,</td>
<td>The SMART indicator would have to be separated and unpacked into the following indicators:</td>
</tr>
<tr>
<td>regional supervisors, national M&amp;E officers, national programme coordinators,</td>
<td>⇒ Number of Department of Health nurses who passed the M&amp;E post training test with a score of 80% and more</td>
</tr>
<tr>
<td>800 rural health motivators are knowledgeable about M&amp;E concepts and principles</td>
<td>⇒ Number of Department of Health nurses who have developed a complete monitoring system for all aspects of their work</td>
</tr>
<tr>
<td>and competent to effectively apply this training in programming and decision-</td>
<td>⇒ Number of Department of Health nurses who regularly report on their progress using the data collected from their monitoring system</td>
</tr>
<tr>
<td>making by the end of 2009</td>
<td>⇒ Number of Department of Health nurses who make management decisions based on the data from their monitoring systems</td>
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</table>

Table 9: Examples of Log frame SMART and Results-based (GWM&E approved) indicators
Example of a Programme Logic System

Goal:

Impact:

<table>
<thead>
<tr>
<th>Objective</th>
<th>Activities</th>
<th>Output results</th>
<th>Outcome results</th>
<th>Impact results</th>
</tr>
</thead>
<tbody>
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Table 10: Example of a Programme Logic Framework

[Source: Insideout 2007]
Template for documenting ‘What is happening’

A. Monitoring Data

Reporting period: January – December 2009

Programme/Intervention: ................................................................

<table>
<thead>
<tr>
<th>Results</th>
<th>Indicator</th>
<th>Indicator Tool</th>
<th>Baseline 2006</th>
<th>End of 1st quarter</th>
<th>End of 2nd quarter</th>
<th>End of 3rd quarter</th>
<th>End of 4th quarter</th>
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<tbody>
<tr>
<td></td>
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<td>Target</td>
<td>Actual</td>
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<td>Outputs</td>
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<td>Outcomes</td>
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<td>Results</td>
<td>Indicator</td>
<td>Indicator Tool</td>
<td>Baseline 2006</td>
<td>End of 1st quarter</td>
<td>End of 2nd quarter</td>
<td>End of 3rd quarter</td>
<td>End of 4th quarter</td>
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</table>

Table 11: Template for documenting ‘What is happening’
### Implementing the GWMES system

#### Legal mandate

The table below describes the legal mandate of government stakeholders in terms of mandate and role in implementing the GWMES as outlined by the Presidency.

<table>
<thead>
<tr>
<th>ROLE PLAYERS</th>
<th>MANDATE</th>
<th>ROLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Presidency</td>
<td>The Constitution requires that all three spheres of government work together and participate in development programmes to redress poverty, under-development, marginalisation of people and communities.</td>
<td>Together with other Cabinet Members the Presidency, should, inter alia, exercise executive authority through the development and implementation of national policy and the coordination of the functions of state departments and administrations. The Presidency plays a crucial role in the coordination, monitoring, evaluation and communication of government polices and programmes, and accelerating integrated service delivery. The Presidency also aims to evaluate the implementation of government strategy, including its impact as measured against desired outcomes.</td>
</tr>
<tr>
<td>National Treasury</td>
<td>The National Treasury’s mandate is informed by sections 215 and 216 of the Constitution, and other legislation such as the Public Finance Management Act (PFMA) of 1999 and the Municipal Finance Management Act (MFMA) of 2003.</td>
<td>The Treasury’s engagement with the GWM&amp;E Framework revolves around ensuring that information on inputs, activities, outputs and outcomes underpins planning, budgeting, implementation management and accountability reporting to promote economy, efficiency, effectiveness and equity, as well as transparency and expenditure control.</td>
</tr>
</tbody>
</table>
| Statistics SA      | The mandate of Statistics SA is informed, inter alia, by the Statistics Act (No. 6 of 1999), the 2002 January Cabinet Lekgotla and the State of the Nation Addresses 2004 and 2005.  
- Section 14.6 (a), (b) and (c) of the Statistics Act | Statistician-General should advise an organ of state on the application of quality criteria and |
<table>
<thead>
<tr>
<th>ROLE PLAYERS</th>
<th>MANDATE</th>
<th>ROLE</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Department of Public Service</strong></td>
<td><strong>DPSA’s mandate is framed by the Public Service Act.</strong></td>
<td><strong>This department is responsible for public service transformation to</strong></td>
</tr>
<tr>
<td><strong>Administration (DPSA)</strong></td>
<td></td>
<td><strong>increase public service effectiveness and improve governance.</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>It acts as the custodian of public management frameworks,</strong></td>
</tr>
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<td></td>
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<td><strong>performance and knowledge management and service delivery</strong></td>
</tr>
<tr>
<td></td>
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<td><strong>improvement.</strong></td>
</tr>
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<td></td>
<td></td>
<td><strong>It co-chairs the Governance and Administration Cluster and the</strong></td>
</tr>
<tr>
<td></td>
<td></td>
<td><strong>GWM&amp;E Working Group.</strong></td>
</tr>
<tr>
<td><strong>Department of Provincial and</strong></td>
<td><strong>DPLG derives its mandate from the Constitution, Chapters 3 and 7 as</strong></td>
<td><strong>Its core function is to develop national policies and legislation</strong></td>
</tr>
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<td><strong>Local Government</strong></td>
<td><strong>well as other legislation such as the Municipal Structures Act of</strong></td>
<td><strong>with regards to provinces and local government, to monitor their</strong></td>
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<td></td>
<td><strong>1998 and the Municipal Systems Act of 2000.</strong></td>
<td><strong>implementation and to support them in fulfilling their</strong></td>
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<td></td>
<td></td>
<td><strong>constitutional and legal mandate.</strong></td>
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<tr>
<td><strong>South African Management</strong></td>
<td><strong>SAMDI’s mandate is informed by the Public Service Act, 1994,</strong></td>
<td><strong>The institute:</strong></td>
</tr>
<tr>
<td><strong>Development Institute (SAMDI)</strong></td>
<td><strong>Chapter II Section 4 (2).</strong></td>
<td><strong>- shall provide such training or cause such training to be</strong></td>
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<td></td>
<td></td>
<td><strong>provided or conduct such examinations or tests or cause such</strong></td>
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<td></td>
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<td><strong>examinations or tests to be conducted as the Head: South African</strong></td>
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<td><strong>Management and Development Institute may with the approval of the</strong></td>
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<td><strong>Minister decide or as may be prescribed as a qualification for the</strong></td>
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<td><strong>appointment, promotion or</strong></td>
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<tr>
<td>ROLE PLAYERS</td>
<td>MANDATE</td>
<td>ROLE</td>
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<tr>
<td>Office of the Public Service Commission (OPSC)</td>
<td>The OPSC derives its mandate from sections 195 and 196 of the Constitution, 1996.</td>
<td>It has been tasked with investigating, monitoring, and evaluating the organisation and administration of the public service. This mandate also entails the evaluation of achievements, or lack thereof, of Government programmes. The PSC also has an obligation to promote measures that would ensure effective and efficient performance within the Public Service and to promote values and principles of public administration as set out in the Constitution, throughout the Public Service (e.g. professional ethics, efficient, economic and effective use of resources, impartial, fair and equitable service provision, transparency and accountability etc).</td>
</tr>
</tbody>
</table>
| Auditor-General         | • Section 20(1)(c) of the Public Audit Act (25 of 2004)  
• The Municipal Systems Act of 2000  
• The Municipal Finance Management Act of 2003 | The annual reports of government departments need to include, inter alia, audited financial statements and statements of programme performance. The should Auditor General express an opinion or conclusion on “reported information of the audited against pre-determined objectives”.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| Provincial Offices of the Premier | Section 125 (1) | The executive authority of a province is vested in the Premier, who – together with the provincial executive council - exercises this authority through the development and implementation of provincial policy, the implementation of national policies in concurrent function areas, and the coordination of the functions of the provincial departments.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
The Premier as the political head of the Provincial Government is also responsible for the implementation of Chapter 3 of the Constitution on cooperative government.

The Premier’s Offices play a critical leadership role in the development and implementation of Provincial Growth and Development Plans.

Table 12: Legal mandate
Relationship between Institutional M&E systems and the GWM&E System

It is a statutory requirement that the accounting officer of a department or municipality, or the chief executive officer of a public entity, is required to establish a monitoring and evaluation system for the institution.

The flow diagram on the following page shows how the GWM&E System M&E should contribute to achieving its intended outcomes. It illustrated the relationship between various governance processes and the relevant data terrains.
Diagram 9: How the GWM&E Systems intended outcomes should be achieved